

MANAGING PUBLIC
SECTOR RECORDS

A Training Programme

Managing
Public Sector Records:
Case Studies - Volume 2



INTERNATIONAL
COUNCIL ON ARCHIVES



INTERNATIONAL RECORDS
MANAGEMENT TRUST

MANAGING
PUBLIC SECTOR RECORDS:
CASE STUDIES
VOLUME 2, CASES 13-24

MANAGING PUBLIC SECTOR RECORDS

A STUDY PROGRAMME

General Editor, Michael Roper; Managing Editor, Laura Millar

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Volume 2, Cases 13-24

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Managing Public Sector Records: Case Studies:

Volume 2, Cases 13-24

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Managing Public Sector Records: Case Studies

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Compiled and edited by Ann Pederson, Dawn Routledge and Anne Thurston.

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INTRODUCTION TO *MANAGING PUBLIC SECTOR RECORDS: CASE STUDIES*

Managing Public Sector Records: Case Studies supplements the modules in the MPSR Study Programme by illustrating key issues of theory and practice through real-life examples from around the world. A total of 34 case studies have been developed, illustrating situations in such countries as Australia, Canada, Fiji, Ghana, Jamaica, Malaysia and the United Kingdom. The case studies are designed to relate directly to specific modules, so that they may be easily used as supplementary teaching materials. The complete list of cases is included with this introduction, along with an indication of the one or two modules the compilers felt could be most closely linked with the cases. Users are encouraged not to limit their use of the cases, however, and to seek creative ways to take advantage of the valuable information presented.

These case studies are presented as they have been prepared by the authors; aside from minor editing for production, language, style and content have not been altered. Thus, for example, some cases might refer to 'archival institutions', others to 'Archives', and still others to 'the Archive'. Some include teaching notes; others do not. Some have extensive appendices and others are quite brief. The compilers of these cases believe that it is essential to retain the variety of terms used and ideas presented in order to reflect accurately the diversity of approach in records and archives management around the world.

Users of these cases are strongly encouraged to recognise the regional approach found in each case and to adapt the studies to their own regional or institutional needs.

For more information on writing and using case studies, see Writing Case Studies: A Manual, included with this study programme.

MPSR CASE STUDIES AND LINKS TO THE MPSR STUDY PROGRAMME MODULES

Following is a list of all case studies included in the Management of Public Sector Records Study Programme.

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4	Laura Millar / Harry Akussah	Ghana	Developing An Automated National Records Centre Management System In Ghana	Managing Records in Records Centres	Automating Records Services
5	Victoria Lemieux / Brian Spiers / Nicolas Maftai	Jamaica	Automating the Archives and Records Management Program at UWI	Automating Records Services	Managing Archives
6	Laura Millar	Canada	Systems Downfall Or Organisational Shift?: Automation At Andover University Archives (a fictitious case study)	Automating Records Services	Managing Archives

7	Andrew Evborokhai	The Gambia	Development Of Records Management Programme In The Gambia	Organising and Controlling Current Records	Developing Infrastructures
8	Pitt Kuan Wah	Singapore	Preserving Electronic Records at the National Archives of Singapore: A Balancing Archival Act and A Shared Responsibility	Managing Electronic Records	Preserving Records
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10	Chris Seifried	Canada	Management Decision Making and Teamwork Case Study	Strategic Planning	Automation
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25	Ann Pederson	Australia	Scheduling the Records of the Wagga Wagga Outpost of the New South Wales Forestry Commission	Current Records	Building Records Appraisal Systems
26	Ann Pederson	Australia	Planning Reference Facilities and Services for a Provincial Archives	Managing Archives	
27	Terry Cook, Ed Dahl and Ann Pederson	Australia/Canada	Living with Your Conscience at the End of the Day: Ethical Issues and Archives/Records Managers	MPSR: Principles and Context	Managing Resources
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Development of Conservation Facilities In The Kenya National Archives And Documentation Services: A Case Study

Musila Musembi¹

Introduction

The Kenya National Archives and Documentation Service generally provides an efficient service. An evaluation of records and archives services in English-speaking African countries which was made by Mr Peter C. Mazikana for the International Council on Archives and UNESCO in 1992 placed the Kenyan service second to that of Zimbabwe. The then National Archives of South Africa was not included in the study for obvious reasons. Mr Neil McCallum of the International Records Management Trust has recently observed that 'Kenya has a National Archives and Documentation Service to be proud of'².

And in his letter addressed to the Minister responsible for archives service in Kenya, Timothy H. Parson, an Assistant Professor of History at Washington University in the U.S.A has, in August 1998, observed that:-

'During my academic career I have had the opportunity to conduct research in a wide variety of archives throughout Africa, Europe and North America, and can say without exaggeration that the Kenya National Archives is the best run institution I have ever worked in'³

There has been many other pleasant remarks by our users about the quality of archives services in Kenya. It would, however, appear as if the authors of these remarks were not aware of one sector within the archives service which is not equally outstanding in

¹ Mr Musila Musembi is the Director of Kenya National Archives and Documentation Service. He holds a BA (Hons) degree and Post Graduate Diploma in Archival Studies from the University of Ghana (Legon). He has been working in the above Department since 1975. He is a former Chairman of the Association of Commonwealth Archivists and Records Managers; and the current Secretary of the IFFLA/ICA Joint Committee on Preservation in Africa since 1996.

Mr Musembi is the author of Archives Management: the Kenya Experience (1985). He has contributed chapters and articles in publications and journals including a chapter in Legal Records in the Commonwealth (1994), and co-edited Proceedings of the Pan African Conference on the Preservation and Conservation of Library and Archival Materials (1995). In this case study, the word conservation is loosely used to include the totality of processes and operations involved in restoration/repair of damaged or deteriorated documents.

² Letter dated 4th March, 1998 from Mr Neil McCallum, IRMT Country Projects Director addressed to Mr Wa Muricho, Deputy Director, Directorate of Personnel Management, Kenya.

³ Letter from Timothy H. Parsons, Ph.D., Assistant Professor of History, Washington University dated 20th August, 1998 addressed to the Minister responsible for Kenya National Archives and Documentation Service.

terms of its competence and quality of service offered. That sector is the conservation workshop and other related facilities. It is not well developed despite efforts made by successive directors of the Kenya National Archives and Documentation Service to improve it.

The development of a conservation workshop and other related facilities in a 'Third World' country is certainly full of pitfalls. In many cases, the equipment and materials needed for the workshop are not easily available. Most of them have to be imported. However, experience has shown that this is easily said than done. And then there is the question of inadequate funding. Equally important, training in conservation is not locally available in Kenya, as indeed in most African countries. In addition to these challenges, the Kenya National Archives and Documentation service has continued to face another problem - inadequate space for the conservation workshop. Despite the existence of these problems, the Department has demonstrated a strong commitment to the development of a conservation workshop, especially from 1970s onwards. These efforts had begun to bear visible fruits by late 1980s, of course after a long struggle. This was, in time, noticed by neighbouring countries. We have been asked for assistance and have successfully trained conservation technicians from Zanzibar and Tanzania.

This case study will demonstrate how a relatively 'poor' National Archives can achieve some visible successes in developing a conservation workshop and other related facilities despite the existence of very major challenges.

The Long and Frustrating Journey

A well-resourced conservation workshop is certainly a necessary facility in an archival institution. There are always some materials in need of restoration. But in most developing countries, the first priority was to get funds to establish an archives service with an understanding that conservation facilities were going to be set up later. Mr D. Charman, the first Government Archivist soon found out that he was mistaken to think that the above seemingly logical approach was going to get the support of the Kenya Government. In 1963, he submitted proposals for additional but very moderate financial support for the embryonic archives service. He must have been thoroughly shocked when his request was not only turned down and he was informed that

'There was no intention on the part of the Kenya Government to set up a more sophisticated Archives organisation than already exists, small though it is.....'⁴

This was a rather categorical and final statement which would have totally discouraged an average person. However, Mr Charman was determined to pursue the matter. He continued to lobby for additional resources for the then tiny archives service, including additional personnel for a conservation workshop until his secondment came to an end in 1965.

⁴ Letter from the Treasury Ref. No. BFN.704/60/02 dated 17th October, 1963 in file AR/1/3 Development of Kenya Archives Service.

The first Government Archivist had a clear vision on what was needed to set up a conservation workshop and related facilities. This is evidenced by his specific recommendations. He had set out simple and achievable objectives. To him, only three repairers and equipment worth about S500 (equivalent to Sterling Pounds 500 at that time) was enough. He did not want to start with complex and expensive equipment. Certainly this was wise.

Mr Charman's two immediate successors lost, to a large extent, the better part of his vision. Available evidence shows that the person who immediately took over from him did not aggressively pursue issues relating to the development of a conservation workshop with the same vigour. This is not surprising at all. Any attempt to get additional funding for this facility was simply a nightmare. Even if he pursued the matter and got the funding from the Treasury, most of the equipment and materials were not locally available in the 1960s and most of them are still not locally available in Kenya today. It appeared as if all the routes to successful development of efficient conservation facilities as proposed by Mr D Charman were virtually closed. In time, Mr Charman's immediate successor began to shift his attention to another new achievable objective - the collection of oral history and oral traditions. A lot of resources and management time had already been diverted to this non-archival activity by 1970s. This publicity-catching non-archival activity certainly caused immense damage to the long-term vision and mission of the Kenya National Archives and Documentation Service.

Towards the end of 1974, an energetic and ambitious Director took over the management of the Kenya National Archives and Documentation Service. He had no previous training or experience in records and archives management. However, he was a great lobbyist. Within a fairly short time, he was able to break, to a great extent, the hitherto vicious circle of limited resources, very poor funding and inadequate personnel. Training programmes for archivists in the Department were started and gradually expanded. And for the first time in the history of the Kenya National Archives and Documentation Service, several consultancy missions were carried out - all with the aim of improving records and archives management services in Kenya. One such mission was that of the late Albert H Leisinger.

Mr Leisinger's consultancy mission was undertaken in July 1977 at the request of Dr James B Rhoads, Archivist of the United States of America and by then President of the International Council on Archives; Mr Charles Kecskemeti, Executive Secretary of the International Council on Archives; and of Dr Maina D Kagombe, Chief Archivist of the Kenya National Archives and Documentation Service. His principal mission was to evaluate preservation initiatives existing at that time and to make specific recommendations concerning the establishment of a Reprographic and Conservation Training Centre in Nairobi. With regard to conservation facilities, Mr Leisinger observed that 'At the present time only preliminary steps have been taken to establish such a facility. Adequate space and equipment would be needed.'⁵ Even more significantly, he made a list of equipment which needed to be acquired.

⁵ Albert H. Leisinger. *Kenya National Archives: Report of the Feasibility of Establishing a Reprographic, Conservation and Demonstration Training Centre in Nairobi*. 9th July, 1977.

The equipment is listed in Appendix 1. In this regard, Mr Leisinger recommended that:

‘More sophisticated equipment such as machine laminators and leafcasting equipment which are quite costly may be added after the centre has operated successfully for a year or so.

It is suggested that before any of the above equipment or supplies are purchased that the specific recommendations of a consultant in this area be obtained.’⁶

The Kenya National Archives and Documentation Service did not observe or comply with any of the above very good recommendations. Very soon, in 1978, we acquired an expensive laminator from Yugoslavia at a cost of US\$13,500 long before the conservation workshop was operational! For technical reasons, the equipment could not be installed until 1982, and was therefore not operational for a very long period. Surprisingly, the equipment had been flown to Nairobi from Yugoslavia soon after its purchase. What a waste of money! This attracted a very damaging audit query by the Controller and Auditor- General.

As indicated above, Mr Leisinger had recommended that before any of the expensive technical equipment or supplies were purchased, specific recommendations of a consultant in conservation needed to be obtained. Kenya failed to do so but with very serious consequences. By the time the costly laminator was purchased, machine lamination processes which use very high temperatures were no longer recommended. Very high temperature can damage documents. As a result, this very expensive equipment was never fully utilised, and arrangements were later made to dispose of it. This is just one example of inappropriate equipment and supplies which were purchased without proper technical advice, and which in effect became a waste. Two expensive wire stitching machines which were bought are other examples of inappropriate equipment which could not be fully utilised. What a big price to pay for being big headed! It should have been possible to get the required guidance virtually free of charge through correspondence from conservation experts within the framework of the International Council on Archives.

The Turning Point

Towards the end of 1970s, the Government was very concerned that, in spite of major increases in financial, personnel and other resources, the archives service was not experiencing corresponding improvement. The Kenya National Archives and Documentation Service was increasingly getting involved in a number of non-archival programmes and activities which included collection of oral traditions and oral history, as well as sites and monuments. The core archival programmes were, as a result, starved of resources. In this regard, Mr Ian Maclean was to observe that

⁶ *Ibid.*

‘On arrival, the consultant was frankly astonished at the number and range of objectives and programmes postulated by the Chief Archivist for the Kenya National Archives...’⁷

This must have contributed heavily to the general decline of efficiency in the Department. And just around this time, a very damaging report on financial mismanagement in the Department was made by the Controller and Auditor-General. As a result, the services of the Chief Archivist and the Acting Deputy Chief Archivist were terminated in 1980 and 1981 respectively. A very young but experienced archivist was appointed to perform the duties of Chief Archivist on an acting capacity in May 1981.

In 1981, the Government decided to have a thorough evaluation of the services provided by the Kenya National Archives and Documentation Service. Two consultants, Mr Xavier de Boisrouvray from France and Mr John Walford from the United Kingdom were brought in to carry out the evaluation. The first to arrive in Nairobi, Kenya was Mr Boisrouvray. He made wide-ranging observations on the state of services provided by the Department. And with regard to the subject at hand, the conservation workshop, his report observed that the ‘consultant regrets to state that this laboratory is not very busy, despite all the money spent’ to buy the expensive conservation equipment.⁸

The other consultant, Mr John Walford submitted his report on a one-week UNESCO funded mission in Kenya in 1982. His report was more comprehensive in its observations and recommendations. With regard to conservation facilities, his suggestions were quite similar to those of Mr Boisrouvray. He stated that:

‘There is a conservation section but even the most simple procedures to protect damaged records are not being employed, while the expensive equipment the KNA already has is lying idle, partly because some of it is not appropriate, partly because of difficulties with the supply of materials and partly because induction and servicing arrangements are unavailable.’⁹

Mr Walford made a specific recommendation on how the above unsatisfactory situation could be improved. In his view,

‘..... a practicing expert with the ability and confidence to adopt techniques in the light of local requirements and resources, in particular the vagaries of suppliers of suitable conservation materials is required. Obtaining the sorts of materials advocated in text books is a problem everywhere, and an experienced conservator would find and

⁷ Ian Maclean. *Kenya Development of Information Infrastructure, Records Management*. UNESCO, RP/1977-78/5.1.3, p.4.

⁸ Xavier de Boisrouvray. *Development of the Kenya National Archives*. 15th November, 1981, p.2.

⁹ John Walford. ‘Review of the Kenya National Archives’. *UNESCO Technical Report*. pp/1981-1983/5/10.1/05, p.10.

use suitable local alternatives. An attachment of six to nine months should be sufficient to get the section established.’¹⁰

In theory, the proposal was acceptable to the Kenya National Archives and Documentation Service. However, it was not clear who was going to fund such an attachment. The Kenya National Archives and Documentation Service was not in a position to do so. And equally significantly, it was not clear which institution was going to be willing to release a competent and experienced conservationist for a period of between six and nine months. Experience by the Kenya National Archives and Documentation Service has clearly shown that this is not easy. Certain United Kingdom institutions are, for example, not willing to release their conservation experts even when their expenses are fully paid for by the recipient institutions. The recipient institution may be required to reimburse the full cost of the salary for the period he will not be working for his parent institution. This has actually happened to us in the recent past. Under these circumstances, therefore, it was impossible to implement this particular recommendation.

By 1982, the Chief Archivist, later re-designated and upgraded to Director, was keenly aware of the Government’s expectations. He was also aware of the failures his Department had experienced as indicated in Messrs Boisrouvray’s and Walford’s reports. These failures could not be tolerated much longer. And so in 1982, the functions performed by the Kenya National Archives and Documentation Service were re-organised. All non-archival programmes and activities were discontinued, or greatly scaled down in those cases where discontinuation could not be effected immediately. Naturally, this released more resources to the Department’s core programme - conservation workshop and facilities included.

As part of the re-organisation, a university graduate with science qualifications was appointed as Head of the Conservation Section with firm instructions that he had to get the Section operational. Some additional materials were acquired for the Section, and it gradually began to pick up. Initially, more attention was focused on developing our capability in book-binding in line with what Mr Charman had recommended. As our staff became more and more experienced in this area, we began to experiment with solvent lamination and document repair. Theoretical knowledge and limited practical experience gained by our officers who had received their formal training from the National Archives of India was quite useful during those early days. Our professional capability in repair and restoration of documents was further increased through an attachment of one of our staff to Archives Nationales, Archives Departmentales de Loire-Atlantique, France.

When Mr Jean-Marie Arnoult, by then Director of IFLA Preservation and Conservation Core Programme for Europe and Africa visited Kenya in September 1986 as part of UNESCO’s world-wide evaluation of the state of preservation of library and archival materials, he was certainly impressed by the efforts being made to develop our conservation facilities. Aqueous deacidification with calcium hydroxide was being carried out. Weak and fragile documents were also being reinforced with cellulose acetate and Japanese paper, together with tyros. Although the quality of

¹⁰ *Ibid*, p.20

work produced was rather rudimentary in relation to the European standards, it was clear that the Kenya National Archives and Documentation Service had made a start and was one of the very few institutions in Eastern, Central and Southern Africa making such efforts. It was for this reason that Mr Arnoult observed that the Department could actually become a regional training centre for conservation technicians if its capability could be improved further. In this regard, he stated that the 'National Archives own interesting potentialities to play a pilot part in conservation in South-East Africa.'¹¹

The hitherto very unsatisfactory situation had, at last, been turned round. The Conservation Section (workshop), though not fully developed, became a source of pride. We could look back and see major achievements which had been made in less than ten years, and under very very difficult conditions. In 1991, Mr Gideon Matwale, an Archivist of the National Museums of Kenya and an expert in conservation observed that

'The Kenya National Archives is operating a successful conservation service The present staff show a lot of enthusiasm in their work and they deserve to be encouraged by all means.'¹²

This was also confirmed by Mr Peter C. Mazikana in his 1992 ICA/UNESCO Survey of the Archival Situation in Africa. His findings indicated that we were leading all the other 18 English-speaking African countries involved in the survey with regard to the provision of technical services (reprography and conservation).

The relatively more developed preservation and conservation facilities have not escaped the attention of the neighbouring countries. The National Archives of Zanzibar attached one of its officers to our Conservation Section during the period 16th October, 1990 to 16th January, 1991. Four officers from National Archives of Tanzania also spent time in the Section as part of a wider attachment to the Kenya National Archives and Documentation Service in July/August 1996. A similar request from Makerere University, Uganda in 1998 could not be accepted in time due to certain bureaucratic delays. And on 25th July to 23rd September, 1988, an officer from the National Archives of Seychelles was attached to our Microfilming Section, and also spent some time in the Conservation Section learning the basic skills in document repair and restoration.

Here in Kenya, the Department provides limited practical training in conservation for students pursuing Bachelor of Science in Information Science who are specialising in records and archives management. The students are attached to the conservation workshop in order to enable them to gain practical skills in document restoration and repair. Moi University, where the students come from, meets the cost of the materials used during the attachment.

¹¹ Jean-Marie Arnoult. A Report of the State of Preservation and Restoration of Archives and Library Materials in Kenya. 1986.

¹² Gideon Matwale, 'Report of the Conservation Service of the Kenya National Archives, 1991,' p.3.

It has been observed that the Kenya National Archives and Documentation Service now offers a 'successful' conservation service in relation to other African countries and especially those in Eastern and Southern Africa. However, it must be stressed that we have still a very long way to go before we can achieve satisfactory standard of conservation facilities which are often found in archives services in Europe and North America. Be that as it may, we have made a good start, and are determined to build on the gains already attained.

Status Report

In 1996, Mr Rhys-Lewis, a Senior Conservator at the London Metropolitan Archives, United Kingdom, carried out a four-day fact-finding Consultancy mission at the Kenya National Archives and Documentation Service. The mission was funded by the Judy Segal Trust of the United Kingdom on our request. On the whole, Mr Rhys-Lewis was satisfied by the general development of the Department. He observed that the 'KNA & DS is clearly a well-motivated and developing archive. Professional standards linked to a strong will to succeed have contributed to its current regional status.'¹³ This has been a good foundation on which to base further initiatives on preservation and conservation of the Department's library and archival materials. However, Mr Rhys-Lewis observed in his report that the Conservation Section had already 'reached a point where further development is not possible without a review of the existing resources, both financial and staffing.'¹⁴

Mr Rhys-Lewis observed that the size of the conservation workshop was generally satisfactory, and that the ante-room section had good potential. This was a big relief as it is almost impossible to get additional space for the conservation work at the moment. In order to improve further the professional capability in this area, Mr Rhys-Lewis made fairly detailed recommendations for consideration by the Director of the Kenya National Archives and Documentation Service.

Rehabilitation of the Conservation Workshop

Mr Rhys-Lewis observed that the workshop was in poor state of repair and decoration. In his view, this tended to dampen the environment in which the conservators work in. The workshop needed to be re-painted, and the floor either sealed or covered with a non-slip linoleum. At the same time, all the redundant equipment needed to be removed from the workshop.

And according to Mr Rhys-Lewis, the electrical lighting systems in the conservation workshop needed to be upgraded. At the same time, two new sinks needed to be purchased and fixed. One of them, a domestic sink was to be used for washing of brushes, beakers, and hands. The other one, a conservation sink, was going to be used for washing documents only, and therefore needed a large draining area adjacent to it.

¹³ J. S. Rhys-Lewis, 'Consultancy Mission to Kenya National Archives and Documentation Service: Final Report,' p.9.

¹⁴ *Ibid*, p.1.

The dust problem did not escape Mr Rhys-Lewis' attention. The conservation workshop is next to a very busy road and this means that dusty air, which is also polluted with other impurities, is blown into the workshop. Furthermore, the conservation workshop is exposed to direct sunlight in the morning. Mr Rhys-Lewis recommended that the windows should be sealed, and that blinds should be fixed in all the windows to protect against direct sunlight. In addition, he recommended that an air-conditioning system should be installed to maintain stable conditions.

It is not difficult to understand why Mr Rhys-Lewis went into great lengths to propose a rehabilitation of the workshop. A good and pleasant work environment tends to increase motivation among workers, and consequently promotes increased output. However, it was not possible to implement them immediately because of three main reasons:

- (a) In early 1998, the Minister and the Permanent Secretary under which the Kenya National Archives and Documentation Service operates decided that the most urgent repair in the Department was the external decoration of the Kenya National Archives Building. It is now being carried out at a cost of US\$15,110 (Kshs.906,640). The work is expected to be completed by March 1999. This virtually exhausted all the funds allocated to the Department for maintenance during the financial year 1998/99.
- (b) The little balance of funds which was going to be left out after setting aside funds for the above external decoration of the Kenya National Archives Building was going to meet the cost of much more urgent repairs. It is noted that this is an old building which was converted into an archival facility, and therefore needs regular repairs.
- (c) Attempts to get the mandatory technical recommendations and cost estimates from the Ministry of Works and Housing for the proposed electrical, drainage and other related works for the conservation workshop has met with frustrating delays from that office. Red tape such as this one is a real problem in developing countries.

In spite of the above constraints, some action has been taken to improve the workshop. The redundant equipment in the workshop is now being bonded. They will be disposed off thereafter - thanks to the long and often frustrating civil service bureaucracy. This has certainly taken much longer than expected. Be that as it may, attempts have also been made to keep the workshop much cleaner than Mr Rhys-Lewis found it. This did not need money, all it required was the will to do so.

Personnel and Capacity Building

The quality of service very often reflects the quality of staff. Compared to all other divisions and sections in the Kenya National Archives and Documentation Service, there is no doubt that the conservation workshop had, until recently, received a raw deal with regard to quality of staff. It is therefore not surprising that Mr Rhys-Lewis observed that the staff in the conservation workshop 'show little sense of direction.'¹⁵

¹⁵ *Ibid*, p1.

This was in spite of his observation that the officer in-charge of the workshop 'is a committed person who acknowledges that his methods require updating. The quality of his work is good within the working limitations....'¹⁶ However, this officer was 'somewhat resolved to the current state of affairs and he is obviously frustrated that he cannot give his staff any sense of mission.'¹⁷

This problem has been, to a large extent, successfully addressed. A much more senior officer who is also a university graduate has been posted to the conservation workshop. He was informed by the Director that one of his priority assignments was to improve the vision and mission of the workshop, and to implement, as much as possible, the recommendations contained in Mr Rhys-Lewis' report. His experience and knowledge base in conservation is similar to that of the former head of the workshop or probably higher. To sharpen his vision, he attended a two-week workshop on conservation which was held in Nairobi in August 1997. It was fully funded by UNESCO and conducted by an expert from the National Archives of India. The officer was also sent to a one-week course in conservation in Durban, South Africa in April 1998. We are now satisfied that this new head has the necessary drive, as well as the theoretical and practical knowledge to improve the programmes and activities of the workshop. However, we are also very hopeful that he will not degenerate into an 'arm-chair' conservator as has been the case before when another university graduate was posted to this same unit. As a result, he had to be deployed elsewhere.

The consultant made other recommendations with regard to personnel and capacity building. It was his view that the officer in-charge of the conservation workshop should, in particular, effectively carry out his day-to-day responsibility for the staff work programme, health and safety, security and supervision. In other words, the consultant must have felt that the former head of the conservation workshop was not performing these duties to a satisfactory level. These observations, like many others made by the consultant, were actually true. They are now being implemented by the new head of the conservation workshop. And the new head knows the consequences of not implementing them.

Still on personnel and capacity building, Mr Rhys-Lewis recommended that the officer in charge of the conservation workshop should be responsible for training of staff under him and the maintenance of standards. He is in a position to do so without much difficulty since he has already received fairly good training, and has the necessary experience. Equally significantly, Mr Rhys-Lewis recommended that the officer in charge of the conservation workshop should be responsible for ensuring that the workshop area remains scrupulously clean and that all tools and equipment are properly maintained. Much has already been done to implement these particular recommendations. However, our efforts are being seriously undermined by the on-going Early Retirement Programme under the Civil Service Reform. Most of our Subordinate Staff who perform cleaning duties have already retired. Consequently, we have now a very severe shortage of cleaners. Be that as it may, the Director of the

¹⁶ *Ibid*, p.2.

¹⁷ *Ibid*, p.2.

Kenya National Archives and Documentation Service is quite committed to finding a permanent solution to this difficult problem.

A good training programme is, without doubt, a very important requirement for the improvement of any institution. This is why Mr Rhys-Lewis had observed that as far as the Kenya National Archives and Documentation Service is concerned, training 'is the most important long-term development, and a forward plan of regular update training should be identified.'¹⁸ It is for this reason that he further recommended that an enthusiastic and experienced conservator from the United Kingdom be identified and brought to Kenya for two weeks. Funding for this particular recommendation was successfully sought from UNESCO. However, the identified expert from the United Kingdom could not be released by his parent institution unless we reimbursed the cost of salary for the period the expert was going to be with us. And as we all know, labour costs are quite high in developed countries, the United Kingdom included. It is therefore not surprising that we could not afford to reimburse the particular institution in the United Kingdom. With this rather sad twist of events, we turned to the National Archives of India for assistance. This time, we were successful.

The expert from the National Archives of India was in the Kenya National Archives and Documentation Service for two weeks in August 1997. During that period, he successfully conducted a two week workshop on conservation. This served to increase the competence of our staff in this area. However, his very strong Indian-accent led to some 'loss' of knowledge he would have imparted in the first two or so days. Even more significantly, it would now appear as if the National Archives of India was not up-to-date with regard to some of the chemicals used for conservation. Some of the chemicals used during the workshop and which had been bought on his recommendation were later found to be out-dated, no longer in use, and actually dangerous!!¹⁹ Rhys-Lewis had, among other things, specifically recommended that the individual identified for the two-week training session in Kenya should not only be experienced, enthusiastic, but also up-to-date. This is really very important in this area where there is still so much research being done, and where what is in use today may turn out to be obsolete and dangerous tomorrow.

Still on capacity building, Mr Rhys-Lewis also suggested that in about one year (probably after the above two week workshop), the officer in charge of conservation services should either participate in an exchange with another institution, or spend two to three months practising in a foreign workshop. In practical terms, this is certainly easier said than done. The Kenya National Archives and Documentation Service would find it virtually impossible to fund such a relatively long attachment. It would be quite expensive. Getting external funding from local or overseas sources would also be almost impossible.

Mr Rhys-Lewis correctly observed that the former head of the workshop 'can be successfully developed into a Senior, Supervising Conservator.'²⁰ We have taken this

¹⁸ *Ibid*, p.2.

¹⁹ *Ibid*. The dangerous chemicals were 'discovered' by a conservation expert from South Africa in March 1998 when she briefly visited the Department.

²⁰ Mr Rhys-Lewis, *op cit*, p.2.

observation quite seriously. Although it was realised that a new leadership was needed to develop the required vision for the conservation workshop, we had to make sure that this was done in a most careful manner. We did not want to demoralise him. And so this former head of the workshop was informed that we will continue to appreciate his services. He was appropriately counselled and urged to continue with his usual commitment to duty. In the meantime, arrangements were made to send him to a one-week practical course in conservation in the National Archives of Zimbabwe, Harare, Zimbabwe in January 1999 as part of our efforts to make him a Senior, Supervising Conservator.

The Kenya National Archives and Documentation Service is, like almost all other national archives, not adequately funded. Obviously, this has often caused a lot of anxiety to the officer-in-charge of the conservation workshop. We have not been able to buy all the required equipment for the workshop. However, we have, in our view, made good progress. We have much of the basic equipment. For efficiency and effectiveness, however, additional equipment is needed. This is especially necessary if our conservation workshop is to develop and attain the proposed status of 'centre of excellence' for Kenya and the region. This, as a matter of fact, is our dream. And it is a dream we wish to transform into reality. It is for this reason that we requested the Treasury to create a specific budget item in our budget for conservation expenses.

After long and tiresome negotiations, Treasury agreed to create a vote (item) for restoration expenses starting from the financial year 1992/93. During the financial year 1998/99, the total allocation under this item was US\$4,500. Other things being equal, allocation under this item is likely to increase. Funds allocated under this item are used to buy conservation equipment and materials only. We are also able to buy conservation equipment from funds allocated to us under our Item 223 Archival Networking Equipment. During the financial year 1998/99 this latter item had a total allocation of US\$24,000. And then there is also the usually limited allocation of funds under our Item 220 Purchase of Equipment. The allocation under this item was US\$2,250 during the 1998/99 financial year. Despite the very stiff competition for funds by the various divisions and sections of the Kenya National Archives and Documentation Service, it should be possible to purchase most of the additional equipment recommended by Mr Rhys-Lewis in the next few years. These are listed in Appendix 2. Some of the equipment which we already have include Nipping Press, Lying Press, Velo Binding equipment, Guillotine (Heavy duty), Gang-Wire Stitcher, Balance Scales and Ultra Violet equipment for visual inspection. In addition, we have most of the necessary materials for document restoration and repair.

Money is also needed to buy conservation materials. Under normal circumstances, this should not be a problem for locally available materials. The amount of money needed for these materials is relatively small in one financial year. However, there is a major cause of complication on procurement of conservation materials in most developing countries since they are often supplied from Europe and the United States. This situation is further complicated by the fact that most of the materials are required in small quantities by any one archival or library institution. Purchasing small quantities of these materials every year from overseas suppliers is tedious and time-consuming. Also this does not encourage the establishment of local suppliers. And even more serious is the fact that direct purchasing by the national archives

themselves is equally tedious, time-consuming and bureaucratic. The same situation also pertains to the procurement of much of the conservation equipment. There is no easy solution. Mr Rhys-Lewis gave some thoughts to these problems and ‘suggested that heavily-used materials are bought in bulk as part of a regional agreement. The KNA could well be the facilitator of such a scheme which would enable discounts to be negotiated.’²¹ My experience has clearly shown that this approach will also not yield satisfactory results at the national or regional level. This is because library and archives services are not, in almost all cases, well coordinated at national and regional levels. Very few library and archival institutions in the region have shown satisfactory commitment in conservation. Despite these serious constraints, there is growing evidence that the liberalisation of economies in developing countries offers practical solutions to the problems. The Kenya National Archives and Documentation Service has been able to directly pay for certain conservation materials from the United Kingdom recently without much trouble. At last, we can see some light at the end of a very dark tunnel in this particular area.

Co-ordination of Preservation Activities

As we all know, conservation is just a small component of preservation activities. There are real benefits if preservation activities are well co-ordinated. However, experience in the Kenya National Archives and Documentation Service has shown that in many cases, this is easier said than done. The Microfilming and Conservation Sections have tended to be independent of each other. This is especially so because each of them needs very specialised skills, and has its own distinct programmes. It is therefore necessary to place them under one administrative unit or coordinator for general supervisory purposes. Such arrangements will also facilitate evolution of better preservation policies and plans. This particular objective can be achieved if the co-ordinator has sufficient knowledge in both reprography and conservation. However, care must be taken to ensure that the co-ordinator does not become an ‘arm-chair’ archivist in this process of co-ordination.

One area where we have met a lot of challenges despite the existence of a co-ordinator is the determination of which documents shall be microfilmed, and which shall be repaired. Document repair is a very slow and labour intensive process. And as labour costs are becoming increasingly high, the cost of repairing archival documents and publications is increasing quickly. In this regard, therefore, the selection process for documents to be repaired, and those to be microfilmed, must be thorough and comprehensive. Both activities need very close co-ordination. On a number of occasions, the Director of the Kenya National Archives and Documentation Service has been forced to personally intervene in this decision making process which should normally be done at the lower level. This area of weakness is now receiving the necessary attention. In other words, a national archives must have a comprehensive and operational preservation policy. Such a policy should also try to co-ordinate and balance the reprographic and conservation programmes and activities.

²¹ *Ibid*, p.6.

We have all heard the saying that prevention is better than cure. This is also true in the area of records and archives management. In terms of costs, it is of course much cheaper to prevent deterioration of documents than to repair them. An archival institution must therefore take all practical measures to ensure that the documents in its custody are well safeguarded against dangers. This has not been easy for Kenya National Archives and Documentation Service. We do not have a purpose-designed archives building. It is an adapted building. And the building is located right in the city centre which is also fairly polluted. However, all attempts have been made to keep it clean. To reduce the dangers of pollution in the storage areas which house sensitive materials, air-conditioning facilities have been installed. However, maintenance of these facilities have, at times, been a problem. As a result, the equipment has, once in a while, broken down for a considerable period. This is quite dangerous. A maintenance service contract will reduce this problem to the minimum. Attempts are now being made to put them under service contract starting from 1999/2000 financial year.

The Unrealised Dream

This case study has demonstrated that the need to have a functional conservation workshop for the Kenya National Archives and Documentation Service was realised as early as 1963. However, it must be emphasised that the initial idea was to start developing a small and simple conservation workshop. Indeed, efforts were made to achieve this objective at first. But as time went on, it would appear as if the original well-thought vision got lost. Instead of starting with simple and achievable conservation plans for the Department, ambitious dreams began to develop in the minds of the former Directors of the Kenya National Archives and Documentation Service. Even before the Department was able to start the most basic conservation operations for its own needs, we began thinking of developing a relatively bigger capacity to serve regional needs - and especially training needs. What a contradiction!! This approach seems to have been given some support by the late Albert H. Leisinger when he recommended that a school (training facility) be established in the Kenya National Archives and Documentation Service for technicians and archivists. He observed that:-

‘It is my opinion that it is essential to establish a school for the training of both technicians and archivists not only from Kenya but also from such neighbouring countries as Tanzania, Uganda, Malawi, Zambia, Botswana, Ethiopia, Sudan, Somalia, and other countries. The course for technicians could be from 4 to 5 weeks duration for Reprography and from 4 to 5 weeks duration in Conservation at a minimum.’²²

Experience has, since the above recommendation was made, taught us that it was much more practical to establish adequate capability to serve Kenya’s archival and library needs first before we could begin to talk about regional needs. It was probably this wrongly placed ambition which blindly pushed the Kenya National Archives and

²² Leisinger, *op cit*, p.2.

Documentation Service to acquire expensive and complicated equipment before we obtained appropriate advice from a conservation expert as clearly recommended by Albert H. Leisinger. We were in a hurry to achieve this bigger objective. The results were clearly disastrous as explained earlier. Be that as it may, the relatively better resourced Kenya National Archives and Documentation Service began to develop some capability in conservation and reprography ahead of most other national archives in the region.

Many national archives in Eastern and Southern Africa have, even upto now, not yet developed conservation workshops. The National Archives of South Africa and Zimbabwe are notable exceptions. This explains why we have, as I have already explained, received and accepted requests for attachments in our conservation workshop from some institutions in the region. In other words, the Kenya National Archives and Documentation Service has, in the long-term, the potential to develop a relatively well-equipped workshop capable of serving some of the training needs in the region. Mr Rhys-Lewis has recently observed that the long-term benefits of such a 'centre of excellence for the region, and Africa as a whole, are immeasurable.'²³ But for us to achieve this long-term objective, we must slightly re-orient our thinking and our plans now. First and foremost, we must, in the short-term, plan to meet the needs of the Kenya National Archives and Documentation Service only. These are already too many and complex. We must carefully plan to proceed from simple and achievable objectives to much more complex operations. Equally, we will have to co-ordinate much more closely documents restoration and repairs with microfilming activities than has been the case before. We must first strive to develop a centre of excellence for Kenya before we can begin thinking about the region. In other words, the hitherto 'mild' and unrealised dream of a centre of excellence for the region has now been re-oriented. This, indeed, is what it should have been from the very beginning.

²³ Rhys-Lewis, *op cit*, 9

Development of Conservation Facilities in Kenya National Archives: A Case Study

Learning Objectives

This case study demonstrates the pitfalls in planning and establishing a conservation workshop in a developing country. More significantly, it shows that

- (a) It is likely to take longer to establish such a facility if there is no time frame to complete the project/programme from the very beginning as was the case in this study.
- (b) Due to multifaceted problems and constraints, it requires patience to establish a conservation workshop in most developing countries. There is a tendency to give up even before one starts the first step. This must be avoided.
- (c) Where the knowledge base in conservation matters is limited, the services of a consultant in this specialised area would be necessary so as to catalyse the process of developing the facility.

Problems/Exercises Based on the case study

- (a) Failure to recognise the costs of making uninformed decisions, and the consequent failure to obtain professional advice can lead to big losses. Go through the case study and list five specific instances where funds were wasted.
- (b) Mr Rhys-Lewis did not prioritise his recommendations. Study the recommendation carefully and prioritise them. Justify your ranking.

Discussion/Study Questions

- (a) Why did the first Government Archivist avoid developing a big and advanced conservation/book binding facility?

Suggested Responses

- (i) Because professional capability was virtually absent in the country at the time and he wanted, for good reasons, to start from the scratch; ie. starting from book binding activities and thereafter moving on to document repair.
- (ii) Funds and personnel were, as is the case now, very limited.

- (b) If you (the student) were the officer in-charge of the Conservation Workshop/Section, and were also responsible for the general preservation policies in Kenya National Archives, what factors would you take into account in deciding whether or not to repair, microfilm or digitise the records of a certain record group.

Suggested Responses

- (i) The value, including the intrinsic value, of the records in question.
- (ii) The required speed of access to the records.
- (iii) Comparative cost of document repair, microfilming, and digitisation.
- (iv) The demand (marketability) of the final product.

The student would of course be expected to expand each of the above responses.

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International Preservation: A Newsletter of the IFLA Core Programme on Preservation and Conservation. The Newsletters are very rich in preservation and conservation matters, and are available free of charge from IFLA/PAC Headquarters. Enquiries may be made to:

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Bibliothèque Nationale de France
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Appendix 1

LIST OF CONSERVATION EQUIPMENT AND MATERIALS RECOMMENDED BY ALBERT H. LEISINGER

1. A fumigator
2. A humidifying chamber
3. Equipment for the cleaning of records, removing mould, etc
4. De-acidification tanks
5. Several hand presses
6. Kits for determining the acidity of paper
7. Various chemicals
8. Materials for the encapsulation of documents in mylar or polyester film
9. Paper Cutters - 2
10. Gestetner duplicator
11. Gestetner Velo-Bind System
12. A complete line of materials and supplies for both conservation and book binding

Appendix 2

ADDITIONAL EQUIPMENT RECOMMENDED FOR PURCHASE BY MR J S RHYS-LEWIS

1. Conservation sinks
2. Drying racks
3. Lightboxes for the benches - 3
4. Blocking press
5. Microscope (not a priority)
6. Bead-weld polyester encapsulator
7. Combined hot-plate and mixer
8. Nipping press - 1
9. Chemistry beakers, bowls and other related equipment
10. Brushes

It was also recommended that each member of staff in the conservation workshop should have a personal toolkit for which they are exclusively responsible. The kit should contain:-

- (a) Brushes of various sizes - 5
- (b) Hammer
- (c) Non-slip metal ruler
- (d) A pair of scissors (medium size)
- (e) Bone folders - 3
- (f) A pair of tweezers
- (g) Retractable blade 'Stanley' knife
- (h) Scalpel blade handles - 2

Case Study: Development and Implementation of the Immigration Department's New International Traveller Movements System

Cassandra Findlay¹

Introduction

Focus of Case Study

The focus of this case study is the preparation of a plan for the development and implementation of a new International Traveller Movements (ITM) system for the Department of Immigration.

The learner will be required to prepare a plan for design and implementation of the system, taking into account factors such as

- the brief provided by the Chief Executive Officer (CEO)
- contextual factors which determine or influence events such as:
 - the Department's core business and functions
 - technological expertise and capabilities
 - the legislative and regulatory environment
 - the organisational culture and structure
- legacy data and records which exist in different forms from previous international traveller movements systems.

Learning Objectives

Learners should demonstrate in their work an understanding of

- the methodology for the design and implementation of record keeping systems as described in the *Australian Standard AS4390 - Records Management*
- process mapping techniques such as flowcharting or playscript
- the role of record keeping requirements in systems design and what authority sources might apply to this case

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- how a range of tactics can be adopted to ensure the successful operation of a record keeping system
- how technological tools can be used to support the operation of effective record keeping or information systems
- how to manage legacy data / records appropriately.

Resources

Glossary of Terms

Computer output on microfilm (COM): Microfilm produced directly from a computer by the use of a recorder (called a COM recorder).²

Flowchart: Flowcharts are essentially graphical representations of business processes. A flowchart diagram uses symbols to convey the steps occurring in a process, with arrows used to indicate the flow or direction of the process. Flowcharts are often used as part of systems analysis and design to document processes.

Information systems: organised collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.³

Legacy: refers to predecessor systems and/or the records or information which were the product of those systems.

Microfiche: A fine-grain, high resolution, transparent sheet of film usually 6 in. x 4 is used to record images reduced in size from the original. Usually arranged in a grid pattern.⁴

Microfilm: Documents reduced by photographing onto film stock which then becomes the medium for storage and viewing. It is suitable for low reference, sequentially ordered documents, or high reference, randomly arranged documents controlled by a computer based retrieval system.⁵

Native: Refers to an item such as a document which remains in the format in which it was generated or created.

Playscript: Playscript is an approach to procedure writing which lists steps in a process in sequence, showing actions and responsibilities involved. Playscript is often used as part of systems analysis and design to document processes.

Record keeping requirements: Requirements for evidence that may be satisfied through record keeping.⁶

² Jay Kennedy and Cheryl Schauder, *Records Management: A Guide to Corporate Record keeping*, 2nd edition, Longman, Melbourne, Australia, 1998, p291.

³ Australian Standard AS4390—1996, *Records Management*, Part 1, *General*, Clause 4.17

⁴ *Ibid.*, p297.

⁵ *Ibid.*, p297.

⁶ State Records Authority of New South Wales, *Glossary of Record keeping Terms*, State Records Authority of New South Wales, Sydney, Australia, 1998, p24.

Record keeping system: information systems which capture, maintain and provide access to records over time.⁷

Systems analysis: a process followed to determine what a system does and what is required of it.⁸

Tactics: in the methodology for designing and implementing record keeping systems from the Australian Standard, AS4390—1996, *Records Management*, a mix of tactics such as the adoption of policy and procedures or the use of technical standards may be used to satisfy identified record keeping requirements.

Essential Readings

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⁷ Australian Standard AS4390—1996, *Records Management*, Part 1, *General*, Clause 4.20.

⁸ I. T. Hawryszkiewicz, *Introduction to Systems Analysis and Design*, 3rd edition, Prentice Hall, Sydney, Australia, 1994, p.14.

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Appendices

- Appendix A Excerpts from authority sources for record keeping warrant
- Appendix B Visualising Systems: general charts for a record keeping regime
- Appendix C Documenting processes: flowcharting
- Appendix D Documenting processes: playscript procedures

Case Study: A New International Traveller Movements System for the Immigration Department

Background

The Immigration Department is in a country which is popular with many visitors, including migrants and tourists as well as refugees. The Government of the country therefore places a high priority on the monitoring and regulation of movements in and out of its borders. This monitoring is important in screening potential new citizens as well as for guarding the fragile and pristine environment of the continent against over population.

The Department of Immigration and the Monitoring Function

The Department of Immigration includes amongst its primary functions the monitoring and processing of international traveller movements into and out of the country by air and sea. To support this function, Ports conduct the activity of recording international traveller movements both in and out of the country. This activity is in turn supported by a process which involves passengers receiving cards at the port they are leaving from or on the flight/vessel they are coming in on, completing them on their arrival or departure and submitting these to Immigration Officers. Clerical staff then enter this information into a database on a local computer, which weekly produces computer output microfiche (COM) on a strict chronological basis. Copies of the microfiche are then distributed from each Port to all other Ports, for reference purposes. Master sets of microfiche are retained in their 'home' Ports and subsequently sent to semi-active storage.

Prior to the introduction of the current International Traveller Movements (ITM) system in 1977, a paper manifest prepared by masters of vessels or aircraft recorded passenger movements. There is a large quantity of records of passenger movements from both these systems, including paper manifests, paper cards, 16-mm microfilm, and some electronic tapes and discs from an early scanning experiment. Many of these records are held by the Department in semi-active storage and some of the pre-1950 manifests are in the National Archives, where they are a heavily used research resource to prove eligibility for pension and citizenship entitlements and for family history.

Organisational Context

Currently the Department of Immigration is structured around a Head Office in the national capital, to which all the Ports report. Amongst the programme areas managed from Head Office is the 'Corporate Information' programme, headed by the Chief Information Officer, Mr French. This programme has responsibility for the Corporate Records Unit, the Library and the Information Technology section. Corporate Records has essentially been a centralised paper filing system for the Head Office, with each Port pretty much doing its own thing. The International Traveller Movements (ITM) data has always been seen as the domain of the Information

Technology Section, not Corporate Records. The Head Office runs a mainframe system on which several large databases of other immigration data are kept. Most staff have a personal computer (PC) with Internet access on their desktop and are familiar with all the office applications on them. In the Ports, depending on their size, there are a few clerical staff with good knowledge of their own Port's database (used for entering card information), and the microfilm system. The Immigration Officers remain fairly non-technologically minded, preferring to concentrate on the 'frontline' work, ie implementing immigration laws and procedures. Back at Head Office, Mr French's main interest as the CIO is really information technology - he keeps up to date with the latest trends in document imaging and workflow, but is not sure where to start in terms of introducing these into the Department's processes.

Uses and Usage Concerns

In his time with the Department, Mr. French has had a quite a large number of requests for both current and older records from the International Traveller Movements (ITM) system, for a range of purposes and uses. Bodies such as the Federal Police and the Security and Intelligence Organisation regularly request records of international traveller movements. He has generally been able to produce the records required, but sometimes only after a lengthy search through boxes of 16mm microfilm and fiche by clerical staff in a particular Port. Even when he has produced the right film, the accuracy of the data entry and the authenticity of the record have been called into question, because of fairly lax security for office areas at some of the Ports. Mr French is vaguely aware that there are requirements in legislation that the current system may not be meeting in terms of keeping full and accurate records of traveller movements, but he doesn't have the time to sit down and assess the situation properly. In fact, he has to call in extra staff and work long hours each year when the Department's Corporate Governance Unit requires statistics about traveller movements for the Department's annual report. The Department also has a strategic partnership in place with the peak tourist industry consortium, TourismInc, which regularly obtains non-name identified data from the ITM system for future industry-wide planning. Collating this data can also be a time-consuming and difficult task. In the Department's day to day operations, Immigration Officers who may be following up on particular cases also regularly access the records. Many clerical staff both in the Ports and Head Office are frustrated with the microfilm system, as they see the constant distribution of sets to all the other Ports as inefficient and a boring job to do every month. They also have to deal with numerous phone calls from other Ports who need recent data not yet sent out.

The Present Situation

On the same day that you start as the Department's new Corporate Records Manager, the CEO issues a directive to Mr French. She has decided that the Department must 'go all electronic', meaning that within a year all transactions will be paperless and microfilm-less. She sees the ITM system as the perfect place to start, particularly since the department has suffered some embarrassment after delays in producing records of traveller movements for the Federal Police and TourismInc. Not only has the Minister responsible been publicly criticised for this, but there was also a

suggestion by the Shadow Minister that security breaches have compromised the integrity of some data. As a result, the CEO wants to make absolutely sure the Department is fully secure and accountable in this vital area of its core business. She has been told that her job depends upon the new electronic regime achieving this objective as well as improving its efficiency and speed of responsiveness to enquiries.

Meeting the Challenge: Planning a Fully Integrated and Electronic System

Mr. French calls you into his office to discuss the matter with you as the officer who will lead the team effort needed to design and implement the new regime. As a first step, he asks you to prepare an annotated outline giving an overview analysis of the issues involved in the development of the new system for him to present to the CEO for her approval. He asks that the outline address the following points:

- the importance of records and the data they contain as information resources for the Department, in particular, the relationship of effective record keeping to Departmental business and governance in terms of benefits and the risks of poor or no record keeping
- the use of business process analysis and related tools, such as flowcharts or playscript procedures
- a plan for dealing with the legacy materials in their various original or ‘native’ formats

Expressing his confidence in your abilities, he hands you several files containing excerpts from laws and regulations and key management tools such as business systems analysis which are vital to your success (see Appendices). As you leave, he calls out after you, ‘Oh, DO be sure that your plan integrates the older legacy ITM records as well.’ You walk to your new office and immediately get to work....

Your outline for Mr French comprises essential preparation for the project and explains what aspects need to be identified and/or analysed before the new integrated system can be designed.

Your outline should include the following parts, each worth 25% of the total assessment:

- a list of contextual factors with notes analysing how each will affect the design of the system
- identification of some of the key record keeping requirements that the system must meet in terms of
 - warrant/source of requirement
 - description of requirement
- a graphical representation of the activities and record keeping involved in documenting international traveller movements, indicating where the record-creating events should occur and how and by whom they might be accomplished (use a systems diagram, a flowchart, a playscript-style list of procedures or a combination of all three).

- a discussion of the main strategies and tactics which might be utilised in carrying out the project, with indications of what stakeholders should be involved, in what ways and activities and how their cooperation would be obtained in
 - ensuring the new system satisfies all known record keeping requirements
 - sustaining ongoing record keeping whilst the system is being converted
 - dealing with the older legacy materials.

Your outline should be accompanied by and/or illustrated with one or more systems analysis tools such as systems diagrams, flowcharts and playscript procedures.

Instructor's Notes

Analysis of case study elements

Background:

The Immigration Department is in a country which is popular with many visitors, including migrants and tourists as well as refugees. The Government of the country therefore places a high priority on the monitoring and regulation of movements in and out of its borders. This monitoring is important in screening potential new citizens as well as for guarding the fragile and pristine environment of the continent against over population.

The Department of Immigration and the Monitoring Function

The Department of Immigration includes amongst its primary functions the monitoring and processing of international traveller movements into and out of the country by air and sea. To support this function, Ports around the nation conduct the activity of recording international traveller movements both in and out of the country. This activity is in turn supported by a process which involves passengers receiving cards at the port they are leaving from or on the flight/vessel they are coming in on, completing them on their arrival or departure and submitting these to Immigration Officers. Clerical staff then enter this information into a database on a local computer, which weekly produces computer output microfiche COM on a strict chronological basis. Copies of the microfiche are then distributed from each Port to all other Ports, for reference purposes. Master sets of microfiche are retained in their 'home' Ports and subsequently sent to semi-active storage.

Prior to the introduction of the current International Traveller Movements (ITM) system in 1977, a paper manifest prepared by masters of vessels or aircraft recorded passenger movements. There is a large quantity of records of passenger movements from both these systems, including paper manifests, paper cards, 16-mm microfilm, and some electronic tapes and discs from an early scanning experiment. Many of these records are held by the Department in semi-active storage and some of the pre-1950 manifests are in the

Broader context of the monitoring of traveller movements

Monitoring and processing of international traveller movements into and out of Australia by air and sea is a key function of the Department

Recording traveller movements is an activity supporting this function

Process of recording passenger movements described. This is a good source for the mapping of workflow

There is a business need for all ports to have access to these records.

Previous system/s described.

Legacy data / records.

There is a 'cultural' need for these records in the long term, for research.

National Archives, where they are a heavily used research resource to prove eligibility for pension and citizenship entitlements and for family history.

Organisational Context

Currently the Department of Immigration is structured around a Head Office in the national capital, to which all the Ports report. Amongst the programme areas managed from Head Office is the 'Corporate Information' programme, headed by the Chief Information Officer, Mr French. This programme has responsibility for the Corporate Records Unit, the Library and the Information Technology section. Corporate Records has essentially been a centralised paper filing system for the Head Office, with each Port pretty much doing their own thing. The International Traveller Movements (ITM) data has always been seen as the domain of the Information Technology Section, not Corporate Records. The Head Office runs a mainframe system on which several large databases of other immigration data are kept. Most staff have a personal computer (PC) with Internet access on their desktop and are familiar with all the office applications on them. In the Ports, depending on their size, there are a few clerical staff with good knowledge of their own Port's database (used for entering card information), and the microfilm system. The Immigration Officers remain fairly non-technologically minded, preferring to concentrate on the 'frontline' work ie implementing immigration laws and procedures. Back at Head Office, Mr. French's main interest as the CIO is really information technology - he keeps up to date with the latest trends in document imaging and workflow, but is not sure where to start in terms of introducing these into the Department's processes.

Uses and Usage Concerns

In his time with the Department, Mr French has had a quite a large number of requests for both current and older records from the International Traveller Movements (ITM) system, for a range of purposes and uses. Bodies such as the Federal Police and the Security and Intelligence Organisation regularly request records of international traveller movements. He has generally been able to produce the records required, but sometimes only after a lengthy search through boxes of 16-mm

Organisational structure of the Department of Immigration.

Role of the 'CIO'.

Role of corporate records section in the Department.

Perceived IT 'ownership of ITM data' - need for record keeping influence.

Technological environment, corporate culture, available expertise.

Sources of record keeping requirements.

Legal / accountability needs.

<p>microfilm and fiche by clerical staff in a particular Port. Even when he has produced the right film, the accuracy of the data entry and the authenticity of the record have been called into question, because of fairly lax security for office areas at some of the Ports. Mr French is vaguely aware that there are requirements in legislation that the current system may not be meeting in terms of keeping full and accurate records of traveller movements, but he doesn't have the time to sit down and assess the situation properly. In fact, he has to call in extra staff and work long hours each year when the Department's Corporate Governance Unit requires statistics about traveller movements for the Department's annual report. The Department also has a strategic partnership in place with the peak tourist industry consortium, TourismInc, which regularly obtains non-name identified data from the ITM system for future industry-wide planning. Collating this data can also be a time-consuming and difficult task. In the Department's day to day operations, Immigration Officers who may be following up on particular cases also regularly access the records. Many clerical staff both in the Ports and Head Office are frustrated with the microfilm system, as they see the constant distribution of sets to all the other Ports as inefficient and a boring job to do every month. They also have to deal with numerous phone calls from other Ports who need recent data not yet sent out.</p> <p>The present Situation</p> <p>On the same day that you start as the Department's new Corporate Records Manager, the CEO issues a directive to Mr French. She has decided that the Department must 'go all electronic', meaning that within a year all transactions will be paperless and microfilm-less. She sees the ITM system as the perfect place to start, particularly since the department has suffered some embarrassment after delays in producing records of traveller movements for the Federal Police and TourismInc. Not only has the Minister responsible been publicly criticised for this, but there was also a suggestion by the Shadow Minister that security breaches have compromised the integrity of some data. As a result, the CEO wants to make absolutely sure the Department is fully secure and accountable in this vital area of its core business. She has been told that her job depends upon the new electronic regime achieving this</p>	<p><i>Critical weaknesses in record keeping.</i></p> <p><i>Sources of record keeping warrant not yet analysed.</i></p> <p><i>Business / accountability need for records.</i></p> <p><i>Business needs</i></p> <p><i>Corporate culture</i></p> <p><i>Need to access up to date data.</i></p> <p><i>Catalyst for development of new system.</i></p> <p><i>Desire to use technology to greater advantage.</i></p> <p><i>Political factors.</i></p> <p><i>Desire for accountability, greater efficiency.</i></p>
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objective as well as improving its efficiency and speed of responsiveness to enquiries.

Meeting the Challenge: Planning a Fully Integrated and Electronic System

Mr. French calls you into his office to discuss the matter with you as the officer who will lead the team effort needed to design and implement the new regime. As a first step, he asks you to prepare an annotated outline giving an overview analysis of the issues involved in the development of the new system for him to present to the CEO for her approval. He asks that the outline address the following points:

- The importance of records and the data they contain as information resources for the Department, in particular, the relationship of effective record keeping to Departmental business and governance in terms of benefits and risks of poor or no record keeping
- The use of business process analysis and related tools, such as flowcharts and playscript procedures
- A plan for dealing with the legacy materials in their various original or 'native' formats

Expressing his confidence in your abilities, he hands you several files containing excerpts from laws and regulations and key management tools such as business system analysis which are vital to your success (see Appendices). As you leave, he calls out after you, 'Oh, DO be sure that your plan integrates the older legacy ITM records as well.' You walk to your new office and immediately get to work....

Your outline for Mr. French comprises essential preparation for the project and explains what aspects need to be identified and/or analysed before the new integrated system can be designed.

Your outline should include the following parts, each worth 25% of the total assessment:

Input required on design and implementation of a new ITM system.

Record keeping and information management issues to be addressed. Possible sources of record keeping warrant.

Need to consider legacy data.

Resources to be used

<ul style="list-style-type: none"> • 25% a list of contextual factors with notes analysing how each will affect the design of the system • 25% identification of some of the key record keeping requirements that the system must meet in terms of <ul style="list-style-type: none"> • warrant/source of requirement • description of requirement • 25% a graphical representation of the activities and record keeping involved in documenting international traveller movements, indicating where the record-creating events should occur and how and by whom they might be accomplished (use a systems diagram, a flowchart, a playscript-style list of procedures or a combination of all three) • 25% a discussion of the main strategies and tactics which might be utilised in carrying out the project, with indications of what stakeholders should be involved, in what ways and activities and how their co-operation would be obtained in <ul style="list-style-type: none"> • ensuring the new system satisfies all known record keeping requirements • sustaining ongoing record keeping whilst the system is being converted • dealing with the older legacy materials <p>Your outline should be accompanied by and/or illustrated with one or more systems analysis tools such as systems diagrams, flowcharts and playscript procedures. See Appendices.</p>	<p><i>The requirements for the outline</i></p>
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Marking Guidelines

The guide to the content of the annotated outline should be the methodology for the ‘Design and Implementation of Record keeping Systems’ (‘DIRKS’) from the Australian Standard AS4390—1996 *Records Management*. Students should be instructed to draw upon detail in the case study itself and its appendices in compiling their outline. Encourage them to use their own invention and ‘artistic license’ to fill in missing information as necessary.

The main aim of the outline is to state what it is that has to happen for the system to be properly designed and implemented, with some examples of how the results of certain steps might look (the flowchart as the mapping of a process for step B of the methodology or a very preliminary list of sources of record keeping warrant for step C, for example).

Each of the three parts of the outline is worth 25 %, with a final 25% awarded for the competent use of at least one of the systems planning tools (flowchart, playscript procedures or other process/systems diagrams) and for demonstrating a good grasp of overall project management skills exemplified in the overall content and presentation of the outline. If the student uses more than one of the four systems planning tools, he or she may obtain three bonus marks for each one competently used. However, these bonus points may not, on their own, be the basis for awarding a pass to an otherwise sub-standard piece of work.

The following notes relate to each of the required parts of the outline.

A list of contextual factors with notes analysing how each will affect the design of the system

This section essentially deals with the information gathering steps of the 'DIRKS' methodology.⁹ The information gathering described in the methodology may seem quite broad-ranging, but learners can adapt it to focus in on the area of business activity with which they are concerned.

In order to design a system which will meet all the needs and requirements of stakeholders both within and outside of the Department, key aspects of the environment in which it must operate should be identified and analysed. This involves:

'Preliminary investigation: collect information from documentary sources and through interviews; identify and document the role and purpose of the organisation, the organisational structure, the organisation's legal, regulatory, business and political environment, critical factors affecting record keeping, and critical weaknesses associated with record keeping'¹⁰

In the case of the information about the Department presented in the case study this includes collecting information like the following.

⁹ It is important to note that this methodology is not necessarily linear. Steps can take place out of order or separately, as particular situations dictate.

¹⁰ Australian Standard AS4390—1996, *Records Management*, Part 3: *Strategies*, Clause 6.2.2 *Design methodology*.

Organisational structure	The Department consists of a head office to which all ports report, ports staff include immigration officers and clerical staff, the CIO at head office is in charge of the ITM system and corporate records. He reports to the CEO.
Regulatory environment	There are pieces of legislation and no doubt other authority sources affecting record keeping in this area - they have not yet been analysed.
Legal environment	Data from the ITM system has been required by various law and order agencies in the past, including the courts.
Business environment	The data on traveller movements supports one of the Department's key functions, and is required regularly by head office and other ports. The Department must report on this activity with detailed statistics in its annual report. The department has a partnership with TourismInc requiring the exchange of data.
Political environment	The CEO of the Department is under pressure in Parliament and from the Shadow Minister to show that the Department is keeping full and accurate records of all traveller movements and is fully accountable in this area.
Critical factors and weaknesses affecting record keeping	From the information available, it appears that security concerns at the data entry stage are affecting the integrity of the records, and the format in which they are being kept is affecting their accessibility. The perception that the traveller movements data is an IT issue, not a record keeping one, could also be seen as a weakness.

Another set of contextual factors influencing the eventual design of the system is the assessment of existing systems.

‘Assessment of existing systems: identify and analyse existing record keeping and other information systems; measure their performance against record keeping requirements’¹¹

The outline should note that the identification of record keeping requirements will serve as a benchmark against which the performance of the existing system can be measured, and shortfalls can be identified. Record keeping requirements are identified in part 2 of the outline. Once these are known, the learner should provide some examples in the outline of the extent to which the existing ITM system is meeting or not meeting certain record keeping requirements which are identified.

¹¹ *Ibid.*

For example:

Record keeping requirement	Current system
That the data stored relating to the arrival and departure of passengers is secure and inviolate	Current system does not feature security controls over who can access the data and whether they may alter it.

Identification of some of the key record keeping requirements that the system must meet in terms of

- warrant/source of requirement
- description of requirement

This part of the outline requires an understanding of step C of the ‘DIRKS’ methodology:

‘Identification of record keeping requirements: collect information from documentary sources and through interviews; identify the requirements for evidence affecting each business function, activity and transaction which must be satisfied through record keeping: these requirements for evidence can be derived from an analysis of the organisation’s regulatory environment and from a risk assessment of failure; determine how each requirement for evidence may be satisfied through record keeping; articulate and document as record keeping requirements.’¹²

The outline may provide some examples of record keeping requirements which are evident to the learner from the case study. These may be drawn from the case study itself and/or from the examples of authority sources provided. Some examples of record keeping requirements might be:

- *Migration Act, 1958* (C’wealth), s. 506 (2) - provides for the ‘..giving of information, in the form of answers to questions on a form, to be known as a passenger card, by non-citizens travelling to Australia...’
- *Migration Act, 1958* (C’wealth), s. 506 (3) - describes the questions which must be included on a passenger card
- *Migration Regulations, SR 1994 No. 268*, Reg 3.02 - describes in more detail the elements which should be included on a passenger card
- *Migration Act, 1958* (C’wealth), s. 488 - notes that information in relation to the entry of persons into, and departure of persons from, Australia is to be kept in what is called a ‘notified database’
- *Evidence Act, 1995* (C’wealth), s. 48 (1d) - notes that a party may adduce evidence of the contents of a document in question by tendering the document using a device in which it is stored and which is needed to reproduce it. This

¹² *Ibid.*

allows for the admission of electronic versions and copies of records in court, subject to tests of authenticity of the process/es used to record and store the records

- *Migration Act, 1958* (C'wealth), s. 488 - describes the kinds of activities relating to movements records which are prohibited - such as reading, examining, deleting, altering or reproducing without authorisation.

The learner should also recognise that record keeping requirements are not only derived from official sources such as legislation, but also from business needs and society's expectations. This links to the concept of the business/accountability/cultural domains of record keeping.

The learner should address the risk management aspect of the identification of record keeping requirements in their outline. Risk management involves:

- a) Knowing the risk environment (eg highly regulated or less so)
- b) Identifying the risk - what can happen if a requirement is not met
- c) Analysing the likelihood and consequences of the risk happening
- d) Assessing and prioritising risks
- e) Treating risks - implementing strategies / tactics to meet record keeping requirements.¹³

Once record keeping requirements are identified from these sources of record keeping warrant and the risk management approach, the learner can:

- go to the process he/she will map, to identify points at which records should be created
- measure existing systems against the requirements (see previous section).

A graphical representation of the activities and record keeping involved in documenting international traveller movements, indicating where the record-creating events should occur and how and by whom they might be accomplished (use a systems diagram, a flowchart, a playscript-style list of procedures or a combination of all three).

Step B of the 'DIRKS' methodology requires a use of the techniques of functional/structured analysis and transactional mapping:

'Analysis of business activity: collect information from documentary sources and through interviews; identify and document each business function, activity and transaction; establish a hierarchy of business functions, activities and transactions; identify and document the flow of business processes and the transactions which comprise them'¹⁴

¹³ Australian/New Zealand Standard AS4360—1995, *Risk Management*, Section 3, *Risk Management Overview*.

¹⁴ *Ibid*.

It is in addressing this step of the methodology that learners can develop business process analysis skills, and prepare a graphical representation of the business process which the ITM system needs to support. Developing a full functional analysis of the Department's business is something which normally needs to happen as part of the methodology, but is clearly beyond the scope of this case study. On a very superficial level, the outline can note that one of the Department's key functions is the monitoring and processing of international traveller movements into and out of the country by air and sea. The activity of recording international traveller movements both in and out of the country supports this function, and this activity in turn has been supported by the process involving the ITM system.

Learners should use the information available to them to map out the process/es by which international traveller's movements are recorded, using established process mapping conventions such as flowcharting or playscript.

For some of the conventions used in these techniques, see the Appendices.

A discussion of the main strategies and tactics which might be utilised in carrying out the project, with indications of what stakeholders should be involved, in what ways and activities and how their cooperation would be obtained in

- ensuring the new system satisfies all known record keeping requirements
- sustaining ongoing record keeping whilst the system is being converted
- dealing with the older legacy materials

'Identification of strategies for record keeping: identify strategies for satisfying record keeping requirements, which may include adopting policies, procedures and practices, designing new systems, implementing systems in a way which supports satisfaction of a record keeping requirement, or developing standards: they may be applied separately or in combination to each record keeping requirement; choose strategies on the basis of the degree of risk involved in failure to satisfy a requirement within the business function which the record keeping system is intended to support, the existing systems environment and the corporate culture in which the strategy must succeed'¹⁵

This part of the outline should describe how a range of tactics can be applied to the design of the new ITM system so that it meets all identified requirements. According to the methodology these tactics can be summarised as: **policy, design, implementation** and **standards**. They may be used in a mix which best suits the environment - for example the policy tactic, which involves the adoption of appropriate policy, procedures and practices to support the system, would not be so successful in an organisation not used to following policy and procedure. Similarly, a heavy reliance on the design tactic, which requires the use of technological solutions, would not suit an organisation lacking in technical expertise.

¹⁵ *Ibid.*

The use of tactics should also be governed by an application risk management in terms of considering how much risk the organisation is willing to take in not satisfying or only partially satisfying a given requirement.

In the case of the Department of Immigration, both the Policy and Design tactics would be likely to have success, as it is a fairly 'procedural' environment and there are staff with technical expertise willing to get involved. The Implementation tactic relates to the way the system is established, and could be of assistance in managing the integration of the ITM system with the records management programme and in coping with the organisational structure of the Department. Finally, the Standards tactic requires the use of technical standards which are open and non-proprietary in nature, to help ensure that records can be carried across systems and time.

'Design of record keeping system(s): design a record keeping system which incorporates those strategies and the processes and practices described in these records management Standards; ensure that the record keeping system supports, and does not hinder, business processes; assess and, if necessary, redesign business processes and operational business and communication systems to incorporate record keeping'¹⁶

The re-design of the ITM system could include (there can be a wide range of different suggestions here):

- re-designing the business process which involves the creation of the passenger arrival record to ensure record capture takes place in a way that is secure, timely and complete. This may involve the use of workflow technology to ensure routine processing with all steps (including quality assurance checks)
- designing a centrally managed database system for managing traveller movements records, under the control of Corporate Records, into which local Port systems transfer the records in electronic form. Provide Department wide access to the central database, subject to security clearance and position type
- issuing organisation-wide policy and procedures relating to the proper creation, capture and management of traveller movements records and other Departmental electronic records
- ensuring that the records of traveller movements are disposed of in the system in accordance with appraisal decisions made on the basis of an assessment of the function the system documents (monitoring traveller movements in and out of the country) - this links back to the identification of the record keeping requirements
- employing the use of open, widely accepted technical standards for the capture and storage of the traveller movements records as part of this system.
- Some of the factors influencing how the legacy records will need to be managed include:

¹⁶ *Ibid.*

- the need for the more recent information in them for reference purposes by other Ports
- the need for ‘intellectual’ linkages to be made between the new system and the previous one/s
- the fact that the microfilm is arranged in strictly chronological order, making access by any other element difficult and time-consuming
- the fact that, like the records to be created in the new system, these records may well be required quickly by bodies such as the Police or the Courts.

Some of the options which might be put forward in relation to managing the legacy traveller movements records are:

- to carry out an imaging project for all microfilmed data, including some indexing of key elements to aid retrieval. Make ‘intellectual’ linkages from the image collection and the new system to a records management system to assist in control
- similarly, capture images of the paper manifests and create control data for it as well (possibly based on the database already commenced), with links to the other systems
- keep legacy records in original format/s and make intellectual links only between old and new systems.

The learner should demonstrate an understanding of factors influencing how the legacy data is managed, such as the resources and expertise required to establish a large scale imaging project, and relate these back to the expected use patterns of the data.

The implementation step is where the need for a seamless transition from old to new systems can be ensured.

‘Implementation of record keeping system(s): identify and use a suitable mix of implementation strategies; integrate the operation of record keeping systems with business processes and related systems’¹⁷

This phase of the project to introduce a new system is crucial. It involves choosing and using a suitable mix of implementation strategies so that the system is used properly and integrated into the operation of the Department’s business processes and related systems.

In implementing the new ITM system the Department may

- conduct training for all users and administrators of the new system
- ensure appropriate links are made to the Department’s records management system and other related record keeping and information systems
- ensure that links are made to the records of previous systems used to manage traveller movements and that those records are themselves managed appropriately

¹⁷ *Ibid.*

- establish an ongoing regime of monitoring of the operation of the new system by records staff and outlining on this to the CIO. The CIO to direct when corrective action is to take place.

‘Post-implementation review: gather information about the performance of the record keeping system by interviewing members of management and key records users, using questionnaires, observing the system in operation, examining procedures manuals, training materials and other documentation, and carrying out random checks of the quality of records and control information; assess the performance of the system; initiate and monitor corrective action; establish a regime of continuing monitoring and regular evaluation’¹⁸

This part of the outline should also address the need for post-implementation review; this demands an ongoing process of monitoring the operation and use of the system over time and taking corrective action where necessary.

¹⁸ *Ibid.*

Discussion Questions

1. Explain and give an example of what is meant by a record keeping requirement.
2. Identify and describe each of the four types of tactics used in the DIRKS methodology.
3. Go through the 'DIRKS' methodology and identify everything about which you need to gather information in order to consider the design of the new system, and look for examples of these in the case study.
4. In considering the design of the system, list each of the tactics described in the methodology, and against each list, factors from the case study affecting its suitability and/or the amount of weight it should be given over others.
5. Consider some strategies for the successful implementation of this sort of system, and variables in the Department which will influence their use.
6. How will you know how long the records being created/generated in the new ITM system need to be retained for?
7. Which tactic could support the long-term use of the future electronic traveller movements records as archives?
8. What factors will affect how you manage the legacy records in paper and microfilm format?

Other issues to Explore

1. How will a 'preliminary investigation' as described in the 'DIRKS' methodology influence the design and implementation of the new system?
2. What is it about the Department that makes the 'Design' tactic (as described in David Roberts' *Documenting the Future*) suitable or unsuitable for use in this situation?
3. Consider how the system will need to meet the Department's business needs for ready access to this data and factor this into your outline.

Appendix A: Excerpts from Authority Sources for Record Keeping Warrant

Downloaded from URL <http://www.austlii.edu.au/>
Australian Commonwealth Consolidated Legislation

MIGRATION ACT 1958 - SECT 506

Regulations about passenger cards

SECT. (1) Regulations under [paragraph 504\(1\)\(c\)](#) may provide for the giving of different information about different classes of people.

(2) The regulations are to provide for the giving of information, in the form of answers to questions on a form, to be known as a passenger card, by [non-citizens](#) travelling to Australia, other than [non-citizens](#) exempted by the regulations.

(3) The questions for a [non-citizen](#) required by subsection (2) may include, but are not limited to, questions about any or all of the following:

- (a) the [non-citizen](#)'s health;
- (b) any criminal convictions in Australia or a foreign country of the [non-citizen](#);
- (c) the purpose of the new arrival's going to Australia;
- (d) any unpaid debts to the Commonwealth of the [non-citizen](#);
- (e) any removal or [deportation](#) from, or refusal of admission into, Australia or a foreign country of the [non-citizen](#).

EVIDENCE ACT 1995 - SECT 48

Proof of contents of documents

(1) A [party](#) may adduce evidence of the contents of a document in question by tendering the document in question or by any one or more of the following methods:

- (a) adducing evidence of an [admission](#) made by another [party](#) to the proceeding as to the contents of the document in question;
- (b) tendering a document that:
 - (i) is or purports to be a copy of the document in question; and
 - (ii) has been produced, or purports to have been produced, by a device that reproduces the contents of documents;

(c) if the document in question is an article or thing by which words are recorded in such a way as to be capable of being reproduced as sound, or in which words are recorded in a code (including shorthand writing)--tendering a document that is or purports to be a transcript of the words;

(d) if the document in question is an article or thing on or in which information is stored in such a way that it cannot be used by the court unless a device is used to retrieve, produce or collate it--tendering a document that was or purports to have been produced by use of the device;

(e) tendering a document that:

(i) forms part of the records of or kept by a business (whether or not the business is still in existence); and

(ii) is or purports to be a copy of, or an extract from or a summary of, the document in question, or is or purports to be a copy of such an extract or summary;

(f) if the document in question is a [public document](#)--tendering a document that is or purports to be a copy of the document in question and that is or purports to have been printed:

(i) by the Government Printer or by the government or official printer of a State or Territory; or

(ii) by authority of the government or administration of the Commonwealth, a State, a Territory or a foreign country; or

(iii) by authority of an Australian Parliament, a House of an Australian Parliament, a committee of such a House or a committee of an Australian Parliament.

(2) Subsection (1) applies to a document in question whether the document in question is available to the [party](#) or not.

(3) If the [party](#) adduces evidence of the contents of a document under paragraph (1)(a), the evidence may only be used:

(a) in respect of the [party](#)'s case against the other [party](#) who made the [admission](#) concerned; or

(b) in respect of the other [party](#)'s case against the [party](#) who adduced the evidence in that way.

(4) A [party](#) may adduce evidence of the contents of a document in question that is not available to the [party](#), or the existence and contents of which are not in issue in the proceeding, by:

(a) tendering a document that is a copy of, or an extract from or summary of, the document in question; or

(b) adducing oral evidence of the contents of the document in question.

Note: Clause 5 of Part 2 of the Dictionary is about the availability of documents.

MIGRATION ACT 1958 - SECT 489

Notified data bases

SECT. The Minister may, by notice in the *Gazette*, declare a [data base](#) containing information kept for the purposes of [this Act](#) in relation to the [entry](#) of persons into, and departure of persons from, Australia to be a [notified data base](#) for the purposes of this section.

MIGRATION ACT 1958 - SECT 488

Tampering with movements records

SECT. (1) A person must not:

- (a) read; or
- (b) examine; or
- (c) reproduce by any means; or
- (d) use; or
- (e) disclose by any means;

any part of the [movement records](#), otherwise than in accordance with an authority given under subsection (2).

Penalty: Imprisonment for 2 years.

(2) The Minister may:

- (a) authorise an [officer](#) to perform for the purposes of one or more of the following:
 - (i) [this Act](#);
 - (ii) the [Family Law Act 1975](#) ;
 - (iii) a law relating to customs or excise;
 - (iv) a law relating to quarantine or health;
 - (v) law enforcement;

one or more of the actions prohibited by subsection (1); or

- (b) authorise an [officer](#) of the Attorney-General's Department to perform for the purposes of the [Family Law Act 1975](#) one or more of those actions; or
- (c) authorise an [officer](#) of Customs, within the meaning of the [Customs Act 1901](#), to perform for the purposes of a law relating to customs or excise one or more of those actions; or
- (d) authorise a quarantine [officer](#), within the meaning of the [Quarantine Act 1908](#), to perform for the purposes of a law relating to quarantine or health one or more of those actions; or
- (e) authorise a member of the Australian Federal Police to perform for the purposes of law enforcement one or more of those actions.

(3) Authority under subsection (2) to disclose any part of the [movement records](#) may be limited to authority to so disclose to a specified person, a person in a specified class, or a specified organisation, only.

(4) A person (other than an [authorised officer](#) carrying out duties or performing functions under or for the purposes of [this Act](#)) shall not:

- (a) delete, alter or add to any part of the [movement records](#);

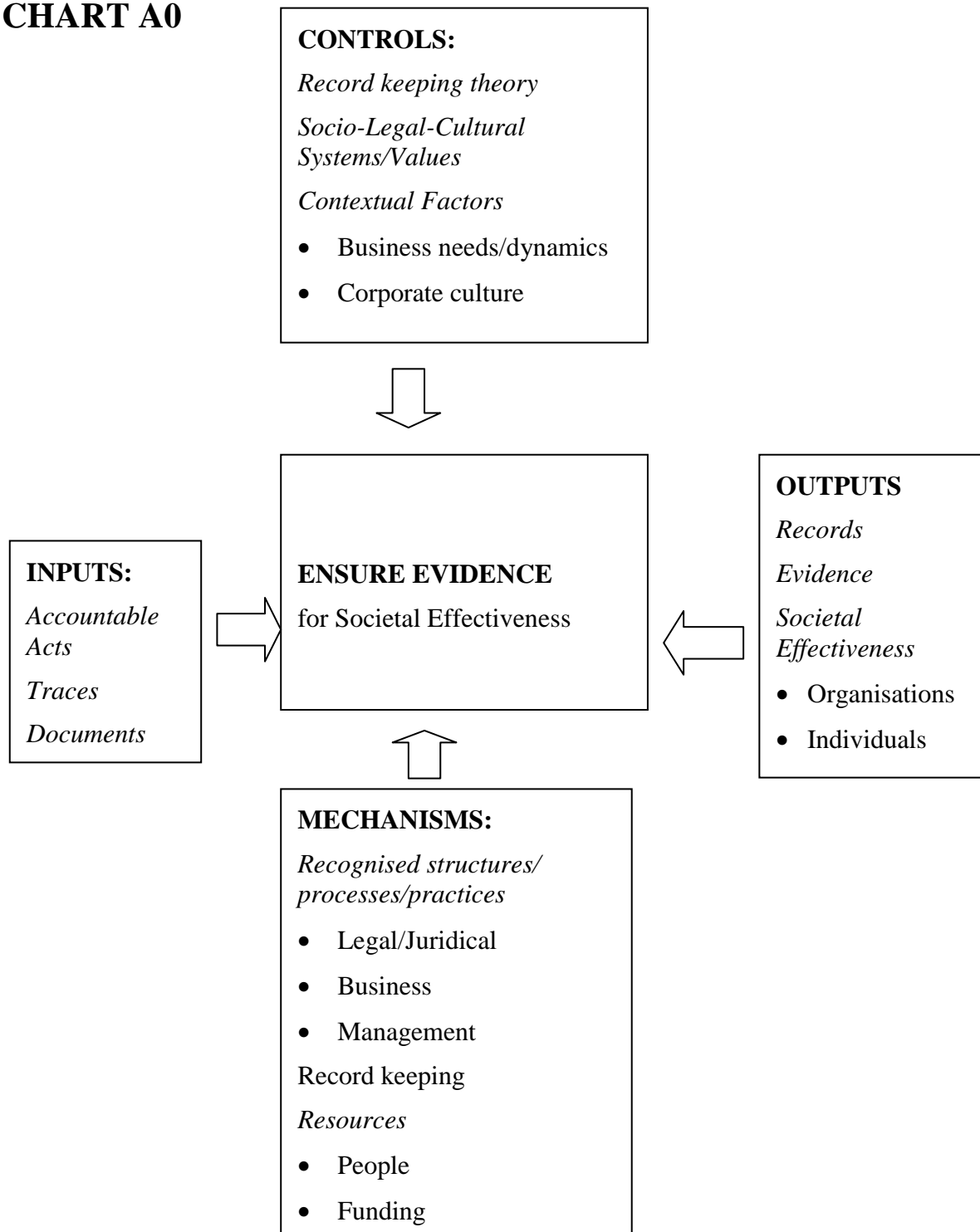
(b) alter any computer programme connected with making, transferring or keeping [movement records](#); or

(c) in any other way tamper with a [notified data base](#).

Penalty: Imprisonment for 10 years.

Appendix B: Visualising Systems: General Charts for Record Keeping

CHART A0



Charts Detailing Key Functions and Activities [*without input, controls, mechanisms and output detail*]

CHARTA1

**ESTABLISH
RECORD KEEPING
FRAMEWORK**

Apply design

Build

Activate

CHARTA2

**MANAGE
RECORD KEEPING
SYSTEM & SERVICES**

Organise

Plan

Control

Operate

Monitor/evaluate

Disseminate

- Train
- Publish
- Promote

CHARTA3

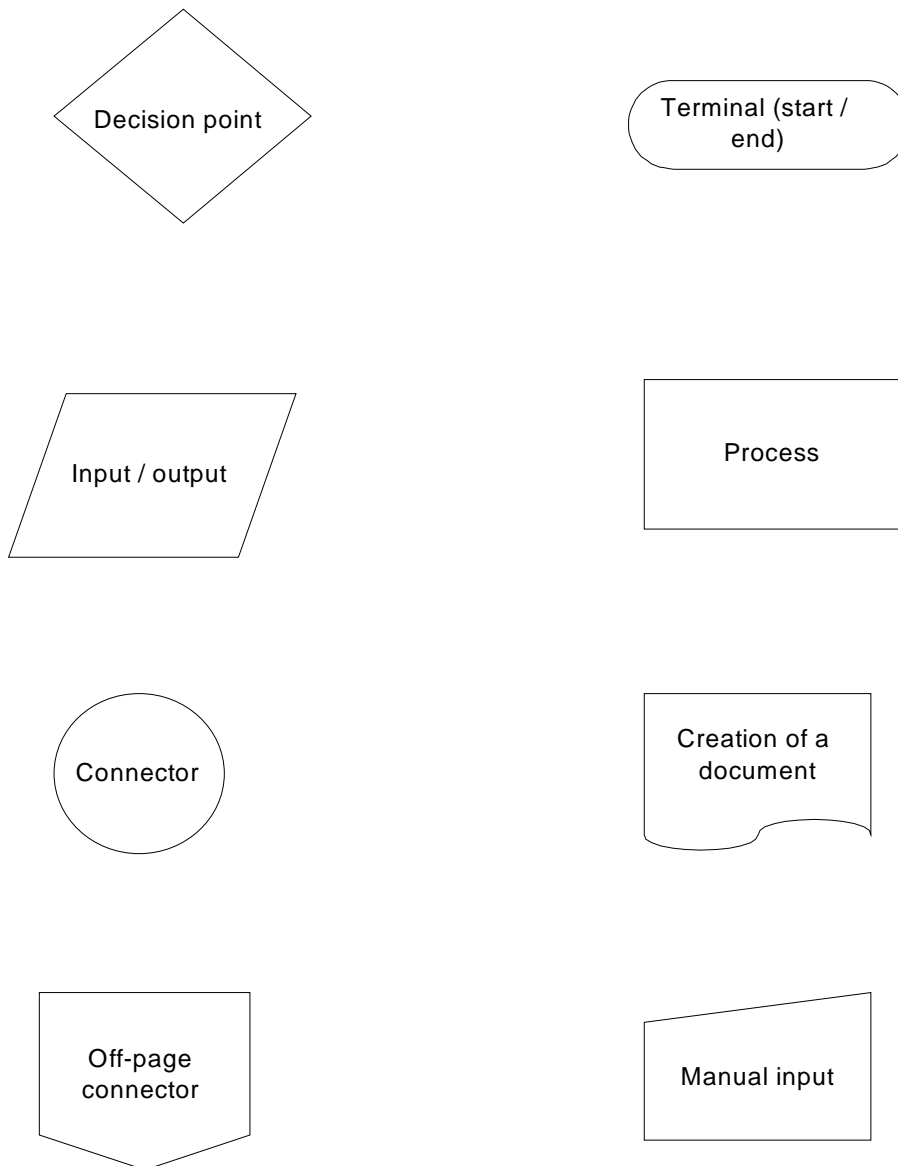
**RESEARCH AND
DEVELOP
RECORD KEEPING
EFFECTIVENESS**

Research context, needs
for evidence, strategies,
tactics, evaluate
effectiveness

Analyse

Appendix C: Describing Processes: Flowcharting

Flowcharts are essentially graphical representations of business processes. A flowchart diagram uses symbols to convey the steps occurring in a process, with arrows used to indicate the flow or direction of the process. There are some commonly used flowcharting conventions, which are described below, along with an example of a flowchart.



—————▶ Links consecutive steps

BASIC FLOWCHARTING CONVENTIONS

Most manuals on flowcharting set out basic conventions or standard ways of making the flowchart so that charts made by many different authors can be easily understood. The most important conventions for drawing out the chart are as follows:

- 1 **CHART DIRECTION:** The basic direction of the chart is always from top to bottom and from left to right.
- 2 **MARGINS OF THE CHART:** The actual chart drawing should start in the upper left corner and maintain outside margins approximately 2 cm. from the edge of the paper
- 3 **TITLE OF THE CHART:** Each chart should have a descriptive title at the top which accurately identifies the activity being flowcharted.
- 4 **PREPARER'S INITIALS AND DATE OF COMPLETION:** At the top right of the chart, preparer's should record their initials and the date the chart was drawn.
- 5 **FIRST SYMBOLS OF ALL CHARTS:** The first 3 symbols used for all charts are those for the activities of 'start', 'input' and 'process'.
- 6 **CHART LANGUAGE & TERMINOLOGY:** Flowcharts use active verbs and short descriptive phrases in every box or symbol. *Example:* Receive mail; copy file; complete action sheet.
- 7 **CONSISTENCY OF DIRECTIONAL FLOW:** Flowcharts always use the 'Yes' option as the major direction of progress ie. to move down the page. 'No' options always move off to the right side, and hold up progress until they are resolved.
- 8 **ENDING THE CHART:** All standard flowcharts finish with the symbols for output and halt/stop.
- 9 **ONE INPUT MAY HAVE MULTIPLE OUTPUTS:** The flowchart may become complex in that one input may spark more than one output, causing the chart to have parallel pathways that always branch out to the right and progress down.
- 10 **USE DIFFERENT NUMBERING SCHEMES TO DISTINGUISH ON-PAGE FROM OFF-PAGE CONNECTORS:** Use different numbering scheme for on and off-page connectors ie. A, B, C for on-page; 1, 2, 3 for off-page
- 11 **BREAK ACTIVITIES DOWN INTO TASKS AND MAKE A CHART FOR EACH OF THEM, RATHER THAN HAVE AN EXTREMELY LONG AND COMPLEX CHART:** It is better to use multiple flowcharts rather than extremely long ones as shorter flowcharts are easily to understand and follow. Alternately, do not make your charts so detailed that the explanation becomes very nitpicky and tedious.
- 12 **DIRECTIONAL ARROWS SHOULD ALWAYS SHOW FORWARD MOVEMENTS:** Use directional arrows only for movements forward [top to bottom or left to right]

- 13 USE OF ON-PAGE CONNECTORS: Use ON-PAGE connectors rather than have lines crossing or moving backwards to repeat/redo tasks; in general insert a set of ON-PAGE connectors to incorporate the repeated activities
- 14 USE A LEGEND BOX TO IDENTIFY SPECIAL SYMBOLS AND ABBREVIATIONS: Identify all abbreviations in a legend box at beginning of the chart.

EXAMPLE OF AN ACTIVITY TO BE ANALYSED AND EDITED FOR FLOWCHARTING AND FOR PROCEDURES WRITING:

When mail arrives it is sorted by an administrative assistant who acts as a registrar into reference queries and other matters concerning policy, administration and finance which are sent to the senior administrator.

The registrar enters the reference queries into a register in which items are listed chronologically by date of receipt, and each item is assigned an annual single number. The registrar then checks the Correspondent Index to see if this item is new or whether the letter is from someone who has written before on the same or a related topic. If the former, the registrar makes up a new file with the new annual single number; if the latter, the new letter is added to the top of the previous file that is then top-numbered. Files have Record Action Sheets printed on the outside of the folder, and the registrar notes the appropriate details of the actions so far.

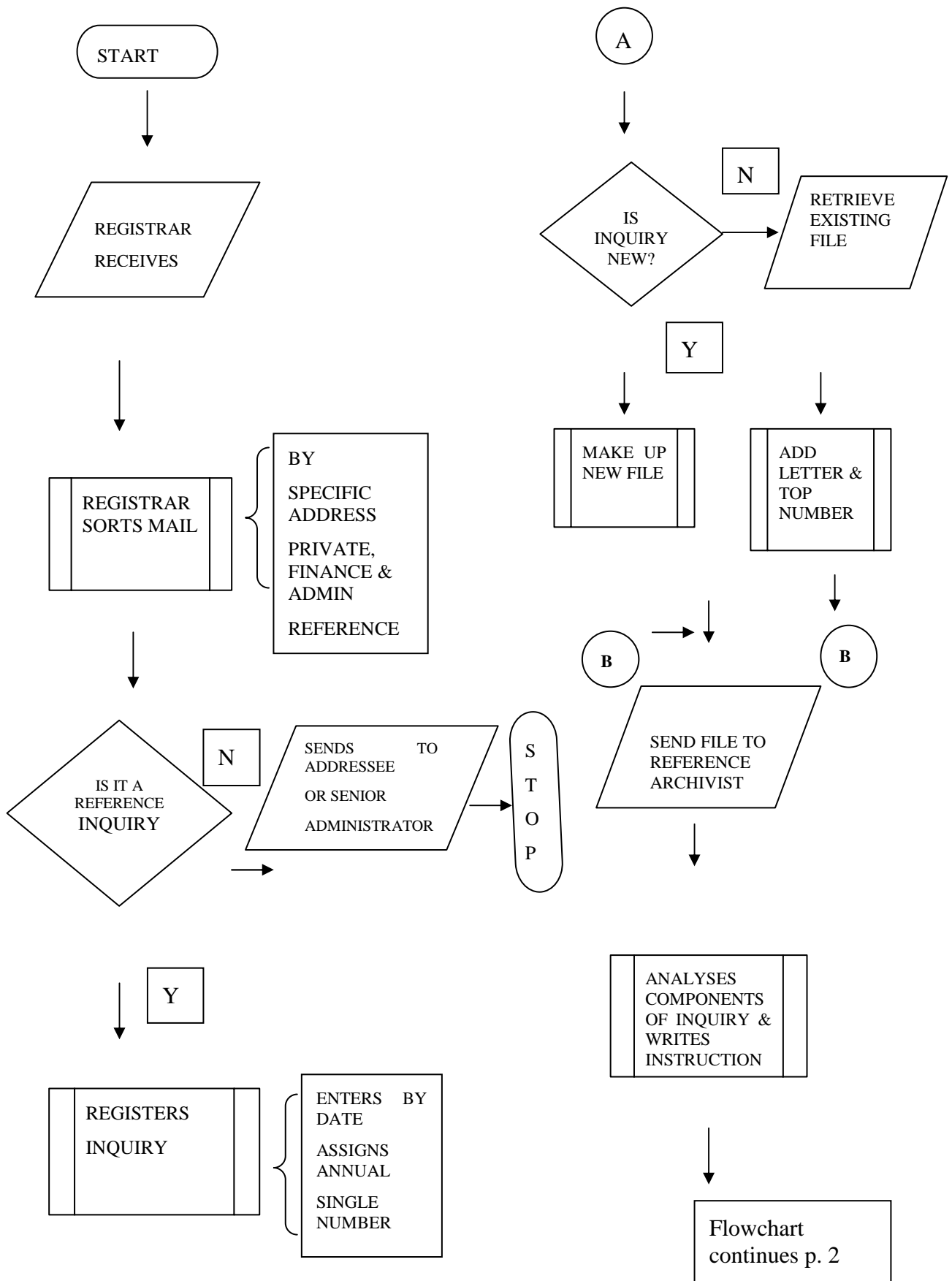
The file then passes to the archivist in charge of reference queries who inserts a sheet in the file giving directions as to how long should be spent on the enquiry and adding any special instructions/suggestions concerning the nature of the response to be made. The archivist then allocates the enquiry to one of several subordinates who are required to deal with 10-15 letters per week. The archivist keeps his own register of such allocations and he also notes the relevant information on the Record Action Sheet.

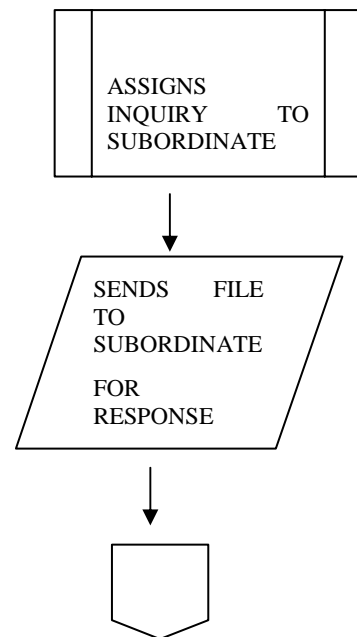
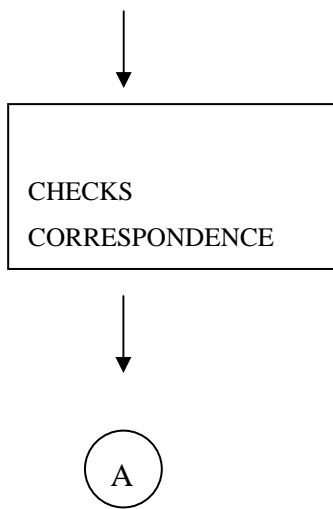
The subordinate officer then does the necessary work to answer the enquiry and drafts a letter of response, sending it to the archivist in charge and noting the action on the Record Action Sheet. The archivist then checks it, and if the reply is satisfactory, sends it to be typed. If it is not satisfactory, he returns it to the subordinate with additional instructions for corrections. The new draft is then sent through the approval process.

When the reply is typed, it goes back to the subordinate officer who drafted it for typographical checking. If that is correct, it is signed by the subordinate on behalf of the archivist and mailed. All of this is noted on the Record Action Sheet and the entire file is returned to the registrar who files it.

THE FLOWCHART ON THE NEXT PAGES GRAPHICALLY DEPICTS THE PROCESS UP TO THE END OF PARAGRAPH FOUR.

ANSWERING A REFERENCE REQUEST BY MAIL





Appendix D: Describing Processes: Playscript Procedures

Playscript is an approach to procedure writing which lists steps in a process in sequence, showing actions and responsibilities involved. An example of a process described using playscript is below:

Procedures Manual 1 page 1 of 2

SUBJECT: Answering Written Reference Enquiries

Preparer: AP

Date: 12/06/99

Responsibility

Action

Administrative Assistant/Registrar	<ol style="list-style-type: none"> 1. Sorts incoming mail into: <ul style="list-style-type: none"> • junk - dispose • specific addressee - send to addressee • other policy, administration and finance matters - send to Senior Administrator • reference queries
	<ol style="list-style-type: none"> 2. Enters reference queries into register (where entries are listed chronologically by date of receipt).
	<ol style="list-style-type: none"> 3. Checks Correspondent Index - <ol style="list-style-type: none"> (a) <i>If item new:</i> <ul style="list-style-type: none"> * makes up new file, gives it a new annual single number * attaches record action sheet (b) <i>If item from previous correspondent on same or related topic:</i> <ul style="list-style-type: none"> * adds new letter to top of previous file * top numbers letter
	<ol style="list-style-type: none"> 4. Completes appropriate action details on Record Action Sheet on outside of file
	<ol style="list-style-type: none"> 5. Arranges for file to be passed to Archivist in Charge, Reference Queries.

Archivist in Charge-Reference	6. Analyses requirements for responding to query and inserts sheet specifying: * time to be spent on enquiry * special instructions/suggestions (if any) concerning nature of response
	7. Allocates file to one of subordinates. Each subordinate to answer 10-15 letters per week).
	8. Enters name of the subordinate officer to whom file allocated in the register of allocations.
	9. Notes relevant information on Record Action Sheet on front of file. (Repeat Step 4).
	9. Notes relevant information on Record Action Sheet on front of file. (Repeat Step 4).
	10. Passes file to Subordinate Officer.
Subordinate Officer	11. Does necessary research/work to answer enquiry and drafts letter of response. 12. Notes relevant information on Record Action Sheet on front of file. (Repeat Step 4)..
	13. Returns file, including draft letter to Archivist in Charge, Reference Queries, for approval
Archivist in Charge-Reference	14. Checks draft reply - (a) Where satisfactory * sends for typing (b) Where unsatisfactory: * corrects and returns to subordinate with additional instructions for corrections (Repeat of Steps 6-15 until reply is satisfactory).
Typist	15. Types letter
	16. Returns to appropriate Subordinate Officer for typographical checking.

Subordinate Officer	<p>17. Checks letter for typographical errors -</p> <p>(a) Where correct:</p> <p>* signs on behalf of archivist</p> <p>(b) Where incorrect:</p> <p>* returns to typist for correction/retyping (Repeat Steps 16-18)</p>
	18. Copies letter and arranges for mailing of original.
	19. Attaches copy to file.
	20. Notes each step on Record Action Sheet on front of file.
	21. Returns file to Administrative Assistant/Registrar.
Administrative Assistant/Registrar	22. Files away.

Management of Financial Records:

A Ghana Case Study

Dr Pino Akotia¹

Abstract

The study is an examination of the relationship between public financial management and record keeping systems in Ghana. On the one hand public financial management is presented as one of governments' most important responsibilities. Public finance is a major instrument of constitutional, political and administrative control and it provides the basis for decision making and implementation of programmes. On the other, recorded information is the cornerstone of government's information infrastructure. Its effective management can provide government with a key resource for managing the economy and for securing the evidence base of public financial management

The case study illustrates where and how recorded information associated with functional processes is held. This provides the background to understanding the relationship between financial management business processes internal regulations and the more complete and accurate recording of government decisions and actions. Furthermore, the study demonstrates that when government financial controls lack a records management component, they lose their capacity to provide evidence.

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Dr Akotia has been published widely. He is a consulting researcher of three International Records Management Trust (IRMT) video documentaries on accountability, good government and documentary evidence. With the public sector reform programmes on-going in Africa, Dr Akotia has been on assignment by the Trust either as researcher or consultant to support the development of government records systems. His interest in financial record keeping has been the result of IRMT's unique contribution to pioneer research and extension activities unto the framework for keeping recorded evidence and securing accountability.

Introduction

Public finance is the lifeblood of any state. In Ghana, public financial management is one of the fundamental responsibilities of government.

The main elements of the financial management function in Ghana include:

- the establishment of a financial framework for planning activities and operations in the future
- the guarantee of sufficient funds to finance the planned activities and operations
- the safeguarding of resources through adequate financial controls
- the administration of the systems that produce the information for controlling planned activities and operations
- the analysis and evaluation of the financial impact of the management decisions both before and after application
- the reporting and analysis of the results of the activities and operations measured in financial terms.

Thus the Ghana public financial management process is concerned with arrangements for collecting revenue and for its disbursement as expenditure, together with the linked activities of public borrowing and lending.

Public financial management business processes are the context in which financial activities and transactions are carried out with financial records generated as the by-product. Failure to establish this link deprives the public financial management process of the evidence it requires to manage public finance.

No aspect of the machinery of government has been more neglected in academic study than the financial sphere. This is so despite the significance of public financial management as the machinery for co-ordinating and controlling the various tasks of the entire government. The major academic interests in the financial sphere have been the 'broad strategy' for the use to be made of public funds in meeting policy objectives. While economists have devoted attention to economic and financial policy issues, to such matters as debt and taxation, there has been very little investigation into the machinery for the management of public finance.

The lack of detailed and intensive investigations into public financial management and into the relationship between information systems and financial business processes has become increasingly evident in the context of fiscal constraints of developing countries.

Good governance and the ability of the state to create, sustain and promote strong and equitable development programmes is dependent, in part, on the way recorded information is managed. Public financial management and the records that underpin the process throw light on the fundamental questions of power in a state, for the control of the public purse and the exercise of power are closely related.

This study represents the accountability initiative to bring attention to the state of financial record keeping and thus promote accountability, economic efficiency, transparency and the rule of law. It is also designed to provide safeguard against corruption and economic crimes.

The study has three main objectives:

- to establish that public sector structures and business processes cannot be built and sustained without improvement in the management of recorded information
- to define the relationship between public financial management, the information it produces and public accountability
- to demonstrate the critical importance of managing financial records as a strategic resource.

Economic efficiency demands that information about government policies and actions be made available and that major processes of economic policy making and transactions be transparent. This study identifies the financial record keeping issues and demonstrates the widespread nature of information poverty in financial management. It demonstrates that the absence of effective structures and systems for the management of financial records have implications for good governance.

Upon completing this case study, learners should be able to:

- establish the relationship and significance of public financial management, financial record keeping and good governance
- identify the objectives and business processes of public financial management and the record keeping infrastructure required to underpin management systems
- understand the technical and organisational issues involved in managing the records created by the institutions which carry out the tasks of managing the Consolidated Fund
- develop understanding of the emerging trend in public sector management that public records, and particularly records generated by the financial systems, provide evidence required to support transparency and accountability
- prepare and argue for partnership between the agencies responsible for managing government recorded information on the one hand and the audit function on the other, in order to help secure accountability in government
- identify the major stake holders in financial accountability whose collective concern will help stamp authority on best record keeping practices while discouraging mismanagement and corruption
- understand that strengthening record keeping systems require improvements in the systems and procedures for public financial management and in particular, systems of internal control.

It is hoped that the study will help create awareness among senior government managers of the importance of managing financial recorded information as a strategic resource. Institutional and economic policy reforms can be significantly improved

through the strengthening of the financial record keeping systems. It will also provide a self-study training tool for professionals

The Administration of Financial Records in Ghana

Since the colonial era, arrangements for managing public finance were associated with the Treasury. The work of the Treasury falls into two broad categories. The first is summed up as policy, deciding what financial resources are necessary and how to distribute the resources. This responsibility brings the Treasury into close contact with the political sphere. The second is the physical handling of the funds, regulating their receipt and disbursement. Physical handling of funds involves accounting and accounting provides the institutional memory of past financial transactions. Policy and the physical handling of funds belong to the realm of control

All public agencies create financial records, which are held in financial branches or individual operating units. Four core institutions of government play a significant role in planning, co-ordinating and controlling the flow of public funds. These institutions carry out specific tasks in the management of the Consolidated Fund, and their functions and business activities ought to be effectively balanced and interlocked by efficient records systems.

The four institutions are the Ministry of Finance (MOF), the Controller and Accountant General's Department (CAGD), the National Development Planning Commission (NDPC) and the Auditor General's Department (AGD). The functions and activities of these agencies of the Central Administration of Finance are outlined below:

Ministry of Finance

Macro Fiscal Planning

- develop macro-economic framework
- develop public sector investment programme
- prepare Fiscal Plan

Budget Preparation, Monitoring and Control

- make initial budget allocations
- issue budget call circular
- prepare annual budget submissions
- prepare draft budget
- authorise budget adjustments/supplementaries
- prepare cash flow forecasts
- prepare fiscal reports
- monitor and evaluate budget implementation

Debt Management

- project debt service requirements
- service debt

Foreign Aid Management

- co-ordinate aid in-flows
- disburse and account for aid

Revenue Administration

- co-ordinate tax and non-tax revenues

Controller and Accountant General's Department

Government Accounting

- administer payment and receipt systems
- maintain budget ledgers
- maintain general and subsidiary ledgers
- account for fixed assets
- account for inventory
- develop costs for programmes and projects

Budget Management

- monitor cash flows
- pay/receive for goods and services
- account for receipts
- disburse and account for aid

National Development Planning Commission

Development Planning

- co-ordinate district development plans
- co-ordinate sectoral plans of public agencies
- approve plans and programmes of districts and public agencies
- monitor programme delivery
- fiscal reports

Develop Budget

- prepare development budget
- monitor sectoral and geographical budgetary allocations

- fiscal reports

Auditor General's Department

Auditing

- perform audit
- report.

The Ministry of Finance (MOF) and the Controller and Accountant General's Department (CAGD) are responsible for the operational aspect of financial matters and are described as executive agencies. The Auditor General's Department has traditionally been associated with accountability and efficiency, reviewing and commenting on the financial activities of government. The National Development Planning Commission (NDPC) co-ordinates district and sector development plans, which form the basis of the national development policy proposals.

The Treasury function in Ghana is now divided between three agencies, the Ministry of Finance, CAGD and the NDPC. The fact that control is split up in this particular way is due to historical circumstances. NDPC was created under the Fourth Republican Constitution² through the separation of the finance and economic planning functions within the Ministry of Finance and Economic Planning. The Ministry of Finance and CAGD owe their institutional origins to Treasury reorganisation during the 1930s when there were reforms with far reaching consequences to the financial bureaucracy.³

The Controller and Accountant General (CAG) is the head of the Government Accounting Service. He is the Receiver, Paymaster and Chief Accounting Officer of the Government. He has responsibility of approving *Departmental Accounting Instructions*, which include the financial record keeping systems. The CAG also has a statutory mandate to design, manage and operate public sector accounting systems and to provide for the financial and accounting services of all public agencies. To ensure that the CAG exercises the appropriate financial control over the collection, disbursement and recording of financial transactions, statute provides that he has

‘... free access to all files, documents and other records relating to the accounts of every government department and he shall also be entitled to require and receive from members of the public services such information, reports and explanation as he may deem necessary for the proper performance of his functions’.⁴

The CAG delegates the following fiscal duties to agency heads:

- securing the effective use of the appropriations under their control
- ensuring the proper collection of government revenue collectable by their agency

² Constitution of the Republic of Ghana, 1992, art 86

³ Priestly, M. ‘Reorganisation of Colonial Treasuries, 1936: the case of Ghana’, *Public Administration and Development*, (Winter, 1974):395-414.

⁴ Financial Administration Decree, 5.2 (2)

- receiving and ordering the disbursement of trust money for which they have been appointed as administrator
- securing the economical use of government equipment, vehicles and stores of their agencies
- maintaining accounting records of all financial business transacted by their agencies.

Furthermore, agency heads are required by law to ensure the reliability and effective management of recorded information through the implementation of *Departmental Accounting Instructions*. The law acknowledges that well-managed financial and accounting records provide a sound basis for financial and accounting control and hence for the accountability of the government.

Except in the Auditor General's Department (AGD), the management of financial records in the central administration of finance is decentralised. In the Ministry of Finance (MOF), financial records are managed within secretariats. In both CAGD and NDPC they are managed as part of the accounting or development planning responsibilities. Departments such as Payroll, Chief Cashier, Final Accounts, Fuel and Public Debt in the CAGD and Social Policy, Production and Technology Policy, Economic Policy and Public Sector Management in NDPC, create and manage their own records without reference to the centre.

Every public agency has a finance and accounting unit, whose personnel are members of the Accounting Class of the Ghana Civil Service and who exercise the functions of the CAG. In the finance and accounting units, the CAG staff is responsible to agency heads for the effective performance of their duties.

On the other hand, the Auditor General's Department (AGD) operates a centralised system, combining the management of administrative files with that of the financial records. The records are held in series including Treasury series, series for regional and educational audits and series for district assemblies, local authorities, house of chiefs and traditional councils.

Key Legislation on Financial Records and Record Keeping

Legislation	Key Provisions	Agencies Responsible	Powers and Actions
1. Financial Administration Regulations, 1979	Detailed instructions in respect of the management of financial records	<ul style="list-style-type: none"> • Controller and Accountant General • Auditor General • Agency Heads 	<ul style="list-style-type: none"> • Controller and Accountant General and Auditor General are required to approve agency Departmental Account Instructions which include the financial record keeping system • Agency Heads are required to develop sound management systems for financial record keeping • Controller and Accountant General and Auditor General are granted access to all financial records
2. Financial Administration Decree, 1979	Financial reporting requirements	<ul style="list-style-type: none"> • All key players in public financial management 	<ul style="list-style-type: none"> • Reports ought to be based of source documents
3. Financial Administration Decree, 1979	Financial records management for the purposes of evidence, accountability and control	<ul style="list-style-type: none"> • Key players in public financial management 	<ul style="list-style-type: none"> • Well managed financial records provide assurance that transactions are executed in accordance with procedure or authorisation and that transactions are recorded in conformity with standard financial and accounting principles
4. State Property and Contract Act, 1960	Deposit of legal records Government-wide (eg contracts, agreements, protocols etc)	<ul style="list-style-type: none"> • Public Records and Archives Administration (PRAAD) • Agency Heads • Central Administration of Finance 	<ul style="list-style-type: none"> • Director of PRAAD required to receive into custody all state legal documents
5. Public Records and Archives Administration Act, 1997	Establishment of standards and procedures to assure efficient and effective management of public records. In Ghana, the Public Records and Archives Administration (PRAAD) has statutory responsibilities over the whole range of records management functions	<ul style="list-style-type: none"> • PRAAD • Agency Heads 	<ul style="list-style-type: none"> • PRAAD: Effective and economical management of public records • Agency heads: Establishment of good record keeping practices in the agency in accordance with PRAAD standards

The Legal and Regulatory Framework

Three categories of legislation govern public financial management in Ghana. Firstly, the financial provisions of the Constitution set up the agencies of the central administration of finance and institutionalises the various funds.⁵

The second set of laws sets up the nine business processes required for the conduct of public financial management. These include the *Audit Service Decree, 1972* (NRCD 49) and the *Financial Administration Decree, 1979* (SMCD 221). Others are the *National Development Planning Commission Act, 1994* (Act 479) and the *National Development Planning (System) Act, 1994* (Act 480).

The third of the set of laws, the *Financial Administration Regulations, 1979* (LI 1234), the *State Property and Contract Act 1960* (CA 6 s. 23) provides detailed procedures and financial administrative arrangements in the context of the business processes established by the first two sets of laws.

The Constitution and laws setting up and regulating public financial management provide clear definition of powers and responsibilities. The Controller and Accountant General, for example, is responsible only for ensuring that disbursement of public funds is lawful. The Auditor General evaluates the propriety and wisdom of disbursements acting under legislative authority.

Detailed guidelines on financial record keeping are provided by the Financial Administration Regulations. Part XV of the Regulations is devoted to record keeping issues. It emphasises the importance of records as a key resource and record keeping an integral part of the financial management system. The regulations further identify financial records as critically important in the transparency and accountability of government. To this end, public officers vested with financial management responsibilities are obliged to keep 'proper records' and ensure such records are available on request.

The Regulations provide that

'... the documents and records pertaining to the public and trust moneys received into, held in and paid from the Consolidated Fund shall be termed the public accounts and shall be kept by the Controller and Accountant General . . .'⁶

⁵ The Ministry of Finance, NDPC, the Office of Auditor General and the Audit Service are set up by the Constitution. The Ministry of Finance is established by art. 181(7), Office of the Auditor General, art 187, NDPC art. 86 and the Audit Service art. 188. The Office of the Controller and Accountant General and the procedural arrangements for his appointment are set out in s.2 of the Financial Administration Decree, 1979. The functions of the Controller and Accountant General are specified in ss. 4-5

⁶ *Financial Administration Regulations, 1979*, Regulation 2

The Regulations further state that:

‘The documents and records pertaining to the collection of revenue, the control of expenditure, the administration of trust funds, the management of public stores and such other financial business as may be made the responsibility of government departments shall be termed other government accounts and shall be kept by head of departments.’⁷

On the strength of these provisions, agency heads are requested to develop sound management systems for financial record keeping to meet the requirements of

- accountability in public financial management
- efficient discharge of financial transactions.

Financial Business Processes

Record keeping systems in public financial management contain information linked to the transactions they document and maintain as evidence over time. The record keeping systems do not only contain documentation of transactions, they maintain evidence overtime.

There are nine defined business process groupings and information areas applicable to the management of public finance.

- **MACRO FISCAL PLANNING:** Expenditure and resource planning form the initial step in the annual cycle of the public expenditure process. This process relates to the development of fiscal policy and medium term expenditure plans. The documentation generated includes information on the medium term plan, macro-economic targets, public sector investment programmes and the fiscal plans. Others are proposals for the development of multi-year rolling plans, forecasts of funding requirements, surveys on GDP, inflation and expenditure reviews.
- **BUDGETING:** The second grouping covers budget preparation, monitoring and control. Information in this functional process relates to the preparation, implementation, monitoring and evaluation phases of the budget. Records generated include budget guidelines, sources of financing the programmes and projects, transfers (virements), supplementary allocation records and warrants; documentation summarising commitments and expenditures against budgeted figures, overall cash flow forecasts based on programme and project expenditure plans and schedules and review of the aggregate positions as obtained in the fiscal reports and budget prepared during the course of the fiscal year. Others are the documentation on the liquidity position based on cash balances in various government accounts, records documenting government bonds, treasury bills and cash deposit maturities, cash flow forecasts, fiscal and debt reports.

⁷ *ibid.*, Regulation 101

- **MONITORING PROGRAMME AND PROJECT EXPENDITURE:** The third group involves the management of the public sector work programme. The main information areas are:
 - ◊ descriptions of programmes and projects to be undertaken by various line agencies, broken down by fiscal year, including project plans, schedules, performance indicators and project status progress reviews
 - ◊ expenditure plans for the programmes and projects based on schedules and progress to date
 - ◊ summaries of commitments and expenditures against budget figures
 - ◊ procurement tracking and contract monitoring.

Summaries of human resource information, as part of basic budget information, are provided by line agencies during the budget formulation and implementation period.
- **MANAGING DEBT:** The fourth business process grouping is debt management. This process covers information on government loans including the servicing and accounting of existing loan liabilities. Documentation includes public domestic and external borrowing, records on loan transactions, draw down and debt-servicing liabilities and debt implications of different fiscal and deficit financing policies.
- **MANAGING FOREIGN AID:** Foreign aid management is the fifth business process grouping. The records hold information needed for tracking loan disbursements against specific projects and programmes and relating these to the progress of work on projects. Others cover external borrowing, grants and grants - in - aid. This includes programme and project specific information and records on loan disbursement related to project performance.
- **COLLECTING AND ADMINISTERING REVENUE:** The sixth grouping is revenue administration. This information area covers the administration of the tax policies of government, which include the actual levy and collection of revenues as laid down. In addition, it covers the valuation and collection of other non-tax revenues such as stamp duties. Records are also created for tax and non-tax revenues including tariff rates and rates for services, which generate non-tax revenues.
- **MANAGING HUMAN RESOURCES:** Human resource management is the seventh business process grouping. Its main information area covers activities associated with the development of human resource strategies and policies, including civil service pay policies and establishment control, which has a direct link to the budget. This grouping also generates records on the processes associated with personnel policy and management.
- **GOVERNMENT ACCOUNTING:** The eighth grouping, government accounting, pertains to operating government payment and receipt systems and accounting of government transactions. Items involved on the revenue side consist of tax and non-tax revenues. Included on the expenditure side are the direct and indirect expenditures, loans, grants and public debt. Records generated include general

and subsidiary ledgers, inventory accounts ledgers, accounts receivable ledgers and account payable ledgers.

- **AUDITING FISCAL FUNCTIONALITY:** The ninth and final business process grouping is auditing, internal and external. Information from this area pertains to audit observations and queries. Most of the financial statements sent to the Ministry of Finance are also submitted to the Auditor General. They provide a basis for auditing of expenditures. The Auditor General keeps a record of audit observation and tracks progress and follow-up actions.

Government accounting in Ghana is based on accounts supported by vouchers. Each agency's accounts is posted to receipts and payment voucher schedules, with each showing:

- head and sub head number and description
- month and year
- code number of account
- debit
- credit
- net debit and credit

Group summaries of voucher schedules are prepared in the following categories:

- recurrent revenue
- development revenue
- below - the - line credits
- recurrent expenditure
- development expenditure
- below - the - line debts.

Each group summary is a list of numerically ordered head and sub head totals. When the totals of each group summary with corresponding figures have been agreed, books of accounts are prepared showing the relevant budget estimate. Main ledger accounts are ruled off quarterly, and the debt and credit balances are brought down as the opening balance of each quarter.

In each of these business processes, the records must be structured logically and managed effectively if the processes are to be carried out efficiently.

Major Types of Financial Records and Information

Public financial management processes, information areas and records generated:

Business Process	Information Area	Record Created	Records Used
1. Macro Fiscal Planning	<ul style="list-style-type: none"> Fiscal policy and plans 	<ul style="list-style-type: none"> Macro Economic Framework Documents Public Sector Investment Programme Fiscal Planning Documents 	<ul style="list-style-type: none"> Records on external economy Various fiscal reports Documents on tax and non-tax revenue collections Records on domestic external borrowings Debt service projection records Civil Service complement/emoluments/benefits records Previous expenditure reviews
2. Budget	<ul style="list-style-type: none"> Budget and cash management 	<ul style="list-style-type: none"> Budget planning, implementation and monitoring records Cash management documents Fiscal Policy Reports 	<ul style="list-style-type: none"> Macro economic framework Public investment programme Fiscal plan Previous public service work programme Expenditure reviews Budget ceiling documents Budget guidelines (Previous) Line agency forecasts Expenditure authorisations Budget document

Business Process	Information Area	Record Created	Records Used
3. Monitoring Programme and Project Expenditure	<ul style="list-style-type: none"> Public Sector Work Programme 	<ul style="list-style-type: none"> Project and Programme Management records Fiscal Reports Procurement and Procurement tracking records 	<ul style="list-style-type: none"> Appraisal budget Public Service work programme Fiscal plans Fiscal reports
4. Debt Management	<ul style="list-style-type: none"> Debt 	<ul style="list-style-type: none"> Records on domestic borrowing Records on issues and redemption of Government Securities Debt management records 	<ul style="list-style-type: none"> Macro-economic framework Cash flow forecasts Expenditure reviews Records on domestic borrowings Approved budget
5. Foreign Aid Management	<ul style="list-style-type: none"> Foreign Aid 	<ul style="list-style-type: none"> Records on Project Specific Aid Allocations External borrowings documents Fiscal Policy 	<ul style="list-style-type: none"> Fiscal plans Fiscal reports Public Service investment programme Public Sector work programme Records on external borrowings/grants
6. Revenue Administration	<ul style="list-style-type: none"> Revenue 	<ul style="list-style-type: none"> Tax and Non-tax Policy documents Records of Actual collections for each category of revenue broken down by period Fiscal Reports 	<ul style="list-style-type: none"> Macro economic framework Approved budget Fiscal plan

Business Process	Information Area	Record Created	Records Used
7. Human Resource Management	<ul style="list-style-type: none"> Human Resources 	<ul style="list-style-type: none"> Staff Planning records Personnel records Payroll Pension records 	<ul style="list-style-type: none"> Approved budget Fiscal plan Public Service work programme Government human resources strategies and policy documents
8. Government Accounting	<ul style="list-style-type: none"> Government Accounting 	<ul style="list-style-type: none"> Final Accounts Source documents General and Subsidiary ledgers Fixed Asset Accounting records Stores Accounting records Cost Accounting Document 	<ul style="list-style-type: none"> Approved budget Public Sector work programme Expenditure authorisations Source documents
9. Auditing	<ul style="list-style-type: none"> Audit 	<ul style="list-style-type: none"> Audit Reports 	<ul style="list-style-type: none"> Public Sector work programme Books of accounts Ledgers Source documents

Financial records are classified by the *Regulations* under the following headings:

- publications such as financial reports and statements
- legal documents including title and trust deeds, agreements and contracts
- accounts including records and supporting vouchers
- correspondence and policy files arising from financial and accounting work
- working papers arising from the accounting process
- archival records relating to the location, retention or destruction of records.⁸

As by-products of financial management business processes, key financial records series include

- financial policies
- programme plans and supporting papers, the budgets and supporting documents
- revenue and expenditure records
- case files
- legal documents.⁹

Also included are accounting records such as

- cash books
- ledger sheets
- ledger cards
- computer print outs
- electronic computer files.

Other lower level fiscal documents of interest comprising accounting source documents are

- value books
- receipts
- cheques
- bank statement
- local purchase order forms
- vouchers
- requisitions

⁸ *ibid.*, regulation 870

⁹ Fiscally significant legal documents are agreements relating to contracts, loans, advances, subventions, trust deeds in connection with any fund, account or property; title documents conferring or recording ownership of any property, including title deeds, bonds, stocks or share certificates

- bill books.

Financial and accounting records held in the CAGD, Treasuries and financial and accounting units are classified according to type and function. There are two main categories of financial records, namely:

- subject and topical files
- transactional, such as invoices, vouchers, etc.

Subject files are filed on the basis of hierarchical arrangements reflecting the function and activities of the agencies of the central administration of finance. All public agencies and the treasuries hold transactional records. Because of their volume, transactional records present the greatest handling, processing and storing problems. They are classified according to type and function. Each class is further subdivided, either by specific accounts or general sub classes of accounts. The classification scheme ought to be the building block of the financial record keeping system.

The Budgetary Process and its Financial Records

At the core of the public financial management processes is the government budget. It provides the framework for managing the nation's economy, either to stimulate or control in two broad ways:

- as a tool of fiscal monetary policy
- as a mechanism for development plan implementation.

The budget constitutes the annual plan of action for the government, which includes specific measures for the mobilisation and allocation of resources in the public sector. It also influences economic activities in the private sector and within civil society.

In Ghana the Budget Division is one of the six divisions of the Ministry of Finance (MOF)¹⁰. The responsibilities of the Division include fiscal planning, budget guidance and review and budget allotments. Other functions are monitoring and evaluation.

Government budget and accounting systems are based on annually approved estimates, which are authorised into two parts, namely, Revenue Votes and Expenditure Votes. An agency's estimates, as a whole are classified as 'heads' of expenditure, subdivided into 'sub heads'. The estimates for each year are divided into six standard items for recurrent expenditure and three standard items for development expenditure as follows:

¹⁰ The Divisions of the Ministry of Finance are:

- Policy Analysis
- General Administration
- Budget
- Legal, private sector and financial institutions
- International Economic Relations
- Public Investments

a Recurrent Expenditure

Item 1	Personal emoluments
Item 2	Travelling and transport
Item 3	General expenditure
Item 4	Maintenance repairs and renewals
Item 5	Other current expenditure
Item 6	Subventions

b Development expenditure

Item 7	Construction works
Item 8	Plant, equipment, furniture and vehicles
Item 9	Other capital expenditure.

Since 1992, the budget has become more broadly based, doing away with the limited and incomplete coverage of the budgetary process. Instead of compiling twenty-six volumes of Ministerial estimates, it captures all information on Government domestic and external budget resources, revenue and commitments into a single comprehensive volume. The detailed budget document is accompanied by a 'General Memorandum and Financial Statement', which outline the fiscal policy of the Government and its proposals for raising additional resources.

In Ghana, the budget, its management and supporting records follow a cycle ie a regular sequence of activity based upon workflow. The budget cycle comprises the four inter-linked processes:

- Planning and preparation
- Negotiation, approval and enactment
- implementation
- accountability and audit.

The word 'cycle' is used to convey the idea of a recurrent sequence of events, a pattern, which repeats itself over and over again. The time span of one complete budget cycle, from stage 1 to stage 4, is about two years. These cycles overlap; three different stages can occur at the same moment of time: execution of the current budget (stage 3), preparation of the next budget (stage 1) and accountability and audit relating to the previous budget (stage 4).

PROCESS ONE: The first budgetary process is budget planning and preparation. A macro economic framework is determined and a budget circular issued conveying guidelines for the preparation of sector and agency estimates. All draft estimates are consolidated in the budget proposals and submitted to the cabinet for approval. Budget preparation draws upon departmental and ministerial records and also on cabinet papers, which set out general policy

PROCESS TWO: In the second stage, enactment, draft estimates, are examined by Parliament and in particular the appropriate select committees. In this stage, the budget process becomes more public. The stage ends with the passing of an Appropriation Bill. The budget session of Parliament is its most important meeting; the different aspects of government policy are reviewed and considered.

PROCESS THREE: Implementation is the third stage of the cycle. The Minister of Finance issues a General Warrant to the Controller and Accountant General, who directs Treasuries to make payments. On the expenditure side, each public agency now has its working plan as set out in the expenditure estimates. All public agencies play a part in implementation by collecting or spending the public funds. The agencies of the central administration of finance, however, play a larger role and the records created are extensive.

PROCESS FOUR: The fourth phase of the cycle involves assessing performance and determining variances between programme targets and what was actually achieved. This provides the means of ascertaining areas of success and failure in implementation of government's fiscal plans and programmes. Described as accounting, audit and evaluation, this final stage can be summed up as assessing the government's overall fiscal accountability.

Accounting records are maintained principally for the purposes of control. Government accounting records must be sorted, registered, classified and stored. Without the support of trained record keeping professionals, standards and procedures, agency accountants do not manage their records effectively. This in turn affects the preparation of accounting information and financial reporting.

Accounting documents such as vouchers and attachments provide evidence that a transaction has taken place. A receipt is prepared whenever any sum of money is paid to any public agency and a payment voucher, recording details of the transaction, is prepared whenever public money is disbursed. Financially significant details from these basic documents are entered into books of accounts, that serve as a means of registering and locating documents like any register. Because transactions reflect monetary value, it is also possible to list amounts and derive financially significant totals according to the way transactions are listed. Thus the process of storing and indexing financial records produces new information, a distillation or summary.

Information needed for accounting purposes is recorded on standard forms. They are pre-sorted into categories, described as 'batches' and entered into vouchers. Vouchers are stored in bundles and individual documents are located serially. At the end of the accounting period, all vouchers are securely bound and batch labelled showing the account title and period covered. The accounting practice of sorting and then registering has the benefit of allowing various accounting activities to be processed simultaneously. The registers created provide useful statistics and control data. An invoice register, for example, will show the number of invoices processed in any accounting period and their value, providing statistics of work load. This can be

compared with a register of cheques issued and their value. Standardised forms are in frequent use in accounting because they can be handled compactly for storage and batching by accounting period; this facilitates disposal. Yet, paradoxically, registers of cheques, invoices and payment vouchers are some of the most neglected of all accounting and financial records.

Functionally, the effectiveness of all of these processes depend entirely on record keeping to provide essential evidence. Not only are records the proof of achievement, but they provide the mandate for appropriate corrective measures. The government's financial management regime is a continuum of activity engaged at any one moment in dealing with the present, looking to the future and looking back to the past, with records generated as by-product. Financial recording systems provide the authoritative information for managing the national economy and support the evidence base for fiscal accountability in public administration. Some, like the Budget Statement and the Final Accounts, are published officially. Others are documentary sources created and held only in government offices.

Financial Record Keeping in Ghana: 1960's to the Present

There is no doubt that increases in the volume and range of public financial business since the 1960s have led to serious difficulties in the management of financial records both in the agencies in the central administration of finance and other public agencies. Colonial *Financial Orders* did not adequately define the statutory arrangements or explain the procedures required for managing financial records. They made scattered references to the retention of certain documents for specified minimum periods, but there was no clearly defined policy or management scheme to achieve records control. Partly because of the limited scale of government activity and partly because in practice, clerical functions relating to the management of records had a higher status in the colonial era than they do now, the sketchy arrangements which operated well in those times proved to be completely inadequate for an independent Ghana.

With no systems in place to link registries to the National Archives and to ensure a link between the management of administrative records and historical records, the national information management infrastructure collapsed, as did all possibility of fiscal responsibility and accountability. It was not until the advent of the Records Management Improvement initiative to restructure government record keeping systems in the early 1990s that serious attention began to be given to mechanisms for managing current and seem-current records.

The Financial Record Keeping Situation Today: Key Problems

Despite the vital importance of the financial records, the accountability for their management is poorly defined. Heads of agencies are, theoretically responsible for maintaining agency financial records systems. Part of this responsibility entails the issue of a code of departmental instructions, which should build upon a national framework for record keeping. However, neither the instructions or the structured systems for financial records management exist government - wide. This, taken together with the decline in accounting and auditing standards resulted in loss of control of public financial management. This situation is manifested in inordinate delays in producing accounts, the practice of presenting multi-year financial reports and even recourse to 'incomplete records' in order to report on the national accounts. All of these create an environment conducive to corruption.

LACK OF COORDINATION AMONG REGISTRIES AND FINANCIAL RECORD KEEPING SYSTEMS: One of the defects in financial management is the failure to relate accounting and registry systems. This results in essential information being lost or scattered through the files of similar titles across the systems. Ideally, registry systems and financial records systems should be used where each is most appropriate. For many tasks, both are required and adequate cross references between the two needs to be made. Knowing what is held in each system should encourage managers to consult the relevant records system to locate the required information. It is not uncommon to find managers consulting files where they should be using accounts. One finds, for example, managers searching through the contract file to determine what payments are due or have been made. Properly constructed accounts would provide information more quickly and accurately.

ACCOUNTABILITY FOR FINANCIAL RECORD KEEPING IS POORLY DEFINED: In all cases, the management of financial records is the responsibility of non records management professionals. In the CAGD, accounting staff keep those files and books relevant to the business processes in which they are engaged. In NDPC, directors hold the financial records, mostly development plan proposals. In the Ministry of Finance file classification, mainly alpha numeric, is clumsy because file references contain superfluous elements. In the Budget Division, for example, schedule officers are assisted in their registry related functions by schedule assistants who perform messengerial, registration, file tracking and search duties. The schedule officers are supposed to supervise but cannot due to their heavy work load. Under these circumstances, files are often misplaced and papers misfiled.

WIDESPREAD NATURE OF THE ABSENCE OF CONTROLS: Deterioration in financial record keeping is not limited to the central administration of finance headquarters. In the field offices, there is a lack of control over the creation, structure and management of records associated with the collection of revenue and

disbursement of public funds. The requirements of financial reporting at the outlying districts for statutory or regulatory purposes cannot be met.

Managing financial records throughout their useful life should be a key issue government-wide. The importance of financial records systematically and structuring them intelligently in relation to business processes has not been clearly understood. As part of economic policy and institutional reforms financial management business processes have been structured in order to strengthen the processes of financial management. Yet, there has not been a corresponding review of the information flows and the records keeping system.

WEAK RECORDS KEEPING INFRASTRUCTURE: Storage conditions are unsuitable and there is little planned disposition. A general disposal schedule was issued in 1996 and yet there has not been training of accounting staff who have custody of financial and accounting records in its use. At any rate, the General Schedule applies only to the financial records held in agency financial units. Its coverage is therefore limited and does not encompass financial records created in the course of executing the substantive functions of the central administration of finance. Thus financial records remain buried and inaccessible. For example, two huge cupboards in the Budget Division Secretariat are full to the brim with financial records. Nobody in the Secretariat remembers when there was a planned transfer of records out of the Division. Thus vast quantities of inactive records clog up valuable space making it impossible to retrieve any documents.

RECORD KEEPING MYTHS: There is a belief that the more complicated a procedure, and the more document created and maintained, the greater the security against fraud. On the contrary, the clogged filing cabinets are highly conducive to irregularity of every kind. Defining and simplifying procedures, reducing the paper generated and planning the records systems with an end result clearly in mind will provide substantial economies, create fewer but better records and promote accountability. If effectively managed as an integral part of the functional processes of financial management, financial records will provide a meaningful resource to the management of the Consolidated Fund.

INFORMATION TECHNOLOGY APPLICATIONS AND RECORD KEEPING
Poorly planned and executed information technology applications have been behind many of the problems. The introduction of computer technology in the public sector of Ghana is closely associated with policy based lending activities in the early 1980s. Computers were introduced in the central administration of finance as part of donor assistance to help enhance control over the machinery of public financial management and to improve efficiency.

The Integrated Personnel Payroll Database (IPPD) project is the largest and most complex information technology project in Ghana. The database combines information about public sector staff salaries and personnel data as a basis for payroll function for the public service. However, its objective of minimising the use of

cumbersome manual processes and allowing for a substantial reducing dependence on paper records was not achieved. Because those advocating immediate computerisation insisted on using paper-based records which were incomplete, inaccurate and poorly managed as input to the new database without verification, the information in the IPPD was untrustworthy and therefore, unusable.

This costly experience underscored the importance of having reliable records in well management record keeping systems before applying new IT 'solutions.' Successful applications of information technology must be build upon the solid foundation of efficient manual systems and the emphasis on any information system has to be 'I' rather than the 'T' of information technology.

In the central administration of finance, computerised information systems have been installed as components of separate projects responding to specific needs and are overlapping and incomplete in their coverage. The central administration of finance, like all other sectors of government, has no capacity to manage its electronic information, including its records. There are no standard operating systems or procedures to guarantee the reliability of the electronic records and ensure that while the available records are understandable and usable, they also have integrity and relevance.

Computerised information systems in themselves do not create well-structured information or records without proper attention to the principles and standards of records management. A formally established programme for the systematic management of electronic records should provide comprehensive coverage of the information life cycle from creation through utilisation, destruction or permanent preservation. While computers can manipulate information with great speed and precision, computer technology is not a solution to the weaknesses associated with existing paper systems in public financial management. The central administration of finance cannot manage electronic records if it cannot manage existing paper records; the two must be linked to maintain transactional context.

Even though little attention and few resources are provided for the management of paper-based financial records, the paper files remain the most reliable information resource available to public financial management and underpin the process of accountability.

SUMMARY OF THE KEY ISSUES: The records and the records system weaknesses in the financial bureaucracy include:

- absence of a policy on the significance of information to public financial management
- non existence of a procedural manual to provide clear and detailed guidelines on financial record keeping
- unwarranted assumption that the restructuring of financial business processes will automatically lead to the reform of the complex but almost decayed financial records management infrastructure

- failure of top management to demonstrate support and commitment to financial record keeping
- non-compliance with statutory requirements in relation to the establishment and maintenance of a well-structured financial records management systems.

Assessing the Impact of Poor Financial Record Keeping

Underlying the difficulties of financial reporting is the poor state of financial record keeping. The CAG did not report the public account for a period of ten years, from 1979-1989. When a multi-year report was finally submitted in 1990, the Auditor General withheld his certificate on the grounds that the report was incomplete and limited in coverage. Again, the reports covering the years 1989-1992 were submitted in 1993 in breach of statute. As before the Auditor general could not be persuaded to certify the report as representing a 'true' and fair view of the state of affairs of the Republic of Ghana.¹¹

The poor state of financial records management in public financial management has affected economic performance and accountability in government. Two areas of prime government activity illustrate this weakness. The first is the area of debt management. All governments enter into loan agreements as an accepted part of the conduct of public financial business. They commit themselves according to financial relationships, which may last for a very long period of time. Such relationships operate both nationally and internationally, between the government and local institutions and between the government and international institutions. There are implications for investments and the management of the Consolidated Fund. In his 1993 report the Auditor General drew attention to the failure by loan beneficiaries to repay government loans and observed that:

‘Beneficiaries of government loans who have defaulted in repaying the principal and interest due on the loan have not been identified and disclosed by the Controller and Accountant General in the public accounts as required by . . . We noted in connection with the above that even though accurate records on loans have not been maintained, evidence available to us indicate that additional loans were granted to Corporations’¹²

In the same report the Auditor General noted:

‘The position on foreign loans was unclear because of discrepancies between the records maintained by the Controller and Accountant General’s Department and the Ministry of Finance. Accordingly, we

¹¹ Government of Ghana, *Report of the Auditor General on the Public Accounts of Ghana (Central Government) for the Period Ended 31 December, 1992*. Accra 1993:207

¹² *ibid.*, p.31

could not validate the foreign indebtedness stated in the public accounts.¹³

In 1995, the State Housing Corporation was reported by a local newspaper, *the Ghanaian Times*,¹⁴ to have paid 400 million cedis to government through the Minister of Finance as the first instalment of 'end of service' loans covered by an agreement with the Minister in 1993. In the public accounts as at 31 December 1994, the CAG showed only ninety eight million cedis as the indebtedness of the Corporation to government, the same amount of indebtedness in the previous years' balance. The effect of this misrepresentation on the public accounts is that 'end of service' payments which are recoverable as loans were being charged on expenditure, thereby overstating expenditure reported in the accounts whilst understating government assets.¹⁵ The omissions and inaccuracies in the statements of the CAG point to the lack of complete and accurate records on government investments and loans.

The second illustration is drawn from the sphere of expenditure monitoring. Since the 1980's the Government of Ghana has not produced consolidated expenditure reports due largely to the non-compliance of the top managers with their statutory responsibilities to submit annual financial reports based on agency work programmes in relation to appropriations granted.¹⁶

The main agencies charged with responsibility for monitoring and evaluating the budget are the CAGD, public agency heads and the Ministry of Finance. Section 38 of the Financial Administration Decree requires the CAG to publish, for the purposes of expenditure management, the Monthly Financial Statement. The last time such a statement was published was in 1987, and it was in respect of the month ending 30 June 1980. The report was signed by the CAG on 28 October 1986, six years from the date of the report. It was subsequently published in the *Gazette* on 10 March 1987, seven years from the date of the report.¹⁷

The consequences of the poor financial record keeping systems is that accounts are produced in arrears rendering them of limited value for expenditure control and monitoring. The lack of appropriate feedback mechanisms, from operational levels to decision makers and the failure to integrate budgeting with accounting results in high cost to sound economic management.

The cutting edge of financial accountability is the link between financial policies and the programmes and government financial records. A well functioning public accountability system is built on the sufficiency, reliability and validity of information. Financial information is a valuable resource. It provides the public donor agencies and the international community of nations with knowledge of the

¹³ *ibid.*, p.207

¹⁴ 'SHC pays government C400 million out of ESB loan', *Ghanaian Times*, 15 July 1995, p.1

¹⁵ Auditor General, 'Auditor General's response to comments of the CAG's article in the *Daily Graphic and Ghanaian Times* of 21 November, 1995', Office of the Auditor General, Accra, 1995, pp.14-16

¹⁶ International Monetary Fund, *Action Programme on budget improvement*, Washington DC: IMF, 1989, p.9

¹⁷ Government of Ghana, *Report and financial statement of the Controller and Accountant General on the public accounts of Ghana (Central Government) for the Year Ending 31 December, 1994*, Accra, 1995, p.13

quality of government performance - whether unacceptable, only just barely acceptable or commendable. Every effort must be made to ensure that reliable financial records are captured as authentic, authoritative evidence in effective record keeping systems managed by qualified record keeping specialists.

Case Problems

Problem One

Financial record keeping is part and parcel of the systems for public financial management. Strengthening record keeping systems require that systems and procedures and in particular the systems of internal control are operating satisfactorily. Systems of internal control must be established and maintained to ensure

- the effectiveness and efficiency of financial operations
- the safe guarding of public assets
- the maintenance of proper financial and accounting records
- the reliability of financial information used in government or as a basis for published financial reports.

Provide an outline of the internal control mechanisms required to ensure that financial record keeping systems and financial information are relevant and reliable. A public officer has to be institutionally responsible for evaluating the internal control systems of the financial bureaucracy to determine what controls are in place and whether they appear to be operating as designed. Who is this officer and what ought to be his relationship with the head of the records service?

Problem Two

In the Republic of Zamani the importance of keeping financial records systematically and structuring them intelligently in relation to the agencies which have responsibility for public financial management has not been clearly understood. Financial records lie buried and inaccessible. Vast quantities of inactive records clog up valuable space making it impossible to retrieve any documents. Besides, there is the assumption that records and information management problems within public financial management can be resolved by information technologies. Yet, there are no policies, facilities and procedures for managing and preserving electronic records. The framework for meeting the requirements for ensuring the evidential value of electronic records has not been defined.

Identify the major stakeholders in financial accountability and submit a sensitisation proposal arguing the case that public financial records provide the means by which the public in Zamani will discern and measure the full stature of their government. Thus, the proposal should make a case for the recognition of the essential, but ignored conditions necessary for an effective and efficient machinery for public financial management. Furthermore, it should be argued that it is record keeping systems that establish the evidential significance of financial records.

Discussion Questions

1. Who are the principal/key users of financial information?
2. To what use is financial information put in the machinery of government?
3. What are the main components of a financial records keeping restructuring programme? (Bear in mind that the best mechanism for implementing change is to create a strategic plan.)
4. Provide a brief outline of the requirements for records storage in the central administration of finance.
5. Describe the factors that help to inform decisions on the appraisal of financial records.
6. State the main activities required to maintain a financial records keeping system.

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