

MANAGING PUBLIC
SECTOR RECORDS

A Training Programme

Managing
Public Sector Records:
Case Studies - Volume 3



INTERNATIONAL
COUNCIL ON ARCHIVES



INTERNATIONAL RECORDS
MANAGEMENT TRUST

MANAGING PUBLIC SECTOR RECORDS:
CASE STUDIES
VOLUME 3, CASES 25-34

MANAGING PUBLIC SECTOR RECORDS

A STUDY PROGRAMME

General Editor, Michael Roper; Managing Editor, Laura Millar

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RECORDS: CASE STUDIES
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Managing Public Sector Records: Case Studies - Volume 3, Cases 25-34

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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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3	Rosemary Murray-Lachapelle	Canada	Managing Electronic Documents In Office Systems Using IMOSA	Automating Records Services	
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
9	Roger Craig	Cayman	A Disaster Preparedness Plan for the Cayman Islands National Archives	Emergency Planning	
10	Chris Seifried	Canada	Management Decision Making and Teamwork Case Study	Strategic Planning	Automation
11	Greg O'Shea	Australia	The Transition to Electronic Government – The Challenge for Records Management	Managing Electronic Records	
12	Victoria Lemieux	Jamaica	The University of the West Indies: Registry Filing Room Procedures Improvement Project: The Use of Total Quality Management in a Records Management Environment	Analysing Business Systems	
13	Musila Musembi	Kenya	Development of Conservation Facilities in the Kenya National Archives and Documentation Services: A Case Study	Preserving Records	
14	Cassandra Findlay	Australia	Development and Implementation of the Immigration Department's New International Traveller Movements System	Automation	Organising and Controlling Current Records
15	Pino Akotia	Ghana	Management of Financial Records: The Ghana Case Study	Managing Financial Records	
16	Kathryn Patterson	New Zealand	National Archival Authorities and Public Sector Reform: A Case Study of the National Archives of New Zealand	Developing Infrastructures	
17	Charles Gibson	Belize	Revising Archival Legislation in Zomora	Developing Infrastructures	
18	Gail Saunders and Elaine Toote	Bahamas	Records Management - Building or Adapting a Records Centre Facility: The Case of the Bahamas Records Centre	Managing Records in Records Centre	Managing Resources

19	Henry Kemoni	Kenya	Managing Medical Records in Kenya: A Case Study of the Moi National Referral and Teaching Hospital, Eldoret	Managing Hospital Records	
20	Barbara Craig	Canada	Central Childrens' Hospital Merger and the Archives	Managing Hospital Records	
21	Setareki Tale	Fiji	Improving Records Control and Storage in Papakura	Managing Resources	Organising and Controlling Current Records
22	Musila Musembi	Kenya	The Management of Legal Records in the Commonwealth: A Case Study	Managing Legal Records	
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24	Ann Pederson	Australia	Appraising the Records of the Australian Shipbuilding Engineers Association (ASEA)	Managing Archives	Building Records Appraisal Systems
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
28	Ann Pederson	Australia	Management Case Study: Revising the Record Keeping Programme for the Widget Manufacturing Company	Current Records	Strategic Planning
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Case Study: Scheduling the Records of the Wagga Wagga Outpost of the NSW Forestry Commission

Ann Pederson¹

One of the functions of the NSW Forestry Commission (NSWFC) is to conduct research on Australian native trees and shrubs in New South Wales, Australia (NSW). In carrying out this mission, the NSWFC maintains seven outposts in different parts of NSW. Each of these has two related facilities. A laboratory studies the distribution and health of the native flora in its area, maintains a collection of plants under controlled conditions, and carries out important long-term research as to the causes and spread of plant diseases. A nursery breeds native plants for distribution free to citizens as part of a programme to encourage the growing of Australian flora and to replace natives in areas that have been depopulated from disaster or human intervention. The Outpost Administration Office serves as a central, co-ordinating point for record keeping activities.

The nursery operation in particular generates a number of records that are creating space problems in the offices. You have been retained to develop a functional retention schedule for these records which are described on the forms attached. The Government Records Repository at Kingswood has space available to store them, if needed, but remember that moving things takes time and effort and is not worth the trouble for under a three-year retention total. As you work, you may notice a number of inefficiencies with the record keeping and retrieval system. Please make suggestions for improvements as you will be required to upgrade the overall record keeping system starting next year.

YOU ARE TO MAKE DISPOSAL RECOMMENDATIONS: *On the two sided forms provided (use one side for each series), work out your recommendations in pencil, discuss them with your colleagues to achieve a final, harmonious result for all six.*

¹ Ms. Ann Pederson is a Senior Lecturer in Archives Administration and Records Management in the School of Information, Systems, Technology and Management at The University of New South Wales in Sydney, Australia.

Born and educated in the USA, Ann holds BA [Hons.] and MA degrees in history and is a qualified secondary teacher. She spent ten years with the Georgia Department of Archives and History in a number of capacities, including five years as Director of the Archives Division, with responsibility for all archival functions.

Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).

- 1 Designate the 'office of record' ie the office with the *ultimate authority* for managing the series concerned.
- 2 Prepare disposal recommendations for each of the six series.
- 3 Explain your considerations and justify your recommendations.
- 4 Describe any changes to the current records systems that you would suggest and write amended disposal recommendations that are needed to incorporate these changes after they are implemented.

RECORD SERIES TO BE SCHEDULED: *Six in all (see attached summary descriptions)*

Applications to Obtain Native Plants (1952-) 28 metres.	Nursery Operations Monthly Statistics (1976-) 2.5 metres.
Catalogues of Native Plants Available At Wagga Wagga (1928-) 20 metres.	Seedling Recipients Card Files (1925-) 20 metres.
Native Seedling Distribution Receipt Books (1945-) 600 books.	Wagga Wagga Forestry Commission [FC] Outpost Annual Reports (1939-) 2 metres.

NOTE: If a series has multiple copies or versions, your instructions for that series must explain what is to happen to each one of them.

DISPOSAL RECOMMENDATIONS: *Use the form of words below for expressing disposal recommendations. Remember, clarity, consistency and completeness are the hallmarks of good disposal instructions. They must be understood by administrative staff without need for further consultation.*

Form of Words to be Used in Writing Disposal Instructions:

Close OFF by _____ at the end of _____;

(how - by what methods) (interval/date)

Hold in current office area for _____;

(time period)

Transfer to _____ for _____;

(location) (time period)

then _____

(Retire to Archives OR Destroy)

Example of Disposal Instructions: RECORD REQUEST FORMS(3 PART FORM)

Original: Close by opening new part at the end of the calendar year;

Hold in current office area for 1 year;

Then Destroy

Yellow Copy: Retained by requestor as a record of his/her work. Do not file.

Pink copy: When retrieving records, place in carton as a record of removal of documents; upon refile of records, remove from box; check against documents and original of form to insure correct refile and completeness/condition of records; then destroy. Do not file.

**WORKSHEET FOR SUMMARY DISPOSAL SCHEDULE WAGGA WAGGA FORESTRY COMMISSION
OUTPOST**

SERIES INFORMATION/REASONS

DISPOSAL RECOMMENDATIONS/INSTRUCTIONS

Series Title/Inclusive Dates:

Present Accumulation & Future (if no change to overall system)

Critical Characteristics/Factors/Reasons Affecting Retention

Designated Office of Record All Other Offices

Instructions:

Instructions:

New Instructions to accommodate recommended changes in system described at left.

**Recommendations for changes to the management/handling
of this series in future:**

Designated Office of Record

All Other Offices

Instructions:

Instructions:

<p>JUSTIFICATIONS/EXPLANATIONS:</p> <p>SERIES 1. Application to Obtain Native Plants. 1952 - date</p> <p>Reasons to Keep: Name, address, application and reason for wanting plants are all important and this is the only series that has this info. Knowing where plants are going and reasons for obtaining useful for long-term study of plant diseases and forestation patterns which is main research of lab.</p> <p>Reasons to Toss: Voluminous and overlaps with Seeding Recipient Cards. Does not document actual receipt of plants which form the basis for long-term study.</p> <p>Future Accumulation: Present year onward.</p>	<p>DISPOSAL RECOMMENDATIONS/INSTRUCTIONS:</p> <p>Disposal Instructions for Existing Accumulation: 1952-Date <u>Office of Record:</u> NURSERY</p> <p><u>Yellow:</u> Transfer to client with plants. <u>Pink:</u> Close file when Monthly Reports are prepared; cut off when new annual report prepared, hold in office for 1 year; then destroy.</p> <p><u>White Original:</u> Transfer to Outpost Administration Office <u>All Other</u> Outpost Administration Office. <u>Offices:</u> <u>White Original:</u></p>
<p>1 Research value of information is high and applications are origination of process of marketing and distribution of plants. Consolidation of this series with Receipts series is more efficient, then use resulting hybrid record as the input or source document for a new Seedling Distribution Database. This database becomes a source for plant distribution data needed for monthly and annual reports.</p> <p>2 Documentation of disapprovals is important as it sets precedents. Separate into 2 series: Approved Applications to Obtain Native Plants and Disapproved Applications to Obtain Native Plants.</p> <p><i>Disapproved Series:</i> Has evidential importance as it sets precedent for policy on distribution. Important to retain for research purposes; explain why some requests were refused.</p>	<p><u>1952-1995:</u> Close file following input to Seedling Recipient Cards; verify accuracy of data; cut off when new annual report issued; then transfer to State Archives. Note: Retrospective conversion of old applications may be necessary to get reasons, but it is very important for research and may be done off-site ie at archives repository) so that office space can still be freed up.</p> <p><u>Future Accumulation:</u> a) Disposal instructions for <u>Disapproved Series</u> would read <u>Yellow:</u> to client. <u>Pink:</u> destroy.</p> <p><u>White:</u> Close file after input to Monthly Reports; cut off when new Annual Report prepared, hold in office for 1 year; then retire to archives.</p>

Approved Series: Check on information that goes into Nursery Monthly and Administration Annual Reports. Be sure that information about Recipient's address, reason for wanting plants, and proposed planting location are recorded on Seedling Distribution Database

b)

Approved Series.

Yellow: Transfer to client with plants.

Pink: Close file when Monthly Reports are prepared; cut off when new annual report prepared, hold in office for 1 year; then destroy.

White Original: Transfer to Outpost Administration Office

All Other Offices: OAO:

White Original: Close file following input of selected information (as above)

into New Seedling Distribution Data Base, verify data cut off when new annual report prepared, hold in office for 1 year and destroy.

[See justification/explanation notes on management of new electronic database and related records under Seedling Recipient Card Files series]

SERIES 2. Catalogues of Native Plants Available at Wagga Wagga Outpost. 1928-date

Reasons to Keep:

Important to document varieties available, terms and conditions for obtaining plants, as well as types of feature articles the NSW Commission prepared for the public ie show attitude of agency to public, changes in advice. Continually useful in nursery office as sources for terms of distribution, 'how to' articles and design features for producing new catalogues ie may want to reprint items from earlier catalogues. Also, it is a general archival rule to keep a 'record or archival set' consisting of 1 security and 1 reference copy of all issues of all publications issued by an entity. Thus it is important to have a complete set accessible in the creating office and a record set sent to archives.

Reasons to Toss:

Lots and lots of copies. Once each growing season is ended, information is less and less relevant. Not all catalogues have date of issue. Key problem is the large backlog of multiple copies of superceded catalogues and need to control excess copies.

Changes or Cautions: Need to discern how many issues were produced so you can be sure you have a minimum of three copies of each. May need to draw up a 'want' list of those missing to circulate among former staff or clients. Be sure that production procedures include putting date of issue on each new catalogue. Filming or scanning may be an option for complete series, but it should be considered only if sufficient research demand. In general, such filming would be undertaken by the archives, not the outpost and thus would lie outside your brief. [See notes on microfilming/scanning of Annual Reports]

Disposal Instructions for Existing Accumulation:

Office of Record: Nursery

Close file upon issue of new catalogue;

- 1) Send set (2 copies of each new catalogue) to archives.
- 2) Retain one copy as part of 'master' set in current office area for continuing reference.
- 3) Distribute individual copies en masse according to policy and as requested over 1 year:

Then, destroy 50% of all copies remaining for each year over 5 years; destroy all remaining copies more than 5 years old;

All other Offices: Destroy when superceded and no longer needed for reference or after 5 years.

<p>SERIES 3. Native Seedling Distribution Receipt Books. 1945-date</p> <p>Reasons to Keep: Documents actual distribution of plants. Even though plants are given away free, transaction has financial implications (expenditure of public money to grow/care for/distribute plants); therefore, records may be required for fiscal audit (3-7 years).</p> <p>Reasons to Toss: Duplicates some information on Applications to Obtain Native Plants. Receipts are a voluminous, low level routine record; authoritative aggregated data ie cash journals, summary reports are much preferred.</p> <p>Changes: Eliminate this series by revising Application to Obtain Native Plants form to include types and quantities of plants actually supplied and date of pick up and authorising officer. No future records, therefore no new instructions required.</p>	<p>Disposal Instructions for Present Accumulation: Office of Record: NURSERY</p> <p><u>Original:</u> Transfer to client with plants.</p> <p><u>Bound Copy</u> Close file at end of each book; Transfer completed books to Outpost Administration Office.</p> <p>All Other Outpost Administration Office</p> <p>Offices: <u>Bound Copy:</u> Close after recording selected information on Seedling Recipient Cards; cut off at end of calendar year; hold 12 months; transfer to storage (or repository); hold for 6 years, destroy.</p> <p>Future: Series is <i>eliminated</i> through consolidation with Application Series.</p>
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SERIES 4. Nursery Operations Monthly Statistics. 1976-date

Reasons to Keep:

Information on resources utilised in operations, amount of saleable plants produced, amount of same distributed, distribution of work of staff and narrative of problems/issues are all valuable in gaining a picture of operations; small volume of series.

Possible long-term significance for Worker's Compensation Cases, i.e. insecticide handling would show up in staff duties...+ Reports may be used to allocate future staff duties or alter job descriptions...so one copy (preferably WHITE) might have a longer retention - depends on whether or not similar documentation is present in other personnel records generated and held by Human Resources section of Forestry Commission.

Reasons to Toss:

Considerable duplication of information in Annual Reports for Outpost. The archival rule is that, in general, information should be kept in most concise form, ie Annual Reports instead of Monthly, unless important data is not recorded there. Thus it is critical to check degree of overlap in info (annual reports and personnel records) and to ensure that the narrative segments of the monthly reports which have legally important data are kept for the necessary time

Changes:

- 1) For conservation reasons, send PINK copy to Outpost Administrative Office and keep original in nursery since it has a long retention.
- 2) Better to schedule effective review of what information is transferred to Annual Report series and of information regarding workers' duties held in personnel records with the aim of eliminating the need for long retention of these records.

Disposal Instruction for Existing Accumulation

Office of Record: NURSERY.

Original: Transfer to Outpost Administrative Office

Copy: Cut off upon issue of annual report; hold in current files in nursery for 5 years, destroy.

All Other Offices: Outpost Administration Office

Original: Close file upon issue of new Wagga Wagga outpost Annual Report, hold in current files area for 1 year, then transfer to records repository, hold for 75 years, then destroy.

Note: This assumes that personnel does not hold similar or better documentation of narrative information on work assignments with hazardous substances.

SERIES 5. Seedling Recipients Cards Files 1925-date

Reasons to Keep

Began 1925 and is earliest/only series reflecting activity before 1939, important to know who received what types of trees, when, and where to trace plant diseases, catastrophes, forest expansion, and growth of appreciation of natives, etc. This series is the most important for the laboratory's ongoing research function into the health and reforestation of the native flora across the state.

Unclear whether reasons for requesting plants are recorded here at all and, if so, were recorded before 1952 ie when application forms were introduced. If not, then pre-1952 records are not as valuable as post, assuming that the reasons HAVE been recorded on the Cards. If the reasons have not been recorded, it will be necessary to keep the Applications as well to obtain a complete record.

Reasons to Toss:

Voluminous (ie two shelf metres annually). Two files of overlapping, but not fully duplicated information; are both needed and used equally? Because researchers are interested in health of trees/plants, it is likely the Plant file will be most heavily used. Whether or not recipients are deceased is *irrelevant*, as many requests are in the names of organisations or businesses and anyway, some plants, particularly trees, live longer than people.

Changes:

This series and Applications to Obtain Native Plants can be consolidated and appear to be suitable for automation to create a most interesting and valuable cumulative database. With automation, receipts could be generated by computer and the applications series would provide the major information input.

If changes were made to create a new Seedling Distribution Database, existing affected series would be given one-time disposal schedule to handle all retrospective material and new ongoing schedule would need to be drawn up to ensure proper documentation.

Disposal Instructions for Existing Accumulation: 1925-date

Office of Record:

OUTPOST ADMINISTRATIVE OFFICE

a Card File Arranged by Type of Plant:

Close by opening new part when card is full cut off at end of calendar year; hold in current files area 2 years, retire to State Archives.

b Card File Arranged by Name of Recipient:

Close by opening new part when card is full cut off at end of calendar year; hold in current files area.

All Other Offices: N/A.

Future Accumulations: *Disposal Instructions: Instructions will need to be devised for the following records:*

1) *Native Plant Seedling Distribution Database Source/Input Documents:* Originals and Copy(ies): See recommendations made under changes to Series 1: Applications to Obtain Native Plants.

2) *Native Plant Seedling Distribution Database Documentation:* instructions needed for vital records protection of 'live' database by prescribing interval at which an archival security back-up is to be downloaded and what media/format will be used for that purpose ie magnetic or optical media, hardcopy, microform, etc. This will have the effect of 'closing' the file, then you should have attempted to write instructions on where, when, what format and how long you would retain the following types of system documentation: Fr Example:

a) *Archival Security Back-up of Cumulative Master File:* Seedling Distribution Database Master Computer Tapes: Create back-up security master after each update and send to archives. After verification of each new update, hold superceded master tapes in archives for 2 updates then destroy or re-cycle.

Disposal Aspects of Electronic Information and/or Record Keeping Systems:

Native Plant Seedling Distribution Database - Input based on hybrid source document series (applications, receipts) and incorporating information elements drawn from old series (card files). Two tasks need to be addressed: 1) design of new database (based upon desired elements from old series and any new data that they might not have previously recorded, but which would improve research in future AND 2) retrospective conversion of data from card files to database. Assuming that the Client and Plant versions are different configurations of the same data, the old card files series could closed at the end of the year following the implementation of the new database and one of them (whichever the office prefers) transferred to a quiet location where the conversion project could proceed without the hurly burly of daily reference.

- b) Any Outputs in any format: Consists of a number/variety of Occasional or Regular Reports from the database which are used for research and to provide input into Monthly and Annual Reports.
- c) Metadata of Database Design & Management: any information needed to document and operate the database

<p>SERIES 6. Wagga Wagga FC Outpost Annual Reports. 1939-date</p> <p>Reasons to Keep:</p> <p>Required by law of all public offices. Appears to be the most concise and fullest summary of post activities. Relatively compact series which acts as an 'index' to important occurrences. Again, archival guideline of sending a 'record set' to archives holds. (see instructions for Catalogues). Unknown disposal arrangements for annual reports of all outposts presumably held by Head Office of the NSW Forestry Commission (NSWFC). Certainly if the Head Office kept reports of all Outposts, it would be more efficient for the 'record or archival set' to be sent from them rather than from each issuing outpost, so that would need to be incorporated in the schedule.</p> <p>Reasons to Toss:</p> <p>Have many extra copies from present and past years lying around so these and the total number being produced need to be reviewed.</p> <p>Future Accumulation:</p> <p>Notes: Microfilming is a possibility, but should be studied for implementation at State-wide level, not just one Outpost. It should not be done unless full documentation i.e. complete runs of reports are available and must be planned at intervals so as to film in <u>complete</u> reels or fiche, not fragments.</p>	<p>Disposal Instruction for Current Accumulation:</p> <p>Office of Record:</p> <p>OUTPOST ADMINISTRATION OFFICE</p> <p>Close file upon issue of new Annual Report;</p> <ol style="list-style-type: none"> 1) Send 2 copies of each new report to archives. 2) Retain one copy as part of 'master' set in current office area for continuing reference. 3) Distribute individual copies en masse according to policy and as requested over 1 year: <p>Then, destroy 50% of all copies remaining for each year over 5 years; destroy all remaining copies more than 5 years old.</p> <p>All other Offices: Destroy when superseded and no longer needed for reference or after 5 years.</p>
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Abstracts from Applications for Records Disposal/Retention Schedule Descriptions of Series at Wagga Wagga

*****SERIES 1*****

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention Forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 10-11-98

Application Number: 99-1

Date Completed: 12-01-99

Date Approved/Implemented:

- 1 **Agency Applying:** Nursery Section, Wagga Wagga Outpost NSW Forestry Commission
- 2 **Person to Contact:** Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*
- 3 **Action Requested:**
 - a Establish Retention Schedule: record will continue to accumulate
 - b Dispose of present accumulation. no further accumulation anticipated
 - c Amend Application No. () Check One: Change Supersede: Void:
- 4 **Creating/Custodial Agency:** as above
- 5 **Predecessor/Successor Custodial Agency(ies) to 4.:** N/A not applicable
- 6 **Recommended Records Series Title:** Applications to Obtain Native Plants
- 7 **Dates of Series:** *Earliest* 1952 *Latest* to date
- 8 **Creating/Custodial/Office Function/Work Activity Related to Records:**

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of

seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to disaster or human intervention. The forms in this series are issued by the Nursery Office.

9 Record Series Description: (*Attach samples of the file if needed for clarification*)

a Records relating to: Requests from citizens, garden clubs, down officials, etc. for the free distribution of native plants grown by the nursery.

b Included are: Form FC101 (3 parts. original. pink copy, yellow copy), 16 cm x 24 cm. which contains the following information: requestor's name, address, and institutional or organisational affiliation (if applicable and not stated previously); type and quantity of plants requested; reason for request (boxes to tick list beautification/landscaping. reforestation with sub-categories of why reforestation is needed, and other which requestor must explain; approval/disapproval of request. the latter requiring some explanation, authorising officer, and date of authorisation.

NOTES: Requests generate 3 parts. Yellow and pink copies go to nursery as order to be filled, with the yellow going to the client with the plants and the pink staying in the nursery files for input to monthly statistics. White goes to the WWFC Outpost Administration Office and provides input to Seedling Recipient Cards and Annual Reports.

c Representative or notable content:

d Series is arranged: Chronologically by running number

10 Related Series: Native Seedling Distribution Receipt Books, Nursery Operations Monthly Statistics, Seedling Recipients' Card Files, Outpost Annual Reports

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 300 : Seven to twelve months old: 150 Thirteen to twenty-four months old: 10 twenty-five months & and older: 0

12 Current accumulation of Records: 28 s.m.

a Current Office: 28 S.M. Total

Drawers: (1 M.) Shelves (2) Other (describe):

b Other Storage Area: 0 S.M Total Location of Area

Drawers (); Shelves () Other (describe):

13 Annual rate of accumulation of record: 2 S.M. Total

Drawers (1 M.) Shelves (2) Other (describe):

*****SERIES 2*****

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 14-11-98

Application Number: 99-2

Date Received for Consideration: 12-01-99

Date Approved:

1 Agency Applying: Nursery Office, Wagga Wagga Outpost NSW Forestry Commission

2 Person to Contact: Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*

3 Action Requested

a Establish Retention Schedule: record will continue to accumulate

b Dispose of present accumulation. no further accumulation anticipated

c Amend Application No. () Check One: Change Supersede: Void:

4 Creating/Custodial Agency: as above

5 Predecessor/Successor Custodial Agency(ies) to 4. N/A not applicable

6 Recommended Records Series Title: Catalogues of Native Plants

7 Dates of Series: *Earliest:* 1928 *Latest:* to date

8 Creating/Custodial/Office Function/Work Activity Related to Records:

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to

disaster or human intervention. This series is compiled and sent out by the Nursery Office.

9 Record Series Description: (*Attach samples of the file it needed for clarification*)

a *Records relating to:* publicising the types and quantities of native plants available for distribution to the public

b *Included are:* Printed booklets, A-4 size, with slightly heavier paper covers fixed with 3 staples on the left side. Number of pages vary. Information contained in the booklets varies, but generally sets out the terms and conditions of distribution of plants. at the Wagga Wagga FC Nursery, describes types of plants and quantities available per customer. Occasionally there is some feature on planting and caring for particular plants, or a report of recent activities at the outpost. Catalogues were published more or less annually, but not all are dated on the title page.

NOTE: There are many copies of these booklets, but it is not certain whether or not there is at least one copy of every one issued.

c *Representative or notable content:*

d *Series is arranged:* Chronologically by date of publication

10 Related Series: Wagga Wagga Forestry Commission Outpost Annual Reports

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 1000 ; *Seven to twelve months old:* 200 *Thirteen to twenty-four months old:* 0 *twenty-five months & and older:* 0

12 Current accumulation of Records: 50 s.m.

a *Current Office:* 22 S.M. Total

Drawers: () Shelves (17) Other (describe):

b *Other Storage Area:* 28 S.M Total Location of Area: store room next to office

Drawers (); Shelves (20) Other (describe):

13 Annual rate of accumulation of record: 9 S.M. Total

Drawers () Shelves (5) Other (describe):

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 20-11-98

Application Number: 99-3

Date Received for Consideration: 15-01-99

Date Approved:

1 Agency Applying: Nursery Section, Wagga Wagga Outpost NSW Forestry Commission

2 Person to Contact: Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*

3 Action Requested

- a Establish Retention Schedule: record will continue to accumulate
- b Dispose of present accumulation. no further accumulation anticipated
- c Amend Application No. () Check One: Change Supersede: Void:

4 Creating/Custodial Agency: as above

5 Predecessor/Successor Custodial Agency(ies) to 4. N/A not applicable

6 Recommended Records Series Title: Native Seedling Distribution Receipt Books

7 Dates of Series: *Earliest:* 1945 *Latest:* to date

8 Creating/Custodial/Office Function/Work Activity Related to Records:

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to disaster or human intervention. This series is used by the Nursery Office.

9 Record Series Description: (*Attach samples of the file it needed for clarification*)

a *Records relating to:* logistical data on actual pickup of plants by approved requestors.

b *Included are:* Form FC102 (2 part forms bound In receipt book) 9 cm x 20 cm entries, 3 to an A-4 page. Information contained includes: name of recipient, types and quantities of plants, date of pick-up, nursery storeman's initials. 100 pages per book.

NOTE: Completed books are sent over to outpost Administration Office for input to Seedling Recipient Cards. Information on receipts is abstracted and recorded on the cards.

c *Representative or notable content:*

d *Series is arranged:* Chronologically by running receipt number.

10 Related Series: Applications to Obtain Native Plants, Nursery Operations Monthly Statistics, Seedling Recipients' Card Files, Outpost Annual Reports

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 100 : *Seven to twelve months old:* 0 *Thirteen to twenty-four months old:* 0 *twenty-five months & and older:* 0

12 Current accumulation of Records: 5 s.m.

a *Current Office:* 5 S.M. Total

Drawers: () Shelves (3) Other (describe): 600 books

b *Other Storage Area:* 0 S.M Total Location of Area:

Drawers () Shelves () Other (describe):

13 Annual rate of accumulation of record: .2 S.M. Total

Drawers () Shelves () Other (describe): 24 books

*****SERIES 4*****

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 22-11-98

Application Number: 99-4

Date Received for Consideration: 15-01-99

Date Approved:

1 Agency Applying: Nursery Section, Wagga Wagga Outpost NSW Forestry Commission

2 Person to Contact: Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*

3 Action Requested

- a Establish Retention Schedule: record will continue to accumulate
- b Dispose of present accumulation. no further accumulation anticipated
- c Amend Application No. () Check One: Change Supersede: Void:

4 Creating/Custodial Agency: as above

5 Predecessor/Successor Custodial Agency(ies) to 4. N/A not applicable

6 Recommended Records Series Title: Nursery Operations Monthly Statistics

7 Dates of Series: *Earliest:* 1976 *Latest:* to date

8 Creating/Custodial/Office Function/Work Activity Related to Records:

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to disaster or human intervention. This series is compiled by the Nursery.

9 Record Series Description: (*Attach samples of the file it needed for clarification*)

a *Records relating to:* documenting production and distribution of native plants, consumption of water, power, and fertiliser; staff hours and activities.

b *Included are:* Single sheet. A-4 Forms FC204 which records the following statistical information: report date, person preparing report, varieties and quantities of plants grown, varieties and numbers of plants distributed, total number of clients served, beginning and ending readings on gas and electricity metres, kilos of fertiliser used, type and quantities of pest control chemicals used, number of staff employed and hours and type of duties of each, including leave taken.

NOTE: This report is prepared In duplicate, original is sent to Outpost Administrative Office where it is used to prepare the Annual Report. The copy remains in the Nursery files for reference. There is a narrative section where significant staff and operational problems, issues are reported.

c *Representative or notable content:*

d *Series is arranged:* Chronologically by year, thereunder by month

10 Related Series: Applications to Obtain Native Plants, Native Seedling Distribution Receipt Books, Seedling Recipients' Card Files, Outpost Annual Reports

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 6; Seven to twelve months old: 3 Thirteen to twenty-four months old: 0 twenty-five months and older: 0

12 Current accumulation of Records: .5 s.m.

a *Current Office:* .5 S.M. Total

Drawers: (1) Shelves (3) Other (describe):

b *Other Storage Area:* 0 S.M Total Location of Area:

Drawers () Shelves () Other (describe):

13 Annual rate of accumulation of record: .05 S.M. Total

Drawers (.05) Shelves () Other (describe):

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 20-12-98

Application Number: 99-5

Date Received for Consideration: 18-01-99

Date Approved:

1 Agency Applying: Nursery Section, Wagga Wagga Outpost NSW Forestry Commission

2 Person to Contact: Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*

3 Action Requested

- a Establish Retention Schedule: record will continue to accumulate
- b Dispose of present accumulation. no further accumulation anticipated
- c Amend Application No. () Check One: Change Supersede: Void:

4 Creating/Custodial Agency: as above

5 Predecessor/Successor Custodial Agency(ies) to 4. N/A not applicable

6 Recommended Records Series Title: Seedling Recipients Card Files

7 Dates of Series: *Earliest:* 1925 *Latest:* to date

8 Creating/Custodial/Office Function/Work Activity Related to Records:

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to disaster or human intervention. This series is compiled and maintained in the WWFC Outpost Administration Office.

9 Record Series Description: (*Attach samples of the file it needed for clarification*)

a *Records relating to:* persons, institutions, or organisations that have received distributions of native plant seedlings

b *Included are:* Index Cards, 8 cm x 13 cm with the following information: name and address of recipient, type and quantity of plants distributed, date of distribution. There are two parts to the series: a primary card file set up by name of recipient, listing all data above and a second cross-referencing card file set up by type of plant, giving name of recipient and date of distributor

NOTE: These cards have never been weeded of deceased recipients.

c *Representative or notable content:*

d *Series is arranged:* Card File 1: Alphabetically by full name of recipient and thereafter chronologically by date with most recent entry last; Card File 2: Alphabetically by name of plant and thereafter chronologically by date with most recent entry last

10 Related Series: Applications to Obtain Native Plants, Native Seedling Distribution Receipt Books, Nursery Operations Monthly Statistics, Wagga Wagga Outpost Annual Reports

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 600 : Seven to twelve months old: 450 Thirteen to twenty-four months old: 300 twenty-five months and older: 150

12 Current accumulation of Records: 20 s.m.

a *Current Office:* .5 S.M. Total Drawers: (20) Shelves ()
Other (describe):

b *Other Storage Area:* 0 S.M Total Location of Area:
Drawers () Shelves () Other (describe):

13 Annual rate of accumulation of record: .5 S.M. Total

Drawers (.5) Shelves () Other (describe):

APPLICATION FOR RECORDS RETENTION SCHEDULE

INSTRUCTIONS: Prepare one application form for each series. Read the separate sheet entitled 'Instructions for Completion of Application for Records Retention forms' and 'Appraisal Guidelines for Records Retention Schedules'. *Final copies the applications should be typed or printed in ink using block letters.*

FOR AGENCY USE:

Name of Responsible Archival Authority: Erewhon National Archives

Application Filing Date: 1-01-99

Application Number: 99-6

Date Received for Consideration: 22-01-99

Date Approved:

1 Agency Applying: Nursery Section, Wagga Wagga Outpost NSW Forestry Commission

2 Person to Contact: Jim Stokes *Working Title* Nursery Manager *Tel/FAX/email:*

3 Action Requested

- a Establish Retention Schedule: record will continue to accumulate
- b Dispose of present accumulation. no further accumulation anticipated
- c Amend Application No. () Check One: Change Supersede: Void:

4 Creating/Custodial Agency: as above

5 Predecessor/Successor Custodial Agency(ies) to 4. N/A not applicable

6 Recommended Records Series Title: Wagga Wagga Forestry Commission Outpost Annual Reports

7 Dates of Series: *Earliest:* 1939 *Latest:* to date

8 Creating/Custodial/Office Function/Work Activity Related to Records:

The Wagga Wagga Outpost of the New South Wales Forestry Commission (NSWFC) conducts research on Australian native trees and shrubs, as one of seven outposts across the state. Each of these outposts has two related facilities: 1) a laboratory which studies the distribution and health of the native flora in the area and maintains a collection of plants under controlled conditions, AND 2) a nursery which breeds native plants for distribution free to citizens as part of a programme to encourage the growth of Australian flora generally and to replace natives in areas which have been depopulated due to

disaster or human intervention. The Outpost Administration Office issues this series.

9 Record Series Description: (*Attach samples of the file it needed for clarification*)

a Records relating to: reporting the annual production and distribution of native plants, the experiments and achievements of the research lab and the general operations and activities of the outpost as a whole.

b Included are: Individual annual reports(copies) in A-4 format. pages vary in number from year to year. Information included In the reports also varies but generally reports: names and positions held by staff, organisational structure statistical tables and charts with figures on seedlings grown by type seedling distributed by type types and outcomes of research projects undertaken distribution of plants by geographic area distribution of diseases/pests by geographic area categories and distribution of requests for seedlings by geographic area consumption of water, power, fertiliser, insecticides, new strains of plants developed. problems or issues faced by the Outpost.

NOTE: These reports are quite voluminous because they are required by law and are widely distributed to Forestry Commission Headquarters, other outposts, other government bodies, forestry industry bodies, legislators and members of the public. Little has been done to weed out large numbers of duplicates or to ensure that copies of annual reports from other governmental bodies and outposts are not mixed in with those from Wagga Wagga.

c Representative or notable content:

d Series is arranged: Chronologically by year

10 Related Series: Applications of Obtain Native Plants, Native Seedling Distribution Receipt Books, Nursery Operations Monthly Statistics, Seedling Recipients Card Files

11 Monthly Reference Rate: How often in any month are records referred to which are:

One to six months old: 30 : Seven to twelve months old: 30 Thirteen to twenty-four months old: 10 twenty-five months and older: 10 NOTES: multiple copies of old reports in store room.

12 Current accumulation of Records: 21.5 s.m.

a Current Office: 3.5 S.M. Total Drawers: () Shelves (2)

Other (describe):

b Other Storage Area: 18 S.M Total Location of Area: store room adjacent to office

Drawers () Shelves (13) Other (describe):

13 Annual rate of accumulation of record: 3 S.M. Total

Drawers () Shelves (2) Other (describe):

*****end of relevant series to be scheduled*****

Appendix 1

Steps for Preparing a Retention/Disposal Schedule for Official Records

- 1) Prepare, and receive top management approval of and a plan and timeframe for the disposal scheduling programme.
- 2) Conduct background research on the organisation, structure and activities of the creating body or office to gain insight into the context in which the records are created and used. This phase involves gathering and studying sources such as organisation charts and annual reports and interviewing key administrators and records custodians.
- 3) Survey of existing records, beginning with the inactive ones in storage areas, moving to those in current use in offices. The object of the survey is to identify the various record series created or maintained by each office. The following information should be collected and summarised for each series:
 - details of the nature, organisation, content and condition of the records and their relation to any indexes or filing plans
 - details on numbers of copies and different formats (computer, microfilm etc) comprising the series
 - whether the information in the series is substantially duplicated in any other record series or is summarised or published regularly in reports
 - accumulation rates of the records per year and how often they are referred to and by whom
 - details of any existing legal, financial or administrative regulation requiring the series to be kept for a specified period.
- 4) Using the information obtained via the survey, determine the length of time each series should be stored in current offices and when it should be moved into lower cost intermediate storage. This should be established for each version of the record, the original and all copies in whatever format they may occur.
- 5) Appraise each series for archival retention utilising the appraisal checklist. (Only 3 to 7% of the total of records created will usually be of archival value. The remainder can be destroyed appropriately according to the disposal sentences established at step 4).
- 6) Draft a disposal sentence for each series. This should describe when the series is to be considered closed, how long it should remain in current office storage, where and when it should be transferred, and its ultimate fate - either as an archive or to be destroyed.

- 7) Review the draft sentence with the management and administrative personnel responsible for the care and use of the records and with appropriate legal and financial experts. Revise the sentences according to their advice and obtain their approval for the final recommendations.
- 8) Prepare finished disposal schedule and issue it formally bearing the signatures of appropriate administrative, financial and legal authorities.
- 9) Assemble the appropriate office personnel to explain the disposal schedule and develop plans for its implementation. Training sessions for the implementation of the sentences may be necessary.
- 10) Assist and supervise the implementation of the disposal schedule.

Appendix 2

Application for Records Disposal/Retention Schedule Form

Name of Record keeping Authority: -----

APPLICATION FOR RECORDS DISPOSAL SCHEDULE

Instructions: See separate sheet entitled 'Instructions for Completion of Application for Records Disposal Schedule'. Final copies of the Application should be typed or printed in ink using block letters. In automated systems, the application could become an online form to clients to complete.

1. Name/Address of Agency Applying:

FOR RECORD KEEPING AUTHORITY USE

Date Received:

Application Number:

Date Completed/Approved:

Disposal Authority Code/Number:

2. Person to Contact

Telephone:

Working Title:

FAX:

Work Location:

Email:

3. Action Requested:

a. Establish Disposal Schedule; record will continue to accumulate

b. Dispose of present accumulation; no further accumulation anticipated

c. Amend Application No. Tick One: Change: Supercede: Void

4. Name and Address of Creating/Custodial Agency or Unit:

5. Names of Major Predecessor/Successor Custodial Agency(ies) to 4.

6. Recommended Records Series Title 7. Dates of Series

Earliest

Latest

8. Creating/Custodial/Office Function/Work Activity Relating to the Record Series

9. Record Series Description: (*Attach copies of the documents as a sample, if needed for clarification*)

- a. Documents relating to:

- b. Included are:

- c. Representative or notable content:

- d. Series is arranged

10. Related Series

11. Monthly Reference Rate: How often in *one month* are records referred to which are:

- One to six months old _____; Seven to twelve months old _____;
- Thirteen to twenty-four months old _____; Twenty-five months and older _____;

12. Current Accumulation of Records: *l.m. = linear metres*

<i>Current Office:</i> _____ <i>l.m. Total</i>	<i>Other Storage Areas:</i> _____ <i>l.m. Total</i>
Drawers ()	Drawers ()
Shelves ()	Shelves ()
Other (describe):	Other (describe):

13. Annual Rate of Accumulation of Record: _____ l.m. Total

Drawers () _____; Shelves (); Other (describe):

COMPLETE AND ATTACH AN APPRAISAL WORKSHEET TO THIS FORM: *Consult the information gathered on the Appraisal Worksheet to complete entries for item 14 and 15. Confer with agency contact officer and/or persons he or she designates to complete entry for item 16.*

14. Retention Requirements The following requires the series to be kept:

a. State Law (_____) years.	d. Audit period (_____) years.
b. Statute of limitation (_____) years.	e. Administrative need (_____) years.
c. Commonwealth Law (_____) years.	f. Disposal authority (_____) years.
<i>(Attach a copy or excerpt of disposal authority, laws or regulations. Explain administrative need)</i>	

15. Approved Disposition Instruction: Tick and complete all options necessary to ensure a complete and final instruction. This agency recommends that the units of the record series be closed by ceasing to add papers to existing units/folders as follows:

Close File _____

(state method and interval of closure, i.e. at end of each financial year; when file gets 6 cm thick)

Cut Off Series accumulation into segments based on the following timeframe

(explain when i.e. at end of term of office, when new elections are held, or at end of 3 years, etc.)

THEN [tick one or more of the options below as applicable]

maintain in current office _____ years/months for day-to-day operation;
THEN

transfer to Local holding area, _____ for _____ years; **THEN** _____ *(specify location)*

transfer to Intermediate Storage/Records Centre at

_____; hold _____ year(s); **THEN**
(give name and address of location)

destroy

OR

transfer to Archives for indefinite retention.

other *(Specify special instructions)*

16. Access Instructions:

<i>These disposal and access instructions apply to all prior and future accumulations of the series.</i>	
Agency Head/Designee	Records Management Officer
(Signature) Date	(Signature) Date

Recommendations in items 15 & 16 are <i>[tick <input checked="" type="checkbox"/> one of the options below]</i>	Public Records Committee <i>(Signatures) Date</i>
Approved Date:	<i>Fiscal Authority</i>
Disapproved Date: <i>(If disapproved attach letter of explanation)</i>	<i>Legal Authority</i>
	<i>Executive Authority</i>
	<i>Audit Authority</i>
	<i>Archival Authority</i>

Instructions for Completion of Application for Records Disposal/Retention Schedule Form

A. UN-NUMBERED ITEMS:

RECORD KEEPING AUTHORITY OR REPOSITORY: Enter the name of the record keeping authority or repository that has jurisdiction over the records and that will authorise the disposition of or will receive or dispose of the scheduled records, if relevant.

FOR RECORD KEEPING USE: The Record Keeping Specialist enters the master application number for the entire records system and logs the date of receipt of the application. Once the application form has been reviewed and any corrections/improvements made and finalised, the application is considered complete and may be sent to the agency head and the Records Committee for approval. When the schedule is finally approved, the date of completion is filled in.

B. NUMBERED ITEMS:

1. **AGENCY APPLYING** - Enter the name of the agency, then list the Division, Unit and Section in their order of descending authority. Also, list the street address and room number.
2. **PERSON TO CONTACT** - Enter the name of the person who has the broadest knowledge of the series and its use, content and importance. Include working title and telephone number of individual.
3. **ACTION REQUESTED** - Check appropriate box. Item 3a is checked for those series which continue to accumulate year after year. Item 3b is checked for those in which no further accumulation is anticipated and item 3c is checked to amend a previously approved schedule.
4. **CREATING/CUSTODIAL AGENCY** - Occasionally offices may find they have records of other businesses or bodies which they have inherited by take over or some other means. Enter name of body and office which actually created or used the records during their active life. If 4. is the same as 1., enter 'Same as 1.'
5. **PREDECESSOR/SUCCESSOR AGENCY(IES) to 4.** - To assist the record keeping specialist in tracing the chain of documentation, list the names of earlier or later offices and agencies which created or received and used this same series at another time.
7. **RECOMMENDED RECORD SERIES TITLE** – A good record series title is based on the work activity or function which the records document and should be both descriptive and brief. If the title now being used is not accurate or descriptive enough, and would be understood only by the personnel familiar with the file, develop and

enter a new 'official' one. The title used in the office may be inserted in parenthesis underneath the recommended and now 'official' records series title. An accurate title description enables the Records Committee to properly evaluate applications in relation to the function of the Agency, and the content and importance of the record series.

7. EARLIEST AND LATEST DATES OF SERIES - Give inclusive dates. The earliest date is the date of the oldest document in the series, including any portions of the series that may have been moved into storage elsewhere. If the record series is one that will continue to accumulate, use the term 'to date' which will cover all future accumulations of the record. If the series is closed, that is it is no longer accumulating, give the date of the most recent document in the file.

Example: Continuing series 1949 to date; Closed Series 1949 - 1981.

8. CREATING/CUSTODIAL OFFICE FUNCTION/WORK ACTIVITY - Describe the major purpose, functions/programmes, and work activities of the office identified in 4. which created or received and used the records during their active life. List any work activities that especially relate to the record series in question, but do not give details of how the work is performed as such descriptions are too specific. Your purpose is to give an accurate, objective and representative view of the overall work of the office and place the activity that relates to the specific record series in proper perspective.
9. RECORD SERIES DESCRIPTION - The description should provide the following information in sub-paragraphs a. - d.:
 - a) *Documents Relating to:* State the relationship of the series to the work of the office, ie the specific operation or activity the records support, such as '**Documents relating to indemnifying owners of diseased livestock,**' and '**Documents relating to constructing highway bridges.**'
 - b) *Included are:* List each type of record or document, giving titles and numbers of forms, followed by the types of information contained therein. Examples of types of records might include: **letters, minutes, contacts, applications, reports, invoices, receipts, cash journals** and so on. An example of an entry for *Applications for Motor Vehicle Driver's Licences* would read **Applications for Motor Vehicle Driver's Licence (form 203) giving applicant's name and address, licence number, class of licence, applicant's date of birth, requirement for spectacles, period of licence effectiveness, amount of licence fee, consent form for organ transplant, signature of applicant, address of motor registry processing application.** If the series contains more than one type of document, your entry will list them all in sequence, i.e. first document and types of information thereon, next document

and type of information, next and so on. The contents of some types of documents are so well-known that you may not need to describe the information recorded in any detail, for example letters.

- c) *Representative or Notable Content:* For long narrative record series such as correspondence or minutes, record the major representative types of business or transactions reflected in the text of the records. Some record series, such as the applications above, do not require an entry here.
- d) *Series is arranged:* State how the files in the record series are arranged, whether alphabetical, numerically, or chronologically and by what feature. ie alphabetically by surname of employee. Often records have more than one level of arrangement i.e. **alphabetically by name of State, thereunder by grade level of school (primary, secondary) and thereunder alphabetically by name of School**. All levels needed to access the file correctly should be described, in case of the example, all three levels would be required.

If the series has an index, indicate when this is contained within the series (for example, at the front of a volume of minutes). If the index is physically separate enter 'separate index' and mention the index as an item under 10. Related Series.

- 10. RELATED SERIES - Often individual record series are part of a 'family' of interdependent records series which, together, support a particular work activity. For example: Some series, such as indexes known as **controlling** series, are essential for providing access to other series, such as correspondence files. The correspondence file series is therefore known as a **controlled** series. There are other kinds of series, such as accountancy records, which may be closely related to each other, in that the same information may be substantially duplicated in the different series. The titles of all controlling, controlled and other closely related record series should be given here.

This will enable the Record Keeping Specialist to evaluate these series as a group when s/he is drafting retention recommendations.

- 11. MONTHLY REFERENCE RATE - Enter the number of times office staff presently refer to records that are 1-6 months old; 7-12 months old; 13-24 months old; and 25 months older. The most accurate method of determining the average monthly reference rate is to have file clerks keep a record of how often they referenced the series for a set period of time, say five days representing usual business in the office. By multiplying by 4.4 - can get a general monthly rate.
- 12. CURRENT ACCUMULATION OF RECORDS - Enter the *total* volume of records *in shelf metres (s.m.)* which have accumulated over time in the current office and in any/all storage areas.

- Current Office: Survey the number of file drawers, shelves and other containers, including cartons, used to house records in the current office. Give the metric (s.m.) dimensions of the drawers, shelves, or cartons, as well as the number of each. If sizes of drawers, shelves, or cartons vary, try to arrive at an average dimension which will reflect the total volume. To get the total shelf metrage multiply the length of the container times the number of containers. Example: 4 drawer filing cabinet (.65m x .25m) 4 = .65 x 4 = 2.6 s.m.
- Other Storage Areas: Survey all storage areas where older records of this series might be housed. Record total shelf metres. Give location/address of relevant area(s), as well as average sizes and numbers of containers involved. Note any relevant or special information regarding condition of records.

13. ANNUAL RATE OF ACCUMULATION OF SERIES - Enter an objective estimate of the total volume of records accumulating annually by averaging the accumulation rate over the most recent few years. Indicate types, sizes and numbers of housings. These figures are especially important for planning of future space and equipment requirements.

NOTE: **ATTACH APPRAISAL WORKSHEETS:** To obtain information essential for completing entries 14 and 15, fill in an APPRAISAL WORKSHEET for each format/copy of the series. The completed worksheets should be attached to the relevant completed Records Disposal/Retention Schedule Application form.

14. RETENTION REQUIREMENTS - Enter the number of years necessary to satisfy each requirement placed on the series. Fill in all blanks. If no retention is required enter 'O'. Cite or attach copies of laws and regulations that require retention for the number of years indicated. Briefly explain why the retention period listed for administrative need is necessary.
15. APPROVED DISPOSITION INSTRUCTIONS - An instruction needs to be devised for each format [originals, all copies in any media] of this series. Enter agency recommendations for *closing*, which means ceasing to file or closing off the papers in the present folders of the series and for cutting off the series into segments for retirement. Enter the number of years the series is to be retained in the office (current office area); then enter the number of years the records series will be retained in the Records Centre or local holding area, then indicate whether the records will be sent to the Archives or destroyed. These recommendations should fulfil the needs of the creating agency, notwithstanding requirements placed upon the series by other agencies. If there is a conflict with other agency requirements it should be so noted on the Schedule. In addition to the primary record series, a disposition must also be furnished for auxiliary files of the same series, such as computer printouts and microfilm. To achieve maximum savings, records should be transferred to low-cost storage at the earliest possible date.

16. ACCESS - Enter the requirements for obtaining access to the records while they are in each area: the current office, the Record Centre or holding area, and the archives. Indicate whether this is a vital record and if so, how it is to be protected.

AUTHORISING SIGNATURES: Have the appropriate officers from the applying agency sign the application and then have the key government officials/ministers responsible for fiscal, legal, executive, audit and archival matters review the *Application for Records Retention Schedule* and indicate their approval by signing where shown.

Appendix 3

Records Series Appraisal Worksheet and Instructions

Related Disposal/Retention Schedule Application No.

Part ___ of ___ parts

Official Record Series Appraisal Worksheet¹

This worksheet is provided as a tool for the Record Keeping Specialist. It *should be attached* to the **Application for Records Disposal/Retention Schedule** form to which it relates. It is a guide for the preparation of individual series schedules. If the record keeper can answer all of the questions on the worksheet, s/he has probably done all the research necessary to properly appraise and schedule a series. The worksheet is divided into the following areas:

- a series identification
- b administrative use
- c fiscal use
- d legal use
- e historical research potential
- f disposition instructions.

Series Identification

Record Series means documents or records that are filed together in a unified arrangement, having similar physical characteristics or relating to a similar function or activity. Item numbers refer to entries on the **Series Disposal/Retention Schedule Form**.

1. Name of Creating or Custodial Agency and Sub-Unit:

2. Records Series Title:

¹ This checklist has been very extensively revised and adapted for Australian conditions and non-government records by Ann Pederson with the advice of Barbara Reed and Sigrid McCausland from a list prepared in 1974 by Ronald E. Raven of the Georgia Department of Archives and History, Atlanta, Georgia, U.S.A. The original list was published as Raven, Ronald E., 'Appraisal Check Lists: Tools for the Records Manager' *Records Management Quarterly* (October, 1976) pp. 26-27, 30-32.

3. Inclusive Dates:

4. Are there duplicates or copies of the series in your office or in another office or agency? Is the series microfilmed? Does it provide input for computerised systems or is it a printout or product of a computerised system?
 - (a) *If yes, all copies and all formats of the series must be scheduled for disposal at the one time.* These can be addressed as parts of one schedule, but will require an individual appraisal worksheet for each different record series form/media.
 - (b) *If yes, describe each copy and/or other media record and explain where each is located and how long it is kept.*

<u>Type of copy or record format</u>	<u>Where held?</u>	<u>How Long?</u>
--------------------------------------	--------------------	------------------

5. Is the information contained in this series ever summarised into a report or published? *If yes, give title, date and publishing details and attach a copy of relevant pages.*

Administrative Use

- | | |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Operational Need | <ol style="list-style-type: none"> 1. What type of transaction or work activity does this record series document or support? (<i>see Item 9.a.</i>)
 2. Is the record series essential to that transaction or work? That is, if the records were lost, would you be able to do that work? <ol style="list-style-type: none"> a) <i>If yes, explain how this work activity or transaction is essential to the basic operation of the office?</i> |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

- b) *If no*, could the work be done with information recovered from other sources? Explain which ones and describe the effort and time reconstruction would take?

 - c) *If no*, what method you propose for VITAL RECORDS PROTECTION, include estimate of length of time for protection and recommended interval for update of information (security masters for film or computer media).
3. Is this record series likely to be used to study the development or effectiveness of a programme or policy? *If yes*, explain which one(s) and how far into the future?
4. Will this record series provide raw data for research projects? *If yes*, explain which types of projects and when they might be expected to occur?
5. Has any authoritative statement or administrative regulation been issued covering the use and/or retention of this series? *If yes*, describe what sort and by whom? Explain what retention is required?

Reference Activity

6. At what interval can the record series be closed, ie when can staff stop placing papers on, or new information to the existing file so that it can become inactive?

Fiscal year Calendar year Monthly Audit

Conclusion or Occurrence of an Event (*specify*)

Other (*specify*)

Explain how closure is to be accomplished

7. How often do current office staff refer to this series?
(*see Item 11*)

Records dated this year? _____ times per _____

Records dated last year? _____ times per _____

Records dated two years ago? _____ times per _____

Records dated three years ago? _____ times per _____

8. How old are the records when they reach their peak reference rate?

_____ (years)

_____ (month)

9. How long must the series be held in the current office for day-to-day operations?

10. Does the reference rate ever drop dramatically?
- (a) If so, how old are the records when this occurs?
- (b) Does reference ever cease? If so, how old are the records at that time?

Recommended
Retention
Administrative
Purposes

11. How long is this record series needed for administrative purposes?

_____ years/months.

The file should be closed each:

(refer to Question 6 then tick appropriate interval)

Fiscal year Calendar year Month Audit

Other (specify)

Where should the files be kept? *(Enter figures below for all that are applicable)*

years/months in office (question 9); then

years/months in intermediate Records Centre; then
destroy.

years/months in _____ then destroy.

indefinitely in Archives.

destroy.

Fiscal Use

Operational Need 1. Does this series control or document the generation, expenditure or movement of funds?

If yes,

- (a) Which of the organisation's funds are they?
- (b) Which public funds are they? From what government body?

2. Does this series document

a) Revenues owed to the organisation?
Explain

b) Obligations of the organisation?
Explain

c) Bonds?
Explain

3. How long are these records needed to administer these funds?

4. What are the audit requirements of the funding authority?

Retention 5. REQUIREMENTS: Have any regulations been issued covering retention of audited records? *If yes*, what regulations and by whom?

What retention?

6. Have any regulations been issued covering retention of records if the audit is not performed? If yes, what regulations and by whom?

What retention?

Recommended and Retention for Fiscal Purposes

7. How long must these records be kept to meet all fiscal audit requirements?

total _____years/months

Legal Use

Operational Need

1. Is there legislation or some other legal instrument which requires the creation of this series? *If yes*, explain and cite

2. Does the legislation or instrument above prescribe a retention period for these records?

If yes, how long?

3. Do these records document the establishment or control of the legal structure of the organisation? Explain

If yes, which outside bodies (i.e. Corporate Affairs, Taxation) hold these same records?

Do they hold originals with signatures or copies?

4. Do these records provide access to important legal information or records? Explain

5. Do these records document licenses or other trade privileges? Explain

If yes, how long are these licenses or privileges valid?

6. Will this series prove the organisation's claim to property? Explain

If yes, is this the best series to do so?

If no, what is the best series available and where is it located?

7. Are these files necessary for the organisation to prosecute an action? Explain

If yes, what is the limitation of the action?

8. Are these files necessary for the organisation to defend against an action? Explain

If yes, for how long?

9. Are these records necessary to protect the rights of an individual? Explain

If yes, for how long?

Recommended
Retention for Legal
Purposes

10. How long must this series be kept to meet all legal retention requirements?

total _____years/ months.

Historical Research Potential

Within
Organisation

1. Does this series document a significant organisation programme? Explain

If yes, are there other series in this which document this programme more adequately? Explain

Is this new programme unique or a departure from previous policy? Explain

Will this programme have a long-term affect upon the lives of citizens? Explain

2. Does this series document the activities of an important official of the organisation? Explain

3. Do these files document the formation of organisation policy? Explain

For Wider
Community

4. Does this series document the condition of the organisation, its employees or clients, in detail, at a definite point in time? Explain

5. Does this series document a particularly important individual? Explain

6. Does this series document a trend or movement by the citizenry? Explain

7. Do these files document a significant event? Explain

Other Source

8. Is the *information* contained in this series available elsewhere? If so, which series better captures the historical data? Is the same data available in a *published* format? *If yes*, give publication details and attach copies of relevant pages.

9. Are these records contemporary with the activities documented? Explain

If yes, are these records authoritative?

Recommended
Retention for
Research Purposes

10. If these files contain information with potential for historical research (any yes answers 1-8 above) indicate length of retention required.

total_____ years

Disposal Instructions

Enter information from all decision blocks (Administrative, Fiscal, Legal and Historical):

Administrative usual period from creation to closure)

(years needed in office for active use after closure)

(total years needed for administrative use in any location)

Fiscal (total years needed)

Legal (total years needed)

Historical (yes; indefinite/permanent)
(no)

1. Select the closure method and period from the administrative use section.
2. Maintain in office as indicated in administrative use; then
3. Take the longest total years in the four decision areas for the summary retention period;
4. Subtract the office period from total retention and retain for the balance in either Records Centre, Archives or other appropriate place. ***Enter information in standard format below.***

Standard Format for Disposal Instructions

There is a benefit in setting out disposal instructions in a **standardised** way so that any authorised employee of reasonable intelligence can execute them. The suggested model is presented below:

Close file by ceasing to add papers to existing folders

(state method and interval of closure, i.e. at end of each financial year; when file gets 6 cm thick)

Cut off series accumulation into segments

(explain how i.e. at end of term of office, when new elections are held, or at end of 3 years, etc.)

THEN [*tick one or more of the options below as applicable*]

maintain in current office _____ years/months for day-to-day operation;
THEN

transfer to Local holding area, _____ for _____ years;
THEN

(specify location)

transfer to Intermediate Storage/Records Centre
at _____; hold _____ year(s);
THEN

(give name and address of location)

destroy

OR

transfer to Archives for indefinite retention.

NOTE: If the creating office feels that one requirement placed on the series is unnecessarily long, the longest period for the values necessary for the creating agency should be selected for the retention period and the conflict noted on the Records Disposal/Retention Schedule Form.

Planning Reference Facilities and Services for a Provincial Archives

Ann Pederson¹

Abstract

Planning for access and reference facilities and services lies at the very heart of public sector records management in a responsible and responsive society. After all, the most important purpose of government record keeping is to ensure that citizens are receiving quality government services and are able to assert their rights and entitlements under the law. Designing a facility that will enable citizens and public officers to have prompt and effective access to archival records requires specialist knowledge and skills that all record keeping professionals should acquire.

The Case Scenario

You are the reference archivist for the newly established Archives of the Capricorn Coast, a regional facility that is affiliated with the State Archives of Queensland and the area's local and shire councils. Your institution is in the process of planning its new archives repository, and you have been directed to prepare a plan for 'what is needed' for an effective reference programme. You have been advised that the funding is more or less assured, provided your requirements are archivally sound and not outrageously expensive.

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Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).

The Archives of the Capricorn Coast is located in Yeppoon, but is expected to serve the entire region, especially the adult working population. Your clientele to date is comprised of local government officials; students and staff from Capricornia University; representatives from depositing organisations, businesses, clubs and civic groups; and private citizens, mostly retirees and amateur historians. In addition, you have received some contacts from teachers in local schools who are interested in developing local history projects using the archives. You anticipate that between 5-15 researchers will visit/use your facility each day.

Your holdings consist of local government records of the region and of collections of personal, business and organisational records. You have maps, building plans, photographs, sound recordings, videos and materials relating to the region on microfilm from other repositories. Some major reference tools are on CD-ROM.

The overall building plan has designated an area for the reference function (the reading room and all supporting or related services. Main record storage areas and other archival functions/services are on other floors). It is the entire ground floor measuring 20 x 30 metres and must also accommodate the main public entrance and reception area, public toilets, an emergency exit and a loading bay to receive records, goods and equipment for all repository functions. The chief archivist has also expressed a wish for your plan to provide suitable space for seminars/public meetings conferences and occasional exhibitions. Also, she is concerned that more users are becoming accustomed to accessing information, particularly from libraries, electronically and asks you to include possibilities for such access in your proposal.

The Case Problem

Develop a proposal for a reference programme that includes the following components:

- 1 **A floorplan** of the 20 x 30 metre area, showing the facilities you propose to include and their best placement. Do not forget areas and equipment need by staff to support their work. Use ONE PAGE of A-4 graph paper for your drawing so that you can represent spaces and features accurately and neatly. Use a second page for a 'legend' to explain the areas.
- 2 **A descriptive list of the services+** you propose to offer, giving a brief description of each service, its purpose, proposed clientele it will serve and any limits or conditions that will regulate it. Divide the list into two segments: BASIC, for ones you would have from the very beginning, and LATER ON, for services you would develop once your programme was better established. One of the concerns you must factor into your overall planning will be electronic access. Set both segments out so that the content is easy to read and understand at a glance. You may use point form, rather than complete sentences if you wish.
- 3* **An access policy document** for the Capricorn Coast Archives (limit one page). **Note:** *Content should demonstrate awareness of general public records access requirements. You are not expected to do extensive research on state/local government legislation or regulations.*
- 4* **An Application for a Readers' Ticket** (limit two pages).
- 5* **A List of Reading Room Regulations** (limit two pages).
- 6 **A Feasibility Study** (limit two pages) assessing *the suitability of electronic access for the archives*, listing its potential benefits and limitations and making some recommendations of services that might be chosen first to be delivered electronically.

*Items marked with * should be designed and prepared in a suitable polished form to appear as actual finished and printed documents you would show to the public in a real repository, not as drafts of proposed text. HOWEVER, DO NOT SPEND ENDLESS HOURS ON GRAPHIC DESIGN. This exercise is not about artistic or desktop publishing skills.*

Selected Bibliography of Resources Useful in Preparing this Case Study

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United States National Archives and Records Administration (NARA) Online and Electronic Services From The National Archives and Records Administration. (General Information Leaflet Number 65). URL: <http://www.nara.gov/nara/gil65.html>.

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Instructor's Notes

Learning Objectives

Through studying this case, learners should become familiar with

- the issues, considerations and decisions involved in developing appropriate policies and procedures for effective administration of access to records and archives
- the major factors to be considered in planning reference services and facilities
- the tasks involved in drafting detailed proposals and documents to be used in a reading room operation.

Reference Problem Notes

The following are examples of notes which might be prepared by an instructor to give feedback to students on general points that should have been addressed.

GENERAL: Look for ‘cannibalisation’ of background reading and handout materials from lectures as sources for ideas. There is no need to reinvent the wheel, just improve it. Another general goal was for students to be able to present such information to users in a friendly, clear way. It is one thing to know what must be said and done, another to actually design and do it.

THE FLOOR PLAN: Look for evidence that students considered the following.

1. *Maximum logic and effective workflow* when allocating space, and choosing/placing furniture and equipment. Consider the researcher and/or of the reference staff in thinking through the logical steps one would go through in orienting oneself and selecting appropriate material OR in responding to a reference query. The goal in any case is to see that materials and equipment complement rather than retard the natural workflow. Above all, make it easy for the reference staff to observe the full scope of activity in the reading room and to help/intervene with a minimum of effort and personnel.
2. *Information sources* (signs, notices, pamphlets/leaflets, verbal advice, a/v presentations, posters) should be varied and located so as to lead the researcher logically to confident self-sufficiency, so far as appropriate. Utilise various media to reinforce the messages to be delivered. Don’t rely on any one tool to get it across. Remember, the task of orientation begins before the client enters the door and intensifies thereafter.
3. *Exhibit area, refreshment area, toilets, cloak room/lockers and related amenities* should be within a supervised area. A staff member can serve as a combination receptionist, security attendant, publication salesman, etc. Part of this area needs to be equipped to receive visitors and to orient first-timers. Tables for completing reader’s ticket applications, rack of information leaflets, user-activated slide show or video with headphones can be set up here as well.
4. *Conference/Meeting Room* that will seat up to 30+ people is also a good idea. Perhaps it could be designed with a moveable wall that could divide it into two smaller rooms, according to need. It should be located adjacent to the area described in point 3 and be accessible without going into the reading room so it can be used after hours or without disturbing researchers. It is also desirable to have some sort of food service facility and a projection facility connected with this room.

READING ROOM:

1. Allocation of space, furnishings, and equipment should be made with two critical factors in mind:
 - a) *Clear view* of all persons using the reading areas, especially the areas where original documents and rare publications are in use. It might be advisable to set aside a physically restricted area for the perusal of such items with a full-time attendant to manage it.

- b) *Minimum staff and effort* to supervise on-demand services. In this regard, try to have multiple services provided or self-service. Place closely related functions adjacent to each other to minimise travel time. For example, have photocopy machines near reference desk so that staff can execute copy orders during slow periods and finding aids nearby also as people often need to clarify information before completing record request forms, etc.
2. Types of activities needing special provisions:
- a) *Microforms* need an area that is slightly darker than normal reading light for documents. Group all microform facilities and equipment together, including the catalogues, finding aids, indexes, and actual film storage cabinets. Because microforms are essentially copies, one does not need the same degree of security and surveillance over their use; therefore, microforms can be largely self-service, including copying, except for the refile of films. All copies must be documented by a copy request form, whether self-service or not. An attendant in the reading room can generally handle most questions about how to load film and how to make copies and handle refile duties.
 - b) *Special area for use of original documents, rare books, prints, and photos* should be physically separated from general reading area, but not necessarily completely walled. Access to this area should be restricted and researchers entering it subject to check of their materials. Area is attended at all times. Materials are brought to the attendant who has a table/shelf where cartons are held and a large table where researchers may 'browse' each box and select a folder to inspect more closely at their desks. Attendant also takes copy order forms filled out by researchers and holds the records and orders for pick up for copying by the stack service attendant who takes them to the reference work area for copying. This area is located with a clear view to the reference desk for additional surveillance.
 - c) *Special Purpose Rooms for A/V, computer use, oral history, long-term research, small group study, etc* should be designed and placed to serve as many of the above purposes as possible, since single-purpose rooms often stand empty. Glass partitioning into main search room is desirable, but not between rooms. Better to have moveable partition walls between rooms for flexibility. Headphones can be used to manage sound and are much cheaper than soundproofing. Rooms should be booked where possible; at any rate, a central roster of proposed times of use should be maintained. It might be useful to place facilities where electronic access and materials (CD-ROMS, e-records) are in use reasonably close to a staff work station, both for supervision and for assistance with technology.
 - d) *Secure holding area for original documents and rare items that will be used the next day or will be in constant use over time* is very desirable, though it might not need to be on the same floor.

3. A *Reference library* is an important supporting tool for the archives and should include basic research tools and aids, important document series, relevant secondary works (including local histories, family histories, etc) and scholarly and popular historical serials. This should be accessible to readers, though bound copies of less popular serials could be stored in stack space for retrieval on request. Access to these materials, including any special subject files, should be by card catalogue or automated equivalent and retrieval should be largely self-service, with staff handling refile. Consider allowing self-service copying of published materials. Copy machine could be placed adjacent to reference desk to monitor and prevent careless handling.
4. Be sure that *staff have good access to lifts and corridors* leading to temporary storage area, loading bays, so that they may perform retrieval/refile and movements services with maximum efficiency. *Employ stack attendants to retrieve/refile materials, rather than use professional archivists.* Don't put your brains where your feet are. Also, by limiting who has access to the stacks, you have greater control and accountability.
5. *Staff working area* - again, put an area behind reference desk where staff can work relatively quietly on mail enquiries, copy orders, etc. Also, need staff amenities.
6. *Reference Archivist office* - one modest, but well-designed office with good access to staff work areas and to reading room for confidential discussions/interviews with users or staff.
7. '*Browsing*' or *Inspection Area*. Since archival finding aids do not often lead researchers to specific files or documents, it is desirable to have a table adjacent to the service desk where researchers may inspect boxes of records in order to then select a specific file for closer scrutiny. In this way, a reader may review a large amount of material, earmark his items for closer study then complete specific request sheets for those items only rather than prepare a detailed request form for every container.

8. *Holding area for material awaiting refile and/or reuse.* In order to reduce inefficient 'toing and froing' it is desirable to set up a holding area for material awaiting use, refile or reuse *behind* yet convenient to the service desk. Such an area should offer reasonable security (if material is to be held overnight). Its main purpose is to cut down upon endless trips to the stacks and to provide an area where material and related paperwork may be checked prior to refile. At end of each work day material should be checked and that no longer needed refiled before closing.

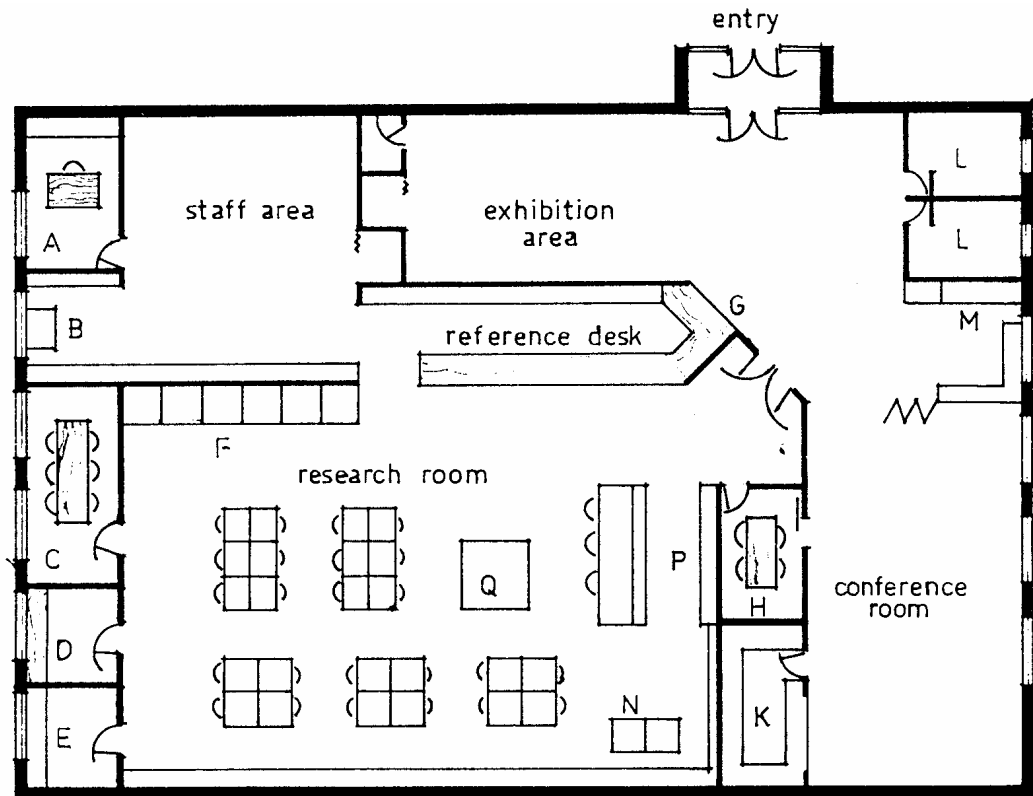


Figure Four. Archives Public Services Area

- A archivist in charge
- B staff photo copier
- C group room
- D soundproof room
- E research room
- F microfilm & microfiche readers
- G reception desk
- H multipurpose room
- K kitchen
- L toilets
- M lockers
- N photo copier
- P finding aids desk & catalogue
- Q returns table

Scale: 5mm = 1000mm

REFERENCE SERVICES OFFERED: It is important that students focus more on services they would provide rather than on the facilities or tools. They would have to consider the following.

- **MAIL REQUEST/RESEARCH SERVICE:** Examples of limits that need discussion include who will be eligible for mail service (in-state, interstate, foreign, metro area, invalids, scholars, to name a few); what limits on time or number and type of sources to be checked OR on number of letters per day/week/month OR number of questions per letter.
- **TELEPHONE INQUIRIES/RESEARCH SERVICE:** Limit to logistical questions ie hours, holdings, specific books, records. No specific research questions unless it involves looking at one indexed source that is right at the reference desk such as a reference to an index.
- **IN-PERSON REFERENCE ASSISTANCE/SERVICE:** Time limit per person? Different for different types of researchers - if so explain? Explain how this service will have to be limited: ie showing person how to use the finding aids, to select the appropriate material, but not interpret. How to handle excessive requests: ie by offering him/her a check list of sources to consult for common types of research (family history, history of land or house, etc.).
- **MORE DETAILED, PROJECT-ORIENTED RESEARCH SERVICES:** Potential danger area here. In general I would suggest the following guidelines:

Reference Archivist's Responsibility - obtain, preserve, arrange, describe, and make records available and to enable access as appropriate. This includes providing and helping people use finding aids and other search mechanisms to choose bodies of potentially relevant material for closer inspection and use.

Keep in mind that it is the *Researcher's* task to inspect, select, and interpret which information is appropriate, not the archivist's. Otherwise, the archivist would be doing research all day and not taking care of his or her responsibilities for acquiring, preserving, arranging/describing.

Most clients expect and ask archivists to help them with their research because they are unaware of the other functions of archives and will, if tactfully and courteously informed, come in, send a junior staff member, or hire a researcher to do the actual research. Such research visits/projects are valuable opportunities to spread an appreciation of archives and archival work around the community.

Most archivists provide far more assistance to researchers than required because they enjoy it, even though they use the excuse that so-and-so 'insists' that it be done without having ever explained to so-and-so what is actually involved. Research is, after all, more interesting and fun than a number of other archival activities of equal importance. But it is not the primary responsibility of the archivist.

On the other hand, it is possible to offer a research service for a fee. This is an enterprise activity which can become self-supporting. It can, however, compete

with persons who are independent/contract professional researchers. Keep in mind that providing such research services will be innately discriminatory (in favour of those who can pay) as one cannot possibly offer such intensive work to all comers.

It may be better to have 'Non-Staff Contract/Consultant Researchers'. Have a list of researchers (names, address, and phone numbers) who will undertake fee-based work for clients that exceeds the limits of reference service (ie inquiry too general, records not registered or indexed, etc). Persons must apply to be on list annually and must sign a code of ethics. Two justified complaints would cause a researcher's name to be removed from the list. See notes on research services for a fee.

As part of these researcher interface services, create a 'Research in Progress' file. An excellent way to deal with researchers working on family history or similar topics is to invite them to register their research topic, along with their name and address so that others may contact them to give or receive information. Likewise, persons making inquiries by mail can be invited to participate. File takes the form of cards, arranged alphabetically by subject and/or family name or a database. Researchers fill out cards for input to either one themselves. In this way archivists can easily check for similar or duplicate research topics and put researchers in contact with each other.

- **COPYING SERVICES:** types of materials to be copied in house versus contract outsourcing for other formats; fees (to be paid in advance). Users to obtain permission from copyright holders and/or complete an order form for copies; discuss any other restrictions ie total number for each request, will all copying be by staff or can users use photocopiers themselves? Will you charge publication fees in addition to copying fees?
- **LOAN SERVICE FOR ARCHIVAL MATERIALS:** Suggest that only copies be lent and only through an inter-library loan programme rather than direct to individuals. Copies of registers, indexes, and other finding aids could be dispersed through Internet or sale to outlying libraries to facilitate service to non-metro archival clients. Will you loan originals to other archives for exhibitions?
- **OUTREACH CLASSES/SEMINARS OR EDUCATIONAL SERVICES:** In-house only? External with conditions? Limited to introductory? Fees? What about guided inspections? Talks to schools, careers days? Consider having 1/2 hour researcher 'orientation' classes several times a week at a set time. These can focus on using the reading room facilities or particularly popular types of research and can be conducted by a volunteer. An alternative would be to produce short slide/tape or videos on a variety of subjects and have them available for self-service use. The programmes can be designed to be participative. After all, the goal is a confident self-sufficient researcher, isn't it?

‘LATER ON’ SERVICES: These are a mix of products and possible services.

- **EXHIBITION SERVICES:** in-house, travelling? how many per year? how frequently will they change? will there be a catalogue? video? slide show? opening? will there be fees? are they open for viewing to all? only holders of readers tickets?
- **PUBLICATION SERVICES:** The archives may publish guides, bibliographies, indexes, etc. to promote use of its holdings, but that may be considered an extension of arrangement/description. It may produce leaflets, newsletters and other informative brochures, but these are part of educational services or public relations. In other words, publications are not a pure service, but a product.
- **ELECTRONIC ACCESS SERVICES:** Here students were expected to discuss the possibilities of e-access, giving a general overview of types of services and facilities you would seek to provide through this medium. Consider the benefits and challenges involved in providing electronic access to information about the following:
 - what an archives is/does in general
 - archives physical location, hours, and/or services
 - background information on the history of the archives programme
 - background information on the history of the archives’ parent institution
 - general information on how to do research in an archives, including popular types
 - overview information about the archives holdings
 - how to make a research request by phone, by mail, by Internet or in person
 - using specific finding aids or guides
 - the actual finding aids or guides
 - the actual records
 - publications and other items for sale
 - special events and activities of ‘archival’ interest at the archives and in the community.

The institution may also allow interactive access via Web and/or E-mail to

- arrange for specialist advice and expertise of archivists, etc.
- receive training in research techniques and use of tools/mechanisms which support research activity
- use the actual finding aids or guides
- use the actual records
- order copies, publications, register for meetings, contract for services etc.
- participate in or consult a Register of Research in Progress [RIP] voluntary register of research topics underway cross-referenced by researcher’s name.

- **THE DOCUMENTS:** should include some sort of Statement that repository offers all services subject to federal, state laws, regulations and depositor restrictions and to the limits of sound archival practices. This should be part of introduction to the Access Policy document and Application for Reader's Ticket.

All should be written in clear, easy to understand English with a welcoming, helpful tone or at least not with a threatening one. Rules and regulations for using archives can be confusing and daunting to users who lack understanding of the irreplaceable material within. A few words of explanation to a statement can make the difference in a 'command' vs. 'instruction' atmosphere.

a) **ACCESS POLICY:** This document should begin with a general overview statement of nature of collections and commitment to public, equal access, then move to general subordinate sections re: access to/use of public areas, access to/use of research facilities, access to/use of research materials, copying and publication. Some mention of the right to charge reasonable fees for facilities, activities, services and copies AND some mention of what happens to people who don't agree or comply. See Appendix 2 for suggestions to include in a policy document.

b) **RULES AND REGULATIONS:** These need to list the do's and don'ts of reading room behaviour, preferably in some logical order with groupings of related matters under sub-headings. It is also desirable to introduce this document with a one/two sentence statement of need to balance preservation with access to irreplaceable materials so that the reader is oriented to the context in which the regulations are framed.

In this part you were to design a handout that would need to be read, understood, and agreed to by each applicant for a reader's ticket. Such a document might be part and parcel of the actual reader's ticket application, although it should be able to be separated for users to keep for future reference.

c) **READER'S TICKET FORM:** The application form part needs to have the necessary archives 'official use only' signature blocks and approvals/disapprovals, along with relevant numbers of files and reader's ticket issued. Names of referees and subject of research are also important to include, as well as basic information about the applicant (name, address, qualifications, etc.).

- **THE READING ROOM PLAN:** The plan should be neatly drawn in black ink or pencil and clearly set out with a legend explaining the use of any codes [A, B, C, 1,2,3] signifying types of uses or equipment and furniture.

Appendix 1

Policy on Reference and Access

from McCausland, Sigrid and Sandra Hinchey, 'Reference and Access' in Pederson, Ann E., ed., *Keeping Archives*. First edition. Sydney: Australian Society of Archivists, Inc., 1987. pp. 190-197.

Each archives should have a written access policy that takes into account the nature of the information contained within the collection and the purpose and resources of the archives programme. Policies establish the framework within which the archivist can administer access to records so that they can be used by researchers. The access policy should be drafted to suit the special requirements of each archives. The authorities governing the archives should approve and issue the policy with a full understanding of the resources required to administer it properly.

Developing an Access Policy

To design an access policy to suit the needs of the organisation, one must consider the following factors:

1. **Clientele.** The policy document should define the clientele or community of users that the archives programme will serve. This decision will largely be determined by the purpose of the archives, the composition of its holdings and the resources at its command. In the case of public archives, the clientele may be prescribed by legislation and will usually include government bodies and members of the public within an area of political authority. The State Archives of New South Wales, for example, serves the state government and the residents of New South Wales, and is authorised to assist local government agencies. In-house archives, such as those caring for the records of businesses or private institutions, may allow access only to their own employees or persons under contract to the parent organisation. Further limits based upon age, membership, affiliation or research interest may also be imposed. For example, **readers' tickets** may not be issued to children. Persons living outside the area of service ie out-of-state or country may be required to pay a special fee.
2. **Sensitivity or Confidentiality of Records.** Organisations and individuals create records that contain information relating to their personal or business affairs that could cause embarrassment or financial loss if made available for examination by researchers. Records of this nature include agreements made by an organisation or individual with other bodies, information provided in confidence, personal and health records of staff or family members, and information relating to fraud or security procedures and systems that might hamper business operations if access to them were not restricted or monitored. Some archives **may be required** to restrict access to some records in their collections in accordance with the access provisions placed upon records by

depositors. They may also have to restrict access to records they have received which contain defamatory, libellous or personal information about a person other than the depositor.

3. **Protection of Individual Privacy.** Personal details about a living individual should not be released to researchers unless the individual's permission has been obtained. Information supplied by individuals, for the purposes of obtaining a particular benefit or to fulfil a requirement stipulated by law, should not be made available to researchers. However, information from these records may be able to be used for statistical purposes providing no specific names or identifiable information is recorded that would reveal the identities of particular individuals. Legislation relating to defamation and the right to privacy must be respected and archivists should restrict access to records accordingly.
4. **Restrictions Placed upon Records by Depository.** When an archivist is offered records by depositors access restrictions relating to them should be clarified. The archivist must consider the implications of restrictions placed upon records prior to accepting and accessioning them into the collection.
5. **Levels of Access.** As well as determining the clientele, the archivist must decide the level of access a researcher is to have access is usually granted in levels ranging from receiving general admission to the reading room to obtaining permission to reproduce or publish specific documents. The access policy statement must therefore cover conditions of access for
 - the reading room and finding aids
 - inspection of particular collections or groups of archives
 - examination of individual series or
 - documents within a series
 - copying of individual documents or photographs for private study
 - quotation of portions of documents
 - further reproduction or publication of documents, photographs or other archival materials.
6. **Degree of Control over Holdings.** Access to archival materials depends upon their being located and described so that appropriate documents may be requested and retrieved. Some types of records require more extensive controls than others. For example, a box of loose documents may require control numbers for each, while pages in a bound volume may not. Photographs may need more detailed descriptions since their subject matter can be complex. Most archives control their records at the box or container level which means that the finding aids indicate what types of records are housed in a particular box, but not what specific documents or information might be present. Researchers unfamiliar with archival materials may be disappointed that the archivist cannot offer instant access to a particular document or piece of information and chagrined to learn that they must

examine several boxes of material under supervision with no guarantee that they will find what they seek. It is useful, then, for the access policy to explain that researchers will be provided with finding aids and instructions for using them, but must select their own records and do their own research work. The policy should also state that records that have not been brought under control through arrangement and description will not be available for use.

7. **Physical Condition of the Records.** If the records are in a poor condition or have been physically damaged, the archivist should consider restricting access to them until they can be restored by a conservator. An alternative to denying access to badly damaged records is to provide a duplicate copy of the record to researchers (such as a photocopy or microfilm copy). This alternative can be effectively employed for highly used records, where closure would cause considerable inconvenience to a large number of researchers. If the majority of the records in a collection are in poor physical condition, access to the whole collection might be restricted until arrangements can be made for its repair or reproduction. Records should not be made available to researchers if continued handling will increase their deterioration.
8. **Security of Records.** Archival materials are unique and many records have importance as evidence of legal or fiscal responsibility. Access provisions, therefore, must protect them against loss, damage, misfile or tampering whilst they are in storage as well as during research use. Researchers, whether from the parent organisation or members of the public, should not have access to records storage areas. Retrieval and refile of material should be limited to one or a few authorised staff members. This practice minimises the risk of misfiles and pinpoints accountability for any loss or damage. Records required for research should be requested on a standard form and a copy of the request retained until the material has been returned, checked and refiled in its proper location. Staff must also be allocated to supervise records during use and security measures instituted to protect the materials, to detect breaches and to apprehend the persons responsible. The Security Measures checklist below offers recommended precautions.

Key Security Provisions and Methods of Implementing Them

Restrict Entry: Limit access of staff, visitors and tradesmen to the building or archives area and use specifically designated doors and entrance ways.

Identification: All visitors, including staff, should be required to show identification before being admitted to the archives and its reading room.

Registration: All visitors should be required to register their name, address, nature of business and the time of entry each day upon arrival. When visitors leave the archives, staff should record their time of departure in the same register.

Non-Public Areas: Issue all visitors, who will be frequenting non-public areas of the archives, with visitors' badges or identification cards which should be worn or carried conspicuously. Visitors should be accompanied by a staff

member at all times while in restricted areas. The identification card or badge should be returned upon departure.

No Baggage: Do not permit researchers to take coats, brief cases, bags or enclosed containers into the reading room. Provide a cloak room or area where these items can be stored until researchers have completed their work for the day. As researchers leave the reading room their research materials should be inspected.

Requests: Record request forms should be completed for all original records. Users should not be permitted to order more than **three containers** or the equivalent in unboxed materials (volumes, folders, bundles) at any one time. Only *one volume or folder* should be examined by a researcher at a time. Original records must be used under direct supervision.

Reshelving/Refiling: Researchers should not be allowed to reshelve or refile records. Archives staff should be responsible for this function so as to reduce the dangers of mishandling and misfiling.

Copying: Copying should be done by staff members in order to ensure careful handling of the records.

Written Rules: Provide a concise but complete set of written regulations to each researcher and ensure that these are understood and respected by researchers.

Emergency Procedures: Develop clear, legally sound procedures for handling physically and emotionally ill or suspicious persons and be sure that all staff abide by them. Also establish procedures for the orderly evacuation of the building in case of disaster, emergency or threat and be sure all staff are aware of and abide by them.

Storage Areas: Limit access to storage areas to staff and keep the number of staff involved in the retrieval of original records to a minimum.

9. **Legislation.** Access to public archives and to government records may already be determined to some extent, by the provisions of acts of Parliament and statutory regulations. Organisations attached to federal, state or local government departments should be aware of all acts, ordinances and regulations applying to the records they create and maintain. Legislation can determine access to records and therefore can affect the services provided by archivists to researchers. Some government-funded archives may also be affected by Freedom of Information legislation.

Consideration of the above criteria will enable the archivist to plan and design an access policy specifically tailored to the needs and requirements of the parent or funding organisation. The archives should be aware of the repercussions of providing an access service to the public and the effect it will have on the parent or funding organisation and the allocation of archival resources especially as regards staff, time and money.

Statement of Policy

The statement of the archives' access policy should be approved by the governing authority of the archives or its parent organisation as appropriate. This approval will ensure that the archivist has definite guidelines for the administration and supervision of access to the archives for which they are responsible.

Points to Include in an Access Policy

1. **General Statement on the Purpose of the Archives and Use of its Holdings.**
2. **Clientele.** Make a general statement identifying who may use the archives, including any limits or conditions that users must meet (age, affiliation, type of research). Statement on services to clients outside the normal area of service. Statement that persons must apply for and receive authorisation to use the archives.
3. **General Statement on Right of Access to Holdings.** This statement usually says that authorised readers may have access to holdings which are not restricted by law, regulation or depositor agreement. The general right of access also includes the right to inspect the finding aids to obtain copies of a reasonable amount of material for private study.
4. **Administration of Access.** Access to the archives and its collections must be monitored because of the archives' legal obligations to depositors and because its holdings are unique and irreplaceable. This section should describe the restrictions or conditions of use which serve to protect the records from loss or damage and ensure compliance with the laws, regulations and depositor agreements affecting the records. Points to be addressed are:
 - a) *Non-circulation of Records.* State that original records and other archival materials must be used within the archives jurisdiction. In some situations loans or copies of records be made for depositors or other archival institutions; costs associated with such loans' copies are met by the requester.
 - b) *Supervised Use of Records.* State that all archival materials are to be used under the supervision of the archives staff.
 - c) *Compliance with the Regulations of the Archives.* State that the archives may establish such regulations as needed to protect the institution and its holdings and that such regulation will apply equally to all persons, users, visitors or staff. Researchers must abide by the terms of access and the regulations governing the use of the archives facilities and collections. The archivist has the right to enforce these regulations and to refuse or revoke access researchers who refuse or fail to comply with them.
 - d) *Restriction of Access to Records.* State that the archivist has the right to refuse or rescind access to all or some archival materials when required to do so by law, regulation or depositor agreement. The archivist may also restrict access to materials which invade the privacy of living persons, contain libellous or defamatory statements or allegations, are unprocessed or are in fragile or poor condition. Where material has been restricted, the archivist regularly reviews restrictions and undertakes measures such as preservation copying to make records available for use as soon as possible.
 - e) *Equality of Access to Records.* State that the archives provides reference services without favour or prejudice and does not grant privileged or exclusive use of material unless required to do so by law, depositor or purchase conditions.

- f) *Quotation/Citation of Records.* State that the archives permits quotation of the text records within fair dealing provisions of the Copyright Act 1968. All references to archival materials must carry an approved form of citation properly identifying the records and acknowledging the archives.

- g) *Copying of Records.* Copies of archival materials for private study only will be made under the fair use provisions of the Copyright Act. Copies of records are not to be sold or further reproduced or published without permission of the archives and of the copyright holder, general the archives does not make copies from copies (microforms, photostats) of archival materials which have been obtained from other archives and libraries unless the other institution has given permission to do so. Copies of such materials should be ordered from the repositories which hold the originals.

- h) *Permission of Copyright Holder and the Archives Required for Further Copying or Publication of Records.* State that the researcher must undertake to obtain prior permission from the archives *and* from the owners of copyright in any archival material that he/she wishes to publish or make additional copies for distribution or sale. Materials in copyright for which permission to publish has not been obtained cannot be copied for researchers. Permission to publish or further reproduce material is granted for a specific purpose or occasion and does not convey or transfer copyright in the original material to the requester. Although it should not be a requirement for the granting of permission to publish, publishers and authors should be encouraged to deposit a copy of works based upon or using the archives' holdings in the archives' reference library.

- i) *Fees.* State that the archives may set fees for the use of facilities or services and for the provision of copies as may be required by law or administrative regulation.

Living with Your Conscience at the End of the Day: Ethical Issues and Archives/Records Managers¹

A Series of Case Scenarios by Terry Cook, Ed Dahl and Ann Pederson

Ethics has been defined as ‘rules of conduct arising out of moral principles.’ For archivists, it is the ethics of agency - of proper decisions and actions - that most concern us as we fulfil our role of public service and our responsibilities [duties of care] as agents of the public.² In some situations which arise in record keeping work, usually without warning, archivists might find themselves in ethical dilemmas such as the following scenarios reveal. In such cases, the cardinal rule has been ‘never knowingly to do harm and always strive to do good.’

In undertaking this exercise, learners should achieve understanding, knowledge and skill in

- comprehending the managerial and ethical principles that underpin record keeping work
- identifying the ethical and managerial issues the case dilemma raises
- researching the ethical and management principles and guidelines that are involved
- devising a justifiable and managerially and archivally sound ‘solution’
- summarising and presenting the issues and the proposed solution to the group.

Please read the following hypothetical situations carefully and thoughtfully. In each case, identify the issues involved (ethical, managerial, legal), study the appended codes of ethics and general managerial codes of practice in operation in your institutions, then give your recommended response explaining your position and whether/how you would present it to any others involved. Be imaginative in examining all possible factors and consequences involved, don’t attempt to short-cut or skirt the issues with narrow or legalistic approaches. Answers such as ‘I’d refer this to my supervisor’ will not be accepted (*your instructor will appoint YOU as supervisor*).

¹ ‘Living with Your Conscience at the End of the Day: Ethical Issues and Archives/Records Managers’ is a series of ethical dilemmas prepared by Ed Dahl and Terry Cook of the National Archives of Canada for Session 51 of the Society of American Archivists 54th Annual Meeting held in Seattle, Washington, USA on Sunday, 2 September 1990, 8:00 - 11:00 am. The scenarios have been edited and adapted and instructional notes written by Ann Pederson over several years since. Minor changes have been made to this version. Used with the kind permission of the authors.

² Uhr, John,(1994) ‘Professional Ethics: Promises and Pitfalls’ in Yorke, Stephen, Anne-Marie Schwirtlich and Laurine Teakle, editors, *Ethics Lies and Archives*. Canberra: Australian Society of Archivists, Inc. [ACT Branch], 1994. pp. 7-16.

1. A small island in the narrow straits between New Guinea and the north coast of Australia is considered to belong to Australia but suddenly the Papua New Guinea Government has reason to believe that a case can be made for its claim to the island, which offers excellent harbour possibilities for oil-carrying tankers. Both governments dispatch researchers to archives. The Australian researchers locate three maps which could help the Papua New Guinean's case and you are asked not to show these maps to the Papua New Guinean researchers. Do you comply?
2. Personal case files are often transferred to archives on the condition that no access should be granted that would violate the privacy of the individual involved. For some files relating to certain aboriginal tribes, determination of access has been delegated to you. Would you grant access to a popular freelance author wishing to write on incest in native communities for *National Enquirer* although he vows not to print any individual names found in case histories? Would you grant access to the same records to an established university professor wishing to do an article of statistical analysis of incest occurrence in native society for the *Journal of Comparative Native Studies*? Would you grant access to the incest victim herself now trying to cope with this trauma in her life? One of the files in the series relates to a young woman who is now quite famous.
3. A private archives specialises in records relating to the timber industry. Among many other collections, it has in its custody most of the records of the Bark and Branch Lumber Company. Additional documents relating to that company and, to a lesser extent, to your institution's area of jurisdiction are listed for auction. The archivist of the private archives, knowing of your interest in these records, asks you not to bid against him. You know that his institution has a deplorable record of giving reference access and has inadequate resources to carry out conservation work, especially on the large collection of photographs and films contained in the block of records now up for auction. Should you bid on the collection?
4. You have control of information relating to adoption in a series of social agency case files. The information was obtained from the natural mother, including medical information, on the promise of the strictest confidentiality; a promise that it would never be released to her offspring. Thirty years later, her daughter wishes to see the case file on her mother. Would you release it? If the daughter were suffering from a severe illness and needed to trace the medical history of her mother in order to allow a diagnosis of her own ailment, would that change your decision?
5. A foreign government offers a substantial monetary reward for significant information leading to the whereabouts of a notorious war criminal. You stumble upon such information in a restricted file. What would you do?
6. You are the newly appointed supervisor of an employee who likes to decorate his working area with duplicates of posters, notices, advertisements and photographs found in newly acquired collections. He also combs through records approved by his supervisors for destruction to find old stamps,

- letterhead designs and pamphlets for his private collection. What course of action would you take?
7. A foreign government claims that certain rare documents in your collection were removed from its country some time ago without an export permit. Since these are also important documents in that country's national heritage, a request is made of you to return these items. How would you advise your administration to deal with this request?
 8. One of your maps is damaged to the extent that portions of the map image are missing. A conservator claims to be able to restore the map in such a way that it will be unnoticeable what part has been filled in. Since you plan to exhibit this map and reproduce it in a catalogue, do you authorise this conservator to proceed with the treatment proposed? If such damage to a document were not 'natural' but 'man-made' - such as the spilling of red paint on the Proclamation of the Constitution document as happened in Canada several years ago - does this change your decision?
 9. You are working on a thesis and in your research after hours gain detailed knowledge of a group of records which is in your archival area of responsibility. A researcher asks for some information which you know to be in certain files you have studied after hours. This information has formed the basis of a key chapter in your thesis, which will not be completed for several years. Indeed, the discovery sheds new light on an important and controversial aspect of your country's history. The researcher would publish the information immediately were she to be made aware of it, thus rendering your thesis a re-hash of her article rather than the original (and reputation-forming) contribution it could be for you. Do you give away the information you have about these files?
 10. An academic who has been influential in your career and is now located a great distance from your institution requests a detailed list of documents relating to his research area. Your institution cannot afford the time to do such an extensive inquiry and turns the request down. However, the academic knows that you work there and are the best person to do the job. Since he has money to spend, offers you a fee to prepare the list after hours. Your employment contract condemns the acceptance of gratuities. (You need the money in order to attend an annual professional conference.) What would you do?
 11. You have been examining (prior to formal acquisition) the papers of a man who had been prominent in public life. While arranging the collection, you find love letters to a mistress, as well as evidence that he took bribes while in office. His widow appears to be unaware that such material exists. You have a strong suspicion that, if she knew, she would destroy all evidence which might damage her husband's public image before formally turning the collection over to your institution. Do you bring such facts to her attention? If she were to insist then on withdrawing the 'damaging' portion of the collection, why not photocopy these records without her knowledge, then bring them to light after her death?

12. You are negotiating with the widower of a governor for the acquisition of his late wife's papers. Because she was an important political figure, you see that her papers would have a market value of at least \$12,000. The widower seems unaware of the market value of the material. Rather, he is greatly flattered by your institution's interest in his wife. He is obviously not wealthy; indeed, he has even remarked that his income is uncomfortably small. If you act quickly, you will probably get a good bargain. What do you do?
13. A researcher has worked extensively for three summers on the immigration of domestic servants from post-war Europe to Australia. You as the specialist in immigration records have struck up many a friendly conversation with this researcher, who in turn has shared his sources with you and told you of fascinating discoveries relating to his topic, including some previously unknown to you. These discoveries are of such a nature that no amount of combing through the finding aids would have revealed them - only months of hard work in the actual files. Following these three summers, a second researcher arrives, excited about doing her PhD thesis (and possibly a quick article too) on this same subject. She asks if anyone else is working on this topic and if so what is that person's name and address? She also asks for information on any special groups or series of records relating to this subject that are not apparent in the inventories and finding aids. How would you handle this request?
14. You are responsible for purchasing the whole range of documents (maps, photographs, watercolours, autograph letters) which your institution acquires. One such document which personally appeals to you is offered. You decide for various reasons (duplicate, not quite in the institution's mandate, conservation concerns, etc) that it is not of interest to your institution. Would you buy it for your personal collection?

Tips for Instructors to Use in Managing the Activity and Discussion:

Distribute ethics scenarios among students. Either give one to each student or have students work in teams of two to develop confidence and teamwork skills in

- identifying the ethical and managerial issues the case dilemma raises
- researching the ethical and management principles and guidelines that are involved using the appended Codes of Ethics
- devising a justifiable and managerially and archivally sound ‘solution’
- summarising and presenting the issues and the proposed solution (through presentations to the group).

If students work in groups, be sure they don’t spend all their time battling to achieve consensus. It is better to let each person speak to each point to ensure all feel that they are heard.

The discussion works best if the students are given some time to study the dilemma and do some reading and work together. Give the exercise and the copies of the relevant codes and articles about ethics to the students in advance of the discussion date. For optimum results, students should allow themselves at least one hour of research, reading and planning.

In class discussion, it usually takes between 10 and 15 minutes to go over each dilemma as some arouse more interest than others. Instructors should play the ‘devil’s advocate’, offering refining details or setting further questions to ensure that key fine issues are raised and problems addressed.

The Dilemmas and Some of the Points to Raise:

1. **REQUEST NOT TO SHARE INFORMATION ABOUT HOLDINGS WITH RIVAL:** A small island in the narrow straits between New Guinea and the north coast of Australia is considered to belong to Australia but suddenly the Papua New Guinea Government has reason to believe that a case can be made for its claim to the island, which offers excellent harbour possibilities for oil-carrying tankers. Both governments dispatch researchers to archives. The Australian researchers locate three maps which could help the Papua New Guinean’s case and you are asked not to show these maps to the Papua New Guinean researchers. Do you comply?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Does the possibility of the tankers breaking up and spilling their oil affect your decision? And the fact that the island is a nesting area for a rare species of bird whose extinction would be ensured by activity on the island? And what about the certain destruction of aboriginal artefacts and the disturbance of sacred burial sites? Or the loss of a popular resort located there? Is there any assurance that either government will eschew the development dollar and choose to protect these natural and cultural treasures? Who is asking you not to show them? The Prime*

Minister? the Australian researchers? Your boss? Should the identify of the person asking make a difference in your response?

2. **DISCRIMINATING AMONG REQUESTS FOR ACCESS TO PERSONAL INFORMATION:** Personal case files are often transferred to archives on the condition that no access should be granted that would violate the privacy of the individual involved. For some files relating to certain aboriginal tribes, determination of access has been delegated to you.

Would you grant access to a popular freelance author wishing to write on incest in native communities for *National Enquirer* [a notorious tabloid known for sensational and untrue stories] although he vows not to print any individual names found in case histories? Would you grant access to the same records to an established university professor wishing to do an article of statistical analysis of incest occurrence in native society for the *Journal of Comparative Native Studies*? Would you grant access to the incest victim herself now trying to cope with this trauma in her life? One of the files in the series relates to a young woman who is now quite famous.

Teasing Out the Issues and Further Questions: *What guidance do the codes of ethics offer on this one? Attitudes towards sexual relationships amongst close relatives vary from society to society - what might be considered a crime in one society is a required ceremonial rite of passage in others. How much influence, does the nature and reputation of the publication ie notorious tabloid vs scholarly journal have? Can discrimination be both 'good' [for privacy and responsible use of sources and against general publication] and 'bad[against journalists and for serious scholars]?' Is there a clear policy in place for administering culturally and/or morally sensitive access requests? Should research subjects or ordinary people have a right to see information ABOUT them, gathered or created by third parties without their knowledge or permission ie medical, educational and governmental institutions?*

3. **BIDDING AGAINST A SUB-STANDARD RIVAL:** A private archives specialises in lumbering records. Among many other collections, it has in its custody most of the records of the Bark and Branch Lumber Company. Additional documents relating to that company and, to a lesser extent, to your institution's area of jurisdiction are listed for auction. The archivist of the private archives, knowing of your interest in these records, asks you not to bid against him. You know that his institution has a deplorable record of giving reference access and has inadequate resources to carry out conservation work, especially on the large collection of photographs and films contained in the block of records now up for auction. Should you bid on the collection?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Let's say that you do have both the money and the mandate to bid, other than the ethical questions, are there other factors that would influence your decision? Are there any steps you can take to improve your rival's standard of archival work? If so, what are they? Suppose your rival informs you that he knows his operation is deficient and intends to take a professional archival course, but needs to get this particular collection to*

convince his higher management that such a professional approach is really justified? Would that change your view?

4. **MEDICAL NEED VS. CONFIDENTIALITY:** You have control of information relating to adoption in a series of social agency case files. The information was obtained from the natural mother, including medical information, on the promise of the strictest confidentiality; a promise that it would never be released to her offspring. Thirty years later, her daughter wishes to see the case file on her mother. Would you release it?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Assume that there are no laws or regulations prohibiting you from releasing it; it is up to you. If the daughter were suffering from a severe illness and needed to trace the medical history of her mother in order to allow a diagnosis of her own ailment, would that change your decision? Would it make any difference if the request were made through a medical practitioner or through an agency representing adopted children seeking their natural parents?*

5. **REWARD FOR INFORMATION ON WAR CRIMINAL:** A foreign government offers a substantial monetary reward for significant information leading to the whereabouts of a notorious war criminal. You stumble upon such information in a restricted file. What would you do?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. How did you come to have access to this restricted file? What sorts of restrictions are they? For example, what if the restriction said no one is ever to see this file and it was to have been destroyed. What if the war criminal is very elderly and ill? Are there any circumstances so heinous that all archival and ethical constraints should be overridden? The reward money is very large and would be of huge benefit to the archives programme, what are some of the issues you would need to check up on before carrying the matter further? ie can a public office collect the reward, is the information you have found accurate and true? Is there danger to any person or to the archives if this information becomes known? Can one separate the decision to release information from the consequences of actions which may ensue as a result of the release of the information?*

6. **DECORATIVE USE OF 'TO BE DESTROYED' DUPLICATES AND EPHEMERA:** You are the newly appointed supervisor of an employee who likes to decorate his working area with duplicates of posters, notices, advertisements, and photographs found in newly acquired collections. He also combs through records approved by his supervisors for destruction to find old stamps, letterhead designs, and pamphlets for his private collection. What course of action would you take?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Is there any policy on such activity in the institution? Should there be? Is the underlying problem here really the fact that this particular individual has used his job to obtain privileged access to and use of such material at no cost? Alternately, couldn't the employee use*

his talents to put together interesting exhibitions and/or to ensure that any disposal programme ensures the sale of ephemera? Why shouldn't the archives offer such materials for sale at an announced and well attended public auction and use the proceeds to benefit the programme? What issues arise from such a course of action?

7. CLAIM FOR RETURN OF CULTURAL PROPERTY: A foreign government claims that certain rare documents in your collection were removed from its country some time ago without an export permit. Since these are also important documents in that country's national heritage, a request is made of you to return these items. How would you advise your administration to deal with this request?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Assume you have checked up on the facts of the matter and find that the foreign government's assertions are true. However, at the time the export took place, there was an official policy that permits were required, but it was widely ignored. In fact, lots of cultural property went missing during that period. Are there alternatives to returning the documents that would permit both countries to have access to the materials? Discuss these and the issues that might ensue.*

8. RESTORATION DILEMMA: One of your maps is damaged to the extent that portions of the map image are missing. A conservator claims to be able to restore the map in such a way that it will be unnoticeable what part has been filled in. Since you plan to exhibit this map and reproduce it in a catalogue, do you authorise this conservator to proceed with the treatment proposed?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. What do the codes of practice in the conservation profession recommend? If such damage to a document were not 'natural' but 'man-made' - such as the spilling of red paint on the Proclamation of the Constitution document as happened in Canada several years ago - does this change your decision? Can you turn damage into an asset?*

9. SHARING KNOWLEDGE ATTAINED DURING PRIVATE RESEARCH: You are working on a thesis and in your research after hours gain detailed knowledge of a group of records which is in your archival area of responsibility. A researcher asks for some information which you know to be in certain files you have studied after hours. This information has formed the basis of a key chapter in your thesis, which will not be completed for several years. Indeed, the discovery sheds new light on an important and controversial aspect of your country's history. The researcher would publish the information immediately were she to be made aware of it, thus rendering your thesis a re-hash of her article rather than the original (and reputation-forming) contribution it could be for you. Do you give away the information you have about these files?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Are you under any obligation to share information you discover after hours? If so, why? If not, why not? Would it*

make any difference if the researcher were not going to publish until after your thesis is approved? Would your position change if someone else were present to hear the request and, if so, would that person's status ie your boss, another employee, the researcher's spouse, affect your response?

10. **AFTER HOURS WORK FOR A FEE:** An academic who has been influential in your career and is now located a great distance from your institution requests a detailed list of documents relating to his research area. Your institution cannot afford the time to do such an extensive inquiry and turns the request down. However, the academic knows that you work there and are the best person to do the job. Since he has money to spend, he offers you a fee to prepare the list after hours. Your employment contract condemns the acceptance of gratuities. (You need the money in order to attend the archives society's annual conference in a distant city.) What would you do?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Does the prospect of using the money for professional purposes largely alter the dilemma? If so, how would it affect your judgement and actions? Are there any conditions that would have to be met in order to make it OK? Does this special arrangement pose a problem of precedent?*

11. **CONTROVERSIAL MATERIAL IN PROSPECTIVE COLLECTION:** You have been examining (prior to formal acquisition) the papers of a man who had been prominent in public life. While arranging the collection, you find love letters to a mistress, as well as evidence that he took bribes while in office. His widow appears to be unaware that such material exists. Do you bring such facts to her attention?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. You have a strong suspicion that, if she knew, she would destroy all evidence which might damage her husband's public image before formally turning the collection over to your institution. If she were to insist then on withdrawing the 'damaging' portion of the collection, why not photocopy these records without her knowledge, then bring them to light after her death?*

12. **BARGAIN ACQUISITION:** You are negotiating with the widower of a social conscience writer for the acquisition of his late wife's papers. Because she was an important activist and reformer, you see that her papers would have a market worth of at least \$12,000. The widower seems unaware of the market value of the material. Rather, he is greatly flattered by your institution's interest in his wife's contribution to the nation. He is obviously not wealthy; indeed, he has even remarked that his income is uncomfortably small. If you act quickly, you will probably get a good bargain. What do you do?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Would it make a difference if he were a wealthy person? If so in what ways? Does that fact that your entire acquisition budget is only slightly more than \$12,000 and you know your institution will expect to bid at several important auctions coming up later in the year? Are*

there any creative ways to ensure a fair return for the donor and a good deal for the archives?

13. **SHARING HARD-EARNED RESEARCH INFORMATION WITH OTHERS:** A researcher has worked extensively for three summers on the immigration of domestic servants from post-war Europe to Australia. You as the specialist in immigration records have struck up many a friendly conversation with this researcher, who in turn has shared his sources with you, and told you of fascinating discoveries relating to his topic, including some previously unknown to you. These discoveries are of such a nature that no amount of combing through the finding aids would have revealed them - only months of hard work in the actual files. Following these three summers, a second researcher arrives, excited about doing her PhD thesis (and possibly a quick article too) on this same subject. She asks if anyone else is working on this topic and if so what is that person's name and address? She also asks for information on any special groups or series of records relating to this subject that are not apparent in the inventories and finding aids. How would you handle this request?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Would it make any difference if you thought her approach to the topic was much more valuable and scholarly than that being pursued by the long time researchers? Do researchers have an obligation to publish their discoveries quickly so that the knowledge can be disbursed as widely as possible? What dangers lie in your making a selection of materials or in providing contact details?*

14. **PERSONAL PURCHASE OF MATERIAL UNWANTED BY INSTITUTION:** You are responsible for purchasing the whole range of documents (maps, photographs, watercolours, autograph letters) which your institution acquires. One such document which personally appeals to you is offered. You decide for various reasons (duplicate, not quite in the institution's mandate, conservation concerns, etc.) that it is not of interest to your institution. Would you buy it for your personal collection?

Teasing Out the Issues and Further Questions: *What do the various codes of ethics say on this matter. Would it change any thing if your boss knew you were an active private collector and although a policy existed prohibiting employees from acquiring archival material for private use or sale, it had never been enforced? What if you were buying it to eventually donate it to another archival institution of which you are a patron/adviser and which would be thrilled to have it? Does this latter situation raise any additional problems?*

Instructions for Learners

1. **BACKGROUND READING:** Study the appendices (handout) of compiled codes of ethics and commentaries. Your aim is to acquaint yourself with the kinds of issues and responsibilities surrounding ethics and to understand how they impact upon managerial and professional record keeping decisions. You should also try to read at least one other article on legal and ethical issues and also one on making difficult management choices.
2. **GENERAL OVERVIEW OF ALL ETHICAL DILEMMAS:** Read through all the dilemmas posed, including the ones which you, as an individual, are assigned to address in detail. Make some general notes on each, identifying one or two point/issues of importance.
3. **PREPARE COMMENTS/POINTS TO LEAD DISCUSSION OF ASSIGNED ETHICAL DILEMMA.** EACH student will independently prepare notes documenting his/her own views on his/her dilemma for presentation to the class in no more than 5 minutes, addressing the points to be covered as explained in the introduction to the dilemma. If two students have the same one, you will need to discuss with each other after you have read it, how you will divide up the presentation of each of your ideas. Afterwards the class as a whole can comment or give its views through a structured discussion of all the ethical dilemmas.

Important Readings

Association of Canadian Archivists. (1992); *Code of Ethics*: URL: <http://www.archives.ca/aca/publicat/general/code.htm>

International Council on Archives. *Code of Ethics*. URL: <http://www.archives.ca/ica>

Society of American Archivists. (1993) *Code of Ethics and Commentaries*: URL: <http://www.archivists.org/vision/ethics.html>

Cox, Richard J. 'Professionalism and Archivists in the United States', *American Archivist* 49/3 (Summer 1986): 229 - 247.

Uhr, John,(1994) 'Professional Ethics: Promises and Pitfalls' in Yorke, Stephen, Anne-Marie Schwirtlich and Laurine Teakle, editors, *Ethics, Lies and Archives*. Canberra: Australian Society of Archivists, Inc.[ACT Branch], 1994. pp. 7-16.

International Council on Archives: Code of Ethics

[adopted by the General Assembly in its XIIIrd session in Beijing (China) on 6 September 1996]

Introduction to the Code of Ethics

- a) A code of ethics for archivists should establish high standards of conduct for the archival profession.
It should introduce new members of the profession to those standards, remind experienced archivists of their professional responsibilities and inspire public confidence in the profession.
- b) The term archivists as used in this code is intended to encompass all those concerned with the control, care, custody, preservation and administration of archives.
- c) Employing institutions and archive services should be encouraged to adopt policies and practices that facilitate the implementation of this code.
- d) This code is intended to provide an ethical framework for guidance of members of the profession, and not to provide specific solutions to particular problems.
- e) The principles are all accompanied by a commentary; principles and commentary taken together constitute the Code of Ethics.
- f) The code is dependent upon the willingness of archival institutions and professional associations to implement it. This may take the form of an effort and the establishment of machinery to provide guidance in cases of doubt, to investigate unethical conduct, and if considered appropriate, to apply sanctions.

International Council on Archives Code of Ethics

- 1. Archivists should protect the integrity of archival material and thus guarantee that it continues to be reliable evidence of the past.**

The primary duty of archivists is to maintain the integrity of the records in their care and custody. In the accomplishment of this duty they must have regard to the legitimate, but sometimes conflicting, rights and interests of employers, owners, data subjects and users, past, present and future. The

objectivity and impartiality of archivists is the measure of their professionalism. They should resist pressure from any source to manipulate evidence so as to conceal or distort facts.

2. Archivists should appraise, select and maintain archival material in its historical, legal and administrative context, thus retaining the principle of provenance, preserving and making evident the original relationships of documents.

Archivists must act in accordance with generally accepted principles and practice. Archivists must perform their duties and functions in accordance with archival principles, with regard to the creation, maintenance and disposition of current and semi-current records, including electronic and multimedia records, the selection and acquisition of records for archival custody, the safeguarding, preservation and conservation of archives in their care, and the arrangement, description, publication and making available for use of those documents. Archivists should appraise records impartially basing their judgement on a thorough knowledge of their institutions administrative requirements and acquisitions policies. They should arrange and describe records selected for retention in accordance with archival principles (namely the principle of provenance and the principle of original order) and accepted standards, as rapidly as their resources permit. Archivists should acquire records in accordance with the purposes and resources of their institutions. They should not seek or accept acquisitions when this would endanger the integrity or security of records; they should co-operate to ensure the preservation of these records in the most appropriate repository. Archivists should co-operate in the repatriation of displaced archives.

3. Archivists should protect the authenticity of documents during archival processing, preservation and use.

Archivists should ensure that the archival value of records, including electronic or multimedia records is not impaired in the archival work of appraisal, arrangement and description, and of conservation and use. Any sampling should be carried out according to carefully established methods and criteria. Replacement of originals with other formats should be done in the light of the legal, intrinsic and information value of the records. Where restricted documents have been temporarily removed from a file, this fact should be made known to the user.

4. Archivists should ensure the continuing accessibility and intelligibility of archival materials.

Archivists should select documents to be kept or to be destroyed primarily to save essential testimony of the activity of the person or the institution which produced and accumulated the documents but also bearing in mind changing research needs. Archivists should be aware that acquiring documents of dubious origin, however interesting, could encourage an illegal commerce. They should co-operate with other archivists and law enforcement agencies engaged in apprehending and prosecuting persons suspected of theft of archival records.

5. Archivists should record, and be able to justify, their actions on archival material.

Archivists should advocate good record keeping practices throughout the life-cycle of documents and co-operate with record creators in addressing new formats and new information management practices. They should be concerned not only with acquiring existing records, but also ensure that current information and archival systems incorporate from the very beginning procedures appropriate to preserve valuable records. Archivists negotiating with transferring officials or owners of records should seek fair decisions based on full consideration - when applicable - the following factors: authority to transfer, donate, or sell; financial arrangements and benefits; plans for processing; copyright and conditions of access. Archivists should keep a permanent record documenting accessions, conservation and all archival work done.

6. Archivists should promote the widest possible access to archival material and provide an impartial service to all users.

Archivists should produce both general and particular finding aids as appropriate, for all of the records in their custody. They should offer impartial advice to all, and employ available resources to provide a balanced range of services. Archivists should answer courteously and with a spirit of helpfulness all reasonable inquiries about their holdings, and encourage the use of them to the greatest extent possible, consistent with institutional policies, the preservation of holdings, legal considerations, individual rights, and donor agreements. They should explain pertinent restrictions to potential users, and apply them equitably. Archivists should discourage unreasonable restrictions on access and use but may suggest or accept as a condition for acquisition clearly stated restrictions of limited duration. They should observe faithfully and apply impartially all agreements made at the time of acquisition, but, in the interest of liberalisation of access, should renegotiate conditions in accordance with changes of circumstance.

7. Archivists should respect both access and privacy, and act within the boundaries of relevant legislation.

Archivists should take care that corporate and personal privacy as well as national security are protected without destroying information, especially in the case of electronic records where updating and erasure are common practice. They must respect the privacy of individuals who created or are the subjects of records, especially those who had no voice in the use or disposition of the materials.

8. Archivists should use the special trust given to them in the general interest and avoid using their position to unfairly benefit themselves or others.

Archivists must refrain from activities which might prejudice their professional integrity, objectivity and impartiality. They should not benefit financially or otherwise personally to the detriment of institutions, users and colleagues. Archivists should not collect original documents or participate in any commerce of documents on their own behalf. They should avoid

activities that could create in the public mind the appearance of a conflict of interest. Archivists may use their institutional holdings for personal research and publication, provided such work is done on the same terms as others using the same holdings. They should not reveal or use information gained through work with holdings to which access is restricted. They should not allow their private research and publication interests to interfere with the proper performance of the professional or administrative duties for which they are employed. When using the holdings of their institutions, archivists must not use their knowledge of the unpublished findings of researchers, without first notifying the researchers about the intended use by the archivist. They may review and comment on the work of others in their fields, including works based on documents of their own institutions. Archivists should not allow people outside the profession to interfere in their practice and obligations.

9. Archivists should pursue professional excellence by systematically and continuously updating their archival knowledge, and sharing the results of their research and experience.

Archivists should endeavour to develop their professional understanding and expertise, to contribute to the body of professional knowledge, and to ensure that those whose training or activities they supervise are equipped to carry out their tasks in a competent manner.

10. Archivists should promote the preservation and use of the world's documentary heritage, through working co-operatively with the members of their own and other professions.

Archivists should seek to enhance co-operation and avoid conflict with their professional colleagues and to resolve difficulties by encouraging adherence to archival standards and ethics. Archivists should co-operate with members of related professions on the basis of mutual respect and understanding.

Accessed and downloaded by Ann Pederson on 10/3/99 from URL:
<http://www.archives.ca/aca/>

Society of American Archivists [SAA]

Code of Ethics for Archivists

Archivists select, preserve, and make available documentary materials of long-term value that have lasting value to the organisation or public that the archivist serves. Archivists perform their responsibilities in accordance with statutory authorisation or institutional policy. They subscribe to a code of ethics based on sound archival principles and promote institutional and professional observance of these ethical and archival standards.

Archivists arrange transfers of records and acquire documentary materials of long-term value in accordance with their institutions purposes, stated policies, and resources. They do not compete for acquisitions when competition would endanger the integrity or safety of documentary materials of long-term value, or solicit the records of an institution that has an established archives. They co-operate to ensure the preservation of materials in repositories where they will be adequately processed and effectively utilised.

Archivists negotiating with transferring officials or owners of documentary materials of long-term value seek fair decisions based on full consideration of authority to transfer, donate, or sell; financial arrangements and benefits; copyright; plans for processing; and conditions of access. Archivists discourage unreasonable restrictions on access or use, but may accept as a condition of acquisition clearly stated restrictions of limited duration and may occasionally suggest such restrictions to protect privacy. Archivists observe faithfully all agreements made at the time of transfer or acquisition.

Archivists establish intellectual control over their holdings by describing them in finding aids and guides to facilitate internal controls and access by users of the archives.

Archivists appraise documentary materials of long-term value with impartial judgement based on thorough knowledge of their institutions administrative requirements or acquisitions policies. They maintain and protect the arrangement of documents and information transferred to their custody to protect its authenticity. Archivists protect the integrity of documentary materials of long-term value in their custody, guarding them against defacement, alteration, theft, and physical damage, and ensure that their evidentiary value is not impaired in the archival work of arrangement, description, preservation, and use. They co-operate with other archivists and law enforcement agencies in the apprehension and prosecution of thieves.

Archivists respect the privacy of individuals who created, or are the subjects of, documentary materials of long-term value, especially those who had no voice in the disposition of the materials. They neither reveal nor profit from information gained through work with restricted holdings

Archivists answer courteously and with a spirit of helpfulness all reasonable inquiries about their holdings, and encourage use of them to the greatest extent compatible with institutional policies preservation of holdings, legal considerations, individual rights, donor agreements, and judicious use of archival resources. They explain pertinent restrictions to potential users, and apply them equitably.

Archivists endeavour to inform users of parallel research by others using the same materials, and, if the individuals concerned agree, supply each name to the other party.

As members of a community of scholars, archivists may engage in research, publication, and review of the writings of other scholars. If archivists use their institutions holdings for personal research and publication, such practices should be approved by their employers and made known to others using the same holdings. Archivists who buy and sell manuscripts personally should not compete for acquisitions with their own repositories, should inform their employers of their collecting activities, and should preserve complete records of personal acquisitions and sales.

Archivists avoid irresponsible criticism of other archivists or institutions and address complaints about professional or ethical conduct to the individual or institution concerned, or to a professional archival organisation.

Archivists share knowledge and experience with other archivists through professional associations and co-operative activities and assist the professional growth of others with less training or experience. They are obligated by professional ethics to keep informed about standards of good practice and to follow the highest level possible in the administration of their institutions and collections. They have a professional responsibility to recognise the need for co-operative efforts and support the development and dissemination of professional standards and practices.

Archivists work for the best interests of their institutions and their profession and endeavour to reconcile any conflicts by encouraging adherence to archival standards and ethics.

Code of Ethics for Archivists and Commentary

The code is a summary of guidelines in the principal areas of professional conduct. A longer Commentary explains the reasons for some of the statements and provides a basis for discussion of the points raised.

I The Purpose of a Code of Ethics

The Society of American Archivists recognises that ethical decisions are made by individuals, professionals, institutions, and societies. Some of the greatest ethical problems in modern life arise from conflicts between personal codes based on moral teachings, professional practices, regulations based on employment status, institutional policies and state and federal laws. In adopting a formal code of professional ethics for the Society, we are dealing with only one aspect of the archivist's ethical involvement.

Codes of ethics in all professions have several purposes in common, including a statement of concern with the most serious problems of professional conduct, the resolution of problems arising from conflicts of interest, and the guarantee that the special expertise of the members of a profession will be used in the public interest.

The archival profession needs a code of ethics for several reasons: (1) to inform new members of the profession of the high standards of conduct in the most sensitive areas of archival work; (2) to remind experienced archivists of their responsibilities, challenging them to maintain high standards of conduct in their own work and to promulgate those standards to others; and (3) to educate people who have some contact with archives, such as donors of material, dealers, researchers, and administrators, about the work of archivists and to encourage them to expect high standards.

A code of ethics implies moral and legal responsibilities. It presumes that archivists obey the laws and are especially familiar with the laws that affect their special areas of knowledge; it also presumes that they act in accord with sound moral principles. In addition to the moral and legal responsibilities of archivists, there are special professional concerns, and it is the purpose of a code of ethics to state those concerns and give some guidelines for archivists.

The code identifies areas where there are or may be conflicts of interest, and indicates ways in which these conflicting interests may be balanced; the code urges the highest standards of professional conduct and excellence of work in every area of archives administration.

The code is compiled for archivists, individually and collectively. Institutional policies should assist archivists in their efforts to conduct themselves according to this code; indeed, institutions, with the assistance of their archivists, should deliberately adopt policies that comply with the principles of the code.

II Introduction to the Code

Archivists select, preserve, and make available documentary materials of long-term value that have lasting value to the organisation or public that the archivist serves. Archivists perform their responsibilities in accordance with statutory authorisation or institutional policy. They subscribe to a code of ethics based on sound archival principles and promote institutional and professional observance of these ethical and archival standards.

Commentary: The introduction states the principal functions of archivists. Because the code speaks to people in a variety of fields--archivists, curators of manuscripts, records managers--the reader should be aware that not every statement in the code will be pertinent to every worker. Because the code intends to inform and protect non-archivists, an explanation of the basic role of archivists if necessary. The term documentary materials of long-term value is intended to cover archival records and papers without regard to the physical format in which they are recorded.

III Collecting Policies

Archivists arrange transfers of records and acquire documentary materials of long-term value in accordance with their institutions purposes, stated policies, and resources. They do not compete for acquisitions when competition would endanger the integrity or safety of documentary materials of long-term value, or solicit the records of an institution that has an established archives. They co-operate to ensure the preservation of materials in repositories where they will be adequately processed and effectively utilised.

Commentary: Among archivists generally there seems to be agreement that one of the most difficult areas is that of policies of collection and the resultant practices. Transfers and acquisitions should be made in accordance with a written policy statement, supported by adequate resources and consistent with the mission of the archives. Because personal papers document the whole career of a person, archivists encourage donors to deposit the entire body of materials in a single archival institution. This section of the code calls for co-operation rather than wasteful competition, as an important element in the solution of this kind of problem.

Institutions are independent and there will always be room for legitimate competition. However, if a donor offers materials that are not within the scope of the collecting policies of an institution, the archivists should tell the donor of a more appropriate institution. When two or more institutions are competing for materials that are appropriate for any one of their collections, the archivists must not unjustly disparage the facilities or intentions of others. As stated later, legitimate complaints about an institution or an archivist may be made through proper channels, but giving false information to potential donors or in any way casting aspersions on other institutions or other archivists is unprofessional conduct.

It is sometimes hard to determine whether competition is wasteful. Because owners are free to offer collections to several institutions, there will be duplication of effort. This kind of competition is unavoidable. Archivists cannot always avoid the increased labour and expense of such transactions.

IV Relations with Donors, and Restrictions

Archivists negotiating with transferring officials or owners of documentary materials of long-term value seek fair decisions based on full consideration of authority to transfer, donate, or sell; financial arrangements and benefits; copyright; plans for processing; and conditions of access. Archivists discourage unreasonable restrictions on access or use, but may accept as a condition of acquisition clearly stated restrictions of limited duration and may occasionally suggest such restrictions to protect privacy. Archivists observe faithfully all agreements made at the time of transfer or acquisition.

Commentary: Many potential donors are not familiar with archival practices and do not have even a general knowledge of copyright, provision of access, tax laws, and other factors that affect the donation and use of archival materials. Archivists usually discourage donors from imposing conditions on

gifts or restricting access to collections, but they are aware of sensitive material and do, when necessary, recommend that donors make provision for protecting the privacy and other rights of the donors themselves, their families, their correspondents, and associates.

In accordance with regulations of the Internal Revenue Service and the guidelines accepted by the Association of College and Research Libraries, archivists should not appraise, for tax purposes, donations to their own institutions. Some archivists are qualified appraisers and may appraise records given to other institutions.

It is especially important that archivists be aware of the provisions of the copyright act and that they inform potential donors of any provision pertinent to the anticipated gift.

Archivists should be aware of problems of ownership and should not accept gifts without being certain that the donors have the right to make the transfer of ownership.

Archivists realise that there are many projects, especially for editing and publication, that seem to require reservation for exclusive use. Archivists should discourage this practice. When it is not possible to avoid it entirely, archivists should try to limit such restrictions; there should be a definite expiration date, and other users should be given access to the materials as they are prepared for publication. This can be done without encouraging other publication projects that might not conform to the standards for historical editing.

V Description

Archivists establish intellectual control over their holdings by describing them in finding aids and guides to facilitate internal controls and access by users of the archives.

Commentary: Description is a primary responsibility and the appropriate level of intellectual control should be established over all archival holdings. A general descriptive inventory should be prepared when the records are accessioned. Detailed processing can be time-consuming and should be completed according to a priority based on the significance of the material, user demand and the availability of staff time. It is not sufficient for archivists to hold and preserve materials: they also facilitate the use of their collections and make them known. Finding aids, repository guides, and reports in the appropriate publications permit and encourage users in the institution and outside researchers.

VI Appraisal, Protection and Arrangement

Archivists appraise documentary materials of long-term value with impartial judgement based on thorough knowledge of their institutions administrative requirements or acquisitions policies. They maintain and protect the arrangement of documents and information transferred to their custody to protect its authenticity. Archivists protect the integrity of documentary materials of long-term value in their custody, guarding them against

defacement, alteration, theft, and physical damage, and ensure that their evidentiary value is not impaired in the archival work of arrangement, description, preservation, and use. They co-operate with other archivists and law enforcement agencies in the apprehension and prosecution of thieves.

Commentary: Archivists obtain material for use and must insure that their collections are carefully preserved and therefore available. They are concerned not only with the physical preservation of materials but even more with the retention of the information in the collections. Excessive delay in processing materials and making them available for use would cast doubt on the wisdom of the decision of a certain institution to acquire materials, though it sometimes happens that materials are acquired with the expectation that there soon will be resources for processing them.

Some archival institutions are required by law to accept materials even when they do not have the resources to process those materials or store them properly. In such cases archivists must exercise their judgement as to the best use of scarce resources, while seeking changes in acquisitions policies or increases in support that will enable them to perform their professional duties according to accepted standards.

VII Privacy and Restricted Information

Archivists respect the privacy of individuals who created, or are the subjects of, documentary materials of long-term value, especially those who had no voice in the disposition of the materials. They neither reveal nor profit from information gained through work with restricted holdings.

Commentary: In the ordinary course of work, archivists encounter sensitive materials and have access to restricted information. In accordance with their institutions policies, they should not reveal this restricted information, they should not give any researchers special access to it, and they should not use specifically restricted information in their own research. Subject to applicable laws and regulations, they weigh the need for openness and the need to respect privacy rights to determine whether the release of records or information from records would constitute an invasion of privacy.

VIII Use and Restrictions

Archivists answer courteously and with a spirit of helpfulness all reasonable inquiries about their holdings, and encourage use of them to the greatest extent compatible with institutional policies preservation of holdings, legal considerations, individual rights, donor agreements, and judicious use of archival resources. They explain pertinent restrictions to potential users, and apply them equitably.

Commentary: Archival materials should be made available for use (whether administrative or research) as soon as possible. To facilitate such use, archivists should discourage the imposition of restrictions by donors.

Once conditions of use have been established, archivists should see that all researchers are informed of the materials that are available, and are treated fairly. If some materials are reserved temporarily for use in a special project, other researchers should be informed of these special conditions.

IX Information about Researchers

Archivists endeavour to inform users of parallel research by others using the same materials, and, if the individuals concerned agree, supply each name to the other party.

Commentary: Archivists make materials available for research because they want the information on their holdings to be known as much as possible. Information about parallel research interests may enable researchers to conduct their investigations more effectively such information should consist of the previous researcher's name and address and general research topic and be provided in accordance with institutional policy and applicable laws. Where there is any question, the consent of the previous researcher should be obtained. Archivists do not reveal the details of one researcher's work to others or prevent a researcher from using the same materials that others have used. Archivists are also sensitive to the needs of confidential research, such as research in support of litigation, and in such cases do not approach the user regarding parallel research.

X Research by Archivists

As members of a community of scholars, archivists may engage in research, publication, and review of the writings of other scholars. If archivists use their institutions holdings for personal research and publication, such practices should be approved by their employers and made known to others using the same holdings. Archivists who buy and sell manuscripts personally should not compete for acquisitions with their own repositories, should inform their employers of their collecting activities, and should preserve complete records of personal acquisitions and sales.

Commentary: If archivists do research in their own institutions, there are possibilities of serious conflicts of interest--an archivist might be reluctant to show to other researchers material from which he or she hopes to write something for publication. On the other hand, the archivist might be the person best qualified to research in area represented in institutional holdings. The best way to resolve these conflicts is to clarify and publicise the role of the archivist as researcher.

At the time of their employment, or before undertaking research, archivists should have a clear understanding with their supervisors about the right to research and to publish. The fact that archivists are doing research in their institutional archives should be made known to patrons, and archivists should not reserve materials for their own use. Because it increases their familiarity with their own collections, this kind of research should make it possible for archivists to be more helpful to other researchers. Archivists are not obliged, any more than other researchers are, to reveal the details of their work or the

fruits of their research. The agreement reached with the employers should include in each instance a statement as to whether the archivists may or may not receive payment for research done as part of the duties of their positions.

XI Complaints About Other Institutions

Archivists avoid irresponsible criticism of other archivists or institutions and address complaints about professional or ethical conduct to the individual or institution concerned, or to a professional archival organisation.

Commentary: Disparagement of other institutions or of other archivists seems to be a problem particularly when two or more institutions are seeking the same materials, but it can also occur in other areas of archival work. Distinctions must be made between defects due to lack of funds, and improper handling of materials resulting from unprofessional conduct.

XII Professional Activities

Archivists share knowledge and experience with other archivists through professional associations and co-operative activities and assist the professional growth of others with less training or experience. They are obligated by professional ethics to keep informed about standards of good practice and to follow the highest level possible in the administration of their institutions and collections. They have a professional responsibility to recognise the need for co-operative efforts and support the development and dissemination of professional standards and practices.

Commentary: Archivists may choose to join or not to join local, state, regional, and national professional organisations, but they must be well-informed about changes in archival functions and they must have some contact with their colleagues. They should share their expertise by participation in professional meetings and by publishing. By such activities, in the field of archives, in related fields, and in their own special interests, they continue to grow professionally.

XIII Conclusion

Archivists work for the best interests of their institutions and their profession and endeavour to reconcile any conflicts by encouraging adherence to archival standards and ethics.

Commentary: The code has stated the best interests of the archival profession such as proper use of archives, exchange of information, and careful use of scarce resources. The final statement urges archivists to pursue these goals. When there are apparent conflicts between such goals and either the policies of some institutions or the practices of some archivists, all interested parties should refer to this code of ethics and the judgement of experienced archivists.

Last updated: January 22, 1997

**Accessed and Downloaded by Ann Pederson 10/3/99 from URL:
<http://www.archivists.org/vision/ethics.html>**

The Association of Canadian Archivists [ACA]

A Code of Ethics for Archivists in Canada

This Code consists of two parts: Principles,' and 'Application of Principles.'

PRINCIPLES

- I Archivists appraise, select, acquire, preserve, and make available for use archival records, ensuring their intellectual integrity and promoting responsible physical custodianship of these records, for the benefit of present users and future generations.

- II Archivists perform these activities without discrimination on the basis of race, national or ethnic origin, colour, religion, sex, sexual orientation, age, mental or physical disability.

- III Archivists encourage and promote the greatest possible use of the records in their care, giving due attention to personal privacy and confidentiality, and the preservation of records.

- IV Archivists carry out their duties according to accepted archival principles and practices, to the best of their abilities, making every effort to promote and maintain the highest possible standards of conduct.

- V Archivists contribute to the advancement of archival studies by developing personal knowledge and skills, and by sharing this information and experience with members of archival and related professions.

- VI Archivists use their specialized knowledge and experience for the benefit of society as a whole.

APPLICATIONS OF PRINCIPLES

A. Appraisal, Selection, and Acquisition

A1. Archivists appraise, select, and acquire records in accordance with their institutions' mandates and resources. These activities should be guided by consideration for the integrity of the fonds. Archivists document the criteria which governed the appraisal, selection, and acquisition of records.

A2. Archivists do not compete for acquisitions when competition would endanger the safety of the records; they cooperate to ensure the preservation of records in repositories where they can be effectively managed and used.

A3. Archivists, in determining acquisition, take into full consideration such factors as authority to transfer, donate or sell; financial arrangements, implications, and benefits; plans for processing; copyright, and conditions of access. Archivists discourage unreasonable restrictions on access or use, but may accept as a condition of acquisition clearly stated restrictions of limited duration and should suggest such restrictions to protect personal privacy. Archivists observe all agreements made at the time of transfer or acquisition.

A4. Archivists appraise the monetary value of records for purchase or tax benefit for donation based on fair market value of the records at the time of purchase or deposit and in keeping with the principles, guidelines, and regulations established by relevant appraisal bodies and the government.

B Preservation

B1. Archivists endeavour to protect the intellectual and physical integrity of the records in their care. Archivists document all actions which may alter the record.

B2. Archivists who find it necessary to deaccession archival records should make every effort to contact the donors or their representatives, and inform them of the decision. Archivists endeavour to offer the records to other repositories in preference to destruction. Archivists document all decisions and actions taken with regard to deaccessioning.

C Availability and Use

C1. Archivists arrange and describe all records in their custody in order to facilitate the fullest possible access to and use of their records.

C2. Archivists make every attempt possible to respect the privacy of the individuals who created or are the subjects of records, especially those who had no voice in the disposition of the records. Archivists should not reveal or profit from information gained through work with restricted records.

C3. Archivists inform users of any restrictions on access and use placed on records. Archivists should apply all restrictions equitably.

C4. Archivists should endeavour to inform users of copyright restrictions on records, and inform users that it is their own responsibility to obtain copyright clearance from the copyright owners.

C5. Archivists protect each users' right to privacy with respect to information sought or received, and records consulted. Archivists may inform users of parallel research by others only with the prior agreement of the individuals concerned.

D Professional Conduct

D1. Archivists who use their institutions' records for personal research and/or publication must make these activities known to both their employers and to others using the same records. Archivists, when undertaking personal research, must not use their knowledge of other researchers' findings without first notifying those researchers about the use intended by the Archivist.

D2. Archivists who acquire records personally, should inform their employers of their acquisition activities, should not compete for acquisitions with their own repositories, should not use privileged information obtained as a consequence of their employment to further these personal acquisition interests, and should maintain appropriate records of their acquisitions.

E Advancement of Knowledge

E1. Archivists share their knowledge and experience with other archivists for their mutual professional development.

E2. Archivists share their specialized knowledge and experience with legislators and other policy-makers to assist them in formulating policies and making decisions in matters affecting the record keeping environment.

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The Association of Canadian Archivists

Revised: 31 March 1998

URL: <http://www.archives.ca/aca/publicat/general/code.htm>

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<http://www.archives.ca/aca/publicat/general/code.htm>

Revising the Record Keeping Programme for the Widget Manufacturing Company: A Management Case Study

Ann Pederson¹

You have been notified by the Managing Director of the Widget Manufacturing Company that you are one of the final candidates for the to-be-established new post of records manager for the company, a permanent job which will pay very well. As the 'last test' of your ability, the managing director has asked you to present your proposal for establishing an effective record keeping programme before him and his board of three deputy managing directors. He has supplied you with the following information.

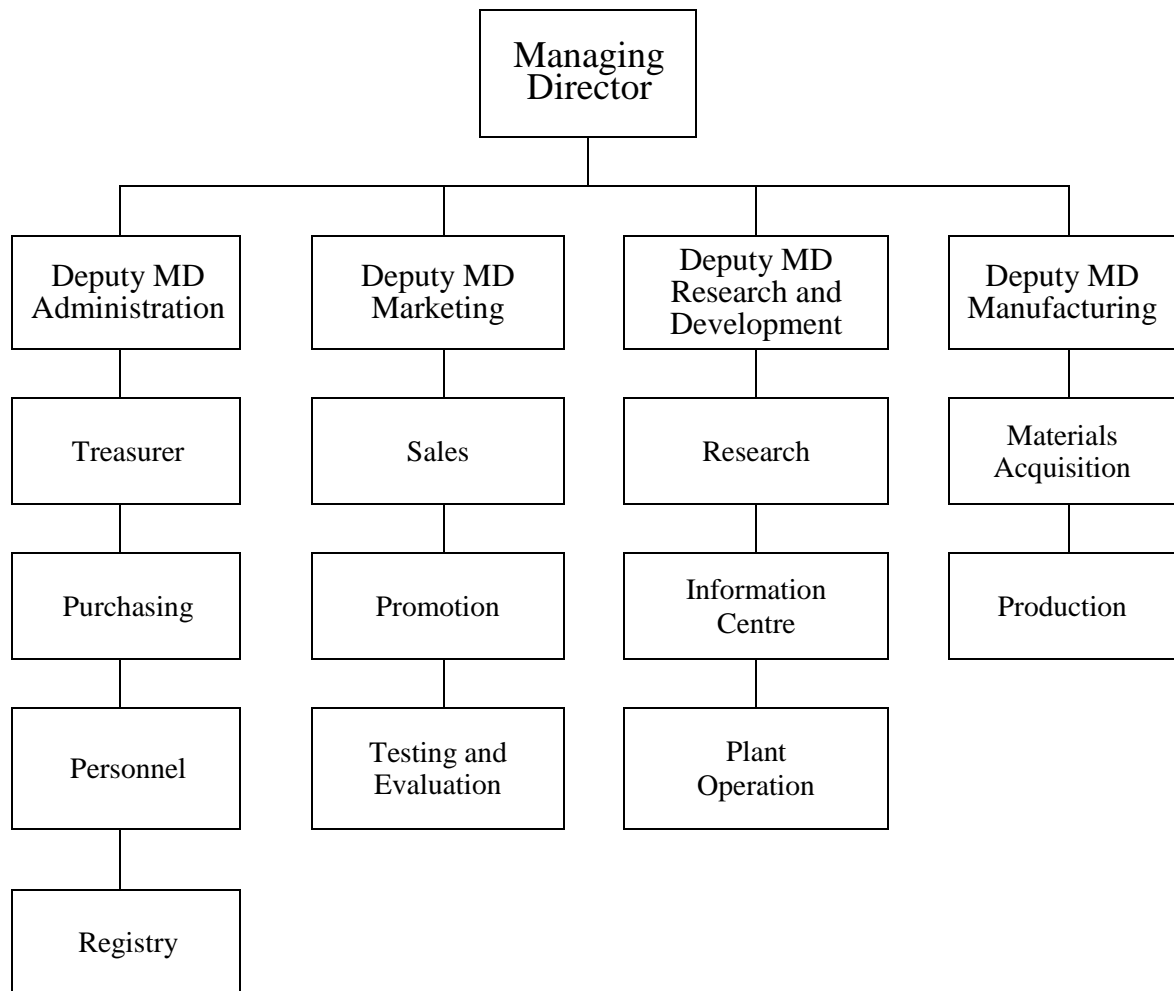
Widget is a medium sized company founded by the present managing director's great-grandfather. The company has been in business for some seventy years in the same location and has accumulated a large volume of records, particularly sales orders for widgets. A number of family members are employed by the company, mostly in the top management jobs. They control all aspects of the process for producing Widgets and employ some eighty people in their plant.

The organisation of the company is reflected in the chart below.

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Born and educated in the USA, Ann holds BA [Hons.] and MA degrees in history and is a qualified secondary teacher. She spent ten years with the Georgia Department of Archives and History in a number of capacities, including five years as Director of the Archives Division, with responsibility for all archival functions.

Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).



The company is a successful one, being the larger of two manufacturers of widgets in Australia, but inflation and the rise in prices of materials has led management to a commitment to ‘streamline’ their operations.

It was not until recently that the company became interested in record keeping effectiveness, largely for four reasons. The general rise in overhead costs has reduced the profit margin on widgets. There were unusual numbers of problems with product performance which resulted in several threats of lawsuits against the company. Also, the company will be celebrating its 75th anniversary next year and the managing director is committed to honouring the occasion and his great-grandfather properly. Finally, the company treasurer recently attended a seminar which described the value of records management as an important management tool.

As part of your initial interview some weeks ago, you toured the plant, including the company registry, which is managed by the managing director’s daughter. You took note of several features. These included

- the use of sticky tape to repair crumbling file folders and registers

- a central computer system to manage the inventory of widgets, spare parts, mailing lists of clients, etc
- lack of standards for file titling, indexing and maintenance
- no written policies or procedures for records work
- records kept in boxes, shelves and cabinets of all sizes and shapes, many stashed in corners, alcoves and out-of- the-way places
- no disposal plan.

Your four page 1,500 word proposal for establishing the record keeping programme at widget should be prepared as if it is an actual formal document for presentation to the board of directors and should consist of the following:

- Page 1: Appropriate name, statement of mission and overall objectives for the programme, accompanied by a revised organisation chart showing the proposed placement and administrative relationships of the record keeping operation within the company hierarchy.
- Pages 2-4: A plan explaining how you propose to spend your first nine months. Your plan should be presented in point form so that it is easy for non-specialists to read quickly and understand. You may employ a GANTT chart with appropriate annotations in point form to give an overview. The content should describe the various tasks you plan to undertake and explain your strategies and methods for accomplishing them harmoniously.
- Page 5: A covering letter explaining why you should have the job and enclosing an extra copy of your resume to be sure that the board has it to refer to when they evaluate your proposal.

Instructor's Notes for the Widget Case Study

Learning Objectives

1. To develop skill in preparing proposals, resumes and letters to impress potential employers.
2. To gain and apply basic concepts and tools of planning and scheduling.
3. To acquire and apply understanding of methods for analysing work unit inadequacies and devising a realistic plan for tackling them.

Assessment Guidelines/Comments for Students

A. Students were expected to follow instructions in preparing their responses.

1. 4 pages/1500 words
2. Content to be suitable for actual presentation to meeting of board of directors.
3. Clear, brief, point style presentation of content of plan.
4. Real, not fictionalised, letter about why you should have job.

One of the underlying purposes of this assignment is to get you thinking about how you will present yourself and your qualifications and ideas to potential employers, like Widget.

B. Components of Discussion

1. Recognition/awareness of some of the management/political problems to be faced by the archivist/records manager.
 - a. Need for definition of record keeping programme responsibilities and placement in management structure.
 - b. Possible general ignorance about the nature and scope of an archives/records programme throughout company.
 - c. Anticipated organisational resistance to change.
 - d. Possible nepotism or 'family run' company indicated by lots of deputy MDs and particularly dealing with MD's daughter as head of the registry.
 - e. Short timeframe for major company anniversary (75 years).
2. Plan for establishing the Widget Record Keeping Programme (RKP).
 - a. Prepare some preliminary documentation based on your conception of the RKP for discussion/approval and

dissemination over the signature of the MD. The idea behind this is to give people an overview of what an effective record keeping regime is, so that they can react/comment and express their views.

- (1) Purpose of the new programme: i.e. what is effective record keeping and how can it benefit Widget in general and workers in particular.
 - (2) Statement of proposed programme's scope and authority.
 - (3) The recommended name, sub-units (registry, records centre/archives) and temporary placement of RKP within context of larger organization (administrative context), including some explanation of direct authority and liaison arrangements, as well as rationale for your recommendations.
- b. Set up fact-finding/get acquainted/orientation sessions for key personnel (DMDS and others), followed by section-by-section visits.
- c. Learn as much as possible about Widget, its operations, its goals and objectives, its power structure, its managers and their expectations of the information system and your programme. Get to know people and seek out useful allies (Treasurer). Your task would be to get their input on your plan of work (i.e. their expectations re: what concerns are most crucial and what their needs are).
- (1) Identify people in authority from each area as potential 'records system committee' members to make suggestions for improvement and endorse your plans, step-by-step, then you will have built-in support for approval and implementation. Ask Deputy MD's for their participation or for them to designate/delegate function to knowledgeable persons in their work areas.
 - (2) Set up and make regular use of formal and informal channels of communication: personal interviews, staff meetings, regular training sessions, release regular announcements of services, policies and procedures, RKP news to all staff, particularly key management.
- d. Obtain authorisation and undertake a full scale study which would include: best way to deal with current files, survey of all records, discussion of information needs with key personnel, identification of problems and of desired improvements in information system. Allow for review and input at key points in process from the RKP Committee, your supervisors, and all interested decision-makers. Research should include:

- (1) study of existing information systems
 - (2) study of relevant literature in information science, archives, and records management fields
 - (3) study of physical deployment of records, records generating systems and equipment
 - (4) interviews with persons creating, maintaining and using records about their work activities, records, needs and ideas for system improvement
 - (5) study of major databases and information systems available in Widget field.
- e. Analyse findings and prepare a comprehensive plan for the development of an archives/records programme for approval by RM Committee and MD which includes:
- (1) Refinement of establishment documents to form RK Policy document, including administrative placement and reporting relationships. Description of Responsibilities and Duties of RKP personnel and interface with others
 - (2) Proposed budget for current year and longer-term needs (personnel, equipment, space, supplies)
 - (3) Plan of action with timetable re components of plan of action
 - (a) Conduct thorough survey/inventory of records and record keeping systems
 - (b) Prepare, approve and phase in implementation of disposal schedules
 - 1 Immediate disposal action by office staff. Identify, document and dispose of inactive materials in following categories (routine housekeeping records, all research reading files of old publications and annual reports of other firms except one set covering last five years for library/information centre)
 - 2 Phase in functional or system-wide disposal decisions gradually work unit by work unit, beginning with most important work areas or those with most voluminous functional series eligible for destruction

- (c) Make space for archives/records centre and equip same by recycling equipment and supplies resulting from above
 - (d) Begin study of registry services, procedures, practices to streamline operations in areas of reference services
- (4) Approval of and implementation of comprehensive plan in phases, each accompanied by training and codification into records management policy and procedures manual
- (a) Establish top management's backing for plan and for each stage of its implementation
 - (b) At each stage, undertake preparatory training for programme development and two-way feedback sessions with affected management and staff (before, during and after each step)
 - (c) After each phase codify all policies, functions and activities into flowcharts and procedures for *Records Management Handbook* and incorporate into training materials.
- (5) Placement and Administrative Relationships of RKP: The main requirement here is that the administrative position chosen for the RKP be one suited to carrying out company-wide activities ie. administrative division is suitable AND that it be realistic politically (that is, it doesn't put potentially powerful people off-side by grabbing units away from them or make too drastic changes). Also, it is possible to accomplish the needed influence through committees and liaison activities, rather than formally being 'independent' or 'in charge'. Also, wanted to know how you would work with other units that care for information ie. the information centre in R&D and what sub-units or functional divisions you would make in the RKP ie. registry, archives/records repository, technical services such as microfilming, advisory/consultancy services, etc.

Suggested Readings

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APPENDICES

GANTT Chart

A Gantt Chart is a scheduling tool named for its originator, Henry L. Gantt. It is an easy way to show how a project can be broken into its discrete tasks and activities involved in accomplishing it can be listed on a date schedule or, even more usefully, on a week by week basis. It allows tasks to be shown in relation to each other. Generally, one does this sort of chart for discrete activities with a few tasks. Larger projects may require several charts, one for each function or event.

TASKS →		TASK 1	TASK 2	TASK 3	TASK 4
TIMEFRAME ↓					
WEEK	DATE 1999				
1	Jan 4 – 8				
2	Jan 11 – 15				
3	Jan 18 – 22				
4	Jan 25 – 29				
5	Feb 1 – 5				
6	Feb 8-12				
7	Feb 15-19				
8	Feb 22-26				
9	Mar 1-5				
10	Mar 8-12				
11	Mar 15-19				
12	Mar 22-26				
13	Mar 29-Apr 2 Easter				
14	Apr 5-9 Break				
15	Apr 12-16				
16	Apr 19-23				
17	Apr 26-30				
18	May 3-7				
19	May 10-14				
20	May 17-21				

TASKS → 1998 TIME FRAME ↓	1.0 Ongoing Management <ul style="list-style-type: none"> • identify research tasks • organise research team • allocate tasks • distribute management guidelines • report progress to ARC and community • disseminate results 	1.1 Identify Stakeholders Identify Establish database	1.2 Establish and Maintain Web Site Design and Set Up Maintain Create Content Initial Home Page (project description, scope, vision, deliverables, the cast and crew, contact information) <ul style="list-style-type: none"> • Research Plan • Progress Reports • Related Papers • Bibliography • Links to Related Site 	1.3 Establish and Maintain Listserv Set up and Maintain Publicise to Stakeholders Use (moderate?)	1.4 Set Up Networks for Consultation Organise and Timetable Consultative Groups Establish Links with Australian and International Metadata Research Community Establish Relationship with Commercial Software Developers
	WHO	CI's, then Research Team	CIs and SC database CI2 and	CI1 and PCI to design survey instrument; APA(I) to oversee and analyse; Research Team members to expedite	CI1 and PCI to design survey instrument; APA(I) to oversee and analyse; Research Team members to expedite
Feb 2-6					
Feb 9-13	CI1 and 2 meet				
Feb 16-20					
Feb 23-27	Meeting 1				
Mar 2-6			design	design	
Mar 9-13					
Mar 16-20					
Mar 23-27					Meeting 2
Mar 30-Apr 3			administer	administer	criteria
Apr 6-9 Easter					
Apr 13-17 Break					
Apr 20-24					
Apr 27-May 1					
May 4-8			analyse	analyse	Identify

Tips for Preparing a Resume

1. Resumes should be typed with careful attention to format, columns, and margins (ideally all margins should be a minimum of 2.5 cm).
2. Resumes should, if possible, be one page in length as they are intended to summarise only the most important information about the applicant. No employer wants to read a laundry list of every move you have ever made from birth.
3. Be accurate in your claims.
4. List entries under all headings except education with most recent first. This gives the employer a view of you that is current, but leads him to material about your background.
5. Complete the entries for categories below education with the requirements of a particular job in mind.
 - This means that you may alter the emphasis (never the truth) of the information you provide from job to job so as to appeal to the interests of particular employers.
 - It also means that you need to fill in the resume sheet each time you apply for a new position or check the previous entries to be sure that they are equally appropriate.
6. Give the names and contact information for two people who can/will attest to your character and qualifications. Be sure that you ask people who know of your work and personal qualities and that they have agreed to serve in this capacity and will provide a positive recommendation to a prospective employer.
7. Resumes should be sent accompanied by a cover letter that is prepared with equal care. If possible, cover letters should be limited to one or two pages and should include the following points:
 - a. Identify the position for which you are applying.
 - b. Describe experience, skills, qualities, interests that *especially equip you for the position* but do not repeat data from the resume. Here you reference one or two key things, describing them in a way that reveals that you have insight into the requirements of the position.
 - c. Explain why you are particularly interested in work with this institution or organisation. Here you show that you have done some homework on what the institution or company is all about.
 - d. Request an opportunity to discuss the position and your qualifications further.
 - e. Thank the reader for his/her consideration of your application.
 - f. Be sure that an address and telephone number where you may be contacted is also on the cover letter, since it may become separated from the resume.

Applicant's Guide to Employment Letters

During the job search, you will want to make use of several different types of employment letters.

The cover letter accompanies the resume which is sent through the mail and should always be original. The Cover Letter may be either (1) a letter of inquiry or (2) a letter of application. (See the following to determine the difference.)

The other kind of employment letter is a follow-up or thank you letter. There are variations of this kind of letter as well. If you wish to thank the interviewer and at the same time accept the position, this is an acceptance letter.

If you wish to thank the interviewer for his/her time but gracefully decline the job offer, this is commonly referred to as a declining letter. The format for either category (cover letter or thank-you letter) can be quite simple, perhaps three paragraphs, and short. One page is sufficient.

Cover Letter

Always enclose a cover letter when you mail out a resume. Employers will usually be courteous enough to reply with a letter if you send an original letter ie. written specifically to them and signed in ink. A resume, sent on speculation, in and of itself, does not necessarily require a reply from the prospective employer.

Your major purpose, in writing your cover letter, is to attract the interest of the employer enough to result in an invitation to an interview. The cover letter needs to be professional, but also lively, appealing and creative. Use simple, clear language, don't try to impress with stilted sentences or complicated wording. Your unique personality should come through and impress the reader enough to want to read further, namely your resume.

1. Address your letter to a specific person, using name, title, and department, if possible.
2. The first twenty words are most important; they should grab the reader's attention. A boring start will mean a discarded, unread resume.
3. Tell your story in words which describe what you can do for the prospective employer, what contribution you could make, rather than in terms of what the employer can do for you.
4. Keep the cover letter short, preferably one page in length.
5. Be sure to refer to your resume - it gives the facts.
6. Be sure not to duplicate the same information as is given in your resume. Your letter should sum up what you have to offer and serve as an 'introduction' to the resume.
7. Avoid emphasising your 'reliability' or 'capacity for hard work' as such attributes can best be conveyed from the resume.

8. Use simple, direct language, correct grammar, and perfect spelling. Type neatly on standard-size (A-4 or letter-size) white bond paper. Proof-read carefully. Sign your signature above your typewritten signature.
9. Let your letter reflect you, your own individuality. At the same time, avoid being 'cute,' aggressive, humorous, or too familiar. You are writing to a stranger about a subject that is serious to both of you. Demonstrate your professional attitude.
10. Close the letter by taking the initiative for the next step. For example, you might end the letter by saying you will contact the employer to arrange for a meeting to discuss your qualifications.

Letter of Application

A letter of application differs from a letter of inquiry. The letter of application is your response to a specific job opening which has been publicised. The letter of application is customary in many fields of work, such as the following cases:

1. When you wish to contact an employer who lives in another city or state.
2. When you are answering a 'help wanted' or position vacant advertisement from a newspaper or employment notice.
3. When you are applying for a specifically advertised position which has been posted or otherwise made known.
4. When you have been told that a position is currently available.
5. When you have been contacted by an employer (recruited) and asked to make application for a specific position.

The following guidelines may be helpful as you write your letter of application:

1. Word process or type your letter neatly, paying particular attention to good sentence structure, spelling, and punctuation.
2. Use good quality paper in standard - size.
3. Address your letter to a specific individual, whenever possible (using city directories or other sources of key names).
4. Apply by stating exactly what position (or kind of position) you are seeking and why you have chosen to apply to that particular firm.
5. Be clear, brief, and businesslike.
6. Enclose your resume.

Letter of Inquiry

- This letter is used when you do not know of any specific job openings but are inquiring as to whether or not an employer could utilise your skills.
- It is always best, when writing letters of application/inquiry, to find out a few facts about the company/organisation to which you are applying. A bit of extra research and preparation will enable you to become more aware of their product, service, and history, as well as possible kinds of employment opportunities. Such

information enables you to give more thought to whether you wish to work there and may also be useful at the interview.

Follow-Up/Thank You Letter

- Always send a thank you letter after an interview, whether or not you are interested in that job. It shows that you are professional and courteous. It also reinforces a good impression and helps the employer remember you.
- Address your letter to the specific person(s) who interviewed you, and thank them for the interview and any special aspects you appreciated.
- This is also an opportunity to include any relevant information which you omitted in the interview.

Tips for Completing Application Forms

Your application is an advertisement of yourself and a sample of your work. A well done application is the first step in securing meaningful employment. Following are some guide lines for an A+ application.

1. Be prepared to complete the application. Have references, education, and employment history, dates, addresses, telephone numbers, etc. written out ahead of time so that you just have to transfer this information from your notes to the application form.
 - Provide at least two telephone numbers where you can be reached or where messages can be taken.
 - Include volunteer jobs, outside activities, internships, etc. that relate to the job for which you are applying.
2. Request an extra blank application for yourself in case you make a mistake that spoils the first one.
3. If you are completing the application in the employer's office or at an employment centre, carry pens, pencils, correction fluid, eraser and clean, plain paper.
4. Read application completely before filling it out, this includes small print.
5. Work out what you will say in notes on a separate piece of paper. Carefully worded, accurate information is best.
6. Fill out accurately and neatly. Avoid errors in punctuation, spelling, and grammar.
7. Type or print neatly -- use black ink.
8. If more space is needed for information, attach a separate sheet of paper.
9. If you make a minor error you may erase or use correction fluid NEATLY. If you make more than two or three errors, request another application and start over.
10. Sign your name legibly.
11. Read over the final application for errors. When you have completed it have someone else review it too.
12. Attach your resume to the application before submitting it
13. Make a copy of the finished application and any attachments for your own reference as you may need to refer to it later, particularly in the interview.
14. When turning in the application in person, ask the recipient to read it over to be sure that all required information is present. Be sure to ask questions at this time: What is the total application procedure? When will applicants be notified for an interview? Acceptance or rejection after interview? etc.

15. Review your application carefully before your interview and take a copy of it with you for reference as you may be asked about specific points you made in it during your interview.
16. If you have not heard from the employer after two or three weeks, make follow-up contacts by phone or in-person to check that your application has been received and considered, let it be known that you are interested and available.

Understanding Advocacy

Ann Pederson¹

Everyone responsible for managing records, library materials, archives, artifacts and/or other managerially and culturally valuable materials shares a two-fold mission. Initially we identify, acquire, and preserve evidence of lasting value, concurrently we make these materials, and the information they convey, available for continuing use. However, many programmes struggle or fail to *fulfil* their responsibilities because they do not understand advocacy: that arsenal of expertise that positively influences the destiny of our host organisations, our own collections, even our own professional careers.

Advocacy is an integrated, interactive process that motivates people to achieve particular goals. It initially provides a framework of attitudes and infrastructural tools which are then applied to create public programmes and outreach activities tailored for your specific library/archives operation. Advocacy programmes come in many shapes and sizes, but they are all relentlessly focused upon a single end: enabling you and your programme to survive and thrive into the dynamic and competitive 1990s.

Communicating the Value of Record Keeping to Management and the Community

As record keepers we have identified FOUR main OUTPUTS or resources which are on offer for exploitation by our various clientele. These are our

- Holdings (the bodies of records and information contained therein)
- Services (storage, preservation, reference, disposal activities and facilities equipment)
- Expertise (technical consultancy, training, advice and assistance)

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Born and educated in the USA, Ann holds BA [Hons.] and MA degrees in history and is a qualified secondary teacher. She spent ten years with the Georgia Department of Archives and History in a number of capacities, including five years as Director of the Archives Division, with responsibility for all archival functions.

Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).

- Experiences (learning to use sources, equipment and facilities to solve problems or perform tasks, thereby gaining new benefits, knowledge, insights and enjoyment).

How we acquire, prepare and present these resources for use and the benefits/impacts that result from their use must be documented through statistics and other measurable indicators of the extent to which we have achieved our planning goals. In designing these effectiveness measures, always remember to select indicators that

- accurately reflect/document the work you are doing in both time and effort
- can be gathered accurately and easily (preferably automatically in an electronically usable form) in the course of normal work activities
- are expressed in terms understandable and meaningful to ordinary people, particularly those who fund and supervise your programme.

Reporting your achievements *regularly* to superiors and ‘significant others’ inside and outside the organisation must be seen as a very high priority. These influential ‘publics’ must be kept informed with evidence documenting the great value of your work. Particularly helpful is an easily scanned list of accomplishments, each with a brief explanation of the benefits or impact achieved in terms of

- worth gained - dollar value (actual or percentage increase) of donated services, volunteer or student labour, products, equipment, records; of publicity in value of column inches, number of people reached; output/productivity increased
- savings achieved - costs avoided having the essential records meant that the organisation did not have to pay to reconstruct or redraw them; time and/or effort saved
- risks minimised - minimised penalties and embarrassment from repeating mistakes/failures of past.

It will be helpful if you always ask your users to explain how the records have helped them in their tasks/projects, preferably in writing and in quantitative measures (how much money was saved, what costs were avoided, how much time/productive space was saved or reclaimed, etc.) Do this immediately when their gratitude is fresh!

Communicating the Impact of Effective Record Keeping

Whatever the context or the nature of the record keeping environment, in the end success will be measured by the results the whole enterprise is designed to achieve. Strong indications of these aims are found in the wording of basic definitions of records management provided in leading policy documents, reports and texts. The terminology used includes words and phrases like ‘economy’ and ‘efficiency’ and ‘controlling the quality and quantity of essential evidence to achieve security, service and effectiveness in meeting the requirements of the organisation and of society’. However expressed, the overall UNIQUE benefits that flow from having accurate,

timely, authentic records should be conveyed. For example, record keepers can explain HOW THE RECORD KEEPING ORGANISATION enabled the organisation to make/save money, improve business, win acclaim, attract customers and other tangible benefits in the areas of

- 1 RESEARCH/PLANNING: Undertake appropriate planning and development and make strategic decisions to acquire, sell and/or deploy resources
- 2 STATUTORY/REGULATORY: Ensure compliance with requirements of legislature, executive and judicial regulatory authorities; protect proprietary interests, rights and entitlements
- 3 GOVERNANCE AND PRODUCTIVITY: Control and manage work processes and resources effectively at all times for maximum output and return on investment
- 4 CONTINUITY/PROTECTION: Protect vital records, ensure continuity of high quality evidence over time; minimise damage/disruption and continue/resume essential operations in the event of a disaster
- 5 MINIMISE RISKS: Identify and neutralise unacceptable legal, fiscal and business related risks; protect the interests of the organisation in the event of litigation
- 6 HISTORICAL DOCUMENTATION: Maintain an accurate ‘memory’ of the organisation’s origins and development over time. Ultimately, only 1-5% of all records are retained indefinitely because of their enduring value. An effective system ensures that essential evidence is protected and accessible whilst appropriately purging itself of other records when they are no longer required.

These benefits are especially significant for the management of records of enduring value or archives. Having a well run integrated record keeping organisation will do much to make the work of record keeping professionals much easier.

For example, some of the proven POSITIVE, LONG-TERM BENEFITS FOR RECORD KEEPING PROFESSIONALS ARE THAT:

- Records of enduring value can be identified from the beginning of their active life and thus can be recorded, organised and stored to meet long-term retention and access requirements.
- Records of enduring value and their finding aids can be scheduled for order transfer into repository custody. Conversely, records of temporary value can be scheduled for disposal so that the repository does not have to expend resources to care for them or to weed them out later.
- Accurate information about the functions of creating agencies/offices, about the contexts of record origins and uses and about the types of records and information contained in them have been compiled/recorded for easy verification and transfer into repository finding aids.
- The accuracy and integrity of records with evidential value can be protected in an unbroken chain of ‘continuous responsible custody’ from office to repository.

- The long-term requirements for retention and administration of electronic records are part of systems design and implementation considerations, thus minimising later problems of appraisal, access and preservation.
- Security and access requirements are determined early in the active life of a record and decisions about their long-term administration are made and implemented before they are transferred to repository custody or offline status.

Integrated record keeping approaches can achieve all of the above in both paper and electronic environments, but the latter offers us even more exciting prospects. *However, it is up to US to COMMUNICATE THOSE IMPACTS to our supervisors, Boards of Directors and the community as a whole.*

Articulating Your Cause: The Marketing Brief

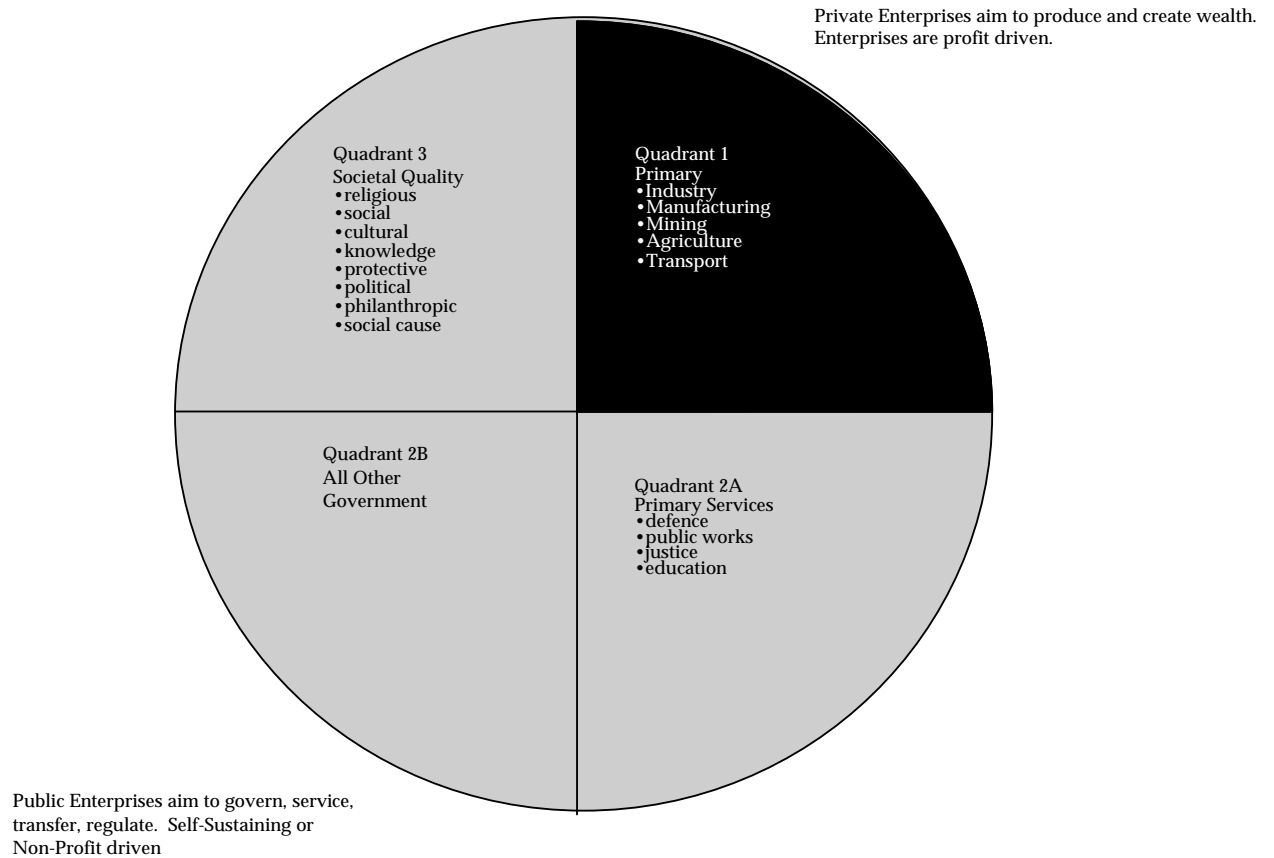
There is a need to develop a clear, concise ‘marketing brief’ for the record keeping programme. This document describes the nature of the programme in context, assesses its assets, strengths/weaknesses and identifies the threats/opportunities it faces in the ‘marketplace’. The marketing brief establishes a firm foundation on which to develop appropriate and effective advocacy activities.

As in all successful planning and management, developing a marketing brief requires a thorough understanding of your organisation and the context in which it is set. For the purposes of our discussion, look at Chart One where I have set out the major types of human enterprises, all of which seek to market themselves and their business products. Quadrant One, the first sector, is largely responsible for activities that constitute ‘the economy’ -- producing food, shelter, clothing and the means of further production for profit.

Quadrant Two is known as the ‘public sector’ and includes all government operations that have to be performed or are deemed to require public control. While the mission of most public agencies is to provide effective governance rather than to achieve a ‘profit’, all such bodies are subject to fiscal and operational scrutiny to ensure they give good value for their allocation of public funds. Increasingly government agencies are encouraged to reduce their dependence upon public appropriations through fees, sales of expertise/services and other ‘cost recovery’ measures.

Quadrant Three is traditionally called the ‘non-profit,’ sector. Organisations in this category perform societal functions that are desirable, but that do not need to be under formal public control. These bodies usually provide services that are not adequately supplied by either Quadrant One or Quadrant Two.

CHART 1: Categories of Human Enterprise²



² Adapted from Philip Kotler, Peter Fitzroy and Robin Shaw. 'Broadening Marketing: Public, Non-Profit, Social and Societal.' *Australian Marketing Management*. Sydney: Prentice-Hall, 1990, pp. 573-74.

Let us now look more closely at the Quadrants Two and Three, as their common requirements for accountability and societal quality necessitate programmes for long-term record keeping. How does one apply marketing tools and principles within such sensitive environments? Very carefully! Public and non-profit organisation managers must achieve a balance among expectations of value for public money invested such as

- economy and efficiency of production and administration
- corporate culture promotes and demonstrates legal, equitable, ethical, moral and professional behaviour and attitudes
- providing a necessary/desirable service/product of expected quality
- meeting mandated clients' needs
- all aspects of organisation and its operation have long-term performance and societal quality as their touchstones.

Thus what experts advocate for these contexts is an adaptive form of strategic planning and marketing, known as enlightened marketing, which exhibits the following characteristics.

ENLIGHTENED MARKETING is

- relationship oriented , not transaction oriented
- innovative
- striving for value
- tied to a sense of mission
- societally responsible.

Developing the Marketing Plan and Brief: Steps and Elements

According to mainstream marketing texts, the steps shown in Table 1 are needed in order to develop an authoritative marketing plan.

As in all good planning, these phases and activities tend to be interactive as quite often information gleaned as work progresses necessitates some adjustment of earlier decisions.

Having identified the processes involved, now let us turn to the components which should be included in an authoritative marketing plan or brief. Table 2 sets out the various parts and explains the content needed for each.

Learning to analyse a programme to maximise its potential assets is a useful skill. You might find it useful to consult several general marketing texts, such as the sources identified under further reading, in preparation for the following case studies.

TABLE 1: Systems View of Development Process

SYSTEM PHASE	ACTIVITIES IN WORKFLOW SEQUENCE
INPUT	Identify need for marketing initiative Propose development of marketing plan Authorise development project.
PROCESS	Do preparatory research and assemble resources Define scope of marketing to be undertaken Identify/analyse mission & market Select appropriate personnel Forecast changes, obstacles, resources Assess needs/expectations Approve/implement planning methodology Develop alternatives Evaluate alternatives Select 'best' option Draft marketing plan incorporating requirements, findings and methodology Discuss and fine tune plan with feedback from appropriate personnel Approve marketing plan Implement marketing plan.
OUTPUT	Monitor/document process and products Evaluate effectiveness at end of planning interval Report results Revise plan/marketing programme Start new planning cycle.

TABLE 2. The Marketing Plan or Brief

COMPONENTS	NATURE OF CONTENT
<p>Context Analysis</p> <p>External</p> <p>Internal</p>	<p>Brief description of nature of corporate mission, outlining any contextual and environmental controls/constraints influencing organisation's operations and particularly its marketing decisions.</p> <p>Brief description of specific function and/or particular business activity under analysis. Nature of proposed/actual products [items, services, expertise, facilities, experiences] to be marketed. Describe corporate culture and related factors[expertise, resources, alliances] that are strengths, weaknesses, opportunities and/or threats [SWOT].</p>
<p>Market Assessment</p>	<p>Nature of products in the market and existing and potential clientele, including specific clientele campaign would target. Competing organisations, products and relative position of organisation in marketplace. Describe factors that are strengths, weaknesses, opportunities and/or threats [SWOT].</p>
<p>Marketing Objectives to be Achieved</p>	<p>Concrete, measurable outcomes such as visibility, impact, revenue, good will, productivity, client satisfaction expressed in relevant terms and timeframes.</p>
<p>Recommended Marketing Strategy</p>	<p>Very brief summary of background thinking and alternatives explored, including critical factors addressed, that led to recommended strategy.</p>
<p>Marketing Plan</p>	<p>The Who, What, When, Where, Why and How [5 W's and an H] of what you propose to achieve, including resources and timeframe required and measures you propose for assessing extent of success.</p>
<p>Implementation Plan</p>	<p>Tasks to be accomplished, responsibilities delegated, personnel to be involved and schedule [plot on a Gantt chart or similar graphic device].</p>

Case Study Learning Objectives

- 1) Appreciate the value of archives and records management expertise, services and sources as valuable assets.
- 2) Identify the major client groups and stakeholders important for the survival and expansion of record keeping and heritage/cultural management programmes today.
- 3) Grasp some of the major considerations and components involved in designing/managing a basic advocacy infrastructure and effort.

Case Study One: A Marketing Brief for the Local Studies Collections and Archives of the Greater Central Coast

TASK Gather information and prepare a marketing brief for the organisation described as follows OR for one of your own choosing. If you choose your own, you will need to prepare a write up describing it patterned on the one below to 'set the stage' for your case study.

The Organisation

You are the manager for the newly established Local Studies Collections and Archives of the Greater Central Coast of the State of New South Wales, a programme which is housed in a multi-functional Cultural Centre along with art gallery, public library and local museum programmes. You are in the process of planning advocacy and public programming activities to introduce the new operation to the community and you have been directed to prepare a plan for 'what is needed' for a sound basic advocacy programme. You have been advised that the funding is more or less assured, provided your requirements are managerially sound and not outrageously expensive.

The Local Studies Collections and Archives of the Greater Central Coast is located in Woy Woy but is expected to serve the entire region, especially the adult working population. Your programme serves the statutory documentation of the area's local and shire councils and caters to the local history needs and interests of citizens from surrounding communities. Your clientele to date is comprised of local government officials; students and staff from the University of Newcastle's new Orimbah Campus; representatives from depositing organisations, businesses, clubs and civic groups; and private citizens, mostly retirees and amateur historians. In addition, you have received some contacts from teachers in local schools who are interested in developing local history projects using the local studies sources and archives. You anticipate that between 5-15 researchers will visit/use your facility each day.

Your holdings consist of specialist books describing local commercial, political and social development, appropriate government reports and documents, local government records of the region and of collections of personal, business and organisational records. You have maps, building plans, photographs, sound recordings, videos and materials relating to the region on microfilm from other repositories.

The overall building plan has designated a separate building for your operation with an area for public access, including the reference function (the reading room and all supporting or related services. Main record storage areas and other archival functions/services are on other floors). It is the entire ground floor measuring 20 x 30 metres and must also accommodate the main public entrance and reception area, public toilets, an emergency exit, a loading bay to receive records, goods and equipment for all repository functions. The Director of the Cultural Complex has also expressed a wish for your plan to provide suitable space for seminars/public meetings, conferences and occasional exhibitions, perhaps planned co-operatively with the other

cultural bodies in the complex and to describe ideas for key access services via electronic networks.

Researching the Brief

Include or refer to the following elements.

1. Proposed Draft Mission Statements:
 - a. for the Cultural Complex
 - b. for the Local Studies Collections and Archives of the Greater Central Coast.
2. Record keeping Programme's basic functions/activities, identifying opportunities/suggestions for integrating advocacy activities
3. Major exploitable 'Products' and benefits of Record Keeping and Information Management Programme and indicate the main users/recipients/beneficiaries of them.
4. Six most important 'publics' of the organisation and of the record keeping programme. Then number them in priority order explaining your reasons
5. Advocacy Plans: in overview or summary form, describe briefly what activity is proposed, clientele to be served, impact or outcome to be attained, schedule and methods of implementation, potential problems to be overcome, general budget, measures of effectiveness
 - a. Short Term (first two years)
 - b. Longer Term (three to five years).

The Finished Brief

Follow the literature conventions for such documents and try to stay within a limit of five pages. You may use outline, short phrases and point form rather than full sentences.

Case Study Two

Overall Project

Choose an organisation with an integrated record keeping programme or archives/ records service OR, if one is not available, visit a local historical society or museum and complete this two-part analysis.

1. Design a marketing brief for the record keeping programme and select one function for which to prepare a programme identifying the important 'Publics' and activities.
2. Prepare ONE of the following:
 - 2a a proposal for an advocacy/public programme/outreach campaign which includes a visual representation ie charts, prototype, model or storyboard of one of the 'finished activities/products'.

OR

- 2b a critique and recommended improvement of an existing advocacy/public programme/outreach effort which includes a visual representation of the before and after versions

You are to prepare the proposal and related materials as if you are formally presenting it to the director/board of directors seeking their approval.

PART 1: The Marketing Brief

The brief should include the following components.

- a) A background statement describing the mission of the centre/service, its key functions and related activities, including the overall administration/organisational management. Then choose one functional area or major activity and identify its major 'public's' and its promotable products/sources, services, facilities, expertise.
- b) For that chosen functional area, prepare an assessment of the present level and type of advocacy in the form of describing the present activities and doing a SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis on them.

PART 2: The Proposed New Initiative OR the Critique of an Existing Effort for the Functional Area Identified in the Marketing Brief

Prepare an exposition describing the scope and nature of the proposed undertaking to improve awareness/understanding/usage and giving a detailed example of one of the specific activities.

- a) A recommendation for a new/expanded/better defined, but modest, advocacy undertaking which explains fully the 5 'W's' and H of the effort. Conclude with a request for approval.
- b) A full description of one particular outreach/public programme activity which will be included in the campaign, explaining the benefits and outcomes it will

achieve and how it will proceed from A to Z, that is, from concept to evaluation, including prototype samples of supporting/promotional materials.

- c) An overview plan for the conduct of b. above, including list of major phases and tasks and time frame for their completion presented as a schematic (PERT, GANTT) chart. Include a one page budget giving a rough estimate of the resources and projected expense involved.

Final Products

You should incorporate the information outlined above in two interdependent products which should use annotated outlines and short phrases, as well as clear, punchy sentences, rather than essay style narrative to make your points:

1. A formal written report to the Board of Directors incorporating the marketing brief and outlining the new initiative or critiquing the existing and recommending improvements (limit ten pages).
2. A brief, executive outline (limit one to two pages) explaining how you would design a live 'show-and-tell presentation' of your ideas before the Board of Directors.

Suggested Readings

Dolnick, Sandy, ed. *Friends of the Library Sourcebook*. Chicago, IL: American Library Association, 1980.

Finch, Elsie F, ed. *Advocating Archives: An Introduction to Public Relations for Archivists*. Metuchen, NJ: Scarecrow and the Society of American Archivists, 1994.

Levy, Sidney J. and Albert G Robles. *The Image of Archivists: Resource Allocators' Perceptions*. Chicago: Society of American Archivists, 1984, and 'Archivists' Resource Allocators: The Next Step'. unpublished report, 1985.

Kotler, Philip, Peter Fitzroy and Robin Shaw. 'Broadening Marketing: Public, Non-Profit, Social and Societal.' *Australian Marketing Management*. Sydney: Prentice-Hall, 1990.

MacNamara, Jim R. *The Public Relations Handbook for Clubs and Associations*. Revised Edition. Melbourne: The Business Library, 1991.

Pederson, Ann and Gail Farr. *Archives and Manuscripts: Public Programmes*. Chicago, Society of American Archivists, 1982.

Ward, Sue. *Getting the Message Across: Public Relations, Publicity and Working with the Media*. London: Journeyman Press, 1992.

Case Studies in Archival Control

Ann Pederson and Trudy Peterson¹

Introduction

What is archival description and when is it undertaken?

Traditional archival description is generally carried out after records series have been appraised as having long-term value and so transferred for safe retention as archives. Archival description is defined as follows.

- 1) The process of recording information about the nature and contents of the records in archival custody. description identifies such features as provenance, arrangement, format and contents and presents them in a standardised form.
- 2) the preparation of a detailed overview of an owner's holdings designed to facilitate access and use.
- 3) the recording of the intellectual and physical arrangement of a series or group.
- 4) words (usually free text) used to convey central idea and information about a defined collection/record group/series/ item, usually short.

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Born and educated in the USA, Ann holds BA [Hons.] and MA degrees in history and is a qualified secondary teacher. She spent ten years with the Georgia Department of Archives and History in a number of capacities, including five years as Director of the Archives Division, with responsibility for all archival functions.

Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).

Born in Iowa, United States of America, Trudy Huskamp Peterson is the Archivist of the United Nations High Commissioner for Refugees. She spent twenty-four years with the U.S. National Archives, including more than two years as Acting Archivist of the United States. She was the founding Executive Director of the Open Society Archives in Budapest, Hungary (1995-1998). She is a past president of the International Conference of the Round table on Archives (1993-1995) and the Society of American Archivists (1990-1991). Dr. Peterson served as a Commissioner on the U.S.-Russia Joint Commission on MIA/POWs (1992-1995) and as a Fulbright Lecturer in American Studies in Finland (1983-1984). She holds a Ph.D. in history from the University of Iowa.

The minimum goal of archival description is to provide meaningful summary explanation of a particular record series in its primary business context to equip the researcher to identify and retrieve the relevant files and individual records. While it may seem desirable to give users extensive details about both records and their contents, extensive interpretation should be avoided. It can not only distort the forest for the sake of the trees, but it is also totally impractical to attempt detailed description for the millions of records held by most archives. Thus the rule is to describe records **ONLY TO THE EXTENT NECESSARY** for the user to

- obtain a meaningful overview of the content, format, contextual relationships and circumstances of the record series
- navigate the hierarchical structures leading from fonds/group to sub-group, series, sub-series, file and finally, to the record and information contained within
- understand any regulations affecting users' rights to view, examine, copy, quote from or further publish information or records from the series.

You will improve your understanding of the important function of archival control by undertaking the seven case studies included here. Part A involves evaluating the completeness, accuracy and consistency of descriptions, and Part B involves evaluating the accuracy of collection descriptions and re-examining appraisal decisions.

Part A

Case Study One: Canvas, Pole and Pickaxe Company²

You are the archivist for the Canvas, Pole and Pickaxe Company, a nation-wide chain of retail outlets for hunting and camping equipment. The chain was founded in 1854, when it was engaged primarily in selling firearms and supplies to miners in the goldfields. Your predecessor made a start on an inventory of the records of the Office of Sales and you are now trying to finish it. The first thing you are going to do is revise the entries below. What changes will you propose and why?

1. Annual Reports from stores. 1888- 19 June, 1980. 8 linear metres.
2. Registers of receipts. 1870-1920. 120 volumes. There are no registers for 1872, 1888-89 and 1916.
3. Indexes to part of series 2. 1.2 linear metres.
4. Telegrams from stores. 1917-24. 4 linear metres. Arranged numerically by geographic regions.
5. Ledgers of the Ballarat, VIC store. 1886-1914. Part of the volumes are arranged by numerical order and thereunder chronologically; the other volumes are arranged chronologically.
6. Letters received. 1890-1913. 6 linear metres. Arranged chronologically.
7. Correspondence. September 1897-August 1898. 2 folders. Arranged chronologically.

² This exercise adapted by Ann Pederson from Peterson, Trudy, *Basic Archival Workshop Exercises*. Chicago, IL: SAA, 1982. pp. 51. It is accompanied by notes adapted from Trudy Peterson's 'Instructor's Guide' p. 52.

Case Study Two: Aussie Triller Whistle Company³

You are the archivist for the Aussie Triller Whistle Company (ATWC) which manufactures and markets a line of high performance whistles suitable for many purposes. You are preparing the series descriptions for the records of the Office of Legal Counsel. You have found about 2 linear metres of case files in one file cabinet relating to cases in which the company asserted that another manufacturer was infringing on some part of the patents issued to ATWC for its special whistling mechanism and its overall whistle design. Some cases actually went to court, while others were dropped after an initial investigation by the Legal Counsel. A variety of materials is found in the case files, including legal briefs, correspondence, memoranda, transcripts of hearings, depositions of experts, abstracts, copies of the original patents, exhibit material, photographs, engineering drawings, affidavits and statements from potential or actual witnesses, trial notes and judgements. The cases date from 1963 to 1989. Which of the following titles best describes this material?

- A Patent Infringement Case Files.
- B Records Concerning Cases of Patent Infringement
- C Records of the Legal Counsel Relating to Cases of Patent Infringement
- D Records Relating to Cases of Whistle Patent Infringement
- E None of the Above. I propose instead

Give your reasons for the choice you made:

After you have chosen a title, write a full series description for this material using the information supplied.

³ This exercise adapted by Ann Pederson from Peterson, Trudy, *Basic Archival Workshop Exercises*. Chicago, IL: SAA, 1982. pp. 53. It is accompanied by notes adapted from Trudy Peterson's 'Instructor's Guide' p. 54.

Case Study Three: Guide Entries⁴

Public University, a major repository for donated records and personal papers in addition to its own administrative records, has decided to publish a guide to its holdings. You are directing the guide project and several retired university staff volunteers are working on the entries. One day you are reviewing the section of the guide on manuscript collections, which include both donated personal papers and organisational records. You come upon the following drafts. What corrections will you ask the volunteers to make, one of which is the former professor of history?

PAPERS OF PENELOPE PARKE, 1866-1940. Historical Records. 7 linear metres. The greater part of this collection consists of the historical collection of Penelope Parke, including journals, ledgers and other account books of the Newcastle Gas Company, covering functions prior to 1920; records of Peter Parke, Hunter Valley; minutes, payroll book, cash book and other records of the Hunter Vignerons Association and its member vineyards, a cooperative functioning from 1908-1910; some 19th century military post records; and other miscellaneous material.

PAPERS OF ARTHUR ENGLEWOOD, 1836-1904. Letters, 1836-1904. 33 items. Letters to F B Croft and carbon copies of Croft's replies, relating to forestry and the paper industry.

RECORDS OF THE INTERNATIONAL CONFERENCE ON GLASS TECHNOLOGY. 1971. Three folders. Unarranged.

The International Federation of Glass Manufacturers(IFGM) met at Public University on July 14-15, 1971. Material includes brochures on the university and on the local area distributed to participants; university correspondence on use of facilities; booking forms for a/v equipment; catering arrangements; docket and receipts; applications for parking permits; list of office bearers of the IFGM; sample place card from the closing luncheon on July 15, 1971; and a photograph of the Conference Chairperson, Sylvester I. Cone, with the University's President.

⁴ This exercise adapted by Ann Pederson from Peterson, Trudy, *Basic Archival Workshop Exercises*. Chicago, IL: SAA, 1982. pp. 48. It is accompanied by notes adapted from Trudy Peterson's 'Instructor's Guide' p. 49-50.

Case Study Four: Descriptive Inventory of Broken Hill Literary Guild⁵

You are the archivist for the Western Regional Repository of the Archives Office of NSW. You have the records of the Broken Hill Literary Guild, and you have had one of last year's UNSW archives students prepare the draft inventory of the Guild records. The inventory is on the next pages.

As you review the inventory, jot down the questions you have about the information presented and any corrections you will make before the final inventory is prepared. Consider the arrangement of the series, the format of the inventory, and the content of the descriptive material.

⁵ This exercise adapted by Ann Pederson from Peterson, Trudy, *Basic Archival Workshop Exercises*. Chicago, IL: SAA, 1982. pp. 55-57. It is accompanied by Trudy Peterson's 'Instructor's Guide' which has been copied from p. 58.

Descriptive Inventory

compiled by Susie Student, July, 1993.

BROKEN HILL LITERARY GUILD

Records, 1920-1951

2.7 Linear metres

These records comprise the official archives of the Broken Hill Literary Guild as they existed in 1951 when the organisation was disbanded. They were donated by Sally Sincere, the Guild's first, last, and only secretary-treasurer, in April 1975 (accession number 75-89).

Administrative History

The Broken Hill Literary Guild was founded in 1920 to promote the appreciation of outback literature among the citizens of Broken Hill. The Guild held its first formal meeting on July 4, 1920, and then met on the first Tuesday of every month for the next 30 years, weather permitting. A board of 10 directors was responsible for setting the topics for each monthly meeting, establishing a dues structure, and inviting authors to give readings or contribute to publications of the Guild. The creation of the Silver City Arts Club in 1948 was a significant factor in the Guild's demise, because the broader appeal of the new club drew many members away. By June 1950 only 10 people were left on the Guild's membership rolls and its activities had effectively ceased. The Broken Hill Literary Guild was officially disbanded in April 1951 and its records were left with the last secretary-treasurer for safekeeping.

Series Descriptions

- 1 CASH BOOKS. July 10, 1920-July 31, 1950. .4 linear metres. No index
Arranged chronologically.

Daily account of receipts and disbursements from the Guild treasury. The record for each transaction includes date, cause for receipt or disbursement, name of payee or payer, and amount. Receipts usually resulted from dues payments, sales of tickets, or publications. Disbursements included expenses for midwinter literary festival, travel reimbursements, and publication costs.

- 2 CORRESPONDENCE. June 1, 1920-July, 1950. 1.2 linear metres. Index to correspondents for 1920-1925 only.

Arranged chronologically.

Incoming and copies of outgoing correspondence, primarily with Guild members and outback authors, principally concerning requests for membership information, remittances of dues, suggestions of topics for monthly meetings, and invitations to give readings before Guild.

- 3 ALPHABETICAL CORRESPONDENCE FILE. ca. April 1944-August 1945.
.3 linear metres. No index.

Arranged alphabetically.

Incoming and copies of outgoing correspondence with prominent outback authors concerning requests by Guild for contributions to the volume of essays being compiled in commemoration of the Guild's 25th anniversary, July 4, 1945. The essays were to focus on the impact of refrigeration on modern poetry. Of the 153 authors contacted, some 48 agreed to contribute, including J G Irving, K Celeste, and P. Frost. Manuscript copies of the essays are included for those who participated.

Copies of the published volume are available in the University Library: *Frozen Food for Thought: The 25th Anniversary of the Broken Hill Literary Guild* (Broken Hill, 1946).

- 4 MINUTES OF BOARD MEETINGS. July 4, 1920-June 30, 1950. 4 volumes
(.31 linear metres). No index.

Arranged chronologically.

Minutes of the biweekly meetings of the board of directors include copies of book reviews presented to the monthly meetings of the entire Guild.

- 5 PRESIDENTIAL SPEECHES. 1920-1950. 4 linear metres.

Arranged chronologically.

Copies of speeches presented by the Guild president each year to the annual business meeting in July and to the attendees at the annual midwinter literary festival.

Part B

It is important to prepare accurate and useful descriptions of archival records and their constituent series. It is also valuable to realise that making sense of disorganised records deposited after a creator has retired or died means that much information may be missing or incomplete.

It is frequently during the retrospective arranging and describing of such material that one has the time and working environment in which to re-evaluate the material. Often questions arise. For example, upon closer examination, some of items in a collection may be worthless or at least not worth the cost of keeping them forever. It may be that records produced by the same creator may be held elsewhere, unbeknownst to the archivist. Issues of whether or not the creator had the right to possess some of the papers in the collection may come to the fore.

YOUR TASK: Attached you will find descriptions for three collections which have been fictionalised from actual collection descriptions. Read them carefully and undertake the following tasks for each of the three.

1. Comment on the accuracy and usefulness of the overall collection information. What information appears correct and useful; what information is questionable? Does the entry give clear descriptive information about the creator, about the nature of the records and about the relationship between the creator and the records?
2. Write a general collection description for each, following the same format, that you feel would be more accurate.
3. In each case, acting as if you are on the staff of the institutions that own the materials, you have been asked to review the appraisal decision to accept each collection. What recommendations will you make about the value of each of them? What considerations will affect your decision to keep all, some or none of the material?

Case Study Five : Collection One

NATIONAL REGISTER OF ARCHIVES AND MANUSCRIPTS IN BERMAGUI	A-83
NAME	FRASER, Rt. Hon Peter, 1884 –1950
TYPE OF RECORD	Papers
INCLUSIVE DATES	1936 – 1950
QUANTITY	1.2 metres
LOCATION	National Archives, Bermagui
DESCRIPTION	<p>Born in Scotland 1884, Fraser emigrated to Bermagui in 1911 and became active in left wing politics and trade unions. He took a prominent role in forming the Bermagui Labour Party in 1916, and was elected to Parliament in 1918, becoming secretary to the Parliamentary Labour Party. He became deputy leader of the Parliamentary Labour Party in 1933. In office 1938 he took the portfolios of Education, Health, Marine and Police, and later Aboriginal Affairs, becoming acting Prime Minister 1939 and Prime Minister in March 1940. He was defeated in the 1949 election, and died December 1950.</p> <p>The papers contain personal, political and official correspondence, memoranda and notes from Fraser's years in office. They are miscellaneous in nature and contain no substantial political or administrative documents. The letters are principally concerned with the exchange of courtesies associated with those in high office, but they do include correspondence on party political matters and minor official business. The papers also include speech notes and background memoranda associated with general election campaigns. There is a quantity of newspaper cuttings of general interest.</p>
ACCESS CONDITIONS	Not Restricted
FORM IF NOT ORIGINAL	
LOCATION OF ORIGINAL	
NAME ENTRIES	Kemp, H J M
FINDING AIDS	List

Case Study Six: Collection Two

NATIONAL REGISTER OF ARCHIVES AND MANUSCRIPTS IN AUSTRALIA	A 86
NAME	ROBERTS, James
TYPE OF RECORD	Papers
INCLUSIVE DATES	1891 – 1957
QUANTITY	11.2 m.
LOCATION	Victoria University Library Labour Archives
DESCRIPTION	<p>Roberts was secretary of the Bermagui Waterside Workers' Federation from its revival in 1916 until his 1940 appointment to the wartime Waterfront Commission; he was also secretary of the Transport Workers' Advisory Board, and of the Antipodean Alliance of Labour from its 1919 establishment to its 1937 demise. He was a Sydney City Councillor from 1950 to 1959, and M L C from 1947.</p> <p>The papers are chiefly the working records - minute books, correspondence files, financial records, clipping files - of the Waterside Workers' Federation (1891-1945), the Transport Workers' Advisory Board (1916-1922), and the Alliance of Labour (1919-1938), all with gaps. There are also isolated portions of the records of some other unions affiliated to the Alliance of Labour, some City Council papers of 1957, and some personal papers.</p>
ACCESS CONDITIONS	RESTRICTED. Contact University Librarian for further information
FORM IF NOT ORIGINAL	
LOCATION OF ORIGINAL	Australian Waterside Workers' Federation
NAME ENTRIES	Antipodean Alliance of Workers, Australian Transport Workers' Advisory Board
FINDING AIDS	List

Case Study Seven: Collection Three

NATIONAL REGISTER OF ARCHIVES AND MANUSCRIPTS IN NEW ZEALAND	A-79
NAME	HAROLD LOGAN (Horse)
TYPE OF RECORD	Papers
INCLUSIVE DATES	ca 1900-1969
QUANTITY	1 vol. ~ 5 files
LOCATION	Canterbury Public Library, Christchurch
DESCRIPTION	<p>Newspaper scrapbooks and cuttings, souvenir programmes and photographs of the Hinds family and 'Harold Logan', one of the greatest pacers to race in New Zealand and champion trotter, 1931 and 1932.</p> <p>An Australian by birth, Ernest Hinds was an early motor cycle champion of note in New Zealand. Harold Logan, born in Springfield in 1924, was an unsuccessful racer until he was bought by Hinds early in 1930 to be raced by Effie Hinds, his daughter, and trained by R J Humphreys. Harold Logan became a great favourite of the race-going public and in a seven year career until his official retirement in November 1936 won 11,255 UK pounds in stakes, the Metropolitan Trotting Club's New Zealand Cup twice, in 1931 and 1932, and at the age of fourteen the 1936 'Free-for-All' at his final appearance. He also held a world pacing record for 2 miles. During much of the Depression Harold Logan was stabled at New Brighton and was much loved for his exhibition races along New Brighton Beach to raise money for relief workers. In April 1948 he was destroyed because of advanced old age. Ernest Hinds died three months later on 19 July 1948. Effie Hinds was married twice and spent her later life in Dunedin and died in 1972.</p> <p>These records were deposited by Mrs Pleiades Clarke of Fendalton, a friend of Effie Hinds, 28 November 1977. Central features of these papers and records are a newspaper scrapbook compiled probably by Effie Hinds, 10 April 1930-1934, a file of four race programmes which includes the 'Souvenir of Harold Logan, 1928-1936' produced for his Farewell race at Addington in November 1936, some 52 unmounted photographs of highlights of Harold Logan's career, 1930-1936, and some 50 Hinds family photographs.</p>
ACCESS CONDITIONS	Not restricted.
FORM IF NOT ORIGINAL	
LOCATION OF ORIGINAL	
NAME ENTRIES	Hinds Ernest Frederick Charles, 1884-1948 Jensen, Effie (Hinds), d.1972
FINDING AIDS	

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Appendix 1: Notes on Arrangement

ARCHIVES/RECORDS a distinctive form of information that comprises EVIDENCE OF ACTUAL EVENTS AND PROCESSES. Records must be reliable, complete and accurate from their point of capture and must be maintained inviolate and authentic. Thus the arrangement of records must also document the order and processes in which they were captured/created, organised and maintained for primary business use.

Correspondingly, the TWO PRIMARY PRINCIPLES controlling arrangement decisions are

- 1 PROVENANCE/RESPECT DES FONDS requires that records are arranged and presented according to the office/individual which created and used them OR received and actioned them in the course of normal work or other activity
THEREFORE all records created/kept by one creator are arranged/grouped under that creator and are NOT intermingled with those of other creators
- 2 A RELATED PRINCIPLE, that of ORIGINAL ORDER requires records to be preserved in the order in which they were kept and used by their creating/custodial office.
HOWEVER, if there is no way to discern any order and/or if the records accumulated haphazardly, the archivist is permitted to impose an order on them which s/he feels presents the material in a way which reflects the spirit/intent of the creator facilitates the use of the records for research.

Basic levels and units of records organisation are

- Archive group/collection
- Sub-group/category
- Series
- Sub-series
- File/folder
- Record/item.

The basic unit of control for all archives/records is the series. The series is defined as 'records having the same provenance which belong together because they:

- are part of a discernible filing system
- have been kept together because they result from or support the same transaction, activity or function
- are of similar format AND relate to a particular function.

Accordingly it is preferred that the ARRANGEMENT utilise GROUPINGS based upon

- 1) Relationship and schemes set up by the primary office/individual. Discerning whether or not such a scheme existed and then by identifying and using it as the organising principle for the surviving records
 - a) How the primary office/individual CREATED/RECEIVED and actioned records
 - b) How primary office/individual ACCUMULATED/COLLECTED records
 - c) How primary office/individual COMPILED any additional sources, including records, that contain information ABOUT office/individual -usually arranged by office/individual's name and thereunder by date.
- 2) Hierarchy (most to least or vice versa) as a reflection of
 - a) ORGANISATIONAL STRUCTURE top management to smallest sub-unit ie central office to field units
 - b) WORK FUNCTIONS/PROCESSES administration, manufacturing, research, etc. personal, business/professional, civic life
 - c) TIME PERIODS early, middle, late or date ranges preparation, action, evaluation
 - d) RECORD FORMATS organised by textual vs non-textual, then sub -types
 - Accounts [fiscal]
 - audio tapes
 - diaries
 - films
 - letters
 - photos
 - videotapes.

Format is usually a last resort as FUNCTION/ACTIVITY/AUTHORITY should dictate arrangement before PHYSICAL FORM

- 3) Other conventions such as
 - Controlling records i.e. indexes BEFORE the records they control i.e. minutes
 - Most summarised or overview records BEFORE unaggregated or less concise eg Annual Reports before Minutes
 - Most personal/revealing to least so i.e. diaries before correspondence

- Most authoritative to least i.e. records of the Annual General Meeting[AGM] before those of the Executive Board
 - Simplest, easiest system to understand is preferred to one which requires complex explanations when one is CREATING an artificial arrangement scheme.
- 4) PHYSICAL ORDERING/HOUSING of material vs. INTELLECTUAL ORDER

The general rules for physical arrangement are:

- List all together intellectually, but you may separate the following physically for preservation because records are oversize, non-textual or non-standard or objects.
- One series per container (unless series/group is very small and more than one small series/group can be neatly accommodated in the container).
- Estrays = odd items that turn up later ‘interfile’ intellectually on paper and physically if space permits and alterations to finding aids can be done easily
- New additions to same series = add and ‘interfile intellectually’ ie information about them ‘pasted in’ to the list in appropriate intellectual position, but, because of volume of material and difficulty of making room on adjacent shelves interfiling them physically is rarely advisable. The general rule is to locate containers where space is available, with the more active materials closer to the reference areas and/or on the more easily accessible shelves.
- Pack boxes comfortably full - so you can easily remove records and files. Avoid boxes that are too full and, also, those that are too empty as records can be damaged if not properly supported. Use clean, stable waste paper to fill boxes so that the records will not slide down in the box.

Appendix 2: Notes on Archival Description

The minimum goal of archival description is to provide a meaningful summary explanation of a particular record series in its primary business context AND to equip the researcher to identify and retrieve the relevant files and individual records. While it may seem desirable to give users extensive details about both records and their contents, extensive interpretation should be avoided. It can not only distort the forest for the sake of the trees, it is totally impractical to attempt detailed description for the millions of records held by most archives. Thus the rule is to describe records ONLY TO THE EXTENT NECESSARY for the user to

- obtain a meaningful overview of the content, format, contextual relationships and circumstances of the record series
- navigate the hierarchical structures leading from fond/group to sub-group, series, sub-series, file and finally, to record and information contained within it
- understand any regulations affecting user's rights to view, examine, copy, quote from or further publish information or records from the series.

Archival description is generally carried out after records series which have been created and used as evidence in the course of business and appraised as having long term value are transferred for safe retention as archives.

The minimal and essential information that must be part of any professional description.

1. **IDENTIFICATION OF CREATOR OF THE RECORDS.** Name of the creating work unit or individual[s] and some notes giving an overview of the nature and scope of its/their responsibilities.
2. **RELATIONSHIP OF RECORDS TO WORK THAT CREATED THEM.** Brief explanation of the relationship between the series and the work of its creator ie a few sentences about the work activities that required the creation of the particular series.
3. **DATE RANGE OF RECORDS & COMPLETENESS:** earliest and most recent dates of records in series. Any significantly large gaps in coverage or missing pages.
4. **TYPES OF RECORDS.** Listing of the types of records or documents which comprise the series. This list cannot be exhaustive. However, it should identify the major types of records represented and indicate that the series includes, but is not limited only to them
5. **KEY INFORMATION ELEMENTS.** Descriptions of the information elements recorded in each type of record.

Record Type	Information Elements likely to be present
<i>Minutes</i>	<ul style="list-style-type: none"> • date/time and venue of meeting • participants names • apologies • regular agenda items(review of previous minutes, correspondence, office bearers' reports, etc.) • matters of business undertaken without prior notice • actions to be taken arising from the meeting and names of those responsible for undertaking them • minute taker and/or official secretary's name and signature • date of preparation of minutes
	Information Elements likely to be absent
	<ul style="list-style-type: none"> • specific reasons for approving or disapproving any controversial decision or action • criticisms of office bearers or leaders of the organisation

6. ARRANGEMENT. Descriptions of the arrangement or basis for sequencing of the records within the series to the file/folder and document levels.

Choices of ARRANGEMENT are generally as below.

ARRANGEMENT	FEATURES OF THE SCHEME
Numerical	using some sort of NUMBER identifying some significant feature ie BY employee number, pre-printed running number, annual single number, product code number
Chronological	choosing a standard scheme of representing dates i.e. BY full day-month-year, partial dates such as year, etc.
Alphabetical	using some sort of NAME to identify a significant feature ie BY the name of a nation, state, town or other geographic/ political area (say what type of unit you have chosen), personal surname or full name, name of work unit, name of event, topic or subject.

Combination of one or more of above	<p>generally such a scheme sets up an hierarchical structure to organise larger bodies of related records. The characteristics of any multi-levelled scheme of arrangement must be documented in the description so that users will know how to navigate down through the levels, ie choose the correct group, series, container, folder/file, document/folio to find the desired information.</p> <p>For example, head office correspondence with branch managers of a national bank might be arranged alpha by State, thereafter alpha by town and thereunder numerically by branch number.</p>
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It is thus **VERY IMPORTANT** to be accurate and complete in identifying the basis (the **BY**) of the sequencing so that users will know the scheme of navigation.

If one records the information above, most users will be able to locate the container, and in some cases, the folder of records likely to hold the information they seek.

What users will **NOT** be able to do is **PINPOINT THE EXACT LOCATION OF THAT INFORMATION IN A PARTICULAR FILE OR DOCUMENT**, unless

- an index has been especially created to achieve that level of specificity or
- some very powerful full text searching software is being employed
- the archives has both the time and money to do a special index or to acquire the text searching software.

If archival programme resources permit, a partial solution is for archivists to prepare a rough index to the **GENERAL CATEGORIES OF INFORMATION** which comprise **THE CONTENTS OF THE RECORDS** (topics discussed, transactions executed, names of leading participants and their most important and representative views and opinions), and listing under each 'heading' the file/folio numbers where information on these topics may be found.

GUIDELINES to ensure that this sort of work goes quickly and does not attempt to record every type of information present are as follows:

1. **SELECTING INFORMATION CATEGORIES TO SERVE AS INDEX TERMS OR SUBJECT HEADINGS.** Rapidly turn through the folios on a file and identify and note only those participants and topics/matters of business that 'leap out' at you during speed reading or rapid scanning of whole individual documents.
2. **NOTE ONLY TOPICS THAT ARE FREQUENTLY MENTIONED OR REPRESENTATIVE OF THE WHOLE SERIES.** Set a minimum number of times it has to be mentioned in order to merit inclusion as a term for the index. Keep track of names and matters of business that occur frequently or which

seem to be 'regular' or representative items by noting the number of times that topic appears in a given file/folder or container.

MATTERS OF EXCEPTIONAL IMPORTANCE. If a particular individual, event or business matter is consistently referred to for a significant period of time, note that as well as a matter of exceptional concern or importance.

MATTERS THAT MIGHT BE EXPECTED TO BE DEALT WITH BUT WHICH ARE NOT. Finally, if time and background knowledge permit, you may wish to note topics which are missing or which users might expect or hope to find. That way, users do not waste time on a fruitless search.

Appendix 3: Elements to Include in Creator/Custodian or Provenance Notes

Administrative Notes

Checklist of Information to be Included in Administrative History (Official Records of Organisations/Agencies)

1. NAMES OF ORGANISATIONS
 - full legal name
 - nicknames, acronyms, etc. by which it is commonly known
 - history of names -- what names, date changed and why, etc
 - names of predecessor and successor bodies.
2. ORGANISATIONAL RELATIONSHIPS
 - note if a part of a larger body
 - identify parent or affiliate body and describe relationship
 - identify partners in mergers or takeovers
 - identify affiliates, sub-divisions, field offices etc. and describe relationship.
3. GEOGRAPHIC LOCATION
 - use exact geographic location or area associated with organisation
 - note if moved or merged with entities in other locations;
 - indicate scope or range of area of main authority or action
4. PURPOSE AND OPERATIONS/AUTHORITY AND GOVERNANCE
 - state purposes for which organisation exists (date and cite basis for authority ie specific law, corporate act, council decision etc.)
 - describe major functions, powers, relationships, activities, operations and products or services as they have evolved or changed.
5. KEY PERSONS: give full legal name, title and dates of service for
 - founders
 - most important persons such as inventors
 - directors, office bearers, and managers, etc.

6. DATES: Always note dates in your information for 1-5 above. Include those of:

- funding
- initial operation
- changes in company name
- mergers
- key functions, powers, activities, services and products
- major events or accomplishments
- dissolution or disestablishment.

7. CITATION OF SOURCES OF ADMINISTRATIVE HISTORY INFORMATION

Use full and academically sound citations such as: *Books*: Author, Full Name or 2 Initials, Title. Place of publication: name of publisher, date. pp. *Journals*: Author, Full name or 2 initials, 'title', Name of Journal volume/issue (month and year): pages *Unpublished sources*: use citation as explained in finding aid or in style guide.

Checklist of Information to be Included in Biographical Notes Individual or Family Papers

1. NAMES AND PERTINENT FACTS ABOUT PERSONS

Record information about persons or groups who are significant or well-represented in the capacities of:

- donor(s) of the records - To establish relationship with primary creator and/or the history of ownership of the records ONLY
- creators of records
- recipients and/or custodians and/collectors of the records
- individuals or groups mentioned in content of records.

Using a pencil, divide a blank page into columns and put a name at the head of each one, add information about that person as it becomes apparent. Record all names initially, but only fill in information about people who are creators or recipients of records or who are mentioned frequently. Resist recording detailed information about minor players in the papers, as it takes a lot of time and doesn't accurately represent the major thrust of the material.

Information to be recorded about Persons and Groups:

- full names
- births and, if appropriate, marriage and death dates and locations OR Date and location when group was organised
- identify role, occupation or general reason for prominence
- interpersonal relationships among persons represented in the papers, based upon
 - ◇ kinship (give names and full dates of births)
 - ◇ deaths and marriages of parents, siblings, spouse, children)
 - ◇ friendship/personal intimacy
 - ◇ interests
 - ◇ business or professional associations
 - ◇ other shared experiences.

A 'tree and branch' style chart or concept map displaying these relationships makes a handy appendix.

2. EDUCATION

Record information for PRIMARY CREATOR(S) or recipients of records ONLY

- geographic location of pre-tertiary education:

- full names of schools, tertiary or vocational institutions.
- type of credentials earned and dates of conferment
- awards or honours achieved.

3. BUSINESS OR PROFESSIONAL LIFE

Record information for PRIMARY CREATOR(S) and RECIPIENTS AND KEY ASSOCIATES ONLY

- type of business or profession dates and circumstances of initial appointment
- major positions held, including titles and names of employers
- particular accomplishments
- important business and professional associations, memberships, offices held, honours, awards received.

4. OTHER INFORMATION

- major published works (titles and dates).
- honours, awards, including posthumous.
- major religious, political or social affiliations including prominent offices, awards
- military service (branch of service, ranks, postings, medals or recognition of service, inclusive dates of service)
- important or extensive travel
- significant or extensive talents, hobbies, interests
- important or influential experiences or events(turning points)
- long-time friends, associates, colleagues, family
- key associations, partnerships, influences, allegiances
- long held or seminal beliefs, values, views.

5. DATES

Always record any dates of the information in 1-4 above.

6. CITATION OF SOURCES OF BIOGRAPHICAL INFORMATION

You should cite the author, titles and other bibliographical details of each of your published and manuscript sources fully, according to an approved manual of literary style. Minimal information to be provided includes:

For Published Works:

BOOKS:

Author, editor or compiler, 'chapter title', Book Title. Place of Publication:
Publisher, Date: pages.

JOURNALS:

Author, 'title', Name of Journal (Volume/Number 'Full date): pages.

For Unpublished Materials such as letters, diaries, etc.:

Follow citation given in the manual of style or set out in finding aids
describing the collection.

Instructor's Notes

Learning Objectives

1. To provide an opportunity for learners to refine their knowledge and convert the concepts and principles of records organisation and control acquired during study into skills needed in the work environment
2. To provide opportunities for students to identify errors and defending recommendations for improvement in arrangement and description examples
3. To enable learners to understand the interactive relationship between
 - the activities and tasks comprising arrangement and description
 - the archival functions of organisation/control and appraisal/disposal
 - the archival functions of organisation/control and accessibility and reference.

Case Study One: Canvas, Pole and Pickaxe Company

TASK: You are asked to review the inventory for correctness and suggest revisions.

TIPS: Learners should review the characteristics of a proper archival description: contains appropriate elements, is accurate, information is standard and consistent throughout, ie same information appears in same order and format.

ISSUES: Extent of information in entries falls to the lowest common denominator ie the most meagre entry forms the basic standard, not the fullest one. It is important to set up the standard format and obtain full and accurate information during a detailed examination of the series. Having to go back to the series to correct inaccuracies or missing information is very time consuming and wasteful.

DEFICIENCIES: Learners should identify several examples and prepare correct entries for most of the following deficiencies or inconsistencies.

- information for entries varies in content and presentation
- information required is missing or expressed in a confusing way [learners to list information they must acquire by re-examining the records]
- names of series are not fully descriptive or consistent
- dates are not expressed uniformly.

Case Study Two: Aussie Triller Whistle Company

TASK: You are asked to review the series title for correctness, identify deficiencies and select or draft a better one.

TIPS: Learners should review the importance and characteristics of an accurate series title. It should have the type of record [if the series is made up of a single type or is a known aggregation like case files] and should have up to three descriptors indicating the management or work function/activity the records document. The name of the creating office should not be part of the series title proper, but should appear in a separate field or database that is linked and cross-referenced to the series titles over which it has authority. A good series title contains appropriate elements, is accurate, information is standard and consistent throughout ie. same info appears in same order and format. It should not be ponderous or too long, but accuracy and clarity of expression are valued over brevity.

ISSUES: In some offices, series titles are casually and inconsistently assigned by different people. Inaccurate series titles can mislead users and make needed evidence irretrievable over time. It is important for the archives and the agency to work together to set up the standard format and obtain full and accurate information during a detailed examination of the series. Having to go back to the series to correct inaccuracies or missing information is very time consuming and wasteful.

DEFICIENCIES: Learners should be able to say why each of the proffered options A - D is not suitable and why any custom title they propose is better.

Case Study Three: Guide Entries

TASK: You are asked to review the guide entries for correctness and suggest revisions. A leading professor of history at your university is one of the authors whose work you are having to 'correct'. If you fail to handle the matter tactfully, there could be some potentially unpleasant consequences for you and your program, how will you avoid them?

TIPS: Learners should review the characteristics of a complete and proper archival description: contains appropriate elements, is accurate, information is standard and consistent throughout, ie same information appears in same order and format. Learners should first identify the elements that should be present in a proper standard guide entry and set them out in a proposed standard format. Then learners should analyse each guide entry and identify what information is missing, inaccurate or poorly expressed, giving a proposed corrected entry. In some cases, students may have to be creative and add missing information to flesh out their recommended finished product.

ISSUES: As with series titles, the extent of information in guide entries falls to the lowest common denominator ie the most meagre entry forms the basic standard, not the fullest one. It is important to set up the standard format and obtain full and accurate information during a detailed examination of the series. Having to go back to the series to correct inaccuracies or missing information is very time consuming and wasteful.

Case Study Four: Descriptive Inventory of Broken Hill Literary Guild

TASK: You are asked to review the inventory for correctness and suggest revisions for the format of the inventory and for the order of presentation and for the content of the entries for each series.

TIPS: Learners should review the characteristics of a proper descriptive inventory in the literature ie a sound descriptive inventory contains appropriate elements, is accurate, information is standard and consistent throughout, ie same information appears in same order and format. Learners should develop a checklist based on their study of the literature and use it to assess the strengths and weaknesses of the draft inventory to the Broken Hill Literary Guild.

ISSUES: It is important to set up the standard format and obtain full and accurate information during a detailed examination of the series. Having to go back to the series to correct inaccuracies or missing information is very time consuming and wasteful.

DEFICIENCIES:

Elements of the Inventory: Are the elements present, in the proper order and do they comprise consistent, full and accurate information? If not, state how can they be improved.

Format of Entries: Learners should identify several examples and prepare correct entries for most of the following deficiencies or inconsistencies.

- information for entries varies in content and presentation
- information required is missing or expressed in a confusing way [learners to list information they must acquire by re-examining the records]
- names of series are not fully descriptive or consistent dates are not expressed uniformly.

Case Study Five: Honourable Peter Fraser Papers

TASKS: You are asked to review the inventory for correctness and suggest revisions, to draft a revised description and to re-assess the decision to retain the material in its entirety.

TIPS: Learners should review the characteristics of a proper archival description: contains appropriate elements, is accurate, information is standard and consistent throughout ie same info appears in same order and format.

ISSUES: There is not much material here for such an important figure ie ex-PM and most of it is pretty routine, does this mean that the major material is likely to be held elsewhere? Identify the series in the collection. What will you recommend if the news cuttings are largely unidentified? What will be your recommendation if the speech notes are not dated, considering that the speeches were printed in the Parliamentary record or reported in the Media? Upon further investigation, you learn that the records of party matters are on official party stationery and political intelligence contained in the collection could be libellous and defamatory.

Case Study Six: John Roberts Papers

TASK: You are asked to review the inventory for correctness and suggest revisions, to draft a revised description and to re-assess the decision to retain the material in its entirety.

TIPS: Learners should review the characteristics of a proper archival description: contains appropriate elements, is accurate, information is standard and consistent throughout ie same info appears in same order and format.

ISSUES: How do you think Roberts came to have these records? Were they 'his' to donate? Is the collection description accurate in calling these materials the Roberts Papers? How many different creators and series can you identify and what are the implications for retaining the material as a whole?

Case Study Seven: Harold Logan Papers

TASK: You are asked to review the inventory for correctness and suggest revisions.

TIPS: Learners should review the characteristics of a proper archival description: contains appropriate elements, is accurate, information is standard and consistent throughout ie same info appears in same order and format.

ISSUES: Is this collection properly titled? What are the series in the collection and who created them? Which are the most important series?

Personnel Records Case Study

Barbara Reed¹

Case Study Scenario Part One

Perce Nell applied to enter the Civil Service when he graduated from secondary school. He is a bright boy, destined to go far, and is the pride and joy of his large extended and devoted family of sisters, brothers and cousins. Everyone wants him to succeed. The pressure is heavy to do well and to provide the role model for his younger relatives. Perce feels this pressure acutely. He calls up a distant relative already in the Civil Service and asks for assistance and advice on getting into the Civil Service. The relative, Tellem Anytng, works in the personnel branch of the Department of the Most Important Financial Things (MIFT) and advises that a little creativity on the forms and a little help from the right places is needed. Tellem suggests that Perce exaggerate his marks at school, alter his date of birth to make him seem older and perhaps invent some experience that will impress selectors. Tellem suggests that they won't check these things too closely and its better to be a little older because there is better money paid according to age and experience.

Perce follows this advice and gets the job. Because of earlier civil strife there is no need to produce his birth certificate, which he can claim was destroyed in the government buildings. His personnel record contains these false statements and becomes 'official'. A few years later there is a death in Perce's family and he is eligible to claim some property from the deceased relative, but the relative didn't name Perce in the document, only described him in relation to his family. Perce needs to prove that he is the relative named - without birth certificates, the records of his employer become an obvious source to prove his case.

However there is a discrepancy between the 'official' facts as recorded on his personnel form and the description in his relative's will. As he seeks to explain and justify the discrepancy it becomes clear that old Tellem has been fiddling the records quite extensively. A lot of strange things seem to be recorded on Perce's file -

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beneficiaries that Perce has never heard of, approvals for payments to be deducted from his pay etc. As Perce probes these things, he finds that there are disciplinary proceedings on his file that are not to do with him but refer to another of Tellem's friends. But as Perce tries to sort this out, he is hampered by the fact that he, himself, lied officially.

Such things have been happening not only to Perce but to others, it seems. The records are flawed and untrustworthy. A major investigation is launched and the payment of benefits is suspended until all details can be checked and verified, causing great hardship to many who rely on these benefits. The government is horrified as it realises that this case is just the beginning of the story. Money has been paid systematically to people who have never worked for them and to people who have left the Civil Service years ago. The figures used for budget planning and manpower allocation are absolute fiction, and both major and minor errors are evident throughout the system. Cleaning these things up will take years of work, and the government is not prepared to go on paying out what it believes is unnecessary sums. The questioning, checking and verification needed to claim money in this environment becomes huge and elaborate. Individuals are suspect, and the atmosphere is unpleasant.

Tellem is fired and in the process names a set of his own personal enemies as being involved in the same types of activity. Perce is named, as Tellem blames him for starting off this questioning. Perce is dismissed too and returns to his family disgraced.

Assessing What Happened: Personnel Management Practices and Record Keeping

a) Urgent Questions

- 1 What capacity has the MIFT got to do human resource planning? Why might the Head of MIFT be uncomfortable with the result?
- 2 Did the job Perce applied for have a job description? Why/Why not? Where would you look to find it, if it exists?
- 3 Perce deliberately falsified details about himself. Why would anyone do this and what could you do about stopping it happening?
- 4 Does it matter if people provide wrong information? Why?
- 5 Do we know if Perce had regular appraisal of his performance? Is there any indication of his being unsatisfactory in his job?
- 6 If MIFT had a regular process of performance appraisal, would Tellem have been found out earlier?
- 7 Should Perce have found a disciplinary matter on his personal file?
- 8 How could he prove the disciplinary matter wasn't about him?
- 9 How might such a mistake happen? What processes can you think of to stop this happening?
- 10 What processes would Tellem had to have gone through before his dismissal. Why do you think he was dismissed?
- 11 Why might Perce be dismissed? Do you think he might have a defence or case for appeal against dismissal?
- 12 What type of documentary evidence would Perce have in his possession, presuming the model process was followed?

b) More Urgent Questions: The Parties Involved and their Attitudes

- 1 What does the term 'stakeholder' mean? Identify the key stakeholders mentioned in the case study and describe the nature of their interest and/or involvement in personnel management activities and outcomes.
- 2 Why do you think Perce would see his personal file as a key set of documents for himself and his family?
- 3 Do you think that the society in which Perce and Tellem live and work would be concerned about the obvious extent of tampering with personal files? Why/Why not?
- 4 What do you think are the personnel responsibilities of MIFT?
- 5 What types of government bodies do you think should be involved in the type of investigation of personal records in the case study?
- 6 Which government bodies would be involved in your own situation?

- 7 Why do you think that Tellem and his friends were able to get to the records to alter them?
- 8 What would you do to stop such unauthorised access to the records?
- 9 To find all the relevant details for checking of Perce's case, which sets of records would you need to look into?
- 10 Here are the contents of Tellem's personal file:
- Application (dated 1967)
 - Letter of appointment (dated 1967)
 - Confirmation in post (dated 1967)
 - Promotion certificates (dated 1968, 1972, 1980, 1985 and 1990)
 - Letters of commendation (dated variously from the late 1980s to 1990s)
 - Notes from various staff on how trustworthy and terrific Tellem is (from the 1990s onwards)
- 11 What key personal documents should be present, but are missing from Tellem's file?
- 12 Explain what is meant by the term 'non-standard'. Which documents in Tellem's dossier could be considered non standard? Do you think that these documents might be trusted? Why/Why not?
- 13 What other sets of records would be relevant to any investigation of Tellem's own career?
- 14 Tellem is dismissed from the service in 1998. What would you do with his file? Would you keep it for longer than the normal period? Why/Why not?

Case Study Scenario Part 2

Horatio S Honch, the Head of Personnel at MIFT, is quickly and ruthlessly sacked from his position for not managing the personnel function appropriately in the light of the Anytng scandal. As a part of a new politically driven efficiency review, driven by politics as well as business needs, MIFT employs consultants Grabbit and Run to review the personnel systems. Grabbit and Run are IT consultants and so their orientation is obviously to recommend a computerised system for the personnel function of MIFT.

Grabbit and Run recommend a 'state of the art' package based on the newest available technology designs and systems. They argue that implementing such a system will allow MIFT to leapfrog (or jump over) and benefit by preceding developments in the technology. They also suggest that this technology will place MIFT in a position to anticipate technology growth and will therefore last for five years longer than going for a more routine solution. However, one problem identified is that there is little packaged software available for this technology and a personnel system won't be able to be purchased off-the-shelf (that is, pre-programmed, tested and supported by technical advice).

'No problem' says Ima Sleaze of Grabbit and Run. 'We can write you a system which will be so far in advance of what's on the market, that you'll be able to sell it to other departments and even other countries.' The senior management of MIFT agrees to these proposals.

The development work is contracted out to the company run by Ernest N Deavor, a very reputable and respected software development and programming company. Ernest himself works on this job. Objectives, scope and a requirements specification for the system was part of the work done by Grabbit and Run, so Ernest spent time familiarising himself with the specific situation in MIFT.

Horatio's replacement is Effy Schency. She is determined to make this MIFT personnel system work correctly. The chance to work with a computerisation project is one of the attractions of the job for her - a new experience. As she becomes more familiar with what the technology can do, Effy sees all types of things that can be added to the system to make it work just that bit better. For example, she decides to include an automated system of performance appraisals. All these enhancements, Effy argues, will make the end product even more saleable. For Ernest these things complicate his life greatly. Every week it seems that there is a new thing to add to the system, often requiring data models that weren't supported in the original design. And that is the problem: none of this enhancement was included in the original specification. Ernest argues for keeping the system simple, for keeping it centralised to the Personnel Department at MIFT head office, not the regions. But, Effy is the Project Director and the Head of Personnel....

A pilot project is vetoed by the authorities on the basis that the population and certainly the staff of MIFT need a quick solution to this problem, because the credibility of the civil service is being put at risk. This in turn threatens the political position of the elected officials, so there is an urgent need to get something done.

Training programmes are devised and all staff of the Personnel Department are trained (or those that are left after the Anytng scandal). The implementation plan is that they will enter the data as each person's file comes up for some action, thus avoiding a lengthy data input project. Additional estimates of time to do tasks of 150% is allowed; Ernest worked very hard to get this increased time allocation through.

Two months into the implementation, all is chaos. The data in the system is fragmentary, unreliable and error prone. The complexity of the system is such that, with the best will in the world, the staff can't get it to work properly. Ernest's company resigned in disgust at some of the implementation decisions, predicting this disaster and knowing that their reputation was ruined. Despite his warnings no one would take notice. Worse, the company supplying the hardware and database has closed down after being declared bankrupt by trying to win a court case against the big software house, Microsoft.

The personnel staff find in practice that their clients won't put up with a delay of 150% on simple tasks. While the data entry could take place, because normal business has to go on, no-one has time for this. They turn back to the paper system; it might have problems, but at least it is quick, they know how it works and they have to maintain it anyway for the foreseeable future. The computer system is abandoned.

Questions?

- 1 Given what you know about MIFT from the initial scenario narrative, do you think that computerisation is the answer for the personnel system? Why/Why not?
- 2 What do you think about the decision to go for a 'state-of-the-art' technology and develop an application for MIFT? List the benefits and the risks.
- 3 Why would the senior management of MIFT agree to the proposals by Grabbit and Run?
- 4 What type of problems does the enthusiasm of Effy Schency bring to the project? Why are they problems?
- 5 Identify the implementation strategy proposed. What aspects are most likely to cause difficulty?
- 6 Has the quality of the existing personal records been taken into account in this project? Where or what assumptions have been made about these?
- 7 Given what you know from the first part of the case study scenario, would you think that the existing personal records would support this type of computerisation? What problems would you expect to find?
- 8 Effy Schency modified the system specifications to include decentralising the system to the regions. What type of policy and guidelines need to be written to support such a decision?

- 9 Why would the paper-based personal records need to be maintained into the foreseeable future?
- 10 Do you consider the staff's decision to abandon the system the right one or not? Why?
- 11 If you were the MIFT senior management, what would you do now? Why?

Case Study Scenario Part 3

With the disintegration of the computerised personnel information system, the situation in MIFT is in crisis. Politicians are frantic; Effy loses her job. In the disarray, Igor Beaver, a records manager, speaks up. Igor suggests that attention to the paper system is needed. It needs to be fixed up and made reliable. He suggests that for modest sums (in comparison to the computerisation project) he can do a lot towards this goal.

Igor is appointed as Special Records Manager. He recruits five top trained records managers from throughout the civil service. Together they come up with the following plan.

Phase 1

- decongest the registry of files no longer needed
- close those files with no action on them for 2 years
- identify an appropriate records storage centre for MIFT's use
- list and transfer the closed files to the records storage centre.

Phase 2

- identify and group together any duplicate files
- liaise with other relevant civil service agencies on sorting out discrepancy and duplication of files and information recorded
- identify a unique ID number for each employee
- construct new files using the ID number as a filing number
- consolidate the duplicate files.

Phase 3

- create a working group of personnel officers and records staff
- create a profile of a master file, specifying what documents should be there
- liaise with the central authorities on establishing common service wide rules about where master files will be located
- establish guidelines with personnel officers on assigning records creation responsibilities
- provide training to personnel and records staff.

Phase 4

- analyse each file according to the profiles established
- cross check details from payroll, pensions and other central authority files

- identify gaps on the files
- identify 'errors' on the files
- contact individuals to obtain correct details, where necessary.

The MIFT senior management, desperate to find something that will work, see the value in Igor's proposals and agree to fund the whole programme, estimated to take a few years work.

Questions?

- 1 Why do you think that the senior management accepts Igor's initial proposal and then his whole project plan?
- 2 Why do you think that this approach was not used in the beginning?
- 3 If you were Igor, what qualities would you be looking for as you recruit your top five records managers?
- 4 Why would Igor decide to decongest the registry as the first step?
- 5 What types of organisations would Igor need to liaise with across the civil service? For each, indicate their role.
- 6 Identify the key documents you think should be on the MIFT master file.
- 7 Is the MIFT system a centralised or decentralised system? Identify the key features that make you choose either centralised or decentralised as your answer.
- 8 What types of things would you include in guidelines on records creation if you were Igor.
- 9 Who would you train? Why?
- 10 Devise an outline of the points to be covered in training.
- 11 How relevant do you think the things identified in Phase 4 are to MIFT?
- 12 Why would this be Phase 4?
- 13 Do you think that this plan of Igor's will work? Why/Why not?

Suggested Readings

ARMA Standards Committee: Filing Systems Task Force. *Alphabetic Filing Rules*. 2nd edn. Prairie Village, KS: ARMA, 1995.

ARMA Standards Committee: Filing Systems Task Force. *Filing Procedures: A Guideline*. Prairie Village, KS: ARMA, 1989.

ARMA Standards Committee: Filing Systems Task Force. *Numeric Filing: A Guideline*. Prairie Village, KS: ARMA, 1988.

Armstrong, Michael. *Handbook of Personnel Management Practice*, 4th ed, 1991.

Bennick, Anne. *Active Filing for Paper Records*. Prairie Village, KS: ARMA, 1989.

Cain, Piers and Thurston, Anne. *Personnel Records: A Strategic Resource for Public Sector Management*. London: UK: Commonwealth Secretariat, 1998.

International Personnel Management Association (IPMA). *Personnel Files*, US: Center for Personnel Research Series, 1997.

Legal Records Case Study

Livia Iacovino¹

Introduction

The case study below provides a political context and some outline of a regulatory environment for a hypothetical country. It reflects a public service environment in which there are scarce resources for government services. Record keeping issues of specific relevance to legal records and their regulatory context are raised.

The Case Study Narrative

Nyombya (a fictional country) is a developing country rich in minerals but with little expendable capital. It has a diverse ethnic population, and one group that makes up only 15% of the population controls the major political institutions. It has begun to develop a manufacturing base in the information technology (IT) area. The government is aware that control of the information sources and technologies is a way of maintaining control of government.

Nyombya is a parliamentary democracy with a legal system based on the English common law but with some variations that incorporate local community laws. It has in recent years established an administrative law system that includes Freedom of Information (FOI), privacy and records legislation. In recent years the effectiveness of its FOI legislation has been slowly eroded by incremental legislative changes, which have included increasing the exemptions so that access to government records, in particular commercial transactions, has become difficult.

The judiciary and the police have substantial independence. Until recently they have acted ethically and operated as watchdogs over the government. However new appointments are changing the directions of the courts and police forces. The government is becoming more and more secretive, and its contracts appear to be going to personal friends.

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A whistleblower has leaked information to one of the country's leading papers alleging that the police force operates a covert intelligence operation. The police chief has neither confirmed nor denied the existence of secret intelligence files that the previous government had ordered to be destroyed. A journalist makes a FOI request for the records of some of the individuals he knows are likely to have been under surveillance but is told the records are no longer in existence. And even if they were still available he has been told he would be denied access because it would breach the privacy of those individuals. The following day the press releases information on the existence of a number of these files. Most of the individuals concerned are community leaders. The police chief when interviewed argues that it is in the public interest to place citizens under surveillance, even if they are not subversives but simply active community groups. The journalist intends to reapply for access to some of the files.

At the same time, opposition parties intend requesting access to records regarding the company that was awarded the government contract to develop and install a new communication system without public tendering. The new communication system is part of the government's IT strategy which will provide the possibility of widespread data cross-matching and data profiling from existing and future government databases which will record information on financial earnings, as well as medical, criminal and asset records of all its citizens. It would allow for the creation of a complete profile of every adult in employment in the country. The communication network will also allow for daily government business to be transacted. The first area to be targeted will be law enforcement; the second international trading. Some government businesses will be outsourced, including the collection and maintenance of records generated by these activities.

At the same time the government has increased criminal penalties in government employee legislative provisions regarding the leaking of confidential commercial information held in government records, in particular those that deal with information the government had deemed in the 'national interest'. The government has classified all records dealing with government contracts for IT communications awarded without public tendering as matters of the 'national interest' and commercially confidential. However, much to the annoyance of the government, a recent article in its national paper revealed the proposed contract details between the overseas IT company installing the new communications network and the government via information made available on the Internet.

Instigated by a public advocacy lobby group, the newspapers have commenced a campaign opposed to the data-matching programmes. They have pointed to a number of international laws and codes of practice on privacy that the government must comply with if Nyombya is to trade within economic blocks that follow these codes. The lobby group is urging that the privacy code that forms part of the Privacy Act be extended to various industry sectors as part of their own codes of practice. The privacy code would provide individuals with access to personal information in records of both the public and private sector, as well as including provisions preventing the unauthorised disclosure of personal information to third parties.

Record keeping in government has been paper-based but is gradually being supplanted by electronic information systems, which at this stage do not keep records.

Instead, printouts are usually placed with the paper-based records. As this is not a regular practice, neither the paper-based nor the electronic records are complete. This has contributed to difficulties in tracking the negotiations surrounding government contracts. The classification systems are unique to various functional areas, and a government-wide thesaurus operates for administrative/housekeeping records is used for all public sector agencies. The archival authority is carrying out research for a government-wide high level functional thesaurus. It is also looking at automating systems using a government standard for IT. Although it has a number of records management responsibilities, including setting standards for record keeping systems, there is no agency established to audit the standards.

The overall state of deception and corruption both in government and in the police forces is threatening a number of international financial deals the government is negotiating. In the meantime the appeals to the court to release both the files on individuals kept by the police and those dealing with the IT contracts have been denied.

Case Study Instructions

Read the articles and the case study above, then answer the following questions.

1. Are the new automated information systems likely to make the government, including the courts and the police, more accountable?
2. What areas of government activity do you think are in the national interest and should not be disclosed to the public?
3. Are there legitimate reasons for data-matching programmes to be implemented by governments? Can you think of particular cases where they should not take place?
4. Should the police have special powers and be exempt from FOI? Would the release of the covert files undermine the operations of the police force as claimed by the police?
5. What are some of the advantages to legal record keeping conforming with a government-wide classification system?
6. What evidential problems arise when electronic record keeping systems do not retain 'records'?

Readings

Australia, Department of Attorney General. *Links to Australian government law sites*. This is the Australian Attorney General's official Home Page. It offers an example of a judicial system and other reference information on courts and tribunals, legislation, case law and commonwealth, state and territory Attorneys-General departments at URL: http://law.gov.au/government_sites.html.

Campbell, Madeline 'Government Accountability and Access to Information from contracted-out Services.' *Archives & Manuscripts*, 26, 2 (November 1998): 294-327.

Gray, Peter R A. 'Saying It Like It Is: Oral Traditions, Legal Systems, and Records', *Archives and Manuscripts*, 26, 2 (November 1998): 248-269.

Iacovino, Livia 'The Nature of the Nexus between Record Keeping and the Law'. *Archives & Manuscripts*, 26, 2 (November 1998): 216-246.

Iacovino, Livia, *Things in Action: Teaching Law to Record Keeping Professionals*, Ancora Press, Monash University, Melbourne, 1998, particularly Chapters 4-5.

Knafla, Louis A. 'Be It Remembered', Court Records and Research in the Canadian Provinces.' *Archivaria*, 18 (Summer 1984).

Smith, Rodney, 'Strange Distinctions: Legislators, Political Parties and Legislative Ethics Research'. In *Ethics and Political Practice: Perspectives on Legislative Ethics*, eds. Noel Preston and Charles Sampford with C-A Bois, Federation Press, 1998. pp. 41-51. This article shows the fine line drawn by a politician provided with confidential government information via a leak as to its use as a political tactic, and her behaviour when she becomes aware of it as illegally obtained government information.

Standards Australia. *Australian Standard AS 4390: Records Management*. It is recommended that this publication be read with a view to adopting the standards it proposes as the basis of the methodology for creating and managing legal records. In particular see Part 1, General, Definitions; Part 2: Responsibilities, Regulatory requirements; Part 3, Strategies, Part 4, Control; and Part 5 Appraisal and Disposal. It should be noted that it recommends the analysis of the social and legislative context of an organisation before a business analysis and classification scheme is developed.

Twining, William and Emma Varden Quick, ed. *Legal Records in the Commonwealth*, Aldershot, Dartmouth, 1994. See Chapter 2, 'Legal Records in the Commonwealth: A Theoretical Perspective'.

UK sites with key information on the work of courts include

- The Judicial Work of the House of Lords
<http://www.parliament.the-stationery-office.co.uk/pa/ld199697/ldinfo/ld08judg/ld08judg.htm>
- Court service: Lord Chancellor's Department: Information about Courts
http://www.courtservice.gov.uk/cs_home.htm
<http://www.courtservice.gov.uk/highhome.htm>

See also the theme issue of *Archives & Manuscripts*, 26, 2 (November 1998), which is dedicated to record keeping and the law.

Additional Tasks and Exercises

You may find it beneficial to prepare your responses using and based upon your own legal context and its records.

A **Undertaking systems analysis of a judicial proceeding and its resulting or supporting records.**

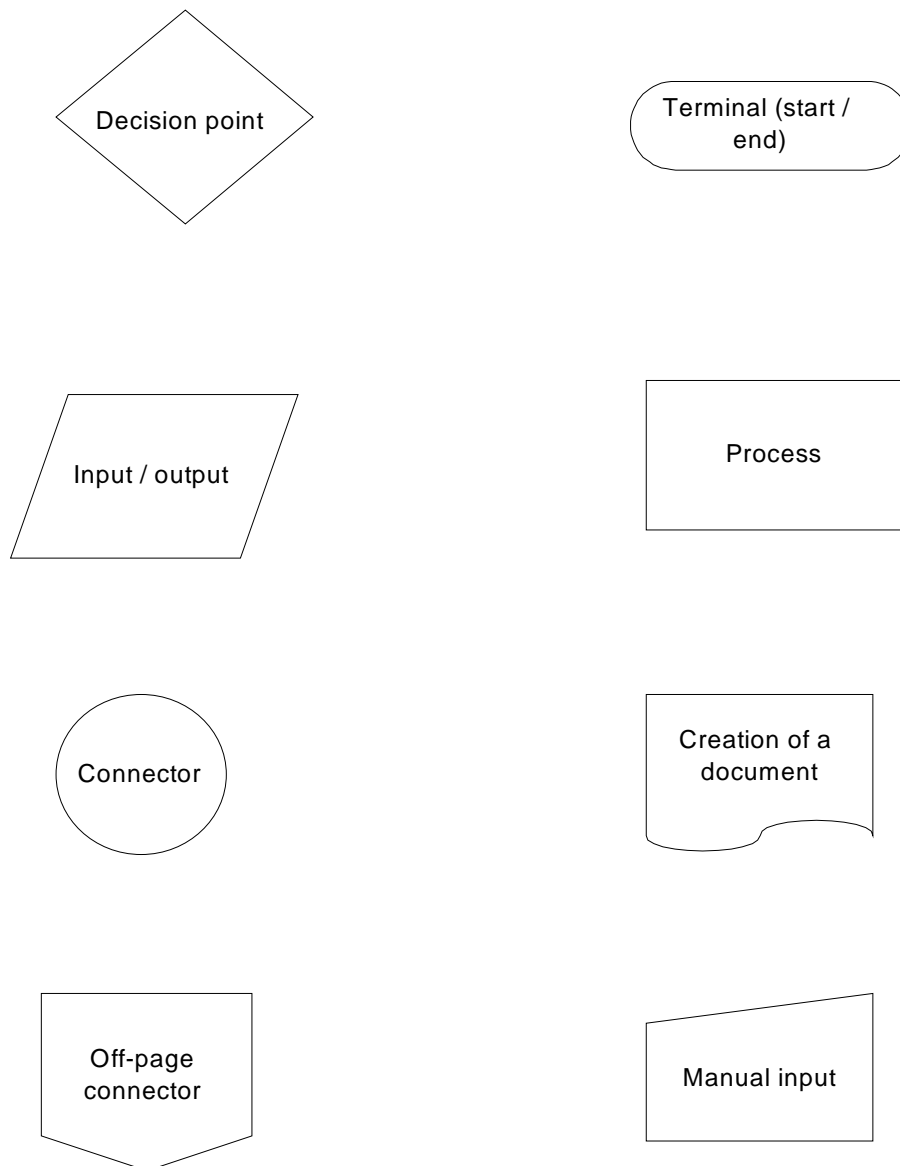
A person is charged with a criminal offence that is referred to the Department of Public Prosecutions (DPP). Think about what typically happens when a case is referred to the DPP. At which points does a communication between those involved in deciding the prosecution outcome result in further communications, and which event or events close the case? Draw a flow chart describing the key steps in this legal process and identify points where significant records are created. Comment on the importance of having standards for file naming/titling and other record keeping procedures.

B **Analysing the Functions of Key Stakeholders.**

Analyse at least the key functions of ONE of the major parties involved in law enforcement: ie either of the judiciary, the public prosecutors or the police.

Appendix 1: Preparing a 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. 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 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 and 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.

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. 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.

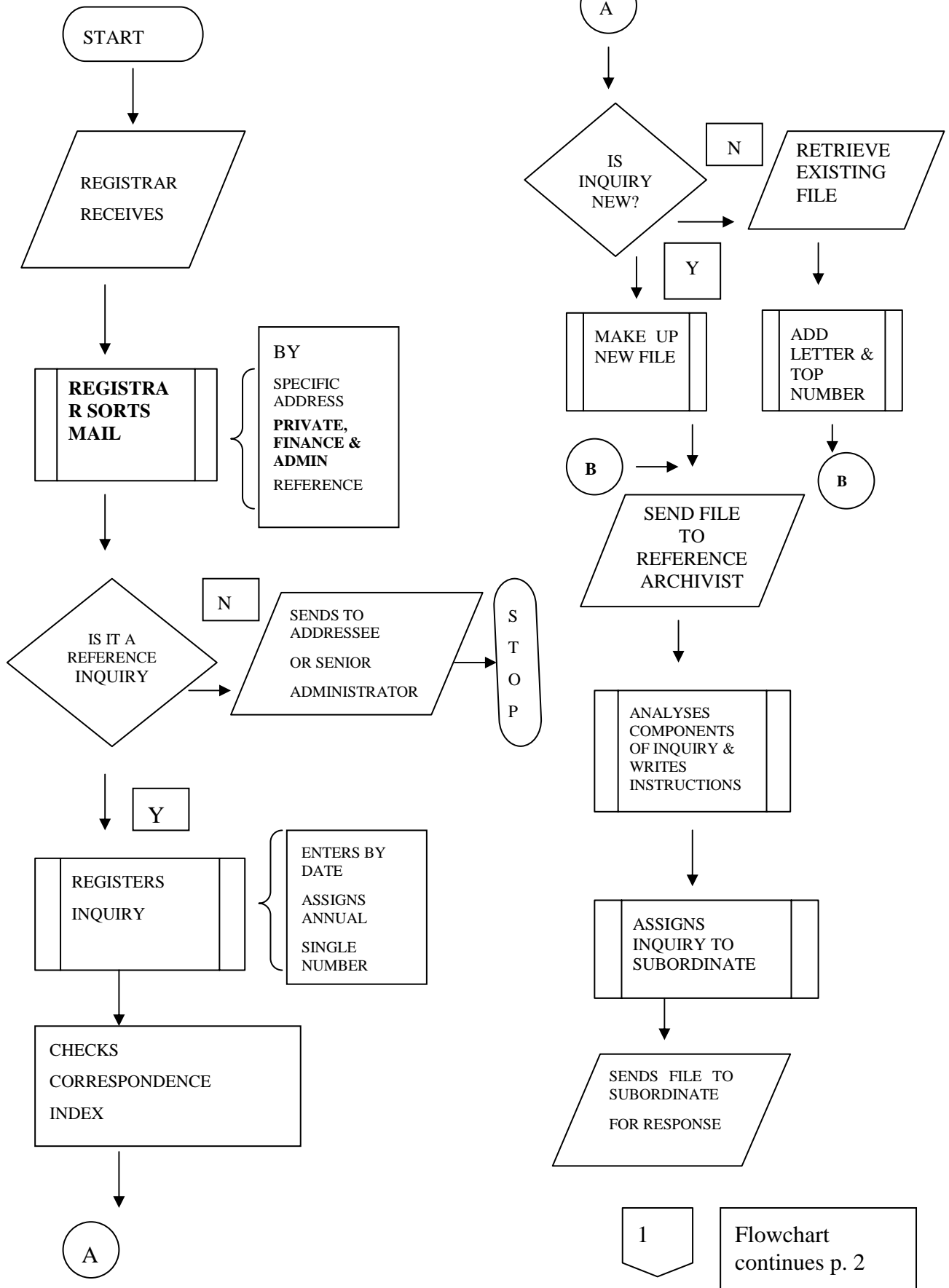
The file then passes to the archivist in charge of reference queries, who inserts a sheet in the file giving directions as to how long should be spent on the enquiry and adding any special instructions/suggestions concerning the nature of the response to be made. The archivist then allocates the enquiry 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 page graphically depicts the process described above.

ANSWERING A REFERENCE REQUEST BY MAIL



Appendix Two: Preparing a Functional Analysis

Modern managers find systems analysis to be one of their most valued tools because it can be utilised in so many different ways. Functional analysis is really an adaption of systems analysis, which maps the hierarchy of business transactions, breaking down general functions into their constituent activities, tasks and transactions. The same tools can be applied to deconstruct any organic process and hierarchy, enabling managers to identify critical junctures and relationships where record keeping is vital. For example,

Hierarchies: work functions, administrative relationships, systems, models

Lines of Authority: who is accountable

Lines of Responsibility: who carries out the work

Workflow: identify steps in sequence of accomplishing particular tasks

Processes: analyse the decisions and interactions which comprise steps in decision making, IT systems design, business activity.

The following table shows how systems analysis can be applied to record keeping and explains some of the conditions and factors that must be taken into account in interpreting its results. The results of a pure functional analysis must be 'checked and balanced' and softened by 'quality of life' considerations such as ensuring citizens rights, requiring corporate and governmental responsibility and preserving cultural continuity.

SYSTEMS ANALYSIS - Tool for "MAPPING" or IDENTIFYING Features in the Universe of Recordkeeping such as 1-4 below				Underlying assumptions
1. FUNCTIONS Functional Analysis	2. AUTHORITY	3. RESPONSIBILITY	4. KEY PROCESSES REQUIRING DOCUMENTATION	
<p>Hierarchies of Functions/Activities</p> <p>Functions</p> <ul style="list-style-type: none"> g Activities g Transactions g Accountable acts <p>Systems & Models</p>	<p>Lines of authority</p> <p>"Those accountable" for the outcomes of actions or decisionmaking</p> <ul style="list-style-type: none"> g those responsible for "authorising" at different - levels - key points in process 	<p>Lines of responsibility</p> <p>for implementation</p> <ul style="list-style-type: none"> g those responsible for "doing" at different - levels - key points in process 	<p>Business cycles</p> <p>IT systems</p> <p>Workflows</p> <ul style="list-style-type: none"> g Key points of Control requiring documentation 	<p>1. Functional Recordkeeping systems must be primarily organised around flow of work activities and transactions, not by subject or organisational structure/hierarchy. Indexes can be devised to search on keywords based around other access points such as names of participants or authority, events, record type, subject, limited by date and geopolitical place.</p> <p>2. Partnerships between archival authority & creating/custodial agency essential</p> <p>3. Commitment to the Recordkeeping Continuum management model is critical</p> <p>PROBLEMS</p>
<p>SUCH MAPS MUST BE ASSESSED USING CHECKS AND BALANCES DRAWN FROM "REAL LIFE" IN ORDER TO BE ACCURATELY INTERPRETED WHEN APPLIED</p> <p>EXAMPLES OF SUCH "FILTERS" would include</p> <ol style="list-style-type: none"> 1. Scale/Scope/Level of universe being mapped must be stated in order to be correctly interpreted. Critical for determining and assessing relationships. 2. Master Top Down maps must checked against Master Bottom Up Maps tracing high level functions down to basic and specific record devised from empirical evidence 3 Decisions based on mapping must be tempered by society's basic values and needs for evidence. For example, records must be retained regardless of functional importance if they are deemed essential to ensure <ul style="list-style-type: none"> - citizen rights - business responsibility - societal governance - cultural continuity 				<p>- Changes in lines of authority and custodial responsibility (Administrative change)</p> <p>- Management over time which must accommodate changes in semantics, terms/conditions of access</p> <p>-Regime must accommodate evidential requirements of "Legacy " as well as electronic systems</p>

Instructor's Notes

Learning Objectives

- Identify how and why legal records support the political system and contribute to overall government accountability.
- Identify the record keeping processes and the players associated with the substantive functions of formal courts of law, police forces and public prosecutors in a common law legal system.
- Establish suitable record keeping systems for managing records of legal institutions.
- Promote the record keeping responsibilities of all those involved in judicial processes.

Marking/Assessment and Guidelines

The case study answers should indicate the student's awareness of legal issues that are relevant to the legal context of record keeping.

Some of the points that the instructor's should look for in individual students' answers to the exercise questions include the following:

- Q1. Are the new automated information systems likely to make the government, including the courts and the police, more accountable?

Points: The new systems will make the government more accountable if they provide the appropriate record keeping data. In addition appropriate government polices and laws must back up citizen's rights of access and appeal to public sector records. A comment that legislation on its own without the right organisational culture is doomed to fail is worth making.

- Q2. What areas of government activity do you think are in the national interest and should not be disclosed to the public?

Points: The case study reveals the government's interpretation of national interest to include commercially sensitive information. Usually national interest would include defence, security and foreign affairs arrangements. In some jurisdictions the entire records of security agencies are exempt. Obviously it could be argued that there are other areas that are in the public interest to disclose.

- Q3. Are there legitimate reasons for data-matching programmes to be implemented by governments? Can you think of particular cases where it should not take place?

Points: The 'legitimate reasons' put forward have been in the areas of taxation, social security, law enforcement. For example, the Australian Privacy Act has approved some data matching schemes of this kind. It does not appear to be appropriate to 'aggregate' small details to have a profile of every person if no

informed consent has been given, and if there is no specific government function to which it relates. In the private sector direct marketing is the most common area people object to; mailing lists are likely to be from a number of sources of personal information.

- Q4. Should the police have special powers and be exempt from FOI? Would the release of the covert files undermine the operations of the police force as claimed by the police?

Points: The police forces appear to be above the law. They have defied the government orders to destroy the files. This creates a precedent for other public sector agencies to flout the law. If files are restricted that reveal the deliberative processes used to collect covert information, then this may satisfy the police objections.

- Q5. What are some of the advantages to legal record keeping conforming with a government-wide classification system?

Points: Some practical reasons include the ability to use common approaches to searching across record keeping systems. It also provides for government wide functional appraisal that places legal records into an overall jurisdictional perspective.

- Q6. What evidential problems arise when electronic record keeping systems do not retain 'records'?

Points: Some of the evidential problems that arise when electronic record keeping systems do not retain 'records' include:

- the absence of links in the records to contextual information (header, transmission data, time, sender and receiver) in electronic communications
- the interpretation of a paper copy as equivalent counterpart to the electronic version
- the absence of login files, passwords, audit trails, performance tests, premigration files, and old documentation needed for evidential reconstruction.

Re-invigorating the National Archives of Verdant Isle

A Case Study

Margot Thomas¹

Introduction

Prior to 1993, Verdant Isle had no archival legislation. There was, however, the *Destruction of Court Records Ordinance 1936* and the *Public Records Ordinance 1965*, excerpts of which are attached as Appendices 1 and 2.

Recognising the need for appropriate archival legislation to enable the government's archival authority to fully execute its functions, the National Archivist lobbied members of Parliament vigorously for the formulation of such legislation.

This political campaign was successful and the Solicitor-General, in consultation with the National Archivist, formulated the National Archives Authority of Verdant Isle which was promulgated into law on 20 October, 1993.

Concerned to ensure that the new National Archives was both competent and responsive to community and government needs, the legislation mandated the creation of a National Archives Authority Board with executive authority to oversee the proper running of the National Archives.

After much discussion between the Cabinet Secretary and the National Archivist, a National Archives Authority Board comprising nine members was appointed by Cabinet in May, 1995 for an initial three-year term (subject to re-appointment).

¹ Mrs Margot Thomas is the National Archivist of St Lucia. She holds a BA (Hons) English with History from the University of the West Indies (UWI), Diploma in Library Studies (UWI), Certificate in Teacher Education (Saint Lucia Teachers College) and an MA in Records Management and Archives Administration from University College London (UCL).

Mrs Thomas taught for nineteen years prior to attending UCL in 1991. As well as teaching English language and literature, Mrs Thomas helped to establish the school library at the Entrepot Secondary School. In October 1992, she was appointed Saint Lucia's first National Archivist and immediately spearheaded the passage of the National Archives Authority Act which was promulgated on August 23rd 1993 (no. 16 of 1993). In November 1997, Mrs Thomas was unanimously elected President of CARBICA – the Caribbean Regional Branch of the International Council on Archives. In May 1999 she successfully co-ordinated the first ever Records Management Regional Workshop for the Caribbean at which forty-four persons and four facilitators participated. Apart from scholarly papers, Mrs Thomas has written a number of poems and stories and hopes to publish her work in the near future.

As agreed, the Archives Authority Board was comprised of *ex-officio* members who represented key constituencies believed to be committed to creating and protecting reliable and authentic records both as strategic business assets and as cultural resources. The membership of this foundation Board was as follows:

- Chief Justice - Chairperson
- Cabinet Secretary, Deputy Chairperson
- Accountant General
- Registrar
- Churches Representative
- Chamber of Commerce Representative
- President - Historical Society
- Attorney General/Representative
- National Archivist.

The National Archives Authority Board meets once a quarter. The National Archivist who is the Chief Executive Officer of the National Archives Authority and also its Secretary, ensures that both the professional and administrative functions of the National Archives are maintained. However, the staff of the National Archives are all Public Officers and as such are all members of the Saint Lucia Civil Service Association.

The National Archives is wholly financed by an annual Government Subvention or Appropriation that is allocated on a quarterly basis. The National Archives Annual Budget (all emoluments and allowances for staff together with administrative and capital expenses) is prepared and submitted to Parliament by the National Archives Authority Board.

One board member makes life extremely difficult for the National Archivist. He refuses to support any programme initiated by the National Archivist and affects the functioning of the Archives since he is one of the Authority's key budget signatories.

Statutory Boards and agencies like the National Archives are being encouraged and urged by their Ministers to become fiscally more self-sufficient as part of a movement towards reducing government expenditures. Therefore, the National Archives is under increasing pressure to generate more and more of its own funding.

Although there have been no budget cuts affecting the National Archives, nor have there been any increases in its allocated budget. As archival responsibilities and costs inevitably increase, the net effect is a gradual erosion of resources available for archival services. The National Archivist has instituted a range of activities to demonstrate the relevance and importance of archives and of the National Archives to various sectors of the wider community. For example, he is involved in giving talks, visiting schools, hosting quizzes, just to name a few of his public initiatives.

The *Verdant Isle Archives Act* makes no mention of audio-visual, machine-readable or electronic records and therefore no provision has been made for the preservation of such materials. Without a clear mandate, the National Archivist has been slow to address this issue. The whole situation has been exacerbated by the recent implementation of a new computer network linking all the Verdant Isle Ministries and Departments. Fewer and fewer letters and memos are being created and circulated in hard copy, with predictions that 85% of all government business will be transacted electronically by the year 2001.

Because the current archival legislation has no provision authorising the National Archives to engage in records management, the National Archivist feels he has not authority to advise on or audit the effectiveness of record keeping in government Ministries and Departments. However, many Departments call him when a problem arises with their records, filing systems or space constraints. In fact, the National Archives has become something of a dumping ground because many ministries send shipments of unsuitable and unsorted files without notice whenever they feel a need to unplug office space.

The Archivist has no way of gathering material from the specialist Statutory Boards and quasi-official Authorities that do not believe that their files are covered by the mandate of the National Archives.

A substantial quantity of important public archives are currently in the possession of private individuals who collected them prior to the setting up of the National Archives. Many of these collectors feel they are justified in holding onto materials that should rightfully be publicly accessible at the new National Archives.

Some influential researchers have also created problems for the National Archives. Many believe that all archival services should be free and that access to photographs, postcards and other materials of historical value should be unrestricted and even unsupervised.

The Current Situation

The National Archivist feels discouraged by the weak legislative mandate of the National Archives, the attitude of his Authority Members and his inability to improve record keeping in the government departments as necessary. Out of sheer frustration, he spends most of his time writing historical publications and keeps explaining to anyone who will listen, the need for new archival legislation.

His staff do not really understand the need for new legislation and view the National Archivist as increasingly ineffective. They believe his public activities and historical writings are distracting him from the hard political work at hand. They believe he could do much to improve the structure and operating effectiveness of the National Archives without new legislation if he improved his negotiating skills and was more amenable to working with key stakeholders, especially his Board members, to forge a common vision of the National Archives mission and programmes.

You have been called in as a special consultant to study the best archives/records standards, legislation, policies and regulations in the English-speaking world and then to develop an ideal Statement of Mission, Responsibilities and Powers for the National Archives of Verdant Isle. A second, but equally important related task is to devise a strategy to convince a majority of key stakeholders to embrace this new vision with enthusiasm. Once these challenges are met, the National Archivist and his staff will be able to use the information to achieve appropriate legislation and administrative arrangements for a revitalised National Archives programme.

Learning Objectives

Upon completing the national archives mission case study, learners should be able to:

- identify and understand the ‘best practices’ and examples of mission statements, legislation, regulations, powers, responsibilities of a fully integrated public archives/records authority, particularly at the national level
- develop an easily understood overview presentation of the Mission, Functions, Administrative Relationships and Powers of a public archives/records authority
- identify key stakeholders and decision makers who determine the destiny of the archives/records authority and their interests and attitudes in relation to records and archives
- prepare and shape a persuasive case to attract the attention of a particular audience and convince it to accept and support a proposal.

The Case Problems

Problem One: Forge an Appropriate Statement of the Mission and Responsibilities of the National Archives of Verdant Isle

Spend several hours reviewing the MPSR module *Developing the Infrastructure for Records and Archives Services* and other literature, traditional and Internet, to research ‘best practices’ in record keeping legislation, functions, powers and mission statements. Take the best of them and develop a comprehensive 1-2 page graphic representation of an ‘ideal’ mission statement, responsibilities and powers for the National Archives of Verdant Isle. Finish off with an explanatory, point form list of the major ARGUMENTS FOR the structure they propose and of the OBSTACLES/RISKS they will have to overcome to get it adopted.

Problem Two: Convincing a Majority of Key Stakeholders to Adopt the New Mission

- a) One of the keys to improving the effectiveness of the National Archives is to identify the stakeholders and decision makers whose support is critical to the adoption of a revised National Archives Statement of Mission and Responsibilities. It is equally important is to ascertain each stakeholder’s professional and personal attitudes and understandings about the National Archives. Because there are limited clues in the case description, use your own judgement and creativity in setting them out for discussion. From the list of stakeholders below, choose the seven that you feel are the most important to the success of the revitalisation campaign.

	KEY STAKEHOLDERS & DECISION MAKERS	STATED OR IMPLIED VIEWS & CONCERNS about archives/records	WHY HIS/HER SUPPORT IS CRITICAL TO THE CAUSE
	Chief Justice		
	Cabinet Secretary		
	Accountant General		
	Registrar		
	Churches Representative		
	Chamber of Commerce Representative		
	Historical Society President		
	Attorney General		
	Local 'opinion shapers' ie members of the media, elder statesmen, gurus		
	Members of Parliament		
	National Archives staff		
	Others?		

- b) Draft and present arguments that you believe will open their minds and persuade them to adopt the new archival mission and responsibilities statement you devised in PROBLEM ONE.

KEY STAKEHOLDERS AND DECISION MAKERS	RATIONAL/MANAGERIAL ARGUMENTS		EMOTIONAL / POLITICAL APPEALS	Who should make the argument, how and in what circumstances
	STRENGTHS /BENEFITS TO BE GAINED	OBSTACLES /RISKS TO BE AVOIDED		
Chief Justice				
Cabinet Secretary				
Accountant General				
Registrar				
Churches Representative				
Chamber of Commerce Representative				
Historical Society President				
Attorney General				
Local 'opinion shapers' ie members of the media, elder statesmen, gurus				
Members of Parliament				
National Archives staff				
Others?				

Selected Bibliography

The following are selected readings and references to public archival websites that offer authoritative general advice on appropriate powers and responsibilities for full service national archives. Some of the provisions are appropriately expressed in legislation, others might best be embodied in regulations and administrative arrangements.

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Rhoads, James B. *The Role of Archives and Records Management in National Information Systems. Revised edition*. Paris: UNESCO, 1989. (PG1-89/WS/6). The 1st edition is in open reserve under SQ025.06351 71 /1

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Standards Australia. *A/NZS 4360 Australian/New Zealand Standard: Risk Management*. Homebush, NSW: Standards Association of Australia, 1995.

State Records [New South Wales] Home Page URL: <http://www.records.nsw.gov.au/> Scroll down the text to the blue words 'State Records Act' and click to bring up a discussion of the responsibilities of all stakeholders under the new legislation proclaimed 1 January, 1999.

Appendix 1

No. 16 of 1936

- (a) AN ORDINANCE to provide for the DESTRUCTION OF COURT RECORDS [12TH DECEMBER, 1936]

Be it enacted by the Governor, with the advice and consent of the Legislative Council of Verdant Isle, as follows:

1. The Ordinance may be cited as the Destruction of Court Records Ordinance, 1936.
2. In this Ordinance, unless the contrary intention appears – The term ‘Records’ includes books, papers, documents and any exhibits affixed or relating thereto; the term ‘Royal Court of Verdant Isle’ includes the Registry of Deeds and Mortgages.
3. The Governor in council may from time to time make rules to provide for the disposal by destruction of records belonging to or being in the custody of the Royal Court of Verdant Isle or any District Court; until any such rules shall be made, the rules contained in the Schedule to this Ordinance shall be in force.
4. If any dispute arises as to the interpretation of this Ordinance, or as to the carry out of any of its provisions, the dispute shall be referred to and decided by the Chief Justice in a summary manner. The decision of the Chief Justice shall be final.
5. Nothing herein contained shall be deemed to authorise the destruction of any records which under the provisions of any law for the time being in force is to be kept and maintained or of any record which may be required for the trial of any offenders still at large or for the identification of stolen property or of any exhibit which relates to, or purports to prove the title to any real or personal property.
6. No suit or other proceedings shall be instituted against any person for any disposal by destruction of any records in accordance with the provisions of this Ordinance or any rules made hereunder.

Passed this 24th day of November, 1936.

O.H.H. GIRAUDY,
Clerk of the Legislative Council

Appendix 2

No. 38 of 1965

- (b) An ORDINANCE to make provisions with respect to public records and for matters connected therewith and incidental thereto.

[On Proclamation.]

BE IT ENACTED by the Queen's Most Excellent Majesty, by and with the advice and consent of the Legislative Council of Verdant Isle, and by the authority of the same as follows:

1. The Ordinance may be cited as the Public Records Ordinance, 1965 and shall come into operation on such date as the Administrator in Council shall appoint by proclamation published in the *Gazette*.
2. In this Ordinance, unless the context otherwise requires –
 - 'Chief Justice' means the Chief Justice of the Verdant Isle;
 - 'Minister' means the member of the Executive Council for the time being charged with responsibility for Archives;
 - 'Public Records' means administrative and departmental records and records of any office, commission or other body or establishment whatsoever under the Government of Verdant Isle, and includes records of civil status and adoptions;
 - 'Records' includes not only written records but records conveying information by any other means whatsoever.
3.
 - a) The Minister shall be generally responsible for the execution of this Ordinance and shall supervise the care and preservation of public records in the Island.
 - b) The Chief Justice shall be responsible for the care and preservation of court and other legal records.
4.
 - a) It shall be the duty of the Minister to take all practical steps for the preservation of all practical records in the Island including the storage and suitable accommodation of those records not in current use.
 - b) The Minister shall in every year lay before the Legislative Council a report on the work done to preserve the records which shall include any report made to him by any committee he may appoint to advise or from any officer to whom he may delegate the work of preserving records.

5. The Minister shall have power to do all such things as appear to him necessary or expedient for maintaining the utility of the records and may in particular
 - a) compile and make available indexes and guides to the records
 - b) provide for the making and authentication of copies of and extracts from records required as evidence in legal proceedings or for other purposes
 - c) accept responsibility for the safe keeping of records other than public records.
 - d) acquire records and accept gifts and loans.
6. The Minister may, with the approval of the Administrator in Council, make regulations for carrying out the purposes and intention of this Ordinance and without prejudice the generality of the foregoing power, may by regulations provide for the inspection of records housed in the accommodation he has provided, for authenticated copies or extracts from such records and for other services afforded by an officer appointed in charge of the records immediately under his care.
7. All fees received under and by virtue of any regulations made under the preceding section shall be paid into the Treasury.
8.
 - a) It shall be the duty of every person responsible for public records of any description which are not in the place of deposit made available by the Minister under this Ordinance to make arrangements for the selection of those records which ought to be permanently preserved and for their safe keeping.
 - b) Every such person shall perform duties under this section under the guidance of instruction which the Minister may cause to be issued and under the advice of the Chief Justice as the case may be.
 - c) Public records selected for permanent preservation shall be transferred not later than fifteen years after their creation to the accommodation provided for them by the Minister:
 - Provided that any records may be required for administrative purposes or ought to be retained for any other special reason
 - Provide further that the Minister has been informed and has given his consent.
 - d) Public records which, following the arrangements made in pursuance of this section, have been rejected as not required for permanent preservation shall be destroyed.
9.
 - a) If it appears to the Minister that a place other than the special accommodation has been provided offers suitable facilities for the safe keeping and preservation of records and their inspection by the public,

he may, with the agreement of the authority who will be responsible for records deposited in that place, appoint it a place of deposit as respects any class of record.

- b) Public records deposited in the accommodation provided by the Minister shall be temporarily returned at the request of the person by whom or department or office from which they were transferred.
10. Public records other than those to which members of the public had access before their transfer to special accommodation shall not be available for public inspection until they have been in existence for fifty years.
- 11.
- a) The legal validity of any record shall not be affected by its removal under the provisions of this Ordinance with respect to its legal custody.
 - b) A copy of or an extract from a public record thus removed purporting to be examined and certified as true and authentic by the Minister or an officer appointed by him in that behalf and to be sealed or stamped in 'Verdant Isle Public Records' shall be admissible as evidence in any proceedings without any further or other proof thereof if the original record would have been admissible as evidence in those proceedings.

Passed this 10th day of December, 1965.

F.J. CLARKE,
Speaker.

L. FONTENELLE,
Acting Clerk of the Legislative Council

Acquiring the Papers of Mary Historian¹

Ann Pederson²

Introduction

When we speak of ‘appraisal’ we are using a short-hand term to characterise a series of evaluation techniques used to select records for indefinite retention as the documentary ‘memory’ of whomever (in the case of persons) or whatever (in the case of organisations/institutions) created and used those particular documents. Selecting this ‘memory’ also requires the timely and progressive elimination of approximately 95% of the total documentary materials, so that only the best residue remains as research sources.

How then do archivists select records of enduring value? Traditionally, the strategy has been to wait until the activity has abated and then evaluate the documentary residue to salvage the most representative remains. This case study employs this type of selection i.e. analysing the value of the remaining records.

This approach, now called the value of records theory of appraisal, was articulated in the 1940’s and ‘50s in the USA, where archivists struggled to document the response of governments to the two world wars and the depression. As explained by T R Schellenberg, its most famous advocate, the values to be assessed in the remaining records were twofold.

Evidential Value: previously described as the usefulness of the records in documenting the activities of its creators. It would be important in determining accountability and assuring continuity of administration. This

¹ An abbreviated version of this case study was initially published in Yorke, Stephen, Anne-Marie Schwirtlich and Laurine Teakle, ed. *Ethics Lies and Archives*, Canberra: Australian Society of Archivists, Inc. [ACT Branch], 1994. pp. 23-24.

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Her professional achievements include prime responsibility for the first edition of *Keeping Archives* (1987) and principal authorship of *Documenting Society* (1998), a multimedia training course in archives/records management. She represents Australia on the Steering Committee of the Section on Archival Education and Training of the International Council on Archives (ICA/SAE) and is both a Fellow of the Society of American Archivists (SAA) and a Laureate of the Australian Society of Archivists (ASA).

value was assessed in consultation with those who had created and used the records in the course of their conduct of business.

Informational Value: also previously explained as the usefulness of the information carried by the records. This value was to be assessed in consultation with the research community who would use the information to learn more about the life and work activities carried out in a particular context over time.

Schellenberg categorised the uses to be made of the records as

Primary, ie serving the purposes of the organisation that created them for establishing legal, fiscal and administrative precedents, plans and accountability and

Secondary, i.e. uses such as research, that were in addition to the primary role of the records, and most particularly long term research by users from outside the creating organisation.³

These values and uses were inevitably intertwined. For example, one would not use source materials for long-term research without understanding how they were originally created and used. Knowledge and understanding of the records' original purpose and context would be essential for evaluating the integrity and authenticity of the information within the documents. Contextual links were needed to judge whether or not it was 'good data.'

However, from the beginning archivists using the value of records approach to selection knew they were in trouble. A successful outcome of the process depended upon an ideal set of circumstances: the appraiser was assumed to have access to

- a) the most representative creators within the sphere of documentary responsibility
- b) the whole body of records from creating entities
- c) persons knowledgeable about the functions and activities that created and used the material in the course of their work
- d) accurate information from the research community on the topics, methods and sources they found valuable in conducting research, now and in the future.

It also meant that there needed to be an army of archivists assigned to make and document selection decisions and, thereafter, to implement them. In the real, rather than ideal, world, the value of records methodology has been found to have a number of weaknesses that are noted below:

- The detailed forensic research required to reconstruct context made appraisal a very slow process; hence many institutions have backlogs of material awaiting evaluation.

³ T R Schellenberg. 'The Appraisal of Modern Public Records,' in Daniels, Maygene and Timothy Walch, editors. *A Modern Archives Reader*. Washington, DC: NARA Trust Fund, 1984. pp. 57-70.

- Archivists were often forced to appraise surviving material following a break in the chain of responsible custody of many years, during which records were vulnerable to loss or damage through neglect, weeding or disruption.
- Frequently, the individuals knowledgeable about the records were unavailable, having moved on, retired or died; and the organisations which formed the records' all-important context of creation and use had changed significantly or disappeared. Thus the resulting documentation is always incomplete and the knowledge of its context only fragmentary, making appraisal decisions difficult to defend.
- The research community, although supportive of archives as research resources, were also unable to offer useable advice on long-term research interests and methodologies. As the future was unknowable, they could only testify to what was useful in the present, perpetuating the status quo.

Regardless of these deficiencies and dangers, archivists are committed to meeting the challenge of appraisal. A 'keep everything' policy would quickly collapse under the weight of its own cost and impenetrable mass.

Now, with that background, let us tackle our own appraisal challenge to acquire or not to acquire the personal papers of Mary Historian.

The Case Problem - Assessing The Papers of Mary Historian

This case involves three parts which build upon each other. Read and complete each part one-at-a-time. Do not read Parts Two and Three until after you have finished the tasks in Part One.

Part One: MARY HISTORIAN, UNSUNG SCHOLAR?

Distinguished Collection Archives, a leading centre for research in women's studies, has been offered the personal papers of Mary Historian, a scholar of modest reputation who began her academic career in the early 1950s.

She showed brilliance as a post-graduate student and became the research assistant of a nationally prominent historian, who published a still authoritative work as a result of their collaboration. A few years after the book was published with the prominent historian as sole author, he ended the partnership and moved interstate to the Chair of Prestige University.

Mary Historian was unable to obtain a regular academic post and ended up teaching history part-time in the technical college to support herself while she continued research towards a new book. The papers she left were mostly her research notes for the unpublished manuscript and documentary sources, as well as annotated manuscripts, diaries and correspondence documenting her partnership with the prominent historian who has now retired as a cultural icon. Mary's heirs, who are giving the collection, love their spinster aunt whom they believe was denied proper

academic recognition. They are anxious that her unpublished manuscript be edited and published posthumously by the archives. You, as the archivist responsible for the negotiations and the appraisal of the material, are inspecting preliminary notes on the collection of 40.5 linear metres and find that the material is generally in good condition. About 20% is on highly acidic pulp paper of the 1950s-60s. Material has been badly disorganised, making original order hard to establish, but the following categories were identified.

- 1 Copies (Xerox, microfilm, photostat) of original manuscript documents. 9 linear metres.
- 2 Translations of many of the above documents. 4 linear metres.
- 3 Correspondence related to the acquisition of the above documents and translations. 0.3 linear metre.
- 4 Manuscript of unpublished history. 0.6 linear metre.
- 5 Research notes (not arranged in any order) 6.5 linear metres.
- 6 Bound volumes of personal library, approximately half relate to Mary Historian's research interests. 13.5 linear metres.
- 7 Personal and professional correspondence (mostly incoming) of MH's. 0.3 linear metre.
- 8 Family genealogical research notes and compilations (undocumented for most part). 0.3 linear metre.
- 9 Maps, drawings and plans, most from published sources, most on colonial and state land grants and boundaries. 3 linear metres.
- 10 Miscellaneous, unidentifiable. 3 linear metres.

Read Part One of the case thoroughly and complete the questions below:

- 1 What are the issues involved? How do they affect the decision?
- 2 Based upon simply reading the list of materials, what would be your first acquisition/appraisal recommendations?

Part Two: AN APPRAISAL SURVEY REVEALS NEW INFORMATION

As the archivist responsible for conducting an appraisal survey of Mary's papers over the past few days, you have uncovered the following new information:

- diaries and letters indicating that the relationship between Mary and the prominent historian was much more than professional
- notes and edited chapters that indicate that the leading historian published whole slabs of Mary's research and writing without credit in his landmark book
- unpublished manuscripts that might cast new light on previous historical events, but which would require the archives to spend great sums on research prior to publication
- increasingly disjointed scraps of notes, papers that indicate Mary's deterioration into senile dementia over a long period.

Review your initial recommendations from PART ONE in light of the information discovered during the appraisal survey and complete the tasks below:

- 1 How does this new information affect your recommendations so far?
- 2 What, if any changes would you recommend? Alter your text to reflect them.
- 3 Develop an alternative position, in case your revised recommendation is rejected.

Part Three: THE WHOLE CATASTROPHE EMERGES

At this point, the Chief Archivist, who is an enthusiastic former student of Mary Historian (MH) and who believes MH deserves archival immortality, shares with you the terms of deposit she is negotiating with the heirs. They are as follows.

- All papers, books and other materials to be kept intact as a collection, permanently.
- A special book plate to be designed for approval by heirs is to be affixed to each volume of the collection.
- A special exhibition is to be created for permanent display.
- An audio-documentation project to collect reminiscences of MH's friends and colleagues is to be undertaken.
- Reprints of MH's published articles are to be acquired by the archives and bound for presentation to each of the heirs.
- Correspondence from the prominent historian with whom MH worked is to be separated, microfilmed, and originals sent to Prestige University.
- Copyright to all original materials remains with the heirs; all publications resulting from research using the collection to be cleared with heirs.
- Copies of selected photographs to be made and an album created for each of the heirs.
- A full descriptive guide to the collection is to be prepared and published by the archives.

If, at any time, the administrators of MH's estate feel that the conditions of this deed of gift are not being lived up to by the archives, the administrators may demand and receive an explanation in writing from the chief archivist. If such explanation is not satisfactory, the administrators may demand the return of the collection. Upon receipt of a demand for the collection's return, the archives shall pack and ship the collection at its own expense to the administrators, understanding that the ownership of all materials, rights, title, interest or other assets associated with the collection revert to MH's estate and heirs.

Review your recommendations from Part Two in light of the developments above and complete the tasks below.

- 1 What new factors have come to light and how do they impact upon your recommendations? Make adjustments accordingly.

- 2 What are the main considerations making up your decision? Are they ethical, managerial, archival, personal? Explain.
- 3 What main points will your final recommendations convey and how will you present them to your boss?
- 4 What relationship and interactions will you have with the heirs?
- 5 Do you think you should seek assurance that you are eligible to apply for unemployment benefits?

Selected Readings on Appraisal of Personal Papers

- Boles, Frank. *Archival Appraisal*. New York: Neal-Schuman, 1991.
- Bradsher, James G. *Managing Archives and Archival Institutions*. London: Mansell, 1988. pp. 53-66, 78-91.
- Daniels, Maygene and Timothy Walch, eds. *A Modern Archives Reader*. Washington, DC: NARA Trust Fund, 1984. pp. 55-145.
- Ham, Gerald F. *Selecting and Appraising Archives and Manuscripts*. Chicago, IL: Society of American Archivists, 1993.
- Reed, Barbara. 'Appraisal and Disposal,' in Ellis, Judith, ed. *Keeping Archives*. Port Melbourne, VIC: D W Thorpe, 1993. pp. 157-207.
- Pederson, Ann E, ed. *Keeping Archives*. Sydney: Australian Society of Archivists Inc., 1987. pp. 73-127.
- Samuels, Helen. *Varsity Letters*. Metuchen, NJ: Scarecrow Press, 1992.
- Schellenberg, T. R. 'The Appraisal of Modern Public Records,' *National Archives Bulletin* 8. Washington, DC: National Archives and Records Service, 1956.

Instructor's Notes

The following are points that can be raised in discussion with students or as comments if the case is being used for assessment.

Students should comment on a majority of the issues below, indicated the advice (what sort, from whom?) they would seek in making recommendations, describe the decision they would prefer (take all, take none, take parts) and explain its rationale, along with alternatives if their decision is queried. Finally, they should discuss how they propose to convince the boss to accept the recommendations and lay out a course of action which is professionally, ethically and personally sound. In the tangential matter of the relationship between the appraisal archivist and the heirs, respondents would be wise to keep themselves entirely out of the matter as that arena belongs to the boss.

Most of the following factors should be addressed in devising the case 'solution.'

- 1 **LARGE AND DISORGANISED MATERIAL.** Large, badly disorganised collection (40.5 linear metres) of personal papers is much too much material for any university archives to acquire from an individual. Would this decision set an unworkable precedent if applied to the papers of all academics associated with Distinguished University?
- 2 **PAPERS OF EARLY WOMEN ACADEMICS ARE RARE.** Women academics in the 1950s - 1960s were pretty scarce, particularly one who showed great early promise but never rose to prominence.
- 3 **HISTORICAL PARTNERSHIP.** Interesting partnership with eminent historian that has never been publicly acknowledged by him. Potential untold story.
- 4 **COPIES OF ARCHIVAL DOCUMENTS.** High percentage of original non-English language sources contained in collection are copies, implying that they are already preserved in other archives or are copies of published works (maps and personal library materials). However, these documents have been assembled into a unique compilation that may not be available for research elsewhere. Not clear what percentage of these are included in the English translations, who did the translations and whether the translations are any good. Unclear whether or not Mary had permission from the archives involved to quote from or publish these sources, much less to make them available to others without permission. All of these matters must be clarified before an authoritative decision about them can be reached. If they are a unique, comprehensive, well-translated compilation which can be further used, quoted and copied and relate to ongoing research pursuits of Distinguished University, keeping them could be justified.
- 5 **LIBRARY MATERIALS.** Personal library materials are generally not suitable for an archives unless they are relevant to the original materials and/or annotated by Mary, giving her views on related topics to the original material. Could best be handled by making a list of the titles as revealing of Mary's reading and study interests, personal and professional. Titles relevant to the

original materials could be retained as supporting secondary works. Copies of Mary's own works, of course, should be retained.

- 6 ORIGINAL MATERIAL CREATED BY MARY HISTORIAN. The tiny proportion of original, unpublished material by Mary herself is regrettable, but might form the basis for a campaign to solicit material from former colleagues and friends. Only material of real value is the unpublished manuscript, assuming it was written before Mary developed Alzheimers Disease. The correspondence, mostly incoming, and family history records comprise only .6 of a metre all up and Mary's role in creating them is unclear. The family research materials are mostly undocumented and thus have dubious value unless confirmed by authoritative sources.
- 7 RESEARCH NOTES. The large quantity of research notes are not arranged in any order, and considering Mary's descent into dementia over a long period, may not be worth sorting through to discern order or authority. Would you trust someone else's research notes?
- 8 MISCELLANEOUS AND UNIDENTIFIED MATERIAL. Should the miscellaneous, unidentifiable material be rejected outright or not and why or why not?
- 9 ACCESS TO LETTERS/DIARIES OF HISTORIAN. Letters and diaries regarding eminent historian raise privacy issues as historian is still living and defamation/libel case potential arising out of alleged plagiarism of Mary's work. If the papers are acquired, should the historian be informed? What are his rights governing access to his own letters and/or to material discussing him?
- 10 DANGEROUS DEPOSIT CONDITIONS. Unrealistic and unprofessional deposit conditions mean great expense to archives, possible precedent-setting for private papers in general, especially those of other academics. However, the chief archivist, YOUR BOSS, is very keen that Mary Historian's papers be acquired. Heirs are also anxious to commemorate Mary, but may take steps to remove the best bits (diaries, letters) if they think Mary's reputation would be sullied by revelations in them. Also, may not deposit papers if their conditions of deposit are not accepted by the archives. May even destroy them. Managerially, professionally and ethically, the boss is out of line, but what penalty will you pay for disagreeing with her proposals?
- 11 FINAL RECOMMENDATION AND APPROACH. There is no right or wrong solution, only ones that are more or less complete in dealing with the issues AND better or worse explained and defended by the student. The final recommendation and approach for presenting it should reflect the respondent's research in the literature and struggle to develop a solution that is professionally, ethically, managerially and personally workable.