

MANAGING PUBLIC  
SECTOR RECORDS

A Training Programme

Managing  
Public Sector Records:  
Case Studies - Volume 2



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INTERNATIONAL  
COUNCIL ON ARCHIVES



INTERNATIONAL RECORDS  
MANAGEMENT TRUST

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

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MANAGING PUBLIC SECTOR RECORDS

A STUDY PROGRAMME

General Editor, Michael Roper; Managing Editor, Laura Millar

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MANAGING  
PUBLIC SECTOR RECORDS:  
CASE STUDIES  
Volume 2, Cases 13-24

## MANAGING PUBLIC SECTOR RECORDS: A STUDY PROGRAMME

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Managing Public Sector Records: Case Studies:

Volume 2, Cases 13-24

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Organisation of American States

Royal Bank of Scotland

United Nations Development Program

**Managing Public Sector Records: Case Studies**

**Volume 2, Cases 13-24**

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

# CONTENTS

|              |                     |
|--------------|---------------------|
| Introduction | 1                   |
| Case Studies | starts after page 6 |

Note that the order chosen for the case studies is random; the cases are included here in number order. For ease of reference, the footer at the bottom of each page indicates the number of each case study and the author's name.

- 13 Musila Musembi, Kenya, Development of Conservation Facilities in the Kenya National Archives and Documentation Services: A Case Study
- 14 Cassandra Findlay, Australia, Development and Implementation of the Immigration Department's New International Traveller Movements System
- 15 Pino Akotia, Ghana, Management of Financial Records: The Ghana Case Study
- 16 Kathryn Patterson, New Zealand, National Archival Authorities and Public Sector Reform: A Case Study of the National Archives of New Zealand
- 17 Charles Gibson, Belize, Revising Archival Legislation in Zomora
- 18 Gail Saunders and Elaine Toote, Bahamas, Records Management - Building or Adapting a Records Centre Facility: The Case of the Bahamas Records Centre
- 19 Henry Kemoni, Kenya, Managing Medical Records in Kenya: A Case Study of the Moi National Referral and Teaching Hospital, Eldoret
- 20 Barbara Craig, Canada, Central Childrens' Hospital Merger and the Archives
- 21 Setareki Tale, Fiji, Improving Records Control and Storage in Papakura
- 22 Musila Musembi, Kenya, The Management of Legal Records in the Commonwealth: A Case Study
- 23 Ann Pederson, Australia, Storage/Preservation Case Study: Responding Effectively to a Disaster
- 24 Ann Pederson, Australia, Appraising the Records of the Australian Shipbuilding Engineers Association (ASEA)

# **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.

This volume contains the case studies as identified on the contents page.

| No | Author                                           | Country | Title of Case Study                                                                                            | Related Module                      | Related Module              |
|----|--------------------------------------------------|---------|----------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------------|
| 1  | Candace Loewen                                   | Canada  | Appraisal of Common Administrative Records of the Human Resources Management Function of Govt of Canada        | Building Records Appraisal Systems  |                             |
| 2  | Catherine Bailey                                 | Canada  | Macro-Appraisal: The Case Of Income Securities Program Branch                                                  | Building Records Appraisal Systems  |                             |
| 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       |                                            |
| 23 | Ann Pederson                         | Australia         | Storage/Preservation Case Study: Responding Effectively to a Disaster                                       | Emergency Planning           | Preserving Records                         |
| 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                         |
| 29 | Ann Pederson                         | Australia         | Advocacy/Marketing for Record Keeping: A Case Study                                                         | Strategic Planning           | MPSR: Principles and Context               |

|    |                                 |                   |                                                      |                            |  |
|----|---------------------------------|-------------------|------------------------------------------------------|----------------------------|--|
| 30 | Ann Pederson and Trudy Peterson | Australia/<br>USA | Archival Control: Case Studies                       | Managing Archives          |  |
| 31 | Barbara Reed                    | Australia         | Personnel Records: A Case Study                      | Managing Personnel Records |  |
| 32 | Livia Iacovino                  | Australia         | Legal Records: A Case Study                          | Managing Legal Records     |  |
| 33 | Margot Thomas                   | St Lucia          | Reinvigorating the National Archives of Verdant Isle | Developing Infrastructures |  |
| 34 | Ann Pederson                    | Australia         | Acquiring the Papers of Mary Historian               | Managing Archives          |  |

# **Development of Conservation Facilities In The Kenya National Archives And Documentation Services: A Case Study**

**Musila Musembi<sup>1</sup>**

## **Introduction**

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

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

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

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

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

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

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

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

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

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

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

## **The Long and Frustrating Journey**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## **The Turning Point**

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

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<sup>6</sup> *Ibid.*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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<sup>10</sup> *Ibid*, p.20

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

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

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

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

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

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

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

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

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

## Status Report

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

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

### Rehabilitation of the Conservation Workshop

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

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

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

<sup>14</sup> *Ibid*, p.1.

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

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

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

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

### **Personnel and Capacity Building**

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

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<sup>15</sup> *Ibid*, p1.

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

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

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

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

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<sup>16</sup> *Ibid*, p.2.

<sup>17</sup> *Ibid*, p.2.

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

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

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

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

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

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<sup>18</sup> *Ibid*, p.2.

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

<sup>20</sup> Mr Rhys-Lewis, *op cit*, p.2.

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

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

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

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

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

### **Co-ordination of Preservation Activities**

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

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

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<sup>21</sup> *Ibid*, p.6.

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

## **The Unrealised Dream**

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

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

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

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<sup>22</sup> Leisinger, *op cit*, p.2.

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

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

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<sup>23</sup> Rhys-Lewis, *op cit*, 9

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

## **Learning Objectives**

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

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

## **Problems/Exercises Based on the case study**

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

## **Discussion/Study Questions**

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

### *Suggested Responses*

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

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

*Suggested Responses*

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

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

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

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# **Appendix 1**

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

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

## **Appendix 2**

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

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

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

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

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

Cassandra Findlay<sup>1</sup>

## Introduction

### Focus of Case Study

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

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

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

### Learning Objectives

Learners should demonstrate in their work an understanding of

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

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<sup>1</sup> Cassandra Findlay is part of the Electronic Record keeping Project team at the State Records Authority of New South Wales, Australia, where she recently co-developed and delivered a University accredited course on electronic record keeping, *Evidence and Access*. She has also worked in the archives of the Westpac Banking Corporation and for the City of Sydney Archives. She holds a Bachelor of Arts from the University of Sydney and a Master of Information Management – Archives/Records from the University of New South Wales.

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

## Resources

### Glossary of Terms

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

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

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

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

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

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

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

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

**Record keeping requirements:** Requirements for evidence that may be satisfied through record keeping.<sup>6</sup>

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

<sup>3</sup> Australian Standard AS4390—1996, *Records Management*, Part 1, *General*, Clause 4.17

<sup>4</sup> *Ibid.*, p297.

<sup>5</sup> *Ibid.*, p297.

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

**Record keeping system:** information systems which capture, maintain and provide access to records over time.<sup>7</sup>

**Systems analysis:** a process followed to determine what a system does and what is required of it.<sup>8</sup>

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

### Essential Readings

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

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

The University of Pittsburgh School of Information Science. *Functional Requirements for Evidence in Record keeping*. Available at URL: <http://www.lis.pitt.edu/~nhprc>

## **Appendices**

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

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

## **Background**

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

### **The Department of Immigration and the Monitoring Function**

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

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

### **Organisational Context**

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

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

### **Uses and Usage Concerns**

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

### **The Present Situation**

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

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

### **Meeting the Challenge: Planning a Fully Integrated and Electronic System**

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

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

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

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

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

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

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

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

# Instructor's Notes

## Analysis of case study elements

### Background:

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

### The Department of Immigration and the Monitoring Function

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

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

*Broader context of the monitoring of traveller movements*

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

*Recording traveller movements is an activity supporting this function*

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

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

*Previous system/s described.*

*Legacy data / records.*

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

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| <p>National Archives, where they are a heavily used research resource to prove eligibility for pension and citizenship entitlements and for family history.</p> <p><b>Organisational Context</b></p> <p>Currently the Department of Immigration is structured around a Head Office in the national capital, to which all the Ports report. Amongst the programme areas managed from Head Office is the ‘Corporate Information’ programme, headed by the Chief Information Officer, Mr French. This programme has responsibility for the Corporate Records Unit, the Library and the Information Technology section. Corporate Records has essentially been a centralised paper filing system for the Head Office, with each Port pretty much doing their own thing. The International Traveller Movements (ITM) data has always been seen as the domain of the Information Technology Section, not Corporate Records. The Head Office runs a mainframe system on which several large databases of other immigration data are kept. Most staff have a personal computer (PC) with Internet access on their desktop and are familiar with all the office applications on them. In the Ports, depending on their size, there are a few clerical staff with good knowledge of their own Port’s database (used for entering card information), and the microfilm system. The Immigration Officers remain fairly non-technologically minded, preferring to concentrate on the ‘frontline’ work ie implementing immigration laws and procedures. Back at Head Office, Mr. French’s main interest as the CIO is really information technology - he keeps up to date with the latest trends in document imaging and workflow, but is not sure where to start in terms of introducing these into the Department’s processes.</p> <p><b>Uses and Usage Concerns</b></p> <p>In his time with the Department, Mr French has had a quite a large number of requests for both current and older records from the International Traveller Movements (ITM) system, for a range of purposes and uses. Bodies such as the Federal Police and the Security and Intelligence Organisation regularly request records of international traveller movements. He has generally been able to produce the records required, but sometimes only after a lengthy search through boxes of 16-mm</p> | <p><i>Organisational structure of the Department of Immigration.</i></p> <p><i>Role of the ‘CIO’.</i></p> <p><i>Role of corporate records section in the Department.</i></p> <p><i>Perceived IT ‘ownership of ITM data’ - need for record keeping influence.</i></p> <p><i>Technological environment, corporate culture, available expertise.</i></p> <p><i>Sources of record keeping requirements.</i></p> <p><i>Legal / accountability needs.</i></p> |
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| <p>microfilm and fiche by clerical staff in a particular Port. Even when he has produced the right film, the accuracy of the data entry and the authenticity of the record have been called into question, because of fairly lax security for office areas at some of the Ports. Mr French is vaguely aware that there are requirements in legislation that the current system may not be meeting in terms of keeping full and accurate records of traveller movements, but he doesn't have the time to sit down and assess the situation properly. In fact, he has to call in extra staff and work long hours each year when the Department's Corporate Governance Unit requires statistics about traveller movements for the Department's annual report. The Department also has a strategic partnership in place with the peak tourist industry consortium, TourismInc, which regularly obtains non-name identified data from the ITM system for future industry-wide planning. Collating this data can also be a time-consuming and difficult task. In the Department's day to day operations, Immigration Officers who may be following up on particular cases also regularly access the records. Many clerical staff both in the Ports and Head Office are frustrated with the microfilm system, as they see the constant distribution of sets to all the other Ports as inefficient and a boring job to do every month. They also have to deal with numerous phone calls from other Ports who need recent data not yet sent out.</p> | <p><i>Critical weaknesses in record keeping.</i></p> <p><i>Sources of record keeping warrant not yet analysed.</i></p> <p><i>Business / accountability need for records.</i></p> <p><i>Business needs</i></p> <p><i>Corporate culture</i></p> <p><i>Need to access up to date data.</i></p> |
| <p><b>The present Situation</b></p> <p>On the same day that you start as the Department's new Corporate Records Manager, the CEO issues a directive to Mr French. She has decided that the Department must 'go all electronic', meaning that within a year all transactions will be paperless and microfilm-less. She sees the ITM system as the perfect place to start, particularly since the department has suffered some embarrassment after delays in producing records of traveller movements for the Federal Police and TourismInc. Not only has the Minister responsible been publicly criticised for this, but there was also a suggestion by the Shadow Minister that security breaches have compromised the integrity of some data. As a result, the CEO wants to make absolutely sure the Department is fully secure and accountable in this vital area of its core business. She has been told that her job depends upon the new electronic regime achieving this</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <p><i>Catalyst for development of new system.</i></p> <p><i>Desire to use technology to greater advantage.</i></p> <p><i>Political factors.</i></p> <p><i>Desire for accountability, greater efficiency.</i></p>                                                                            |

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| <p>objective as well as improving its efficiency and speed of responsiveness to enquiries.</p> <p><b>Meeting the Challenge: Planning a Fully Integrated and Electronic System</b></p> <p>Mr. French calls you into his office to discuss the matter with you as the officer who will lead the team effort needed to design and implement the new regime. As a first step, he asks you to prepare an annotated outline giving an overview analysis of the issues involved in the development of the new system for him to present to the CEO for her approval. He asks that the outline address the following points:</p> <ul style="list-style-type: none"> <li>• The importance of records and the data they contain as information resources for the Department, in particular, the relationship of effective record keeping to Departmental business and governance in terms of benefits and risks of poor or no record keeping</li> <li>• The use of business process analysis and related tools, such as flowcharts and playscript procedures</li> <li>• A plan for dealing with the legacy materials in their various original or 'native' formats</li> </ul> <p>Expressing his confidence in your abilities, he hands you several files containing excerpts from laws and regulations and key management tools such as business system analysis which are vital to your success (see Appendices). As you leave, he calls out after you, 'Oh, DO be sure that your plan integrates the older legacy ITM records as well.' You walk to your new office and immediately get to work....</p> <p>Your outline for Mr. French comprises essential preparation for the project and explains what aspects need to be identified and/or analysed before the new integrated system can be designed.</p> <p>Your outline should include the following parts, each worth 25% of the total assessment:</p> | <p><i>Input required on design and implementation of a new ITM system.</i></p> <p><i>Record keeping and information management issues to be addressed. Possible sources of record keeping warrant.</i></p> <p><i>Need to consider legacy data.</i></p> <p><i>Resources to be used</i></p> |
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| <ul style="list-style-type: none"> <li>• 25% a list of contextual factors with notes analysing how each will affect the design of the system</li> <li>• 25% identification of some of the key record keeping requirements that the system must meet in terms of <ul style="list-style-type: none"> <li>• warrant/source of requirement</li> <li>• description of requirement</li> </ul> </li> <li>• 25% a graphical representation of the activities and record keeping involved in documenting international traveller movements, indicating where the record-creating events should occur and how and by whom they might be accomplished (use a systems diagram, a flowchart, a playscript-style list of procedures or a combination of all three)</li> <li>• 25% a discussion of the main strategies and tactics which might be utilised in carrying out the project, with indications of what stakeholders should be involved, in what ways and activities and how their co-operation would be obtained in <ul style="list-style-type: none"> <li>• ensuring the new system satisfies all known record keeping requirements</li> <li>• sustaining ongoing record keeping whilst the system is being converted</li> <li>• dealing with the older legacy materials</li> </ul> </li> </ul> <p>Your outline should be accompanied by and/or illustrated with one or more systems analysis tools such as systems diagrams, flowcharts and playscript procedures. See Appendices.</p> | <p><i>The requirements for the outline</i></p> |
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### Marking Guidelines

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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<sup>11</sup> *Ibid.*

For example:

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

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

- warrant/source of requirement
- description of requirement

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

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

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

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

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<sup>12</sup> *Ibid.*

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

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

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

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

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

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

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

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

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

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

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

<sup>14</sup> *Ibid*.

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

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

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

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

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

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

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

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<sup>15</sup> *Ibid.*

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

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

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

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

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

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<sup>16</sup> *Ibid.*

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

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

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

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

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

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

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

In implementing the new ITM system the Department may

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

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<sup>17</sup> *Ibid.*

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

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

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

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<sup>18</sup> *Ibid.*

## Discussion Questions

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

### Other issues to Explore

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

# Appendix A: Excerpts from Authority Sources for Record Keeping Warrant

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

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## MIGRATION ACT 1958 - SECT 506

### Regulations about passenger cards

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

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

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

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

\*\*\*\*\*

## EVIDENCE ACT 1995 - SECT 48

### Proof of contents of documents

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

- (a) adducing evidence of an [admission](#) made by another [party](#) to the proceeding as to the contents of the document in question;
- (b) tendering a document that:
  - (i) is or purports to be a copy of the document in question; and
  - (ii) has been produced, or purports to have been produced, by a device that reproduces the contents of documents;
- (c) if the document in question is an article or thing by which words are recorded in such a way as to be capable of being reproduced as sound, or in which words are recorded in a code (including shorthand writing)--tendering a document that is or purports to be a transcript of the words;

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

(e) tendering a document that:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

\*\*\*\*\*

## **MIGRATION ACT 1958 - SECT 489**

### **Notified data bases**

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

\*\*\*\*\*

## MIGRATION ACT 1958 - SECT 488

### Tampering with movements records

SECT. (1) A person must not:

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

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

Penalty: Imprisonment for 2 years.

(2) The Minister may:

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

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

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

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

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

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

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

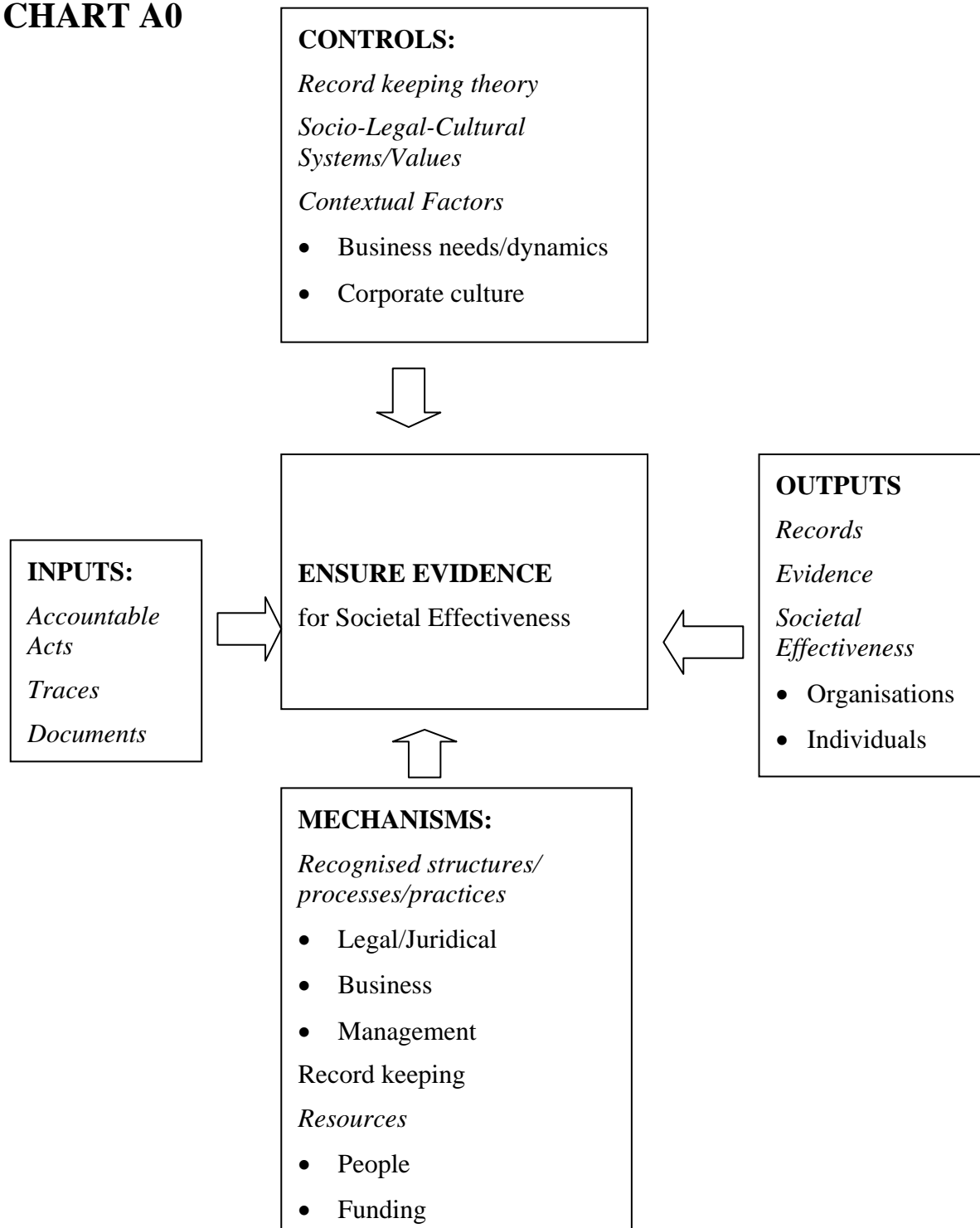
(c) in any other way tamper with a [notified data base](#).

Penalty: Imprisonment for 10 years.

\*\*\*\*\*

## Appendix B: Visualising Systems: General Charts for Record Keeping

**CHART A0**



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

**CHARTA1**

**ESTABLISH  
RECORD KEEPING  
FRAMEWORK**

*Apply design*

*Build*

*Activate*

**CHARTA2**

**MANAGE  
RECORD KEEPING  
SYSTEM & SERVICES**

*Organise*

*Plan*

*Control*

*Operate*

*Monitor/evaluate*

*Disseminate*

- Train
- Publish
- Promote

**CHARTA3**

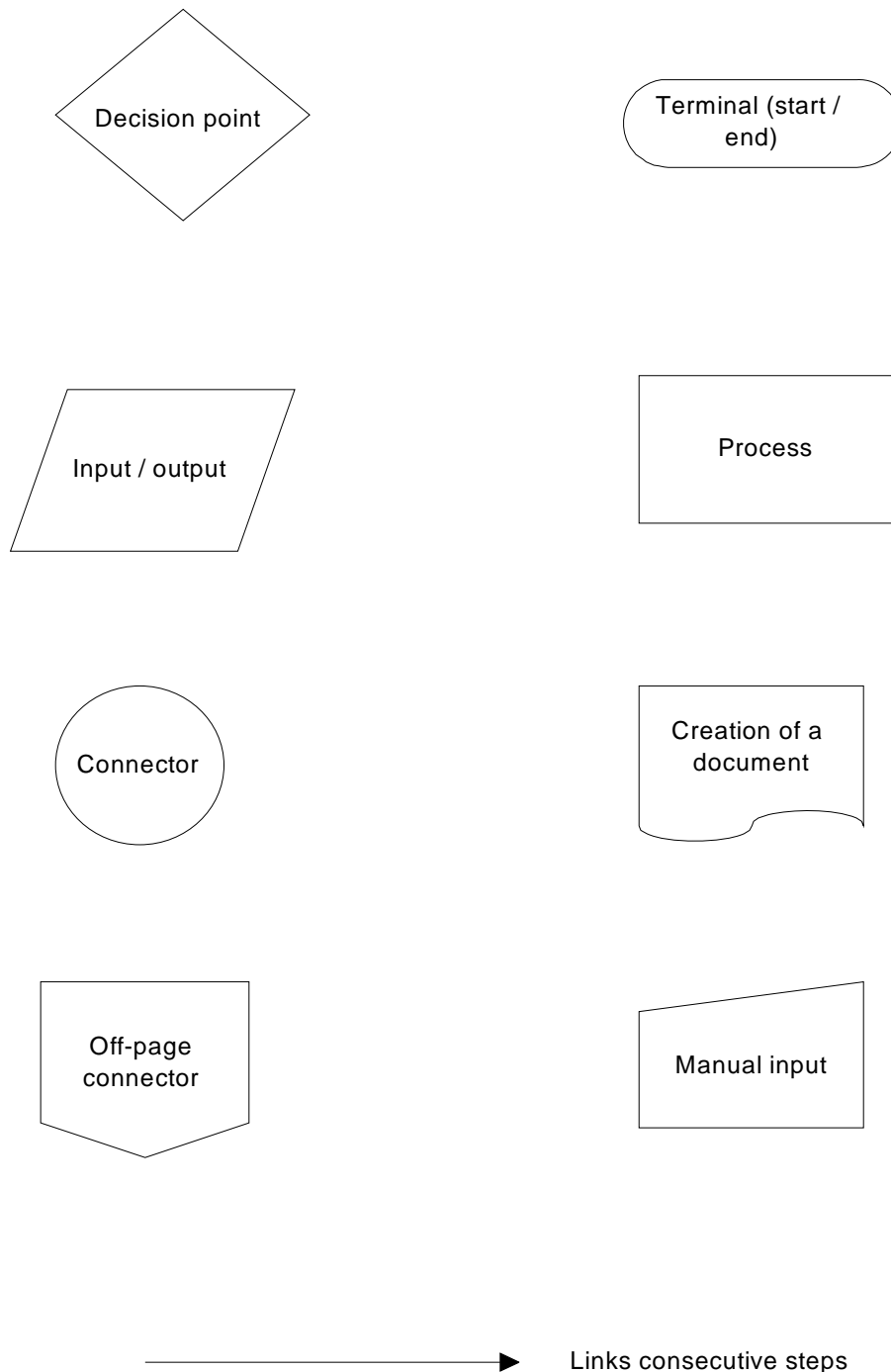
**RESEARCH AND  
DEVELOP  
RECORD KEEPING  
EFFECTIVENESS**

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

Analyse

## Appendix C: Describing Processes: Flowcharting

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



## **BASIC FLOWCHARTING CONVENTIONS**

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

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

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

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

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

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

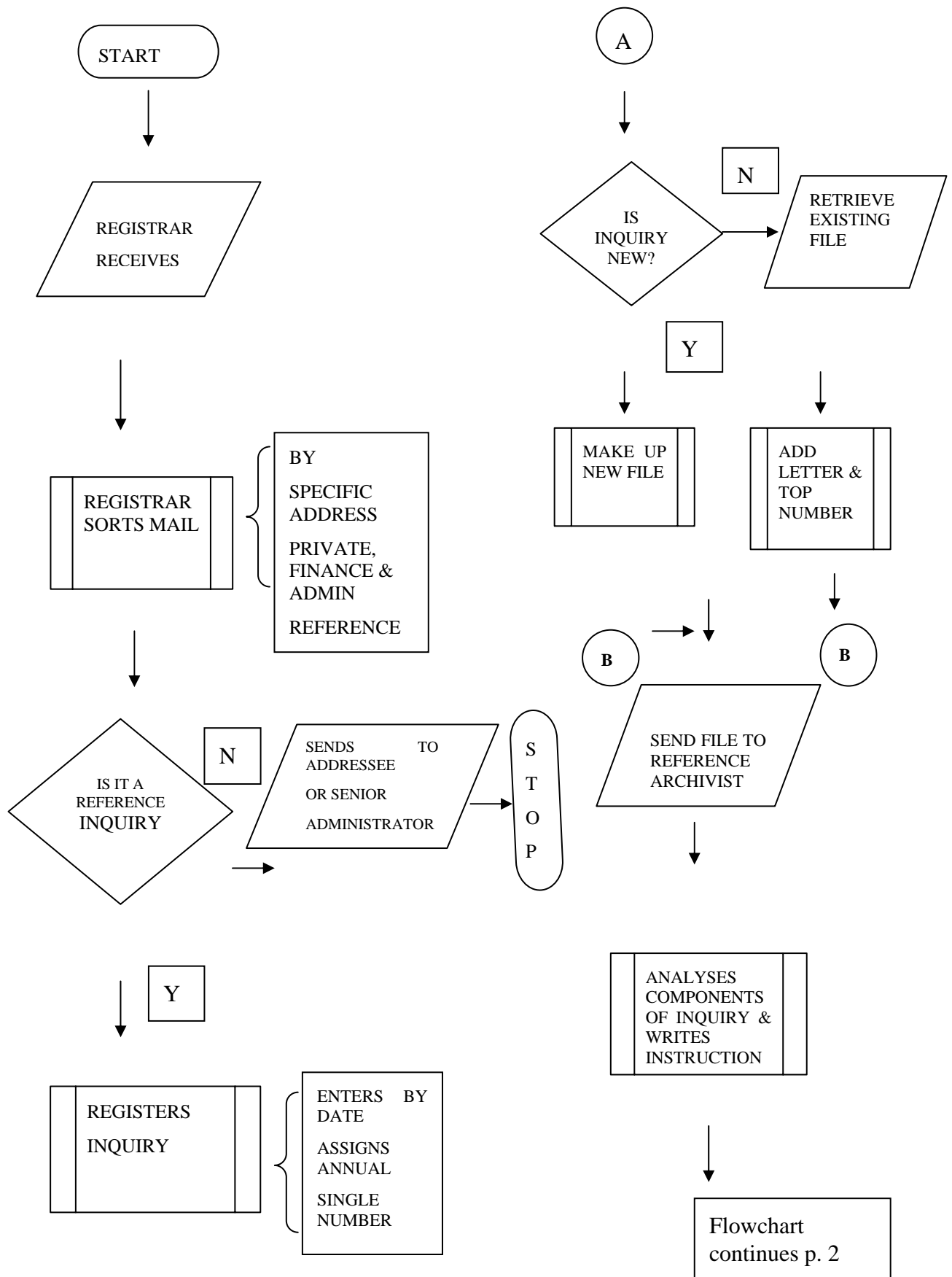
The file then passes to the archivist in charge of reference queries who inserts a sheet in the file giving directions as to how long should be spent on the enquiry and adding any special instructions/suggestions concerning the nature of the response to be made. The archivist then allocates the enquiry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

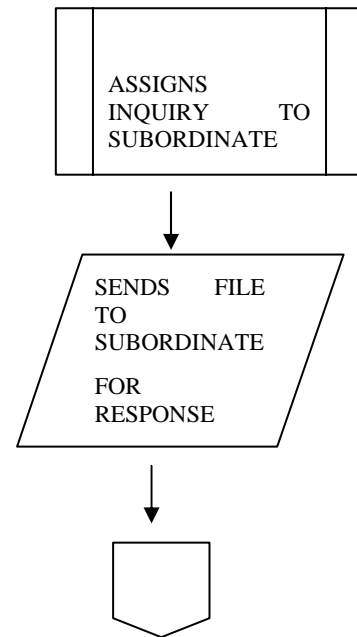
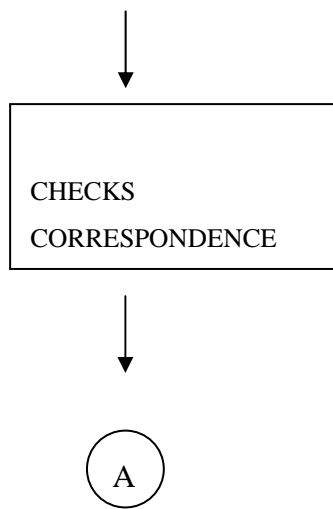
The subordinate officer then does the necessary work to answer the enquiry and drafts a letter of response, sending it to the archivist in charge and noting the action on the Record Action Sheet. The archivist then checks it, and if the reply is satisfactory, sends it to be typed. If it is not satisfactory,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

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

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

## ANSWERING A REFERENCE REQUEST BY MAIL





## Appendix D: Describing Processes: Playscript Procedures

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

## Procedures Manual 1 page 1 of 2

**SUBJECT:** Answering Written Reference Enquiries

**Preparer:** AP

**Date:** 12/06/99

**Responsibility**

**Action**

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

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

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

# **Management of Financial Records:**

## **A Ghana Case Study**

**Dr Pino Akotia<sup>1</sup>**

### **Abstract**

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

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

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<sup>1</sup> Dr Pino Akotia is a Senior Lecturer in the Department of Library and Archival Studies at the University of Ghana, Legon, where he teaches Records Management. Prior to his appointment at the University of Ghana, Dr Akotia worked with the Public Records and Archives Administration in Ghana. He studied at the University of Ghana and the University College London.

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

## Introduction

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

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

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

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

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

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

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

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

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

The study has three main objectives:

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

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

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

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

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

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

## **The Administration of Financial Records in Ghana**

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

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

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

### *Ministry of Finance*

#### Macro Fiscal Planning

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

#### Budget Preparation, Monitoring and Control

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

#### Debt Management

- project debt service requirements
- service debt

#### Foreign Aid Management

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

#### Revenue Administration

- co-ordinate tax and non-tax revenues

#### *Controller and Accountant General's Department*

##### Government Accounting

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

##### Budget Management

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

#### *National Development Planning Commission*

##### Development Planning

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

##### Develop Budget

- prepare development budget
- monitor sectoral and geographical budgetary allocations

- fiscal reports

#### *Auditor General's Department*

##### Auditing

- perform audit
- report.

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

The Treasury function in Ghana is now divided between three agencies, the Ministry of Finance, CAGD and the NDPC. The fact that control is split up in this particular way is due to historical circumstances. NDPC was created under the Fourth Republican Constitution<sup>2</sup> through the separation of the finance and economic planning functions within the Ministry of Finance and Economic Planning. The Ministry of Finance and CAGD owe their institutional origins to Treasury reorganisation during the 1930s when there were reforms with far reaching consequences to the financial bureaucracy.<sup>3</sup>

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

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

The CAG delegates the following fiscal duties to agency heads:

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

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<sup>2</sup> Constitution of the Republic of Ghana, 1992, art 86

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

<sup>4</sup> Financial Administration Decree, 5.2 (2)

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

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

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

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

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

### Key Legislation on Financial Records and Record Keeping

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

## The Legal and Regulatory Framework

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

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

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

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

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

The Regulations provide that

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

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

<sup>6</sup> *Financial Administration Regulations, 1979*, Regulation 2

The Regulations further state that:

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

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

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

## Financial Business Processes

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

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

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

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<sup>7</sup> *ibid.*, Regulation 101

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

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

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

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

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

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

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

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

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

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

## Major Types of Financial Records and Information

Public financial management processes, information areas and records generated:

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

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

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

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

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

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

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

Also included are accounting records such as

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

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

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

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<sup>8</sup> *ibid.*, regulation 870

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

- bill books.

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

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

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

## **The Budgetary Process and its Financial Records**

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

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

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

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

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

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<sup>10</sup> The Divisions of the Ministry of Finance are:

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

*a Recurrent Expenditure*

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

*b Development expenditure*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## **The Financial Record Keeping Situation Today: Key Problems**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Assessing the Impact of Poor Financial Record Keeping

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

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

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

In the same report the Auditor General noted:

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

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

<sup>12</sup> *ibid.*, p.31

could not validate the foreign indebtedness stated in the public accounts.’<sup>13</sup>

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

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

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

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

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

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<sup>13</sup> *ibid.*, p.207

<sup>14</sup> ‘SHC pays government C400 million out of ESB loan’, *Ghanaian Times*, 15 July 1995, p.1

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

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

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

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

## **Case Problems**

### **Problem One**

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

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

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

### **Problem Two**

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

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

## **Discussion Questions**

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

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# **National Archival Authorities and Public Sector Reform: A Case Study of The National Archives of New Zealand**

**Kathryn Patterson<sup>1</sup>**

## **Abstract**

The National Archives of New Zealand, a separate statutory entity, has been administratively serviced by the Department of Internal Affairs since the passing of the Archives Act 1957. In 1995 there was an attempt by the Chief Executive of the Department of Internal Affairs to divide the National Archives of New Zealand into policy, funder and provider units. This attempt was thwarted by the intervention of a stakeholder group, the Archives and Records Association of New Zealand, and eventually an opinion from the Solicitor-General who concurred that what was proposed was not legal under the Archives Act 1957. In late 1996 further structural change was proposed. On this occasion the 'reforms' were even wider ranging, involving the whole of the Department of Internal Affairs. The various existing divisions were grouped into larger units, supposedly to combine like with like or to promote synergies. Under this structure the National Archives became part of the Heritage Group, no longer a stand alone administrative unit, with the Chief Archivist reporting to a Heritage Group General Manager not the Chief Executive. This structure, too, has been challenged by the Archives and Records Association of New Zealand, joined by the New Zealand Society of Genealogists. After an inconclusive judgement handed down from a mid 1998 High Court hearing, the matter has now passed to the Appeal Court. A further hearing is expected in 1999. In the meantime the Heritage Group continues with an Acting General Manager. How the National Archives will be placed in the governmental structure in the future remains uncertain.

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A trained librarian, Kathryn has worked in public and special libraries and the National Library of New Zealand and was, for eight years, Deputy Parliamentary Librarian. In 1987 she became Director of Information Management at The Treasury. This department was the first in New Zealand to take an integrated approach to word processing, library and records management. From this position she moved to Director and Chief Archivist, National Archives of New Zealand in late 1991.

Her achievements include being awarded a Women's Suffrage Medal in 1993 for contributions to the celebration of 100 years of women's suffrage in New Zealand, gaining an Aotearoa Chevening Scholarship in 1995 to study management in Great Britain and being co-compiler with her husband of *New Zealand*, volume 18 of the World Bibliographic Series published by Clio Press in 1998.

## Introduction to the Case Study

The case study raises important issues for the archives profession. It invites professionals to confront the uncertain administrative status accorded national archival authorities in many countries, and it highlights the lack of understanding about the role of such an authority in promoting good governance thereby affecting its placement in the government administrative structure.

It is also an object lesson in what can be achieved when a group of concerned stakeholders work together against what would be seen by most citizens, and indeed many public servants, as a *fait accompli*.

As a result of studying the scenario, learners should acquire

- a familiarity with two modern models of public service administration and their advantages and disadvantages when applied to a national archival authority

- sectoral model

- functional model (or policy/funder/provider split)

- a clearer understanding of the role of an archival authority and the optimum placement for such an authority within a government administrative structure.

The nature of this case study would suggest it should be directed towards managers and senior staff.

# **National Archival Authorities and Public Sector Reform: A Case Study of the National Archives of New Zealand**

## **Introduction**

Since 1994 unprecedented controversy has surrounded the administration of the National Archives of New Zealand. Administratively a part of the Department of Internal Affairs since its formal establishment under the Archives Act 1957, National Archives has undergone restructuring in 1995, 1996 and 1997. The direction being imposed on the institution by politicians and officials has been challenged by professional and interest groups, including the Archives and Records Association of New Zealand (ARANZ) and the New Zealand Society of Genealogists (NZSG).

This case study describes the restructuring exercises that have taken place and raises the following questions:

What should be the fundamental role (or roles) of a national archives?

What is the/an appropriate placement of a national archival authority within the machinery of government to best assist the carrying out of the role (or roles)?

When conflicts arise between externally imposed management requirements and professional principles and ethics, how might these conflicts be resolved?

How can the 'stakeholder' relationship between a national archival authority and its professional and user communities best be managed?

How can the 'stakeholder' relationship between the parent body of a national archival authority and professional and user communities best be managed?

This case study is in two parts. The first part considers the application of a policy/funder/provider split (or the functional model of public administration) to the National Archives, while the second examines the restructuring of the National Archives from a stand alone administrative unit to being part of a heritage group. The issues and concerns raised by each of these changes to the structure and relationships of the National Archives are set out.

# **Part I: Policy/funder/provider Split and Stakeholder Relationships**

## **Overview/analysis**

The National Archives of New Zealand has been part of the Department of Internal Affairs since its formal establishment under the Archives Act 1957, initially under the wing of a cultural branch. In 1989, in recognition of increased size and widening responsibilities, the institution was made a stand alone unit, with the Chief Archivist (the statutory head of the institution) reporting directly to the Chief Executive (or Secretary) of the Department of Internal Affairs. By 1994 the Chief Archivist had under his/her control some 75 staff distributed among a central Wellington headquarters building and three regional offices (Auckland, Christchurch and Dunedin). Infrastructure and support services, including financial, human resources and legal services, were provided by the host Department of Internal Affairs' Corporate Management Unit. However, because of its specialist nature, National Archives necessarily had more authority and autonomy in managing its infrastructure than other units of Internal Affairs. For example, it managed its repository buildings, selection of its staff and an annual budget of nearly NZ\$10m. To facilitate responsible management a new senior position, Administration Manager, was created in January 1993. (See Appendix 2, Chart 1).

In March 1994 the Ministers of Finance and Internal Affairs initiated a review of the administration and management structures of the National Archives. This measure was one of many reviews undertaken of public sector functions and work units, being an integral part of New Zealand public service reform during the 1990s. The consultants conducting the review, McDermott Miller Ltd, were initially keen to amalgamate the National Archives with the National Library, but eventually concluded that this merger was impractical. The review report did recommend, however, that there should be a policy/funder/provider split, and that the National Archives should become a Crown entity.

Crown entities cover a wide range of organisational categories. However, usually a Crown entity is governed by a board appointed by government. Day-to-day management is entrusted to a Chief Executive. Some Crown entities operate as companies. Generally the role of a Crown entity is to undertake advisory, regulatory, purchasing and service provision functions and they are often in competition with private providers. A feature of the creation of such bodies is that they have strict financial management and accountability obligations to fulfil through reporting mechanisms. As a Crown entity National Archives would still be part of the public sector but would be a semi-independent service provider with policy advice, purchase of the services and monitoring of performance being located within a government department, not necessarily the Department of Internal Affairs.

Behind the suggested policy/purchaser/provider split (also known as the 'functional' model of public administration) lay the thinking that the separation of policy making from operational functions ensured improved independent policy advice to government. It was also seen as a route to developing improved contestability within the public sector, allowing the provision of advice from different sources and the

purchase of services from a variety of contesting providers. During the review the dangers of 'capture by professionals' were seen as a strong reason for following the 'functional' model which would ensure that advice could be sought widely. The possibilities that there could be similar dangers within this model (that is the majority of professionals were employed within National Archives and they could withhold their advice from the separate policy unit and present it separately) were ignored.

With an Acting Chief Executive of Internal Affairs from late 1994, there was no immediate movement on the review recommendations. In 1995 a newly appointed Chief Executive proposed the immediate removal of policy functions to the Policy Unit of the Department of Internal Affairs, and the division of National Archives into an Office of the Chief Archivist (a funder unit) and the National Archives Business (a provider unit). The Office of the Chief Archivist would remain part of the Department, but would be administratively and physically separated from the National Archives Business. Both the Chief Archivist and the General Manager, National Archives Business, would report to the Chief Executive. Additionally, the Chief Executive promulgated the establishment of a National Archives Advisory Board, which would be concerned principally with the work of the National Archives Business, and would report to the Chief Executive, and a National Archives Advisory Committee, which would advise the Chief Archivist. (See Appendix 2, Chart 2).

The Chief Archivist expressed concerns as to whether the proposed re-structure violated the provisions of the Archives Act 1957 and warned of strong negative reaction from stakeholders. These forebodings were not seen as serious and implementation activities proceeded. It was envisaged that the new structure would be in place by the end of 1995 and in October of that year an advertisement was placed for a General Manager.

Enter the Archives and Records Association of New Zealand (ARANZ). This group was established in 1976 and had been a supporter of National Archives since inception. (See Objects, Appendix 1). Its membership was, and is, eclectic, consisting of archivists, librarians, records keepers, custodians, users and the generally interested. The group had long lobbied actively for a new Archives Act, both with politicians and the departmental officials. However, its efforts, and those of National Archives' management and earlier Chief Executives of the Department of Internal Affairs had been thwarted by the complexities of the political process and a lack of interest by politicians in the welfare of the nation's archives.

ARANZ confronted the Chief Executive with their concerns, citing the 1957 Archives Act. Central to the challenge was an assertion that the separation of funder and provider functions was illegal under Section 6 of the Act. (see Appendix 1). Under pressure, the Department of Internal Affairs took the issue to the Crown Law Office, eventually securing an opinion that what was planned could indeed be accommodated under existing legislation. With an apparent green light, steps to effect the changed structure continued. In an attempt to reduce public opposition, the Chief Executive called 'stakeholder' meetings in September 1995, endeavouring to demonstrate that what was being planned was in the best interests of the institution. At the stakeholder meetings the Chief Archivist, in spite of strong personal reservations, was required as a public servant to present the department's proposals in the best possible light.

Stakeholders pursued two lines of argument against the proposed re-structure at the meetings:

that it was illegal to separate mandated functions

that the policy/funder/provider split was not necessarily an appropriate model for an institution like National Archives.

It was clear that the stakeholders left these meetings unconvinced and determined to pursue the matter further. Beyond the immediate impact on National Archives, there were also philosophical differences as to whether policy/funder/provider splits worked in all circumstances, or whether there were instances when it was preferable to keep such functions together, or at least keep the funder/provider elements together. The stakeholders cited the ongoing difficulties within the health sector, the major proving ground for functional split experiments, as clear precedent for concern.

Convinced of the correctness of their stance and determined to fight, ARANZ briefed a constitutional lawyer (a Queen's Counsel) to provide a further opinion. This independent opinion took the view that it was not lawful to separate the provider functions of National Archives from the control of the Chief Archivist, whose responsibilities were quite clearly 'the custody, care, control and administration of the public records deposited at National Archives'. This opinion was conveyed to the State Services Commission, New Zealand's principal control agency, which, aware of the probability of High Court action, requested the Crown Law Office to reconsider the situation. After reflection, the Solicitor-General agreed that the Queen's Counsel's interpretation of the Archives Act was probably correct, and that the Department of Internal Affairs should seek a compromise.

After further discussions, in early 1996, the policy function was passed to the Internal Affairs Policy Unit with an internal division being effected within National Archives between a unit concerned with statutory and regulatory matters and a provider unit. This arrangement left both funder and provider operations under the direct control of the Chief Archivist. Accepting the compromise, albeit reluctantly, ARANZ withdrew its threat of legal action. This compromise also seemed to the Chief Archivist to provide a way out of the impasse. It mirrored the organisational structures in other similar agencies with service and regulatory functions, both in New Zealand and overseas, but nevertheless retained control of the state's archiving functions within the hands of the Chief Archivist. (See Appendix 2, Chart 3).

### **The State of Play: Implementation**

The new structure was to be implemented from April 1996, and immediate steps were taken to put it into operation. An Acting General Manager of the provider unit (the National Archives Business) was appointed, the position of Statutory Regulatory Manager was advertised, the National Archives Advisory Board and the National Archives Advisory Committee were appointed. All that was now required was to make operational the divisions in responsibility between the National Archives Business and the Statutory Regulatory Group, and between the Advisory Board and the Advisory Committee.

The Advisory Board was appointed by the Minister of Internal Affairs on the recommendation of the Chief Executive. It comprised four members: a financial consultant; a businessman with technology skills; a university teacher who had been a user of National Archives; and a Maori lecturer in business studies who had also used National Archives. Significantly, a member with professional knowledge was not considered necessary. The Advisory Committee comprised nine members appointed by the Chief Executive on the recommendation of the Chief Archivist. The members represented organisations or groups of users with an interest in the performance of National Archives. Thus there were representatives from ARANZ, NZSG, the New Zealand Society of Archivists, the New Zealand Historical Association, the Professional Historians Association of New Zealand Aotearoa, the Association of Records Managers and Administrators, a representative of Maori stakeholders, the Hocken Library, and government departments.

No extra financing was provided for the new structure. Although initially it had been hoped to form the Statutory Regulatory Unit with a staff of up to 12, this was not possible in the face of resource constraints. However, by September 1996 a Manager had been appointed and by early 1997 he had been joined by a staff of two.

In the course of the 1995 confrontation, the position of General Manager, National Archives Business, had been advertised, but had not been filled. The revised status of the position (ie reporting to the Chief Archivist and not the Chief Executive) required that the candidates be advised of the new structure. Filling the position proved difficult. There were few archivists in New Zealand holding managerial positions who might look to move to a position of this nature. Moreover, the strong emphasis in the position description (and the preference of the Chief Executive and the chair of the Advisory Board) was that this person would be a business manager first and foremost. Knowledge and understanding of archives would be desirable, but not essential. The need to implement an automated system for finding aids also placed undue weight on selecting a person with a technological background and training. In the event, the one candidate from the October 1995 advertisement who seemed to meet both these criteria withdrew.

The position was re-advertised late in 1996 but attracted no suitable applicants. Eventually a headhunting approach was adopted to fill the position, and in December 1996 an individual was chosen who, in addition to possessing archives training and knowledge, had previously held a senior management position overseas. By this point the selection process had taken more than a year and it was not until late February 1997 that the appointee took up the position.

The Advisory Board and the Advisory Committee held several meetings during 1996 and 1997. The Board concentrated most of its energies on developing a strategic plan for National Archives, the result being a document indicating the directions in which the Board considered National Archives should move. There was little new in the document, but it gave support to directions the Chief Archivist had been promoting. The Board also examined business cases prepared by National Archives seeking capital injections from government for building refurbishment and the development of a computerised finding aid system. The ambit of the Board was exclusively the National Archives Business and as predominantly business people their role was to emphasise a business approach to the provider services.

The Advisory Committee always had a more nebulous role, being seen as a conduit between the stakeholders and the Chief Archivist for the conveyance of user concerns. As a group they understood that National Archives management was already aware of most of the concerns and that resolution in most instances required a financial injection. In times of cuts across the public sector, such assistance was unlikely to be forthcoming. Their main areas of interest were revision of the Archives Act 1957, the need to provide additional space for the storage of archives and the delays in providing automated access to the finding aids. During 1996 the Committee examined the draft bill, prepared extensive submissions relating to this document and wrote to the Chief Executive urging strongly the refurbishment of Archives House and supporting the case for an automated finding aid system.

## **Part II: Constitutional/evidential Role versus Heritage/cultural**

### **Overview/analysis**

During the latter half of 1996, the Department of Internal Affairs launched a major department-wide restructuring exercise involving all of its diverse divisions. Instead of the previous eleven stand alone units, there would be three large groupings: Identity, Executive Government Services and Community Development. As the planning progressed, Identity was further divided into Identity and Heritage. The effect of this restructuring was to place National Archives together with Heritage Property, the Dictionary of National Biography and Historical Publications, under a General Manager, Heritage Group. (See Appendix 2, Chart 4).

National Archives was by far the biggest unit in the new Heritage Group. In the planning phases considerable concern was expressed by the Chief Archivist that the approach was at variance with the internationally accepted models for national archival authorities and that the stress on heritage would impose an incorrect emphasis on the Chief Archivist's mandated functions of selecting and retaining public records in National Archives. As set out in the Archives Act 1957 these are:

#### **'Deposit of public archives in National Archives**

All public archives of the age of twenty-five years or over (other than those which under any Act are required to be held in the custody of a specified person or Government office) which in the opinion of the Chief Archivist are of sufficient value to warrant their preservation as:

- (h) Evidence of the organisation, functions, and transactions of the Government office in which they were originally made or received; or
- (i) Evidence of public or private personal or property rights or civic rights; or
- (j) Containing historical or general information –

shall be transferred to the custody of the Chief Archivist and be deposited in the National Archives.'

At all times the Chief Archivist acknowledged that archival authorities do have a heritage/cultural role, as well as constitutional/evidential roles, but insisted that the former is secondary rather than primary in that heritage values derived from primary value as authoritative evidence. The argument, while acknowledged, was not accepted. In addition, those pressing for consolidation asserted that there would be synergies within the units combined under heritage and that stressing this role would give National Archives an image to which more people could relate.

The original plan was based on locating all of the Heritage Group units together in Archives House. However, the cost of refurbishment and fitout of the National Archives headquarters was such that this scheme was indefinitely deferred. Instead, all units apart from National Archives were brought together in their existing location, having previously been housed on different floors of the multi-storied Internal Affairs building. (See Appendix 2, Chart 5)

The immediate impact of the new structure, which came into effect in October 1997, was

the Chief Archivist was no longer responsible to the Chief Executive, but instead to the General Manager, Heritage Group

the Chief Archivist lost her position on the Internal Affairs Executive Management Team, and thus the ability to input directly into decisions which could affect National Archives

the Administration Manager and his staff would no longer report to the General Manager, National Archives Business, but to the General Manager, Heritage Group.

Once more the Archives and Records Association of New Zealand (ARANZ), this time joined by the New Zealand Society of Genealogists (NZSG), protested that the arrangement was unlawful. An application for judicial review was filed with the High Court outlining the organisations' concerns that the Heritage Group approach

was contrary to all international trends and International Council on Archives published principles

downgraded the position of Chief Archivist

was illegal in that it removed the Administration Manager and his staff from the direct control of the Chief Archivist as mandated under Section 6 of the Archives Act 1957

gave heritage/cultural concerns an undue emphasis

was inefficient and contrary to the care and custodial provisions of Section 6 of the Archives Act 1957 in proposing to use Archives House for accommodation for the other units of the Heritage Group.

## **The State of Play: Protracted Uncertainty, Weakness and Threat of New Restructure**

Unable to win any concessions from the Department of Internal Affairs and dissatisfied with the information they were able to obtain, ARANZ and NZSG proceeded with their High Court action, once more employing as their counsel the constitutional lawyer who had previously offered advice. The case was heard on 1 and 3 July 1998 before Justice Ellis. His judgement, delivered late in the same month, did not significantly clarify the issues raised, Justice Ellis being of the opinion that much of what had been presented was difficult to rule upon. He considered that it was better to wait and see if the fears of the two litigating groups were borne out. ARANZ and NZSG have since lodged an appeal with the Appeal Court, seeking definite rulings on the matters raised. This appeal is unlikely to be heard until 1999.

In the meantime the Heritage Group has an Acting General Manager because a permanent appointment must await the conclusion of the legal process. Furthermore, in September 1997, the Chief Executive decided not to renew the Chief Archivist's contract. Hence that position, too, has been filled in an acting capacity, awaiting the result of the Appeal Court deliberations when it will be advertised.

It is also possible that before the appeal case is heard the situation will be overtaken and further complicated by the recommendations of a new wide-ranging machinery of government review. An officials group is examining afresh the administration of heritage/cultural activities, including archives, to assess what such a group should consist of and what would be the best structure for a grouping of this nature. The report from this group could have the potential to draw a beleaguered National Archives into a further restructuring round.

ARANZ and NZSG have presented submissions to the review. The stakeholders stated preference is the establishment of the National Archives of New Zealand as a separate statutory authority. The submissions strongly support the principle that the primary roles of a national archives are constitutional (selecting and maintaining an impartial record of the stewardship of government) and administrative (serving as 'the memory of government' through its functions as a repository of past policies and transactions). They counsel against the policy/funder/provider model citing the comments of the Australian Law Reform Commission as it considers a review of the Australian Archives Act 1983 and the experience of Britain's Public Record Office as a 'next steps' agency. The subsuming of National Archives within a heritage/cultural grouping is shown as contrary to general overseas trends and international principles.

# The Case Problems

## Educational Objectives

This case study raises a number of issues upon which can be based a discussion of the place of a national archival authority within the machinery of government.

At the end of the exercise students should have a clearer understanding of the following issues:

Fashionable public administration models, in particular the concept of a policy/funder/provider split; what is meant by this concept; when such a split might be appropriate

The major role of a national archival authority – is it there for principally constitutional/evidential reasons, or is it simply a heritage/cultural body?

## Part I: Exercise

**Instructions:** As the Head of a national archival authority you are aware of an interest by the government of your country in moving to the functional model (or funder/policy/provider split) for government agencies. Wishing to prepare yourself if such an option is suggested for your institution:

9. Identify the key features of this model and consider how it differs from other current administrative models. Would it be compatible with the model you currently operate under?
10. List the advantages and disadvantages of the functional model.
11. Examine the administrative structure of a number of archival authorities in other countries and determine the type of model embraced in each case.
12. Prepare notes for a discussion in which you either defend your current structure or support change, providing clear reasons for the stance adopted.
13. List the possible impacts of a change to the structure of your authority and consider how any of these might constitute major risks to a decision to make a change.
14. List the sources used in considering the models and reaching your conclusion

### Instructor's Notes

In assessing this exercise you would expect to see:

- 1 A clear explanation/definition of the functional model indicating that the student has understood what this model implies and how it differs from other administrative models.
- 2 In listing possible advantages and disadvantages assessment of:

- the impact of separating of policy from operations
  - possible legal implications
  - the effect on clients and customers
  - logistical implications of separation of policy, funder and provider functions
  - financial implications of such a separation.
- 3 Use of web pages, annual reports, strategic plans etc to identify the model different archival authorities operate under.
  - 4 Notes which clearly indicate that the student has the ability to accurately assess the advantages and disadvantages, then to use them in marshalling a credible case.
  - 5 An appropriate bibliography.

**Note:** As this is a problem for which there are no absolute right and wrong answers there may be advantages in studying it within a group. Students could be asked to follow the instructions as above, then to present their cases to the group or the instructor. The instructor and other students could then act as *devil's advocates*.

## Part II: Exercise

### Instructions:

- 1 Closely examine the mission statements, objectives, role descriptions, governing legislation and the administrative placements of at least four national archival authorities. Present your findings in notes.
- 2 From the information obtained, list the different roles a national archival authority can be seen to be undertaking
- 3 Attempt to reconcile the models identified with general principles for archives legislation and administration promulgated by international bodies such as the International Council on Archives (ICA) and UNESCO.
- 4 Develop what you consider the roles of a national archival authority should be, listing them in order of importance giving reasons for your order.
- 5 What administrative placement do you consider best assists the model you have developed. Give reasons for your decisions.
- 6 List the sources you have used in this exercise.

### Instructor's Notes

In assessing this exercise you would expect to see:

- 1 notes on the mission statements, objectives, role descriptions, acts and administrative placements of four major national archival authorities

- One would expect to see from the examination a consideration of whether roles are always presented in the same order, which national archival authorities stress particular roles as being primary and others as secondary, how far mission statements and objectives support the roles presented.
- 2 a list of the different roles assumed by these national archival authorities, which should include
    - evidential role
    - constitutional role
    - heritage considerations
    - oversight of records management within government (Records management continuum)
  - 3 a consideration of whether more theoretical descriptions of the roles of national archival authorities presented by bodies such as ICA and UNESCO differ from practice.
  - 4 an ordered listing of roles with reasons for the arrangement.
  - 5 a reasoned description of an administrative placement for a national archival authority
 

Does its role determine its placement within a government structure? Should a national archival authority be able to operate without the constraints imposed by being part of a department which is subject to the requirements of an archives act?

If a national archival authority is seen simply as a heritage/cultural body, what are the possible effects on its ability to carry out statutory functions?
  - 6 a list of sources consulted with full citations.

### **Additional Study Exercises**

While two problems have been suggested as arising from this case study there are others that could also be developed. For instance it may be instructive to explore the following problems:

- 1 How does a senior manager deal with a situation where externally imposed management requirements conflict with professional principles and ethics? What should be the manager's external demeanour? Is it appropriate to 'fight' the proposal internally? Is resignation (or in this case termination of a contract) the only possible end solution?
- 2 How much should stakeholders be involved in agency or departmental internal restructuring plans? Does an institution's status as part of the public sector give stakeholders a right to be informed? What are the advantages/disadvantages of having stakeholder groups supportive of an institution like National Archives? What are the advantages/disadvantages of such groups acting as 'watchdogs' and going as far as taking legal action?

- 3 In this instance Chief Archivist and stakeholders were apparently ‘on the same side’ and the host administrative body was the ‘enemy’. If the situation had been different, ie if the Chief Archivist had been wholly committed to the restructuring and had been trying to sell an idea to the stakeholders to which they objected, the whole approach would be different - or would it? How should one go about ‘selling’ an unwelcome idea to stakeholders? How would such a situation be different to the case study described?
- 4 In the case study the Chief Archivist had two appointed groups with which to establish relationships – the National Archives Advisory Board and the National Archives Advisory Committee. What could the role of each of these bodies be and how would the Chief Archivist best manage these relationships? Are two overlapping advisory bodies viable?

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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. This website also has very useful links to other national and state archives which have organisational mission and functional statements and details of responsibilities and powers set out in laws and regulations.

# Appendix 1: Extracts

## Archives Act 1957

### Administration

**4. Administration of Act** – Subject to the control of the Minister, the Secretary for Internal Affairs shall be charged with the general administration of the Act.

**5. National Archives** – There is hereby established a repository to be known as the National Archives, in which such public archives as are considered worth permanent preservation shall, in the manner prescribed by this Act, be deposited and preserved.

**6. Chief Archivist** – There shall from time to time be appointed under the provisions of the [State Sector Act 1988] a Chief Archivist, who shall be an employee of the Department of Internal Affairs and, under the general direction of the Secretary for Internal Affairs, shall be charged with the custody, care, control and administration of all public archives deposited in the National Archives and the performance of any other duties prescribed by this Act.

### ARANZ Objects of the Association

The objects of the Association shall be:

To foster the care, preservation and proper use of archives and records, both public and private, and their effective administration.

To arouse public awareness of the importance of records and archives and in all matters affecting their preservation and use, and to co-operate or affiliate with any bodies in New Zealand or elsewhere with like objects.

To promote the training of archivists, records keepers, curators, librarians and others by the dissemination of specialised knowledge and by encouraging the provision of adequate training in the administration and conservation of archives and records.

To encourage research into problems connected with the use, administration and conservation of archives and records and to promote the publication of the results of this research.

To promote the standing of archives institutions

To advise and support the establishment of archives services throughout New Zealand

To publish a journal at least once a year and other publications in furtherance of these objects.

### ARANZ *National Archives under serious threat.* (August 1995)

‘...the Association recently learned that a proposal is before Government to...[split] National Archives into a number of mini ‘business units’ under the general purview of Internal Affairs.....Deliberately, to ensure ‘transparency’ and ‘accountability’ ...the units will be rigidly separated, both organisationally and physically.

....What would result is no less, for that matter no more, than the current health system writ small. For Ministry of Health, read departmental 'policy group'. For RHA [Regional Health Authority] read 'statutory-regulatory unit'. For CHE [Crown Health Enterprise] read 'service unit'.

...National Archives has a number of roles, the most publicly visible its function as a research repository.... National Archives is also charged with ensuring administrative efficiency through the selection and preservation of the vital records of government, arranging their transfer from scattered departmental records rooms to centralised storage....But most critical of all is National Archives' role in ensuring the accountability of governments.'

### **Extracts from legal opinions**

M. T. Parker, Crown Counsel, Crown Law Office, 22 September 1995

'The reorganisation proposals...provide for the employment of a General Manager who by and large will be responsible for the administrative detail of the archives, an advisory committee, an advisory board and a policy unit. While none of these bodies are specifically provided for in the Act, there is no reason why the Secretary, acting in accordance with his general duty of administration of the Act, cannot undertake the proposed reorganisation if he is satisfied that it is appropriate for the administration of the archives.'

D. L. Mathieson, QC. 24 October 1995.

'entrusts the *statutory function* (to be distinguished from a *statutory power*) of (1) custody, care, control and administration of all public archives deposited in the National Archives, and (2) performing any other duties presented by the Act, to the Chief Archivist.'

'The Act entrusts the double-barrelled function...to the Chief Archivist, who cannot lawfully get rid of that function. She cannot therefore delegate it in such a way as to exclude herself from performing that statutory function.'

'the direction to *delegate archives services provider functions* to the General Manager, these including the custody etc of public archives deposited in the National Archives, with the intention from the beginning that the Chief Archivist be altogether prevented from thereafter discharging her statutory function, would be unlawful and void.'

J. J. McGrath, Solicitor-General, Crown Law Office, 5 December 1995

‘What cannot be done, in my view is to require that the discharge of any aspect of the statutory functions be removed from the Chief Archivist’s responsibility...In the context of the desired changes it seems to me that the statute requires that a general manager of National Archives should report to the Chief Archivist rather than to the Secretary of Internal Affairs’.

J. J. McGrath, Solicitor-General, Crown Law Office, 13 May 1997

‘The Chief Executive, as Secretary of (sic) Internal Affairs, may give directions to the Chief Archivist as to the manner in which the National Archives are to be administered. However, such directions may not remove any aspect of the Chief Archivist’s statutory duties from her responsibility.’

‘I assume that the interposition of a Heritage Manager between Chief Archivist and Secretary for Internal Affairs will be accompanied by a delegation of powers by the Chief Executive to the Heritage Manager....If the status of the Chief Archivist is seen as thereby reduced, that is a matter the Chief Executive should look to counter in an appropriate way....[The Heritage Manager] will, of course, enjoy no wider power than did the Secretary for Internal affairs.’

‘I recognise that the loss of direct management control over the provision of necessary services will have some impact on the Chief Archivist’s management freedom. However...I do not regard the 1997 proposal as involving any significant degree of intrusion on the Chief Archivist’s duties of custody, care, control and administration.’

D. L. Mathieson, QC. 27 August 1997

‘In my opinion, if the 1997 proposal involves any diminution of the statutory functions of the Chief Archivist in respect of the ‘custody, care, control and administration of all public archives deposited in the National Archives’ the 1997 proposal is unlawful to that extent. The Solicitor-General does not consider that there will be any significant degree of intrusion on the Chief Archivist’s duties. I do not believe that the matter is one of degree. Any intrusion on the Chief Archivist’s duties is...unlawful. Moreover, in my opinion the degree of intrusion is significant.’

#### **ARANZ A new threat to National Archives. (April 1997)**

‘...Dr Blakeley had been developing a new scheme...[to place National Archives]...within a new and strongly commercially oriented Heritage New Zealand business arm of the Department. This business will encompass the existing semi-autonomous units, National Archives, the Historical Branch, the Dictionary of New Zealand Biography, and Heritage Property (monuments and war graves).

A loose grouping of these agencies has a superficial appeal, but their total integration into a single business unit will effectively undermine the statutory role of National Archives as guardian of the public record, guarantor of government accountability. Instead it will become just another provider of heritage information generating revenue for the Department of Internal Affairs.

...ARANZ has consistently advocated the need to ensure that an impartial and comprehensive public record is selected and maintained, and ready access provided to it. It believes this is only possible if the operational independence conferred upon National Archives by the 1957 Archives Act is respected and the institution protected from unwarranted outside pressures, including improper intrusions by its servicing department....As a recent report by the Australian Law Commission notes: 'the establishment of a statutory authority would simultaneously promote independence for those responsible for the archival function, while making them directly accountable to Parliament and, through Parliament, to the wide range of interested stakeholders'.'

**Roger Blakeley. *New Zealand Heritage Group: a proposal.* (16 June 1997)**

**'Aims and objectives.**

The aim is to unify the heritage interests of the Department into a cohesive and complementary group....the primary objectives of the integrated structure are to position the respective businesses to improve customer services and to attract additional resources.

...it is envisaged Heritage New Zealand will provide a strong force in the heritage sector...Bringing together the department's functions will create an environment to foster links with heritage agencies both within government and the private sector. It will enable achievement of coordinated policy and programmes, appropriate to the growing public need for an expression of identity and heritage, and in keeping with the importance placed by government on the 'crucial role of our cultural heritage and shared history'.'

**Extract from *Judgment of Ellis J.* (31 July 1998)**

'The relevant evidence for the plaintiffs includes affidavits from Ian Wards, formerly the Chief Historian; Heather Webber, the President of the New Zealand Society of Genealogists; Alison Fraser, a record management consultant with considerable experience in the public sector; Stuart Strachan, the Hocken Librarian and an archivist; Peter Brooks, a very experienced public servant who at one time was Deputy Secretary of Internal Affairs; James Traue, formerly the Turnbull Librarian; Sir Geoffrey Palmer, a former Prime Minister; Raymond Grover, a former Chief Archivist; Susan McKemmish, an Associate Professor in the Department of Librarianship, Archives and Records at

Monash University; Donald Gilling, formerly a Professor of Accounting and Finance; Kate Brown, a senior lecturer in finance and quantitative analysis; and Kathryn Patterson, the current Chief Archivist. It is an impressive list of deponents. Their evidence is cogent and compelling. In essence each emphasises the importance of National Archives being managed by an independent officer...It is hard to believe that it is the Secretary's intention, let alone the Minister's, to stifle such obvious and important input.

It is too early to be able to say that the Secretary's proposals and the General Manager's [Heritage Group] functions go further than envisaged by the Archives Act...If the plaintiffs' witnesses are reading the signals correctly, it may well be that proposal is going to go too far. At the moment the hard evidence is ambiguous and incomplete...There is wise counsel in some of the plaintiffs' evidence and important principles are in issue. It would be a pity if the long term issues relating to the custody and use of National Archives should take second place to relatively minor immediate bureaucratic gains'.

**Extracts from *Culture and Heritage Review: Future Governance of National Archives*** Submission of the Archives and Records Association of New Zealand Inc and the New Zealand Society of Genealogists Inc, November, 1998.

'6. The National Archives of New Zealand has three functions, two of which may be regarded as primary, the third secondary.

The primary roles are:

The constitutional role, whereby it is required by statute to select and maintain an impartial record of the stewardship of the government of New Zealand, that is to act as an instrument of accountability....

The administrative role, whereby it serves as 'the memory of government' through its function as a repository of past policies and transactions that are drawn upon by government agencies for the better conduct of current business, including policy formation...

The secondary is:

The cultural role (essentially a by-product of the previous two roles) whereby the archival authority is required to act as a repository for information concerning the history and development of the country as a state.....

That....a national archival authority should ...be the state's principal adviser on current records management matters is now recognised widely internationally. It should be the organisation charged with the major responsibility for a single whole of government approach to records creation and maintenance.

Associated obligations include:

Promulgation of public sector record keeping standards

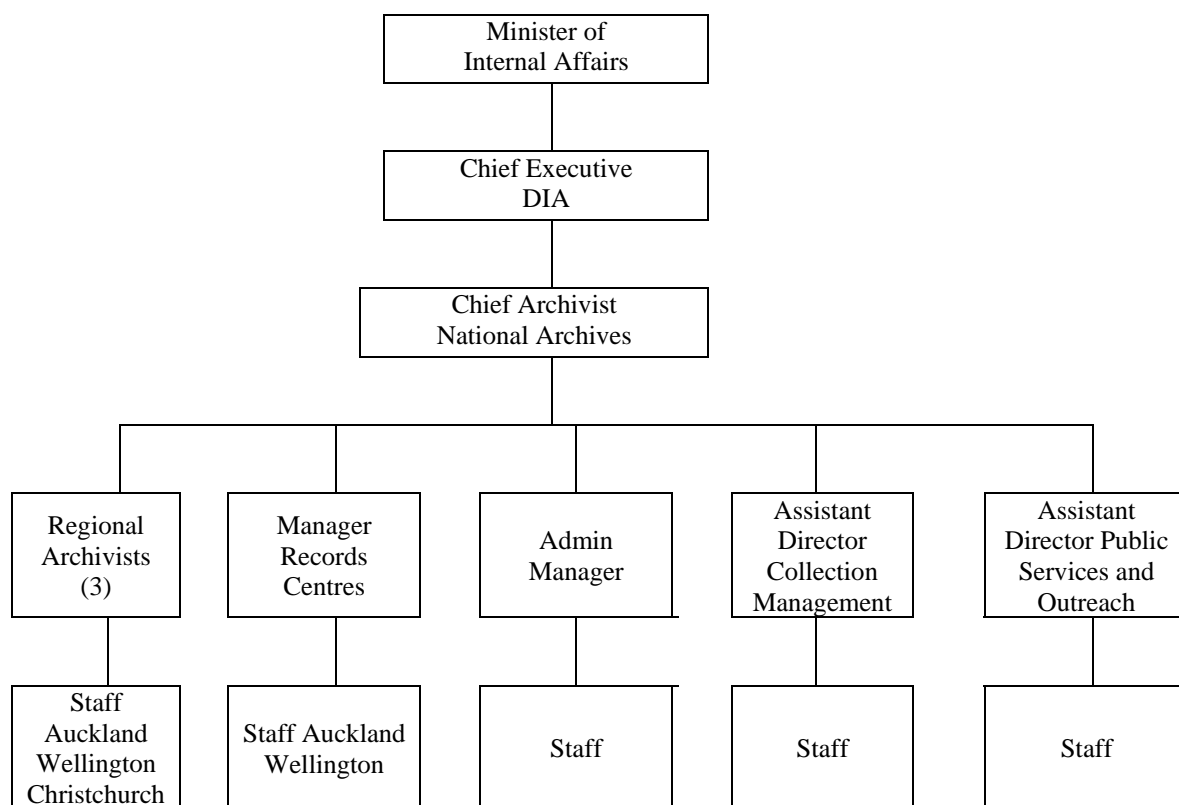
Oversight of public record keeping practices

Leadership in government held information initiatives

Surveys of government held information.'

## Appendix 2: Organisation Charts

**Chart 1 National Archives at January 1993**

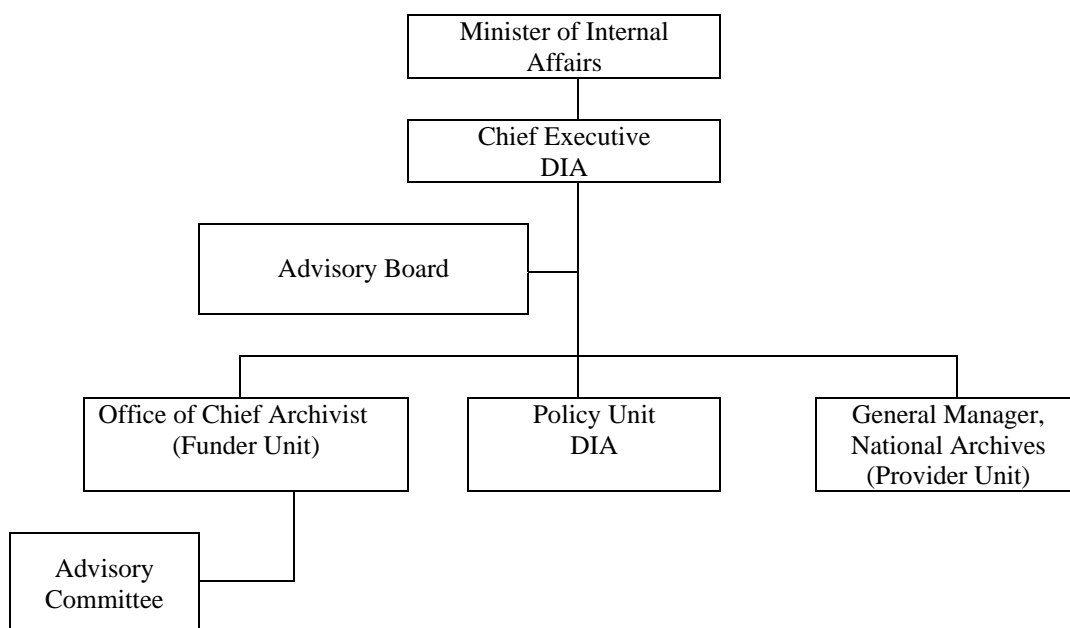


| POSITION                    | RELATIONSHIPS                                                                                                                                                                                                                                                                           | RESPONSIBILITIES                                        |
|-----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| <b>Chief Archivist:</b>     | Responsible to Chief Executive, Department of Internal Affairs<br><i>Working Relationships:</i><br>Chief Executive DIA and staff DIA<br>Minister of Internal Affairs<br>Chief Executives, Government Departments Public<br>Stakeholders<br>Vendors<br>Peers, national and international | Management of National Archives under Archives Act 1957 |
| <b>Regional Archivists:</b> | Responsible to Chief Archivist<br><i>Working Relationships:</i><br>Chief Archivist<br>Staff DIA                                                                                                                                                                                         | Provision of archives services to regions               |

|                                                               |                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                           |
|---------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                               | Government Departments<br>Public<br>Stakeholders                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                           |
| <b>Manager,<br/>Records<br/>Centres:</b>                      | Responsible to Chief Archivist<br><i>Working Relationships</i><br>Chief Archivist<br>DIA staff<br>Government departments<br>Public<br>Other record storage firms<br>Vendors eg box makers                                                                                                                                                          | Management of records centres in Wellington and Auckland.<br>Storage increasingly for private sector clients                                                              |
| <b>Administration<br/>Manager:</b>                            | Responsible to Chief Archivist<br><i>Working Relationships:</i><br>Chief Archivist<br>Staff National Archives<br>Staff DIA particularly finance division<br>Property consultants<br>Building contractors eg cleaners, lift maintenance, etc<br>Security firms                                                                                      | Management of:<br>Property issues<br>Financial oversight<br>Building management<br>Administration functions - word processing, facilities management, reception, security |
| <b>Assistant<br/>Director,<br/>Collection<br/>Management:</b> | Responsible to Chief Archivist<br><i>Working Relationships:</i><br>Chief Archivist<br>Staff DIA<br>Staff National Archives<br>Preservation and conservation groups<br>New Zealand Film Archive and other film organisations<br>Government departments<br>Stakeholders<br>Administration Manager and staff<br>Peers, nationally and internationally | Management of the collection:<br>Appraisal and transfer<br>Arrangement and description<br>Preservation<br>Repository management<br>IT                                     |

|                                                          |                                                                                                                                                                                                                                                                           |                                                                                                                                                 |
|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Assistant Director, Public Services and Outreach:</b> | Responsible to Chief Archivist<br><i>Working Relationships:</i><br>Chief Archivist<br>Staff DIA<br>Staff, National Archives<br>Public, researchers<br>Stakeholders<br>Administration Manager and staff<br>Government departments<br>Peers, nationally and internationally | Management of services to the public and outreach<br>Reference services<br>Exhibitions<br>Photocopying<br>Facsimiles<br>Publications<br>Library |
|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|

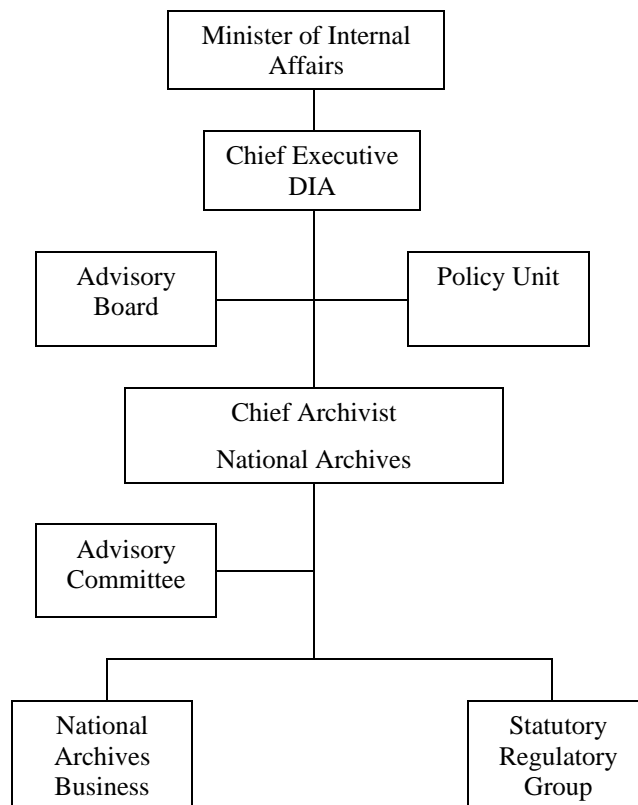
**Chart 2 Proposed Structure 1995**



## Commentary: Chart 2

| ORGANISATIONAL UNIT                                                                                                 | RESPONSIBILITIES AND RELATIONSHIPS                                                                                                                                                                                                                                                                                                                                                                                                |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Office of the Chief Archivist:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA | Provide funds from Vote: Internal Affairs to National Archives Business (and possible other contractors)<br><br>Service Level Agreement with General Manager National Archives Business<br><br>Setting and monitoring standards<br><br>Operational policy<br><br>Approvals under Archives Act 1957 for transfer and disposal<br><br>Outward looking role promoting role of National Archives to government departments and public |
| <b>National Archives Business:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA    | Responsible for all services - appraisal, transfer, arrangement and description, reference, preservation, outreach, facility hire etc.                                                                                                                                                                                                                                                                                            |
| <b>Policy Unit:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA                   | Preparation of policy relating to National Archives for Minister of Internal Affairs<br><br>Revision of Archives Act                                                                                                                                                                                                                                                                                                              |
| <b>Advisory Board</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA                 | Provides advice to Chief Executive on management of National Archives Business, including strategic and business planning and use of technology                                                                                                                                                                                                                                                                                   |
| <b>Advisory Committee:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Archivist                 | Provides advice to Chief Archivist on technical matters relating to National Archives<br><br>Acts as a conduit for user concerns.                                                                                                                                                                                                                                                                                                 |

**Chart 3 Structure 1996**

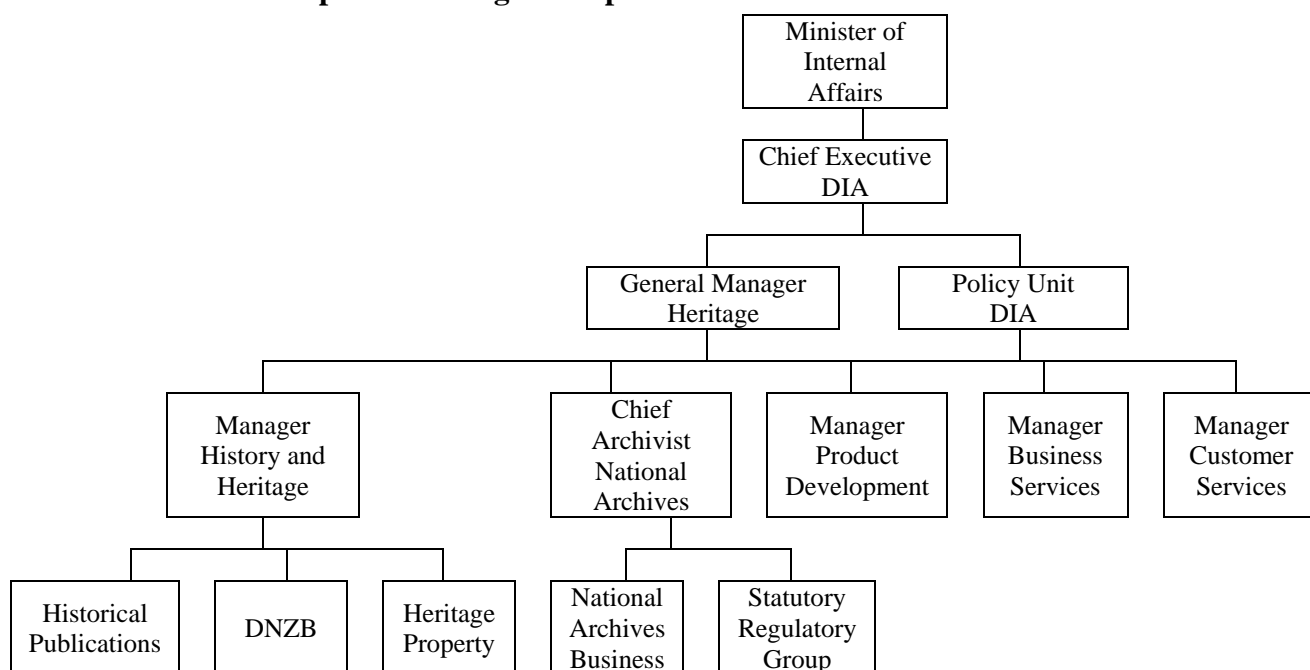


**Commentary Chart 3**

| ORGANISATIONAL UNIT                                                                                                                                                                                                          | RESPONSIBILITIES AND RELATIONSHIPS                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Advisory Board</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA<br><i>Functional Relationships:</i><br>Chief Executive<br>Chief Archivist<br>General Manager, National Archives Business | Provides advice to Chief Executive on management of National Archives Business, including strategic and business planning and use of technology |

|                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Policy Unit, DIA:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Executive, DIA<br><i>Functional Relationships:</i><br>Minister of Internal Affairs<br>Chief Executive<br>Chief Archivist                                                                                                                                | Preparation of policy for Minister's consideration.<br>Legislation                                                                                                                                    |
| <b>Advisory Committee:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Archivist<br><i>Functional Relationships:</i><br>Chief Archivist<br>Manager, Statutory Regulatory Group<br>Users, National Archives<br>Stakeholders                                                                                                   | Provides advice to Chief Archivist on technical matters relating to National Archives<br>Acts as a conduit for user concerns.                                                                         |
| <b>Statutory Regulatory Group:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Archivist<br><i>Functional Relationships:</i><br>Chief Archivist<br>General Manager, National Archives Business<br>Advisory Committee<br>Appraisal Consultants<br>Government Departments<br>Stakeholders<br>Peers, national and international | Assessing of appraisal reports before passing to Chief Archivist for sign off<br>Liaison with government departments<br>Liaison with consultants,<br>Preparation of standards and operational policy. |
| <b>National Archives Business:</b><br><i>Reporting &amp; Supervision:</i><br>Responsible to Chief Archivist<br><i>Functional Relationships:</i><br>Advisory Board                                                                                                                                                                               | Provision of services to government departments and users of archives stored at National Archives.<br>Transfer of archives from government departments                                                |

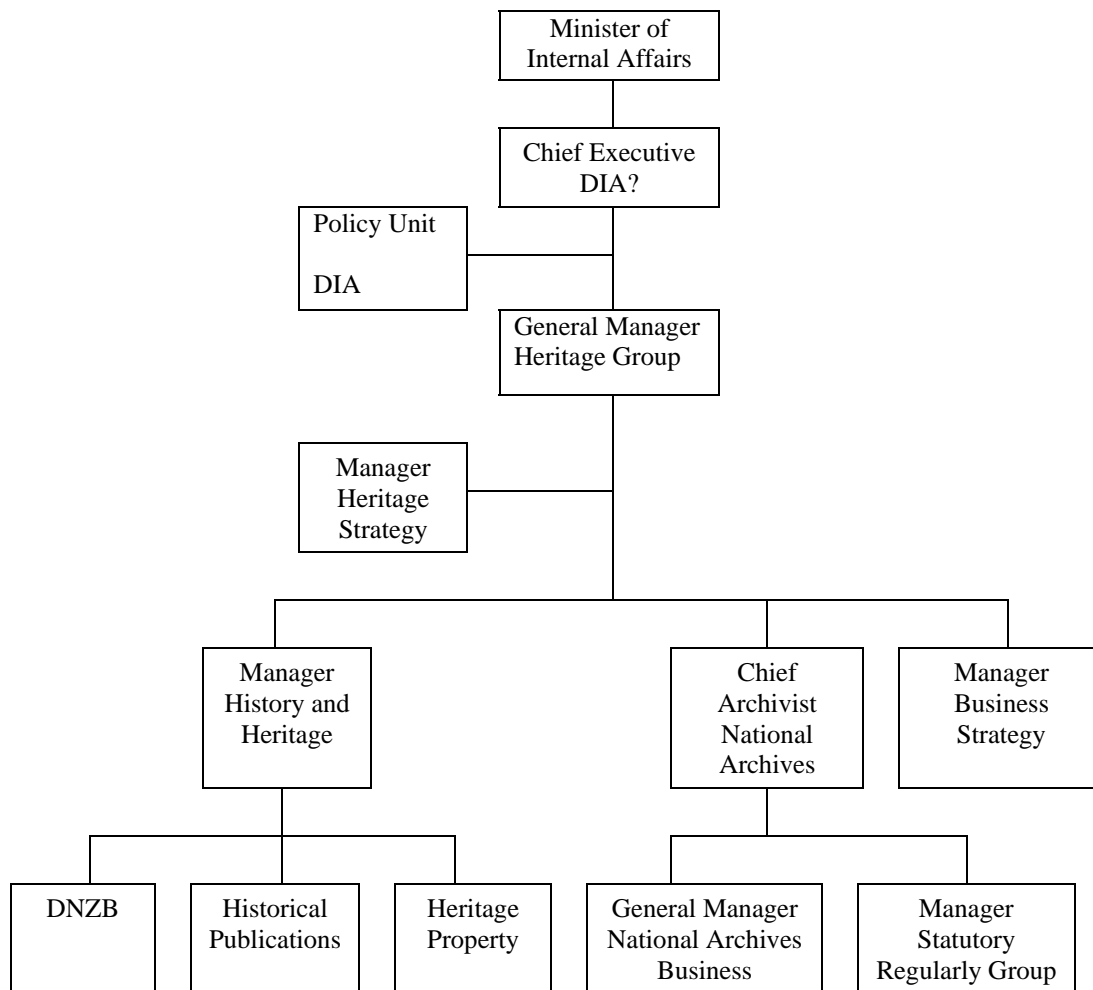
**Chart 4 Proposed Heritage Group DIA**



**Commentary Chart 4**

| ORGANISATIONAL UNIT             | RESPONSIBILITIES AND RELATIONSHIPS                                                                                                                                                                                                                                                                                                                                                                                          |
|---------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Historical Publications:</b> | <p>Designs plans and supervises historical research and writing on contract through to publication.</p> <p>Predominantly produces works concerning government departments and their policies and functions</p> <p>Publications range from major works to oral histories and illustrated booklets.</p> <p>Dictionary of New Zealand Biography (DNZB):<br/>Publication of a multi-volume dictionary of national biography</p> |
| <b>Heritage Property:</b>       | Responsible for service cemeteries, historical war graves, historical monuments, the protection of antiquities, and national monuments including the National War Memorial.                                                                                                                                                                                                                                                 |
| <b>National Archives:</b>       | Mandated under the Archives Act 1957 to ensure that government records of permanent value are identified, preserved and made available to researchers.                                                                                                                                                                                                                                                                      |
| <b>Business Services:</b>       | Will include IT, administration, human resource capability, financial oversight etc                                                                                                                                                                                                                                                                                                                                         |
| <b>Product Development:</b>     | Purpose is to investigate new product opportunities for the Heritage Group which will lead to future revenue opportunities.                                                                                                                                                                                                                                                                                                 |
| <b>Customer Services:</b>       | Reception, switchboard, facilities management.                                                                                                                                                                                                                                                                                                                                                                              |

**Chart 5 Implemented Structure 1997**



### Commentary on Chart 5: as implemented

| ORGANISATIONAL UNIT                                                                                                                                      | RESPONSIBILITIES AND RELATIONSHIPS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Manager, History and Heritage</b><br><b>Historical Publications</b><br><b>Dictionary of New Zealand Biography (DNZB)</b><br><b>Heritage Property:</b> | Historical Publications-<br>Designs plans and supervises historical research and writing on contract through to publication.<br>Predominantly produces works concerning government departments and their policies and functions<br>Publications range from major works to oral histories and illustrated booklets.<br>Dictionary of New Zealand Biography (DNZB):<br>Publication of a multi-volume dictionary of national biography<br>Heritage Property -Responsible for service cemeteries, historical war graves, historical monuments, the protection of antiquities, and national monuments including the National War Memorial. |
| <b>National Archives:</b>                                                                                                                                | Mandated under the Archives Act 1957 to ensure that government records of permanent value are identified, preserved and made available to researchers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Business Services:</b>                                                                                                                                | Will include IT, administration, human resource capability, financial oversight etc                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Product Development - Replaced by Manager, Heritage Strategy</b>                                                                                      | Considers strategic issues, develops the strategic plan for the Heritage Group,<br>Prepares business cases.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Customer Services:</b>                                                                                                                                | DEFERRED. Inability to co-locate the units meant that implementation was not achieved. Reception, switchboard, facilities management.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

# **Revising Archival Legislation in Zomora:**

## **A Case Study**

**Charles Gibson<sup>1</sup>**

### **Abstract**

The events described in this case study have their genesis in an actual effort to revise, strengthen and modernise the existing archival legislation in a particular country. The objective of this case study is to identify and analyse some of the key limitations of the existing archives legislation, in particular to assess how its provisions affect the national archives' mandate to provide a truly effective 'national archives and records service'. In addition, the case study underscores the importance of ensuring National Archives participation in the drafting and implementation of ANY key legislation impacting upon public record keeping. Specifically, it relates to the difficulties that ensued when a Freedom of Information legislation was drafted and passed without reference to related archival legislation or consultation with the National Archives. Faced with conflicting instructions governing access to records needed for public accountability, the National Archives must act quickly to ameliorate the conflicts and ensure that consultation is always forthcoming when legislative and regulatory matters impact upon record keeping.

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<sup>1</sup> Mr. Charles Gibson is Chief Archivist in the Belize Archives Department, a post he has held since 1982. He completed his B.A. Degree in Library Administration at the University of the West Indies, Jamaica in 1980 and M.A. in Archive Studies at the University of London in 1982.

As the Chief Archivist of the National Archives of Belize, Mr. Gibson has contributed significantly to the development of archive services in Belize and has been instrumental in increasing awareness and greater appreciation for the collection and preservation of public records. In 1997, through his initiative a major project was launched to Improve the Management of Records in the Belize Public Service. With assistance from the International Records Management Trust, he successfully engineered the restructuring of records management systems in government agencies, assisted in the preparation of a new draft archival legislation and scheme of service for records personnel in the Public Service.

He has participated in numerous conferences and workshops outside Belize and shared professional advice through publications on managing public sector records and archival legislation. During his tenure as president of CARBICA for four years, his main focus was on uplifting the standards for managing information in the Caribbean Region.

Mr. Gibson has been Secretary of the Commission on Archival Development (CAD/ICA) and Chairman of the Association of Commonwealth Archivist and Records Managers since 1996, and is also an Executive member of the Belize Museum Project, The Archives Advisory Board, Association of Public Service Senior Managers and the Public Sector Reform Committee in Belize.

## National Archival Legislation and the Impact of the Freedom of Information Act

In early 1980 the Zomora National Archives identified a need to enact legislation which would establish and legalise the functions of the National Archives. As a result, an Archives Advisory Committee (AAC) was appointed by the Minister of the Public Service who was responsible for public archival matters in Zomora. The committee was given a mandate to draft appropriate archives legislation which would be studied by the three parties most concerned about archival effectiveness in Zomora - the National Archives, the AAC and the Public Service Ministry. The AAC held several meetings and examined many of the existing regional and international archival legislation. The AAC also organised numerous consultative sessions with government, religions and private bodies that create records or serve as repositories for significant public and private records and archives. In the end, the *Zomora Archives Act No. 19 of 1980* was passed by Parliament.

It is now April 1999, and the *Zomora Archives Act* is nineteen years old. The Director and staff of the National Archives of Zomora are experiencing serious difficulties with the existing legislation's inability to address the more central and dynamic role and responsibilities a national records and archives service performs in a modern society.

One of the biggest problems is that the existing legislation does not assign specific responsibilities for the management of current and semi-current public records to any particular agency of the Zomora government. Although, the National Archives of Zomora has performed such services by informal agreement over the past six years, its staff have found many of government ministries and departments unaware or unwilling to adhere to National Archives instructions on new records management systems and procedures. This non co-operation puts extra strain on the National Archives which itself is being asked to be more responsive to user needs, to keep pace with Government's public sector reform programmes and adjust work practices to accommodate computerisation and freedom of information initiatives.

One of the other big problems facing the National Archives is the inadequacy of the 1980 archival legislation whereby records are not being managed throughout their life cycle.

For instance, section 13 (3) (f) of the *Zomora Archives Act* stipulates that

‘the Archivist shall have access to any place of deposit of public records and shall have the power to examine such records and shall have the power to examine such records with a view to list them or take such steps that may be necessary for their transfer to the National Archives of Zomora’.

The National Archivist of Zomora points out that under current interpretations of the law, records can only be legally inspected and transferred to the National Archives once they become *non-current*.

Similarly, personnel from the Information Technology (IT) Unit of the National Archives have also expressed grave concerns that no retention and disposal requirements are built into the new IT systems of Zomora government agencies which are generating records. It is certain that many of these records are being deleted while others will become technically inaccessible before archival selection processes to bring them to the National Archives normally take place. Provisions are urgently needed to manage and protect all records and documents in electronic form that support the Government's public sector reform initiatives and more importantly to enhance transparency, accountability and protection of citizens' rights.

The upshot is that the documentary heritage of Zomora is suffering damaging consequences as, under current laws, the National Archives cannot ensure that the right records are being created, properly managed, much less protected for permanent preservation.

As a consequence, the National Archivist and her staff recognises that there is now an urgent need to revise and strengthen the 1980 *Archives Act* to provide the National Archives of Zomora with a comprehensive code to ensure the continuous management of all records, paper and electronic, from creation to disposition.

The National Archivist also recognises that whatever amendments are made to the *Zomora Archives Act 1980* must address conflicts it has with some of the provisions of the *Freedom of Information Act (FOIA) No. 38 of 1996*. One of the main concerns of the National Archives is whether or not the *Freedom of Information Act* takes precedence over the *Zomora Archives Act*. If so, the *FOIA* can legally require the National Archives of Zomora to divulge the contents of public records in its possession that are less than thirty years old. The *Zomora Archives Act*, Section 11, Subsection 2, regards as confidential any public records less than thirty years old held in the National Archives. However, by the same section, such record or records may be made available to any person for research if it had been previously published or through permission from the Minister responsible for archival services provided certain conditions and restrictions are met.

The *FOIA*, on the other hand, gives every person the right to obtain access to public records of a government ministry or department or prescribed authority other than an exempt document.

Refusal of access to records is limited to those categories of records classified as exempt and include:

records affecting national security, defence and international relations

cabinet documents

records affecting enforcement and administration of the law

records to which secrecy provisions of enactment apply (UK Secrets Acts apply to Zomora)

records affecting personal privacy

records affecting legal proceedings

records relating to trade secrets

records affecting national economy.

Records falling within the exempt categories listed above are no doubt in possession of the National Archives of Zomora.

By providing every person with the right to obtain access to records of a Ministry or prescribed authority, the *FOIA* goes further than the *Zomora Archives Act*. Under provisions of the *Archives Act*, the decision of whether or not to allow a person access to records less than thirty years old in possession of the National Archives is a matter of discretion exercisable by the Minister responsible for archival matters in consultation with the Archives Advisory Board. However, under the provisions of the *FOIA*, the Ministry or prescribed authority does not have a discretion to refuse access to records to the public.

The National Archivist of Zomora is very supportive of the *FOIA* as she believes that government's activities can become even more transparent and the Government can be held more accountable through the proper management of records throughout their life-cycle. However, the National Archivist and her staff need to come up with ways of how access to information under both pieces of legislation (*Zomora Archives Act 1980* and the *FOIA 1996*) can be tailored so that there is uniformity whereby the same law applies to information whether in the national archives and other government agencies.

# Case Problems

## Task 1

Based on the problems outlined in the case narrative, make recommendations as to what the National Archives of Zomora should do to address the apparent inadequacies of the *1980 Archives Act* with particular reference to the management of modern public sector records and the management of electronic records.

## Task 2

Under the existing legislation (*Zomora Archives Act 1980* and *FOIA 1996*) John Public walks into the National Archives and demands access to records which are not classified as exempt documents and are ten years old. He cites FOIA as his authorisation for access. Under the law does he have the right to do so? How should the National Archivist respond and why?

## Task 3

You are hired by the National Archives of Zomora to advise the Director on legal and records management considerations she has to take into account to revise and strengthen the *1980 Archives Act*. You are also requested to do so in conjunction with the provisions of the *Freedom of Information Act*. You are particularly requested to recommend ways in which the *Zomora Archives Act* can complement the *FOIA* whereby the same regulation on law applies to access of records which are in the national archives as well as other government agencies. Prepare an explanatory list of key provisions that you would recommend be adopted to address these concerns.

## **Instructor's Notes**

Using the case study method of self instruction will help students develop and apply the following skills:

identifying and analysing records management problems

understanding and interpreting the data presented

thinking analytically and critically

exercising and making judgements

communicating ideas and opinions

making and defending decisions.

## **Learning Objectives**

The National Archives of Zomora Case Study will enable students using it to

- identify and recommend measures the national archives can adopt to address its records management problems as they relate to improving access and the proper management of public sector records
- improve their understanding of some of the problems faced by the national archives which is operating under legislation that has not been amended to address the dynamic needs of governing a modern society
- analyse some of the requirements a Freedom of Information Act places on the national archives in managing and administering access to public sector records and make appropriate recommendations to address these.

## **Points for Students**

### **Task 1**

Make recommendations as to what the National Archives of Zomora should do to address the apparent inadequacies of the *1980 Archives Act* with particular reference to:

the management of modern public sector records

the management of electronic records.

Strategies/directions that can be explored by students might include:

Form an Archives Advisory Committee to work along with the Director and staff of the National Archives of Zomora to come up with a draft 'national archives and records service' act

Examine existing 'archives and records service' legislation from commonwealth countries that have similar political, legal and administrative background

Ensure that one of the key provisions in the 'new' legislation that the National Archives is given the statutory responsibility to manage public sector records including electronic records from creation to disposition

Serious considerations will have to be given **as to whether or not** to change the thirty years rule relating to the release of documents at the National Archives. As already pointed out the FOIA gives every person the right to obtain access to records, perhaps a similar provision should be included in any revision of the existing archives law

A change of name from National Archives of Zomora to something like 'Zomora Archives and Records Administration' should be considered which will more accurately reflect the management of public sector records function that will be performed in the future

Once the draft is agreed upon by the parties involved, it goes to the Minister responsible for Archives and he forwards it to the Solicitor General for legal scrutiny. It then goes to Parliament for consideration to become law.

## **Task 2**

Considering the provisions of the two pieces of legislation involved, does John Citizen have any right to make such demands? How should the National Archivist respond and why?

Strategies/directions that can be explored by students might include:

There are no doubts that the National Archives of Zomora is in possession of records falling within the exempt categories. In any case where there is doubt as to whether a particular record falls within the category of an exempt record, the National Archives may wish to consult with the Solicitor General's Office for guidance. Alternatively, if the subject matter of a particular record is more closely connected to another Ministry or prescribed authority, the National Archives may wish to transfer the request for access to that Ministry or prescribed authority which might, by virtue of its expertise, be in a better position to make such determination

Should any person apply to have access to any exempt record, the Ministry or prescribed authority with advice from the Solicitor General, has the right to refuse access. However, if the record does not fall in the exempt categories, then the Minister responsible for Archives under Section 11, subsection 2, may also give permission to examine the record in question. Under the provisions of the *Zomora Archives Act*, the decision of whether or not to allow a person access to records less than thirty years old in possession of the National Archives is a matter of discretion exercisable by the Minister (Section 11, Subsection 2). Clearly, the thirty year rule for public access to records in the National Archives and the general spirit of the *FOIA* - the right of every person to obtain access to records created by the Government of Zomora within the confines of that law - conflicts.

Should the thirty year closed access rule of the *Zomora Archives Act* be amended and, if so, how?

### **Task 3**

You are requested to recommend amendments to strengthen the *Zomora Archives Act* of 1980 and particularly to identify ways in which the *Zomora Archives Act* can complement the *FOIA* regarding access to public records in the national archives as well as in other government agencies. Prepare an explanatory list of key provisions that you would recommend be adopted to address these concerns.

Strategies/directions that can be explored by students might include:

With respect to revising and strengthening the 1980 Archives Act, this would have been dealt with at question one

In general, Freedom of Information legislation is very helpful to archival agencies. Access legislation usually applies the same rules (the same law) permitting public inspection of records whether they are held in archival institutions or in government ministries and departments. Prior to access legislation, government ministries and departments may be reluctant to transfer records because they believe the records may be released too soon to the public by the archives. However, after the FOIA is legislated, the same law should govern public use of the records no matter whether they are located in the government ministries and departments or in the national archives. With this in operation, government ministries and departments should have little concern in transferring records to the archives, thus ensuring that the documentary heritage of the nation is preserved

Since it appears that certain provisions of both the Archives Act and the FOIA conflict and also since it has been advised by the Solicitor General's Office that the FOIA supersedes the Archives Act, this situation further lends support for the need to amend the Archives Act and incorporate an access policy covering freedom of information and data protection.

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# **Records Management - Building or Adapting a Records Centre Facility: The Case of The Bahamas Records Centre**

**Gail Saunders and Elaine Toote<sup>1</sup>**

## **Introduction**

It is August, 1988. The Department of Archives, Nassau, Bahamas is faced with a decision about whether to close its Records Centre due to insufficient staff or keep it open with very limited staff members and inadequate security.

The Director is aware that it was very difficult to procure resources both financial and human, for this project. She is also aware that it is extremely difficult to hire new staff members to replace those who resign. She is also aware that there is no alternative for the storage of the records that the Records Centre presently holds.

## **Overview/Analysis**

The Records Management Programme began as early as the 1970s when the first survey of records in government ministries and departments was completed and lecture courses were conducted by Archives staff for administrators and clerical staff at the Public Service Training Centre.

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<sup>1</sup> Dr. D. Gail Saunders is Director of Archives, Department of Archives, The Bahamas. She was born in Nassau, Bahamas and educated there, in the United Kingdom, in the West Indies (Jamaica) and in Canada. She holds a BA (Hons) in History, an M. Phil and Ph.D in History. She is responsible for assisting in the establishment of the Bahamas Archives established in 1971, is former President, Secretary and Treasurer of CARBICA and Secretary/Treasurer of the Association of Caribbean Historians and now its Vice-President. She is co-author of *The Guide to The Records of The Bahamas* and 8 books on Bahamian History including *Slavery in The Bahamas*, *Bahamian Loyalists and Their Slaves*, *The Bahamas: A Family of Islands* and co-author of *Islanders in The Stream* Vols. 1 and 2 and *Sources of Bahamian History*.

Ms. Elaine Toote is the Deputy Director of The Department of Archives, Nassau, Bahamas. Born in Nassau, Bahamas and educated in the Bahamas and the USA, she holds an Associate of Arts (credit) in History, Bachelor of Science (credit) in Management, a Master of Business Administration and an Advanced Certificate in Public Administration. She was one of the recipients of the prestigious Commonwealth Foundation Fellowship to promote Commonwealth understanding in 1991. Her professional achievements include co-author of the *Bahamas Index* and *A Guide to the Records Centre*. She served as Secretary of CARBICA and presently holds the post of Treasurer of the Caribbean Regional Branch of the International Congress on Archives and the Association of Caribbean Historians (ACH).

The aims of the Records Management Programme were to

- sensitise government ministries, departments and quasi - agencies to the importance of good records management practices
- establish and implement retention and disposition schedules for government ministries and departments through the implementation of an effective and efficient records management programme
- provide safe, affordable storage for government's non-current records
- allow for the easy and immediate recall and retrieval of records by depositing agencies
- allow for the preparation of a finding aid for the users of the Records Centre
- provide for the eventual transfer of archival materials to the Department of Archives.

The Department of Archives was given an existing building, which was previously used as the residence for the Director of Public Works. This location was accepted because up to that time requests to the government for space to open a records centre had resulted in the unavailability of old or new locations. In order for the programme to be properly implemented the Director accepted the existing building and agreed to utilise the renovated facility as a temporary solution.

The Department of Archives, through the Ministry Of Education, its parent ministry, spent approximately U\$12,000 to renovate this facility and make it a viable records centre.

The renovations took about two years to complete. After the building was completed, shelving was dismantled at several holding rooms in other government buildings that were storing non-current records. Additional shelving also had to be purchased. Records were to be transferred, sorted, listed and shelved.

In 1986 the Director learnt that an Organisation of American States (OAS) specialist had been carrying out short missions in several Caribbean territories. She requested, through the Ministries of Education and Foreign Affairs, that the OAS send the consultant to the Department of Archives for 1 month to advise the department on the Records Management Programme. Approval was granted for a visit of 2 weeks.

The consultant reviewed the Department of Archives' files, reports and regulations and held discussions with Archives' staff and selected government officials to determine the status and accomplishments of the Records Management Programme. He toured the Records Centre and reviewed the storage practices, accessioning procedures, and records and forms used in centre operations and assisted the Archive staff in locating additional records centre space to augment the present facility.

He suggested that two of the existing rooms at the Records Centre be shelved and existing shelving be re-adjusted to provide additional space. He assisted in revising procedures, records and forms used in Records Centre operations. Out of all this came the drafting of a memorandum to Permanent Secretaries and Heads of Departments outlining procedures for preparing government-wide records disposition schedules and lists and General Records Schedules for accounting and personnel records. The Ministry of Education followed up on these recommendations and

subsequently a Cabinet paper was drafted inviting Cabinet Ministers to agree to the relevant recommendations.

A finding aid in the form of *A User's Guide to the Records Centre* was prepared by the Department of Archives and printed by The Bahamas Printing Department in October, 1987. Copies of this guide were circulated throughout the Ministries and Departments.

In 1986, the Records Centre had a staff complement of four: one professional archivist/records manager, one clerk, one janitress and one security. In 1988, the staff complement was reduced to two when the clerk resigned in May and the security resigned in June. Efforts to replace the security were successful only for a short period of time, as he had to be laid off due to illness.

In March 1988, while it was fully operational, the Records Centre was broken into during a weekend period.

Repeated requests by the Director for additional staff members to replace those who had resigned were unsuccessful. By September 1988 a new extension to the Department of Archives, which was in a different location, was completed. The Director needed more assistance in administration. The supervisor of the Records Centre was transferred to the Department of Archives in September 1988 to assist the Director in administration. The janitress was also transferred to the Department of Archives.

The Director was faced with the following options:

7. To close the Records Centre
8. To keep it open with two (2) female members of staff
9. To operate the Records Centre on a part-time basis.

## **Status Report**

In November 1988 the Director wrote to the Permanent Secretary, Ministry of Education requesting replacements for the staff members who had resigned. Also in November, after requests from many ministries and departments for the Records Centre to accept deposits, wrote to the Permanent Secretary to consider locating a large building to 'facilitate the storage of non-current records to ensure proper record keeping procedures for these records.' (PRO/7/9 dated 13 November 1989).

During 1989, a portion of the floor at the Records Centre had collapsed. The Structural Engineer recommended that a complete renewal of the suspended floor be carried out in order to use the room for storage. The Director communicated this to the Ministry of Education and began the process of having this situation corrected.

In January 1990, the Director was made aware of vacated schools that could be considered for storage. The Director wrote the Ministry of Education requesting space in these facilities but was notified that the schools in question were not available for use.

The Permanent Secretary also informed the Director that the Ministry of Education 'is not in a position to provide staff at the Moss Road Centre.' (EDU/B/892, dated 24 January, 1990). After many requests by the Director for staff and a particular memorandum requesting assistance subsequent to another break-in, the Ministry of Education informed her that they were unable to provide staff. They hoped that the assistance of the College of the Bahamas security might serve as a deterrent to future break-ins.

In June 1990, after a meeting with the Advisory Council on Public Records, wrote the Permanent Secretary, Ministry of Education and reminded them of the pressing need for an adequate Records Centre. She advised them of a vacant plot of land immediately south of the new extension, which can accommodate such a structure. During 1990 the collapsed floor of the Records Centre was re-built.

In January 1991, the Supervisor of the Records Centre wrote a position paper on the situation of the Records Centre to the Director. She pointed out that if staff could be procured, basic services like water, electricity and telephone be restored, then the Records Centre could be restored to an effective and efficient functioning arm of the Department of Archives within 6 months.

In February 1991 the Director requested the Ministry of Works to repair the leaking roof and paint the Records Centre. These were completed. She again requested staff through the deployment exercise of the Public Service. Utilities were restored.

Continuous reports of break-ins during 1991 to 1995 from an Assistant Archivist who checked on the facilities three times a week and a Security from the College of the Bahamas were followed by correspondence for action to the Ministry of Education.

At a meeting of the Advisory Council in December 1992 it was recommended that the Minister and Permanent Secretary of the Ministry of Education and Culture bring the situation of the Records Centre to the attention of the Prime Minister and the Cabinet. The Director drafted the position paper and forwarded it to the Ministry of Education.

In 1993 the Director met with Architects from the Ministry of Works to discuss preliminary designs for the construction of a records centre.

In May 1995 the records were relocated to two rooms in the Learning Resources Unit.

In February 1996, the Director wrote to the Permanent Secretary of the Ministry of Education and Training justifying the construction of a records centre.

In 1997 plans were completed for the construction of a new records centre at the cost of approximately US\$1,000,000. In the 1996/97 budget the government of the Bahamas provided US\$500,000 to begin the construction of the records centre.

No funds were allocated in the 1997/98 budget.

The government of the Bahamas provided US\$500,000 in the 1998/99 budget towards the construction of a new records centre.

# **Records Management - Building or Adapting a Records Centre Facility: The Case of The Bahamas Records Centre**

## **Teaching Notes**

### **Synopsis**

In 1970 the first survey of records in government ministries and departments were completed and lecture courses were conducted by Archives staff for Administration and clerical staff at the Public Service Training Centre.

The Department Of Archives was given an existing building, which was previously used, as the residence for the Director of Public Works. The Department spent approximately US\$12,000 to renovate this facility and make it a viable records centre.

In 1986 an OAS specialist spent 2 weeks at the Records Centre. The department prepared a finding aid in the form of *A User's Guide to the Records Centre* and copies were circulated throughout the ministries and departments.

In 1986, the Records Centre had a staff complement of 4. In 1988 the staff numbered 2.

Repeated requests by the Director for additional staff members to replace those who had resigned were unsuccessful.

The Director was faced with the following options:

1. To close the Records Centre.
2. To keep it open with 2 female members of staff.
3. To operate the Records Centre on a part-time basis.

From 1988 to 1995 vandals continued to break into the Records Centre.

In May 1995 the records were relocated to two rooms in the Learning Resources Unit.

In 1997 plans were completed for the construction of a new records centre at a cost of approximately US\$1,000,000.

The 1996/1997 budget allocated US\$500,000 towards the construction of the record centre. The 1998/1999 budget allocated \$500,000 towards the construction of the record centre. In December 1998 tender documents were being prepared for the construction of the records centre.

## **Educational Objectives**

This case focuses on technical and management issues, such as the selection of an appropriate facility for the record centre and the execution of the management functions of planning, staffing and controlling.

At the end of this exercise, students should have a clearer understanding of the following issues:

- The importance of a commitment of fiscal, physical and human resources. Topics to discuss include the opportunity cost of choosing a certain alternative from a set of related alternatives.
- The importance of planned management of resources. Topics of relevance include staffing, planning and controlling.
- Conforming to the requirements for specialised structures. Topics to discuss include the identification of proper buildings and the choice of location.
- The importance of proper communication. Topics to discuss include the process and content of the communication.
- The working of a bureaucracy. Topics to discuss include the management of an institution in a rigid and hierarchical structure.

## **Discussion Outline/Questions**

1. The Department of Archives is faced with options. Should the Department have sought other options? Demonstrate; see the Prime Minister or Minister?
2. The Department was given an existing building, which was in an isolated area. Should it have waited and tried to obtain another building in a better location?
3. After the resignation of two members of staff and, after repeated requests for additional staff were not granted, should the Director have deployed existing Archives staff at the Records Centre? Remember that the Department of Archives had expanded and there were a limited number of qualified staff members. There was a growing demand for Research Room services by researchers.
4. When vandals and burglars began to break into the building, what were the options? Should the facility have been re-opened? Should the records have been moved?
5. How would you have resolved the issue?

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# **Managing Medical Records: A Case Study of the Kitendawili National Referral and Teaching Hospital**

**Henry N. Kemoni<sup>1</sup>**

## **Abstract**

This case study examines the existing policies and practices for managing medical records at the Kitendawili National Referral and Teaching Hospital [KNRTH].

To collect data, the researcher used a structured open-ended interview schedule and undertook a physical survey and inspection of the hospital's central medical records unit. The medical records unit staff were co-operative while the researcher was conducting the study.

The study exposes a number of problems that hamper the management of medical records at the KNRTH. These are set out below:

the layout of the central records unit does not cater for effective storage of medical records

there are no storage equipment for medical case files and computer diskettes

some staff involved in medical records management have no formal training

medical records appraisal and disposition is not often carried out

the medical records unit at the hospital has only one computer for compiling statistics, reports and databases despite the fact that the medical records unit has a compliment of 13 staff

the Kitendawili National Archives (KNA) has no involvement in the management of the hospital's medical records.

In view of these problems, the study recommends the following measures:

the establishment of a secondary storage area for inactive medical records

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Mr Kemoni spent five years (1988-1992) working as archivist with the Kenya National Archives and Documentation Service and rose to the position of Provincial Archivist in charge of records management activities, Rift Valley Province. He then joined Moi University as Graduate Assistant and rose to the position of Lecturer in 1996. Between 1996 and 1997, he was Acting Head of Department. Mr Kemoni has attended various local and international workshops and published articles in international archives and records management journals.

the drawing up of a retention and disposition schedule

the introduction of a format conversion programme based on microfilm technology

active involvement of the Kitendawili National Archives in the management of medical records

upgrading of the hospital's records automation project to cover other medical records functions such as creation, use and disposition.

## **Key Issues Raised by the Case Study**

The case study which follows is developed from an actual hospital experience in managing medical records. The procedures and practices described in the study are specific to this hospital and may not necessarily apply to other hospitals in Kitendawili.

The study focuses on the following aspects of medical records namely: creation, classification, maintenance and storage, use, access, appraisal and disposition, information technology and training. The aim of undertaking this study is to make students appreciate the problems of managing medical records and how they can solve them in a typical work environment. The study is intended for use by medical records personnel, hospital administrators, record keeping professionals, policy makers and members of the public.

## **Learning Objectives**

The Kitendawili National Referral and Teaching Hospital [KNRTH] medical records case study will enable students undertaking it to:

understand procedures, practices and problems encountered in medical records management

understand how to classify medical records

be conversant with appraisal techniques of medical records

appreciate the use of IT in managing medical records

determine competencies required in the training of medical records personnel.

## **Learning Outcomes**

On completion of the case study, students will be expected to:

identify procedures and practices for managing medical records at the KNRTH

demonstrate ability to classify medical records

undertake practical exercises in appraisal of medical records

use computers to compile medical statistics

develop a model curriculum for training of medical records personnel

## **Background Information and Introduction**

### **Hospital Profile**

The Kitendawili National Referral and Teaching Hospital, was founded in the 1920's during the colonial times. Following the attainment of national independence in 1966, the hospital became a government institution under the Ministry of Health.

Although initially established to provide health care to residents of Mnazi District, the hospital expanded to become a major research, teaching and referral hospital for the Faculty of Health Sciences at Kitendawili University. It now serves as a teaching and referral hospital and offers in-patient and out-patient treatment as well as clinical teaching and research.

In 1996, a new, ultra modern facility to house both the Faculty of Health Sciences and the hospital was opened. It has a 353 bed capacity, a staff of 800 of whom 120 are medical professionals. It operates 11 full service medical units: maternity, psychiatry, paediatrics, surgery, pharmacy, occupational therapy, physiotherapy, dental unit, eye clinic, teaching faculty, laboratories and the hospital mortuary.

The overall objectives of the hospital are to:

serve as a national referral hospital

provide in-patient and out-patient medical services for the district

decentralise public health services to the rural population through various dispensaries.

A medical officer of health, assisted by a medical superintendent, manages an establishment of four medical, nursing, administrative and para-medical staff.

In order to cope with the challenges demanded by its new national role, the hospital management is to be upgraded. The government has appointed a Director as its chief executive who will work closely with a board of Trustees to run the hospital. In addition, the hospital has introduced a cost-sharing regime; patients pay a modest fee towards their treatment, generating funds to be applied towards improving the hospital's services.

## **Methodology**

The researcher administered a structured open-ended interview primarily to two medical records professionals, ie the Deputy Health Records and Information Officer and the Health Records Technician Grade 1. In addition, the Health Records and Information Officer also received a copy of the questions and had the purpose of the study explained to him in advance as preparation for the interview day. However, on

the scheduled day of the interview, the Health Records and Information Officer could not attend due to other urgent hospital duties.

The questions in the interview schedule (see Appendix 1) covered the following areas:

medical records creation

medical records classification

medical records maintenance and use

medical records appraisal and disposition

use of information technology to manage health records

staffing and training of medical records personnel

policy for the regular management of hospital records.

To affirm and supplement information acquired through the interviews, the researcher conducted an inspection and survey of the central records unit room to observe first hand how the medical records are created, maintained and utilised.

## **Data Analysis and Presentation**

### **Medical Records Creation**

Medical record keeping processes begin when an out-patient reports to the hospital for treatment. Upon arrival patients are met and allocated casualty numbers (annual single number).

If the patient is then admitted to the hospital for treatment, a case file is opened and given a unique annual single number. For example, a typical case file might have a number such as 4048/98. Four thousand and forty-eight stands for the case file being the 4048th one opened that year, while 98 stands for the year of first attendance.

Medical records are created by Health Records Technicians in three organisational units: central records unit, out-patient and maternity units. The central records unit plays a supervisory role over the others.

A patient case file will normally contain the following information:

registration form with a patients personal details such as name, address, age and marital status

correspondence

Kardex card containing nursing notes

continuation sheet containing doctor's notes

treatment sheet

laboratory or examination results

copy of the discharge summary.

The central records unit also creates other forms of registers which are used to schedule and document clinical activities in various hospital units. They include paediatrics out-patient consultant registers, and others. These are used mainly to book appointments with consultants.

### **Classification of Medical Records**

Medical records are indexed to facilitate retrieval and compilation of data for statistical reports and research by Health Records Technicians. The terms used for indexing patient case files are derived from the standard codes of the *International Classification of Diseases* (ICD-10) Vol. 3 issued by the Geneva based World Health Organisation (WHO). A disease index card is maintained for listing all patients with particular diseases. It contains the following columns, namely title and diseases code number, age of patient, sex and occupation among others. Thus patients with particular diseases can be linked together for research and statistical purposes.

Coding and indexing is demanding as it requires technicians to be thoroughly conversant with medical terminology. The coding and indexing of external injuries, burns and surgery pose special challenges because there are no standard thesaurus of terms equivalent to the ones used in the International Classification of Diseases. In such cases, coding and indexing staff rely on terms written in by doctors.

### **Medical Records Maintenance**

Case files containing loose notes are stored on the floor in the central records unit. There is no storage equipment such as filing cabinets and drawers. Many of the patient case files are dormant and are stored in bundles of one hundred each (100) on the floor in the central medical records room. When file covers are not available, needles which have been used on patients are sometimes used to hold related paper together. There is no room designated for the storage of inactive files. The result is:

case files are dusty

file covers are mostly damaged

papers from the case files are frequently lost

security for the records is inadequate

access to the central records storage area is not restricted as the same room is also used as a working area.

### **Medical Records Use**

The study has established that medical records are used by the following categories of people:

patients who require appointments in the various consultant clinics

doctors and nurses who may need them to refer to patients history and medical notes in case of readmission. They can also be used for teaching and research purposes

medical students who require them for conducting research projects/class assignments and as reference material

health records and information officers who use them to compile medical statistics to be sent to the Ministry of Health Headquarters.

### **Access Policy**

The following actions are taken in the event that a doctor requests a patient case file:

for medical reasons, the doctor sends a nurse to retrieve the file and has to sign for it in the tracer book

for reasons other than medical, the doctor makes the request in writing. If the request is accepted, the Health Records Technicians enters the details in the tracer book and the doctor signs for it

upon return of the file by the responsible nurse or doctor, the tracer book is updated and the file returned to storage.

It is the hospital's policy that patients are not allowed to collect their files themselves. However, it was noted that this does happen from time to time, although it is against hospital access policy.

The study has established that patients' files are sometimes lost. In such circumstances, a patients discharge summary sheet is used to open a temporary file. The hospital does not maintain annual statistics of lost patients' case files.

### **Appraisal and Disposition of Medical Records**

Since medical records have legal implications, authority to dispose of them must be obtained from the Office of the Attorney General. Because Kitendawili has yet to establish a criteria for appraising and disposing of medical records, appraisal and disposition of medical records is irregular and haphazard. In fact the KNRTH hospital has never appraised or disposed of any records despite the medical records clerks having expressed the need to appraise and dispose of dormant files or have them transferred to a secondary storage area. However, a common practice has evolved of keeping case files for ten years upon discharge of the patient. Files dealing with diseases are kept for as long as possible to assist in cases where legal disputes may arise. Whereas it is generally accepted that medical case files need to be kept for a very long period, the absence of a formal policy results in the unnecessary storage of unwanted records. This situation exerts pressure on prime office accommodation since the hospital does not have a records centre or archives for the storage of inactive medical records. This stalemate has arisen partly because the Kitendawili National Archives staff has not conducted any survey of the hospital's records, nor has the hospital Health Records and Information Unit initiated any contacts with the national archives.

### **Use of Information Technology**

The Health Records and Information Unit has one IBM personal computer which uses a variety of software packages for a variety of applications: Fox-Plus for database management, WordPerfect for word processing and Excel for spreadsheets.

The computer system is operated and managed by the Deputy Health Records and

Information Officer and the Computer Analyst.

The computer is utilised for a number of applications:

compiling of cases for morbidity and mortality statistics

compiling a database for daily out-patient attendance

preparing staff schedules on a weekly and monthly basis

compiling a database on health surveillance.

Computer diskettes are used as a safeguard for data storage in case of computer failure, which often happens because of power fluctuations.

To access information on the computer, a password is used. This is restricted only to the Deputy Health Records and Information Officer and the computer analyst. The password system was introduced to prevent unauthorised people from accessing information stored in the computer. This was taken as a precaution after some problems were noticed. The computer has no printer and therefore it is difficult to access downloaded information. To print, information is saved on a diskette and printing is done at the medical superintendent's office. Storage equipment for computer diskettes is non-existent. This poses a serious risk for information security.

### **Medical Records Staffing and Training**

The Health Records and Information Unit has a total of 13 staff members who fall in three main categories:

two with diploma qualifications (HRIO)

seven with certificate qualifications (HRT)

four records clerks (untrained).

The discussion which follows focuses on the Health Records and Information Officers (HRIO) and the Health Records Technicians (HRT). It does not deal with untrained records clerks.

### **Health Records Technicians**

The Health Records and Information Unit has seven HRT who were trained at the Medical Training Centre, Kitendawili. The Health Records Management Certificate course lasts for two years and students undertake courses in the following areas:

anatomy

pathology

data classification

medical records management

statistics.

Upon graduation, they are employed and designated as health technicians Grade 3. The scheme of service provides for only 3 ranks:

Health Records Technician Grade 3

Health Records Technicians Grade 2

Health Records Technicians Grade 1.

The duties of health records technicians include the following:

coding and indexing of patient case files

compilation of medical statistics

issuing of clinical appointments

editing of case files.

The scheme of service does not provide for advancement beyond the highest grade in the cadre. There is no prospect of moving to the next cadre - Health Records and Information Officer - without further education.

### **Health Records and Information Officers**

There are two officers with diploma qualifications ie the Head and Deputy Head of the unit. They studied at the Medical Training School, Kitendawili. The diploma programme lasts for three years.

During the first year, students enrol for courses undertaken by Health Records Management certificate students. In the second year, they do courses in:

epidemiology

research methods

demography

records management

psychology

community health

medical demography

management studies.

Besides the above courses, students are normally required to undertake project work and computer training in the third year.

The scheme of service for Health Records and Information Officers provides for three cadres, namely Health Records and Information Officer Grades 3 to 1. Unlike the scheme for health records technicians, it is flexible and provides for upward mobility.

The major duties of these officers are:

- compilation of health statistics
- compilation of annual reports
- running and manning the computer
- supervision of health records clerks
- managing the health records and information unit.

## **Summary of the Main Findings**

The main findings of the study are as follows:

- the central medical records unit is not specifically designed for record keeping work or for records storage. The layout is poor and unsuitable for both records storage and as an office for records personnel
- no equipment is provided for the storage of paper records or of information and records stored in computer diskettes
- security for medical records is inadequate and access to the records room is uncontrolled
- not all staff involved in the management of records are trained
- there is no career structure for HRT which provides for advancement beyond the highest grade in the cadre
- computerisation is limited to the generation of medical statistics, reports and compilation of databases
- there is no appraisal and disposition policy for medical records
- the hospital has no secondary storage area for inactive medical files

## **Lessons to Draw from the Kitendawili Experience**

This study has a number of lessons which have wide application.

First, it depicts a lack of consistent procedures and practices and underscores the need for well-defined policies and guidelines to regulate the management of medical records. This sort of formal management framework is particularly important in ensuring:

- effective control over access to medical information
- accurate and timely appraisal and disposition of medical records
- regular transfer of inactive medical records to secondary storage to clear space for productive work activities.

Second, misplacement and occasional loss of medical records hampers or denies the

citizens right of access to appropriate medical services and treatments. Bad record keeping means unreliable information for planning and provision of efficient health facilities and services.

Third, although computerised systems for managing certain aspects of medical record keeping and for the compilation of medical statistics have been introduced, no proper linkage has been established between them and the paper record keeping systems which are inadequately structured and managed.

Last but not least, although the mandate of the KNA covers all public sector records including medical records, its staff lack specialist skills in the management of medical records. The general curricula for training archivists and records managers must incorporate content conveying essential knowledge and skills for managing medical records.

### **Recommendations**

Although the medical records and information unit has long appreciated and initiated procedures for managing medical records, it is necessary that these should be improved further to provide for effective management of medical records at the hospital. This study makes the following specific recommendations:

- 1 The Kitendawili National Archives should
  - (a) initiate contact with the hospital and work in partnership with it to improve the management of its medical records
  - (b) work with the medical community and senior managers at the institution to conduct a comprehensive survey to ascertain the state of medical record keeping and make recommendations towards establishing and managing an effective co-ordinated national medical record keeping infrastructure.
- 2 The KNRTH should empower the central records unit to undertake an operational effectiveness assessment with regard to the following outcomes:
  - (a) improved layout of the existing central records unit area to promote effective workflow and current records handling and storage as well as to provide suitable accommodation for staff
  - (b) suitable and secure intermediate storage for inactive patient case files.
- 3 Draw up, in consultation with stakeholders, a records retention and disposition schedule for medical records
- 4 Investigate the appropriateness of technology to improve record keeping effectiveness:
  - (a) computerisation to cover medical records creation, use, appraisal and disposition
  - (b) introduce microform technology for those records likely to be retained for a long time to assist in their disposal

- 5 Both the Kitendawili National Archives and the Kitendawili National Referral and Teaching Hospital should initiate work with health educators to:
  - (a) offer appropriate training in record keeping to hospital staff, especially those who have not received training
  - (b) provide refresher and advanced courses for all staff involved in managing medical records
  - (c) revise the scheme of service for HRT to provide linkages between cadres and avenues for further training to enable them to advance in their careers.

## **Study Questions or Exercises Based on the Case Study**

- 1 Identify the key divisions which constitute the KNRTH and the nature of medical records likely to be created.
- 2 Identify some of the problems associated with the classification of medical records and state how you are likely to solve them.
- 3 Describe the various data elements that constitute a typical patient case file, showing the importance of each record.
- 4 Discuss the problems experienced by records staff in the maintenance and storage of medical records at the KNRTH and propose solutions to these problems.
- 5 From your analysis of the case study, identify some of the professional, policy and technical problems that hamper the effective management of medical records at the KNRTH and suggest possible solutions to these problems.

### **Group Discussion Questions**

- 1 You have been asked to propose ways in which the KNA and the KNRTH could work together to develop a viable records management programme.
  - (a) Who should be involved in this exercise and why?
  - (b) What role should each stakeholder play and why?
  - (c) What problems and constraints will have to be overcome by the KNA in order to be actively involved in such an exercise?
- 2 What problems are you likely to face in developing a model retention schedule for medical records and how could you address them?
- 3 Training for medical records professionals:
  - (a) What should constitute a good training programme for medical records professionals?
  - (b) to what extent do the courses identified in the case study adequately cater for the training needs of medical records personnel in Kitendawili and why?

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# Appendix 1

## Interview questions with the officer in-charge of the medical records unit at the KNRTH

Name of respondent \_\_\_\_\_

Designation \_\_\_\_\_

Address \_\_\_\_\_

Tel. \_\_\_\_\_

### Part 1- Medical Records Creation

- 1 How do you create medical records?
- 2 State the types of medical records that you create.
- 3 Apart from medical records, what other records do you create?

### Part 2- Medical Records Classification and Use

- 4 How do you classify medical records?
- 5 (a) Do you experience any problems with the exiting classification systems?  
(b) If yes, indicate the problems.
- 6 Who are the main users of medical records?
- 7 Who has access or does not have access to medical records?
- 8 (a) Do you have any procedures for controlling the use of medical records?  
(b) If yes, state them.

### Part 3 - Medical Records Maintenance

- 9 Where do you keep medical records?

- 10      What type of storage equipment do you use for the storage of medical records?
- 11      What type of storage equipment do you use for medical records storage?
- 12      What problems do you currently experience in storing and maintaining medical records?
- 13      What measures do you have to ensure the control and security of records?

#### **Part 4 - Medical Records Appraisal and Disposition**

- 14      What criteria do you use to appraise medical records?
- 15      Do you have a retention schedule for medical records?
- 16      Do you have a records centre or archives?
- 17      Do you have any contacts with the KNA regarding the management of medical records?

#### **Part 5 - Use of Information Technology**

- 18      (a)    Do you have any computerisation programme for medical records?  
  
          (b)    If yes, how will it help the management of medical records?

#### **Part 6 - Staffing and Training**

- 19      What is the total no. of staff involved in managing medical records?
- 20      (a)    How many have training in medical records management?  
  
          (b)    Indicate the highest levels of training achieved.

# Central Children's Hospital Merger and the Archives

Barbara L. Craig<sup>1</sup>

## Abstract

The merger of two hospitals distinguished by different traditions of service, different types of patient and distinct histories raises practical problems of governance, planning and operations. However important these are, they are part of a larger problem of integrating different traditions in service to build new and shared esprit. Managers are aware of the operational and ideological issues facing them and invite proposals from their staff to address needs by building for the future.

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Barbara has been Chair of the Ontario Council of Archives, an officer of the Association of Canadian Archivists in many capacities, a Director of the Ontario Women's History Network and chair of the Canadian Council of Archives Preservation Committee. She is the Reviews Editor for the *American Archivist* and an active participant in the growing Health Archives Information Group (HAIG) in Ontario. A Canada-wide health archives information network, with a website and a 1-800 service, is operated under her direction.

Barbara has undertaken research into hospital archives in Canada, the United States and the United Kingdom. She has published widely on the history of record keeping, on the history of medicine and medical archives and on archive theory. Most recently she was the editor for *Archivaria* number 42 which was largely devoted to medical archives. The second edition of her booklet *Medical Archives: What They Are and How to Keep Them* and a monograph *Archival Appraisal: Making Ethical Choices* will be published in 1999.

## Introduction

In organisations experiencing change, especially those undergoing downsizing, managers must address many issues, not the least of which is the anxiety felt by staff and supporters of the organisation. What positive role can the records professional play in supporting transition, in providing services to units, in developing a key infrastructure for the new entity and in bridging the gap between the past, the future and the community? Is the record keeping professional a potential leader or only a careful follower? Does his/her role depend on a key placement in the official structure of an organisation? Or are the record keeping function and its service self-validating and independent?

*To maximise benefits of undertaking the case study*, students doing this case study should have a basic familiarity with major concepts of records management and archives services. A generalised knowledge of hospital operations is desirable but not necessary.

## Objectives

By thinking records and archives ideas in an environment in which these are not often integrated as part of the management of the institution, learners will

acquire skill in transferring concepts from one area to another

develop facility in adjusting the language of benefits/costs to an environment where money is devoted to people and not to infrastructure or resource management

apply record keeping perspectives and ideas in different functional areas, including health records, personnel management, information policy, and governance.

## Case Narrative

### Background Information

Central Children's Hospital (CCH) is a new corporate entity formed by the merger of two existing hospitals, each of which has a separate and distinct history and medical focus. The oldest, The Children's Hospital 'A' (CHA) began in 1890 as a voluntary charity providing residential care for children with chronic diseases. At the time of the merger, it has a capacity for 75 residents and operates several programmes for life enrichment, education and parent guidance and training. CHA moved to a new site and buildings three years before the merger. It has extensive property around the main core of buildings and plans to use its landed wealth to build endowment funds for the hospital. The residential nature of the hospital is emphasised in its design and by its stable and conservative management structure.

The Children's Hospital 'B' (CHB) was founded in 1950. It began as voluntary charity for treating acute conditions including polio, spina bifida, congenital diseases and birth defects, some the result of ante-natal drug therapy for the mother. It has a

capacity of 50 in-patient beds. However, its programmes are extensive and embrace many clients and patients who reside in the community. These services include a day school (capacity of 200), a rehabilitation programme (capacity of 80), and a prosthetics design and manufacturing laboratory. The hospital also manages a short-term stay motel at its site and has facilities for parent relief. CHB is located in a large property endowment shared by a number of medical facilities, which are loosely associated. They share security and property services. Its physical plant is extensive comprising five (5) buildings and associated shops and sheds. CHB's main building has been recently renovated to upgrade its facilities for teaching, including wiring for networked computers, film and video production rooms, and therapy laboratories, workrooms and exercise space.

The comprehensive new legal entity of Central Children's Hospital was created as a result of health care rationalisation and restructuring. The two sites of the previous hospitals will house CCH operations for the foreseeable future; no purpose-built joint site is planned. However, services and systems will need to be merged and rationalised. Early planning forecasts a reduction in total residential beds, concentrating them on the CHA site, while converting the residential beds at the CHB site into temporary and short-term accommodation.

There are three areas in which integration will need to be accomplished. Human resource management including employee pay, benefit and pension administration will need to be rationalised, streamlined and united. Currently there are four unions accredited to represent employees, two at CHA and two at CHB. The same or substantially similar jobs at CHA and CHB are subject to different work arrangements in hours, duties and compensation. Financial accounting, including accounts payable and receivable, will need to be integrated. Each institution maintains a number of distinct accounts for money from charitable sources and each has a number of special requirements for reporting and accounting. CHA and CHB use the same firm of auditors.

The accounts in CHA have been recently converted to electronic form. Those of CHB are maintained manually in ledgers and cards. A major record keeping responsibility and information service is the patient record. CHA and CHB maintain records in hard copy as the final record of patient care and service. Recently, CHB introduced a Patient Information System (PIS) using networked computers donated by a supporter of the hospital. The laboratory, pharmacy, imaging/x-ray, nursing service and prosthetics design unit participate in the PIS which is accessible throughout the hospital on a password basis.

The integration of patient services and administrative systems across the sites is a priority for the newly appointed chief executive officer. A Transition Team, the TT, recently established by the new board in consultation with the chief of each hospital, has identified four key areas, which will need to be tackled in the merger:

- a consolidated system for asset control

- an integrated patient records system in paper and microfilm

- the development of a logical and sustainable technology plan

- an active programme of training to promote shared purposes and goals.

# **The Case Problem**

## **Governance**

CCH will be governed by a board whose members will be appointed by the State Hospital Authority from nominees proposed by the members of the current board. This community-based method of governance also operates at CHA and CHB. Service on the board is voluntary and unpaid. The new board of CCH, which was recently announced, includes members nominated from the former voluntary chronic care hospital, CHA, which was operated as a charity by women, and from the former acute care hospital, CHB, which was owned and operated by a charitable organisation whose members were restricted to men. The new board is anxious to get the personnel and organisational structures of the new hospital amalgamated quickly but is concerned that damage may be done, to morale, to quality services and to community support by merging departments and services which have no history of working together.

## **Volunteer Component**

Although health care is funded by the state, voluntarism is encouraged. Hospitals could not operate without the services of their auxiliaries, supporters, volunteers and donors. The voluntary tradition is strong and the needs continue: hospitals are, as a consequence, keenly aware of their place in communities and their ties to them. CHA and CHB had strong ties into the voluntary sector, and the new entity is concerned that these long-time allies be converted to equally active supporters of CCH.

## **Record Keeping**

The state places few mandatory controls on the structure of hospitals, on their operations or on the management of records making and keeping. Hospitals develop their systems according to their own likes and needs, with the exception of records about patients in care or clients receiving services. All clinical records are carefully controlled by statute and regulation in form, content, access, and use. Disposition is not specified and the hospital may or may not destroy their records after the expiration of statutory requirements. No other records are subject to special regulatory provisions beyond those in place for the guidance of all corporations in keeping minutes and in recording their financial obligations. A central hospital association has developed guidelines for record keeping incorporating precepts from the literature on records management but compliance with these are voluntary.

## **The Archival Component**

CHA established an archive as part of its centennial celebrations. The archivist, a part-time employee with previous experience in the hospital as director of clinical records, operates under a mandate from the CHA board to identify and care for the CHA historical material. He has acquired much of the forgotten historical documents stored in CHA. He has also developed an active acquisition plan for bringing in related materials held by the families of prominent individuals who served on the hospital board. The archivist has a mandate from the board to identify and care for the historical records of value to CHA. The archivist has worked closely with the medical director and medical records librarian to develop ways to provide controlled access to old clinical records for special research projects.

At the time of the centennial celebrations, one-time-only (OTO) funds were provided to deacidify the minutes and rebind them, to film vital records and to copy the historical photographs and plans of the hospital in all of its previous sites. These have been digitised onto CD-ROM and are searchable by a personal computer. The archivist has upgraded his education, taking courses offered by the archival association, and has joined local branches of the archives and records societies. There is no archival perspective in place at CHB. However, as no material has knowingly been destroyed, it is assumed that most of the records are still on site in the many outbuildings that are also used for storing furniture and equipment.

## **Predecessor Entities, their Operations and Documentation**

Over time, CHA and CHB developed different structures for administration and for client services. They share little beyond their common focus on children.

### **CHA**

CHA's structure is traditional. A superintendent of the hospital acts as the chief executive officer (CEO) of the board and is an ex-officio member of it. The current superintendent is a professional hospital administrator with many years of service. She is going to retire before the merger takes place. Client services are oriented to medical practice. The chief medical officer is also a member of the hospital board. The medical staff comprise visiting consultants and two junior resident physicians. The bulk of the permanent employees in patient service are specialised nurses, teachers, psychologists and therapists.

A small clinical records department is responsible for managing the residents' files - the files have been kept in a unit system since 1940 and are largely static because the population is residential. The medical records director and two part-time staff book appointments and control registration. The department handles all typing for the files and coding of records. As a service to the visiting staff of consultants, many of whom have active research programmes in the area of childhood problems, the staff has developed a unique system of cross reference internal to the files. A key responsibility of the medical records staff is coordinating continuing reference to the files once the resident has moved on to an adult facility. Files are viewed as a long-term asset for research and they have been filmed for added protection and to reduce bulk.

## **CHB**

CHB follows a team model for delivering its services. The executive director coordinates leaders of discipline teams and is the administrative head of the central division of support services. This unit undertakes all common functions for the hospital including personnel administration, payroll management, physical plant and records management. The latter unit includes only the clinical and educational records of the hospital. The files for each patient, whether a resident, a school pupil, or a temporary client for some special service, have been kept in a unit file system since 1975. Earlier records exist in separate systems according to service or department. The records manager ensures consistency in documents, provides typing and copying services and abstracts information for insurance and other purposes. The unit also handles booking, residential accommodation for temporary periods and registration for services. CHB also sees its records of client services as permanent. However, they have not had the time to revisit the management of the pre-1975 residue. The new PIS has been active for about six months: it has not been evaluated yet for its effectiveness, use, and potential for the future.

## **The New Merged Entity: CCH**

The merger of CHA and CHB into one corporate entity was announced in August. The new entity, CCH, will be legally operational on the following January 1. Existing sites and buildings will be kept. However, the structure of CCH will differ from either of its predecessors. CCH will have a board as the authority for governance of the hospital, continuing the tradition of voluntarism which both share. The chief administrator will be a member of the board with the title of president. The person appointed to the new position is the current chief executive officer of CHB. Vice-presidents will head divisions of personnel, finance, operations support and technology. A director of professional services will oversee the clinical and education departments. Each of these sections will have administrative heads. At the preset time the arrangement of service into fluid discipline teams is not being considered. It may be introduced selectively, later, when the new entity is operating smoothly. The new structure for CCH has been developed on paper, job descriptions have been prepared and personnel are being interviewed to fill the new positions.

One of the first actions of the new board and president was to appoint a Transition Team (TT) comprising key personnel from the two existing hospitals and the new board. Its task is to coordinate the merger and integrate services. The TT does not expect that there will be any significant reduction in the actual number of staff in the new configuration. This fact has been communicated to all staff. The demographics of employment indicate the attrition by retirement may reduce the complement naturally. However, the TT is aware that the different traditions of management and different focus on their patient population may inhibit the emergence of a new shared tradition. These attitudes and mindsets comprise obstacles that are barriers are real and influential on staff.

## **The Current Situation and Its Challenges**

The TT has a fund to support initiatives that will assist the integration of people and services. In August the TT issued a Request for Proposals (RFP) inviting the staff of either hospital to initiate special integration-oriented projects. The RFP asked for an explicit definition of the project - what it would do, who would do it and how long it would take - and required applicants to list details of the project's expected products, costs and benefits. A deadline of September 15 was set for receiving proposals. The TT immediately established a weekly newsletter to inform staff of proceedings. A new corporate logo was approved in early August to identify all transition documents and communications, including letters, posters and memoranda. The TT also adopted the motto 'Care in the Community' to be part of CCH official communications and to identify promotion spots on radio programmes and for other voice communications, such as the automated telephone information system. The device of allowing projects to come from within proved to be an astute move by the TT. By September 15 the TT had received several proposals addressing areas of integration.

## **The Archival Function of CCH**

The archives was considered a simple matter to settle. One of the first acts of the new board was to appoint the existing archivist to a new position as archivist for the new corporation. The position would be part-time and the archivist would report to the new vice-president of operations support. A mandate for the archives, using the wording of the existing mandate for CHA, was passed by the board at one of its first meetings. It assigns the archivist responsibility for the identification and care of the permanent records of the new hospital. The archivist's small budget for equipment and supplies was also entered as a line item for the new corporate entity. The new CCH archives was assigned space next to the clinical records department at the site of CHB, the predecessor hospital which did not have an archives or a programme for managing records officially. The archives and the archivist moved from the site of CHA to CHB in early September.

The archivist perceived an opportunity in the transition process. The nature of that opportunity became clear when the decision was made to move the archives to the site of CHB. Alert to the possibility for a change in the role and responsibilities of the archives and mindful that there were to be, on offer, considerable OTO resources to support this change, the archivist acted. He saw the priority areas of interest identified by the TT to be an open door inviting proposals for corporate records and information services. He further realised that the merger posited an unprecedented opportunity to advance the idea of record keeping standards across the new corporation, to establish the credibility of records professionals, and to promote the value of the archives as a source for information. The archives already had a strong ally in the clinical records departments. The archivist was especially interested in expanding these relationships and building a new corporate esprit. Addressing the wider issue of record keeping was one way to achieve all goals seamlessly.

The archivist's proposal to the TT directly addressed their areas of concern and spoke to the needs of the corporation as a whole. His plan matched their agenda with recorded information proposals.

## **Scenario**

For this case study, imagine that you are the archivist for this new amalgamated organisation. As the archivist, your task is to seek partners in the hospital to work with you in developing a strong proposal. You will need to establish a vision of what you want to achieve, focusing on the contribution that records professionals, generally, can bring to the new institution and specifically to meeting the goals of the TT. You will need to identify constraints and opportunities you see. You will need to prepare a proposal that is workable, supported by clear evidence of planning. You will need to identify your products in terms of documents, accomplishments for the hospital and their potential for further development in the future. You will need to assess the situation to identify structures and/or programmes which may either be strong bases for you or critical areas in which your contribution will build for the future and be seen to do so.

## Appendix 1: Original Mandate for Archives

### Central Childrens Hospital

‘Care in the community’

Archives policy:

CCH/01/12

Subject:

Issued:

**ARCHIVES**

**199-/01/10**

Supersedes:

### Policy:

CCH archives collects, preserves and makes available records pertinent to the functions of the institution

### Rationale:

Records are required for their value in administration, the law, finance and history.

By arranging and preserving records, the hospital intends to leave a legacy to future generations as to WHY the hospital was formed, WHAT its priorities were, WHO wielded major influence, HOW the hospital expanded, HOW it adapted to changing times, HOW the institution views itself.

## **Appendix 2: Request for Proposal (RFP) Form**

### **Transition Team      Request for Proposal**

**Total Cost:**

(Include supplies, OTO personnel costs and cost of time for existing staff)

**Project summary:** 1 paragraph

**Project deliverables:** (list)

**Project time frame:**

**Resources requested:**

Item:

Rationale:

Cost:

(repeat as necessary)

**Note to applicants:**

The Transition Team is looking for innovative but workable proposals. These should address one or more of the needs of the new hospital. We encourage projects that build teams from different units and contribute to the accomplishment of one or more of the hospital's tasks in the merger. A successful proposal will reflect the hospital's mission of service to the community. Serious consideration will be given to well-defined projects that demonstrate thought and planning.

### **Appendix 3: Work sheet - Opportunities and Constraints Related to TT issues**

(Considers issues such as structural/organisational issues, money, emotion and team building).

| <b>Opportunities</b> | <b>Issues</b> | <b>Constraints</b> |
|----------------------|---------------|--------------------|
|                      |               |                    |
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## Appendix 4: Work sheet - Opportunities and Constraints Related to TT Tasks

[illegible]

# Teaching Notes

## Synopsis

### Brief Overview of the Case

The merger of two hospitals into one downsized corporate entity was the opportunity for the archivist to advance the benefits of a corporate perspective on records making and keeping across the new hospital and its sites. The key lessons are: the importance of individual initiative; the role of up-to-date professional knowledge; the importance of sensitivity to the concerns of senior managers; the continuing use of the centre for records as a hook to convert departments to record keeping values; and building on achievements to advance specific goals for record keeping and using these to embrace and further the general goals of the hospital.

## Educational Objectives

### Objective and Learning Points

The case study and the exercise that follows should highlight the potential key role of a records professional, especially an archivist, to contribute positively to the merger of distinct units into one new corporate and clinical entity by establishing systematic procedures for a records. Depending on the level of knowledge of the group doing the case study, these contributions can be basic - a full inventory of records supplemented by schedules and controlled storage for dormant records - or advanced as in the design of systems for inventory and asset control and for electronic record keeping. The case also highlights the potential of the records professional, especially an archivist, as an advocate for shared pride in accomplishments. It can underscore the contribution of records professional to re-engineering, as advisor and mentor on record keeping matters (no statutory authority), as architect of shared identity, and as advocate for the virtues of accountability in community relations. It can be used to demonstrate how a marginal unit can move to a central role if the professional is alive to the opportunity of a situation. Nothing is expected beyond the normal skills and knowledge of a records professional. But getting these perspectives integrated into an organisation with no history of services for records, other than clinical records, can be a very difficult sell.

The appendices show achievements from a real case and may be introduced by the instructor when appropriate. The archives mandate is simple. The second mandate, the 'Archives and Information Management Policy', reflects the changed role of the archivist/records manager following considerable work in the hospital. It gives a sense of the increased responsibilities of the office were added after the merger and accomplished as a result of the projects undertaking in the transition phase.

## Discussion Outline/Question Set

This case permits the student to focus on the services that record professionals can provide in supporting a variety of institutional needs. The best way to do this is to have the class prepare the project proposal for the TT, identifying areas in which the records professional can participate and developing arguments to support the importance of record issues to the hospital. The plan prepared by the 'real life' archivist in this case is just one of what could possibly be many different proposals. The 'real' plan is not advanced as a model of completeness nor does it exhaust all possibilities. For this reason I have not included it in the case. However, many of the questions below allow aspects of that 'real' plan to emerge.

Before beginning to develop the proposal, it is useful to involve the class in talking about the constraints of the situation. These are perhaps the easiest for novice students to identify. After all, it is not common to find archives in hospitals or to find a corporate view of records and information across services, departments and responsibilities. The teacher can be the facilitator, or a student can undertake this job allowing the teacher to be a coach for the group.

- a. What are the constraints of this situation for a part-time archivist in one hospital?

Under resourced and therefore may be unable to take advantage of a situation.

Only seen as relevant to one of the institutions in the merger.

Not seen as a player in the management of daily operations.

Association with history not seen as relevant to needs.

Poor understanding of records issues and values among managers generally.

Spotlight on clinical records overshadows others.

Other questions could be asked by the teacher including some related to the impact of using untrained personnel in records work and the implications this has for patients, the community and for archives and records management associations.

The next area to address are the threats to records generally and the archives specifically when organisations are downsized and merged. Although the threats in this actual case were only potential, it is wise to look at these now. Moreover, you can expand this to embrace record keeping in general.

- b. What is the threat to the archivist in this situation?

Possible further marginalisation as urgency of situation may make archives concerns even more marginal.

Outsourcing of archives and loss of position.

Possible liability from no profile or experience in CHB.

Records issues submerged in concerns (legitimate though these are) for people and jobs.

Record issues can also be overshadowed by the spotlight that available money inevitably casts on technologies. Possible investment in technology before the record making and keeping systems are ready for the transition.

Problem of uniting disparate issues under the rubric of records or recorded information.

The next area to address with the class is a scan of the environment especially to identify the natural opponents and supporters of records and archives. This list can help the student see that there are some potential supporters in a variety of areas in the organisation.

c. Who are the natural allies/enemies?

CHB not a natural ally and must be converted.

Other units may vie for transition money and are therefore competitors.

Departments with poor track records of managing their records may see the archivist's proposal as unnecessary - argument for the status quo from tradition. Important to recognise the implicit criticism that the proposal may carry with it.

Possible allies in patient services - need to address their needs for storage, security and control.

Board members, possibly others from CHA, may already see archives as continuing identity and memory. They may be more easily convinced of the need to move the process of managing records further upstream to the active stages.

TT may be converted to be allies if the plan speaks directly to their needs.

Modest plan may bring large returns.

The final part of the lesson would be to have the class develop their proposal for the OTO funding from the transition team. The best way to get them into this is to start off having them identify the elements that would be part of the proposal. If the class is advanced, you might even get them to divide into teams, do the plan, and then present their proposal to the class. Presentation skills could be further developed in this exercise. For novice learners, it is better that the teacher takes the lead in this exercise. A form (in appendix) could be used to arrange the proposal as it develops in class. It contains heads for the priority areas in the TT's RFP. Ideas can be arranged under these as they are seen to be pertinent by the class.

d. What elements would be part of your proposal to the TT? What would be the product? What would be the benefit?

Asset and space control through inventory.

Legacy management to minimise risks from loss in transition.

Remove problem from many units and make concern of one.

Outcomes conform to recommended institutional standard - possible leadership role.

Reduce claim on space for materials by cutting duplication and controlling dormant records for reference.

Focusing the legacy of CHA and CHB in the archives. Building a record of shared experience in the new CCH.

Integrating the operation of the hospital with the management of records and with the archives.

Schedules to cross departments by function - benefit, schedules are rendered immune to the impact of administrative change. Proposal builds controls for the future.

The Weekly Report to carry profiles of the departments, staff, and histories of the units.

Website management on behalf of the corporation. Ensure control of content and of archiving.

Develop records classification and control systems independent of technology - make transition smooth and contribute to the effectiveness of new technologies.

The establishment of a central, controlled centre for dormant records from the predecessor hospitals.

In the 'real' case the archivist also proposed that the archives be integrated with the new corporate website and that money be assigned to permit the digitisation of the photographic archives of hospital CHA and CHB. These would be accessible. He also proposed a training programme for staff in the traditions of service and excellence of the hospital, and on the system for managing records creation and disposal. His budget asked for OTO funds for assistants (2) for 6 months. He also proposed that his budget line be increased to full-time service. The products he identified were consolidated schedules by function, record centre space, a complete inventory, and a training programme under the logo of the new corporation.

## Appendix 5: New Archives and Information Mandate

**DRAFT**

**CCH**

**‘Care in the Community’**

|                                                                                                                      |                |                         |
|----------------------------------------------------------------------------------------------------------------------|----------------|-------------------------|
| SUBJECT/TITLE:<br><b>ARCHIVES AND INFORMATION MANAGEMENT</b>                                                         | POLICY NUMBER: | PAGE:<br>Page 17 of 258 |
| RESPONSIBILITY FOR REVIEW:<br>Archives and Information Management                                                    | DATE ISSUED:   | DATE REVISED:           |
| APPROVED BY:<br>Access, Security and Confidentiality Committee<br>Regional Information Management Steering Committee |                | DATE REVIEWED:          |
| RELATED POLICIES:<br>Records Destruction<br>Transitory Records                                                       |                |                         |

### **I DEFINITIONS**

**Archival record:** record identified as complete, reliable, and authentic documents of the nature and development of the health system in ..... and area and preserved for its enduring documentary value; archival records are identified in a records retention schedule or as part of the process of archival appraisal.

#### **Archives:**

15. The whole of the archival records of an identifiable person, organisation, or function.

16. The function, programme, facility or organisation responsible for maintaining custody of archival records under conditions which ensure their continuing preservation.

**Active record:** record required for the day-to-day functioning of an agency or office and referred to frequently; active records are kept and maintained in space or equipment close to users.

**Inactive record:** record, not designated an archival record, for which active and semi-active retention periods have lapsed and which may therefore be destroyed.

**Information Management:** activities and functions for creating, keeping, and using complete, accurate, and reliable records effectively.

|                                                              |                   |                      |
|--------------------------------------------------------------|-------------------|----------------------|
| SUBJECT/TITLE:<br><b>ARCHIVES AND INFORMATION MANAGEMENT</b> | POLICY<br>NUMBER: | PAGE:<br>Page 2 of 5 |
|--------------------------------------------------------------|-------------------|----------------------|

**Record:** documents containing data or information of any kind and in any form or medium, created, received and maintained by an organisation or person in the transaction of business and kept as evidence in support of such activity; does not include computer software or any mechanisms that produce records.

**Records classification:** the process of organising records within a consistent system designed to ensure that the records are effectively preserved and retrieved when needed.

**Records retention policy:** a regional policy document listing and establishing periods for retaining records onsite, offsite, and for establishing final disposition.

**Records retention schedule:** a register of specific records or records units generated by a Department designating how long and where they will be maintained and documenting all transfers and destruction of records, in accordance with common records retention policy.

**Regional portfolios:** all functions, sites, agencies, staff, or officials organised under a chief regional officer.

**Semi-active record:** record required to be retained for an established time but referred to infrequently and stored in low-cost, off-site records storage space.

**Transitory record:** record of very short-term use and significance and are not part of an organisation's record keeping system. They include copies or duplicates of records and information, relate to routine and typically short-term transactions, or contain little or no valid evidence of business transaction.

**Vital records:** records essential to the continued functioning of an organisation during and after an emergency, documenting the essential rights and interests of the organisation, employees, clients, and the public.

## II RATIONALE

This policy establishes overall policy, authorities, roles, and responsibilities for a region-wide archives and information management programme. The goals of this programme are:

1. To develop and enhance CCH records and archives as an integrated regional information resource supporting effective delivery of health services, corporate accountability, legal status and rights, policy and planning, medical and scientific research, and historical documentation and research;
2. To create and maintain records systems which support freedom of information and protection of privacy within CCH in compliance with legislation;
3. To promote and facilitate efficient and cost effective creation, disposition, retrieval, storage, and preservation of CCH records and archives.

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|--------------------------------------------------------------|-------------------|----------------------|
| SUBJECT/TITLE:<br><b>ARCHIVES AND INFORMATION MANAGEMENT</b> | POLICY<br>NUMBER: | PAGE:<br>Page 5 of 5 |
|--------------------------------------------------------------|-------------------|----------------------|

### **III POLICY**

All records, in all formats, created and received by CCH officials and employees in the course of their duties and functions on behalf of CCH are property of CCH and are subject to this policy.

1. All CCH employees, officials, and contractors properly document transactions by creating and maintaining the integrity of records that meet documentation standards of completeness, accuracy, reliability, and authenticity.
2. Employees leaving CCH or changing positions within CCH leave all records generated as part of their former responsibilities for their successors.
3. The CCH develops and maintains policies for the retention and destruction of records based on the legal, administrative, operational, financial, and research needs through the development and maintenance of appropriate records retention schedules, procedures and systems.
4. No records of CCH are destroyed without authorisation by an approved records retention schedule or in accordance with regional transitory records policy.
5. Archival records are transferred to the custody of the CCH Archives following records retention policy and approved records retention schedules.
6. The CCH provides services to coordinate and assist Departments in implementing an information management programme, including records classification, records retention scheduling, semi-active records storage and retrieval, vital records programmes, and archives preservation.
7. All CCH records are transmitted, maintained, transferred, or destroyed in secure conditions and following procedures, which protect the confidentiality of personal or third-party information in compliance with the *Freedom of Information and Protection of Privacy Act* and other relevant legislation.

### **IV PROCESS**

#### **1 Archives and Information Management (AIM)**

- a) Archives and Information Management (AIM) serves as a regional administrative support function to coordinate and facilitate information management throughout the CCH. Trained and experienced archivists and records managers staff AIM. The responsibilities of AIM include:
  - i) developing information management policies, guidelines, procedures, and standards
  - ii) conducting research and developing proposals on archives and information management legislation relating to CCH

|                                                              |                   |                      |
|--------------------------------------------------------------|-------------------|----------------------|
| SUBJECT/TITLE:<br><b>ARCHIVES AND INFORMATION MANAGEMENT</b> | POLICY<br>NUMBER: | PAGE:<br>Page 5 of 5 |
|--------------------------------------------------------------|-------------------|----------------------|

- iii) developing and maintaining a records retention policy for the CCH
  - iv) developing and maintaining a comprehensive registry of all records retention schedules and records and archives inventories developed and submitted by Departments
  - v) providing advisory, interpretive, and training support to Departments and Information and Privacy Advisors in implementing effective information management
  - vi) reviewing and evaluating Departments for compliance with the archives and information management programme
  - vii) providing and coordinating a service for secure and cost-effective storage and disposition of semi-active and inactive records
  - viii) developing and maintaining a facility and service for appraisal, disposition, preservation, and access to archival records of CCH
  - ix) acquiring, preserving, and providing access to archival records of non-CCH organisations and persons related to the history of health care in the .....
  - x) promoting awareness and appreciation of the history of health care in the ..... region.
- b) The Records Management Co-ordinator is responsible for the overall operation of the Archives and Information Management function. The Records Management Coordinator approves records retention schedules submitted by Departments.

## **2 Departments**

- a) Each Department is responsible for implementing and maintaining a comprehensive information management programme within the following regional policies, procedures, and standards, including:
- i) developing and maintaining an implementation plan for information management within the Department
  - ii) developing and reviewing records retention schedules for approval by the CCH Records Management Coordinator
  - iii) co-ordinating transfer or destruction of records according approved records retention schedules and ensuring that records are transferred or destroyed on a regular basis
  - iv) implementing an effective records classification system for all administrative and operational records within the Department
  - v) implementing a vital records programme and disaster plan for the Departments in concert with other departments

|                                                              |                   |                      |
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| SUBJECT/TITLE:<br><b>ARCHIVES AND INFORMATION MANAGEMENT</b> | POLICY<br>NUMBER: | PAGE:<br>Page 5 of 5 |
|--------------------------------------------------------------|-------------------|----------------------|

- vi) ensuring that adequate resources are made available to implement the information management programme for the Department, including professional information management service contracts and personnel.
- c) Each Department or group of Departments (as approved) appoints Information and Privacy Advisors who serve as a liaison with Archives and Information Management on the implementation, status, and performance of the information management programme within the Department(s) , including:
  - i) ensuring that Department(s) information management conforms with policy;
  - ii) reporting on the status and effectiveness of the information management programme within the Department(s) to Archives and Information Management.

### **3 Access, Security, and Confidentiality Committee (ASCC)**

The Access, Security, and Confidentiality Committee (ASC) provides broad input and a final authority for implementing the information management programme at CCH. The Access, Security and Confidentiality Committee:

- a) reviews and approves common records retention records policy as submitted by Archives and Information Management;
- b) reviews and provides consultation regarding Archives and Information Management policy, procedures and directives.

### **4 Information and Privacy Coordinator**

The Information and Privacy Coordinator regularly consults with and advises the Records Management Co-ordinator to ensure:

- a) information management meets retention, preservation, retrieval, and description standards required by the *Freedom of information and Protection of Privacy Act*;
- b) co-ordination of duties and responsibilities of the Information and Privacy Advisors.

## Appendix 6: Records Retention Schedule: Procedures

CCH

Records Retention Schedule  
Procedures

‘Care in the community’

### Archives and Information Management

#### Purpose

The purpose of CCH Records Retention Schedule process is twofold: to ensure accountability for the maintenance and destruction of CCH records and to identify and maintain CCH records efficiently throughout their life cycle of activity.

#### Process

The process for sending records to semi-active storage, **CCH Archives** or destruction starts with your functional area preparing your records for transfer, filling out the forms supporting the transfer, and acquiring approval from **AIM** for the movement of your records. Once you have received approvals you can continue the process as **AIM** directs.

##### *Step One: Account Setup*

If your office needs semi-active records storage services, ensure that you have set up an account for these service through **AIM** by using the attached **Account Setup**. As part of the account setup, complete a standing purchase order to cover annual service costs using the attached service fee schedule. Complete the form and return it to **AIM**.

##### *Step Two: Series Register*

The attached **Series Register** form describes your records and assigns retention periods according to established policy. Once completed for the records described, the **Series Register** can be used for all future transfers or destruction of the records.

Divide your records into record series. A series is a grouping of records according to type or function (e.g., patient files, purchase orders, correspondence files). List and describe the series using the table categories in the form. This form must accompany the **Semi Active Storage Transfer Order**, the **Archives Transfer Order** or the **Records Destruction Order**.

##### *Step Three: Transfer or Destruction Orders*

Following the policy in the Series Register, use the **Semi-Active Transfer Order** to authorise transfer to semi-active storage, the **Destruction Order** to authorise

destruction of records, or ***Archives Transfer Order*** to authorise transfer to CCH Archives. For each form, complete Section I, attach applicable ***Series Register*** and forward for approval to **CCH Archives and Information Management (AIM)**.

*Step Four:*

Upon notification of approval of the form, obtain ***Records Transmittal Forms*** (obtained from the storage contractor) and arrange for transfer of records to contractor facility.

*Step Five:*

For your future reference, retain copies of documentation supporting the transfer or destruction orders.

**AIM** recommends you review all forms prior to commencing the transfer or destruction orders. You may require clarification or explanation regarding the various steps involved. Please contact **Archives and Information Management** ..... when questions arise or if you have suggestions for improving the process.

## Appendix 7a: Example of Functional Series Register

CCH

‘Care in the Community’

Archives and Information Management

Records Retention Schedule

Series Register

|        |                              |       |       | Regional Portfolio Name | Division / Section Unit / Programme (Office of Record) |        |    | Series Register #                                 |     |
|--------|------------------------------|-------|-------|-------------------------|--------------------------------------------------------|--------|----|---------------------------------------------------|-----|
|        |                              |       |       | Acute Care              | Clinical Neurophysiology - FMC                         |        |    | 99-11                                             |     |
| Item # | Series Title and Description | Media | Dates | RRG                     | Closure                                                | Active | SA | Disposition                                       | PIB |
|        | EEG Recordings               | paper | -     | 21100                   | Report Completed                                       | 5      | 5  | Retain 2 years past age of majority, then destroy | Yes |
| 2.     | EMG Recordings               | paper | -     | 21100                   | Report Completed                                       | 5      | 5  | Retain 2 years past age of majority, then destroy | Yes |

|                                                            |            |       |                          |            |       |
|------------------------------------------------------------|------------|-------|--------------------------|------------|-------|
| <b>Office of Record Manager Or Designate Authorisation</b> |            |       | <b>AIM Authorisation</b> |            |       |
| Name:                                                      | Signature: | Date: | Name:                    | Signature: | Date: |

**Item No:** The number given to each series (item) as listed on this series register (1, 2, 3 ....)  
**Series Title and Description:** Descriptive title of records series and content or function  
**Summary:** A records series is a series of files, documents, or data grouped together as part of common function, format, or organisation system (e.g., patient/client case files, unit administrative files, research project database, EEGs) with the same records retention policy.  
**Media:** Media format type (e.g., paper, photographs, digital, microform)  
**Dates:** Start date of series. If series is closed, provide inclusive dates, e.g. 1985-1990  
**RRG:** Assigned number from CCH Records Retention Guide

**Closure:** The time when the file is closed for immediate use and the retention schedule is triggered. FY=fiscal year end, CY=calendar year end, SO =superseded or obsolete.  
**Active=**Active retention in office in years  
**SA=**Semi-Active retention in off-site storage in years  
**Disposition:** Final disposition options: D=Destroy, A=CRHA Archives full retention, SR=Selective Retention

## Appendix 7b: Example of Order for Transfer to Semi-active Storage

**CCH**

**‘Care in the Community’**

Archives and Information Management

**Records Retention Schedule**

**Semi Active Storage Transfer Order**

### Section I

|                                                                                                    |                                    |                                                                                                 |                                                 |
|----------------------------------------------------------------------------------------------------|------------------------------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------|
|                                                                                                    |                                    |                                                                                                 | <b>AIM ID #</b><br>AC001                        |
| <b>Office of Record Information</b>                                                                |                                    |                                                                                                 |                                                 |
| <b>Department Name</b><br>Acute Care                                                               |                                    | <b>Division / Section Unit / Programme</b><br>Clinical Neurophysiology - FMC                    |                                                 |
| <b>Contact Person</b><br>John Doe                                                                  |                                    | <b>Phone #</b><br>670-1508                                                                      | <b>Fax #</b><br>                                |
| <b>Location</b><br>Site: FMC                      Floor :                      Room: C110          |                                    |                                                                                                 |                                                 |
| <b>Transfer Details – attach applicable Series Register</b>                                        |                                    |                                                                                                 |                                                 |
| <b>Series Register #</b><br>(if known)<br><b>99-11</b>                                             | <b>Item Numbers</b><br><b>1, 2</b> | <b>Estimated Volume</b><br>Containers: _____ boxes<br>Shelf / Cabinet space: _____ linear feet. | <b>Proposed Transfer Date</b><br>____/____/____ |
| <b>Office of Record Authorisation</b><br>Name (print): _____ Signature: _____ Date: ____/____/____ |                                    |                                                                                                 |                                                 |
| <b>AIM Authorisation</b><br>Name (print): _____ Signature: _____ Date: ____/____/____              |                                    |                                                                                                 |                                                 |

### Section II

|                                             |                                           |                  |                     |
|---------------------------------------------|-------------------------------------------|------------------|---------------------|
| <b>Transfer Verification (AIM use only)</b> |                                           |                  |                     |
| <b>Job #</b>                                | <b>Date Transferred</b><br>____/____/____ | <b>Cubic ft.</b> | <b>Verified by:</b> |

**Office of Record** – the office or unit directly responsible for creating and maintaining the records.

**AIM ID #** - a unique number assigned to your office by AIM.

**Department Name** – provide the name of the Department(s) responsible for the office or programme creating the records. e.g., Acute Care, Population Health, etc.

**Division/Section Unit/Programme** – provide the name of the Office of Record, i.e., the functional programme or unit immediately responsible for the creation and maintenance of the records.

**Contact Information** – name and communication numbers for the person coordinating this process at the office of record.

**Location Particulars** – indicate where the records are situated.

**Series Register #** - a unique number assigned to the schedule by AIM.

**Item Numbers** – the range of numbers listed on the attached *Records Retention Schedule Series Register*.

**Estimated Volume** – if the records are already boxed, provide the number. Estimate shelf and cabinet space in linear feet.

**Proposed Transfer Date** – the date these records will be boxed and labelled for transfer.

**Office of Record Authorisation** – name and signature of manager or designate.

**AIM Authorisation** – Records Management Coordinator or designate.

Complete Section I, attach Series Register, and submit to AIM for approval. Upon receipt of approval, complete all records transmission lists required by storage contractor and arrange for transfer.

**If you require help completing this form please contact Archives and Information Management**

## Appendix 8a: Example of a Functional Series Register

Central Children's Hospital

'Care in the Community'

Archives and Information Management

Records Retention Schedule

Series Register

|                                      |                                                                                                   |                                   |
|--------------------------------------|---------------------------------------------------------------------------------------------------|-----------------------------------|
| Department Name<br><b>Acute Care</b> | Division / Section Unit / Programme (Office of Record)<br><b>Medical Ambulatory Care Services</b> | Series Register #<br><b>99-20</b> |
|--------------------------------------|---------------------------------------------------------------------------------------------------|-----------------------------------|

Page \_\_\_\_ of \_\_\_\_

| Item                                                | Series Title and Description                                                            | Media | Dates | RRG                                      | Closure                | Active | SA | Disposition         | PIB |
|-----------------------------------------------------|-----------------------------------------------------------------------------------------|-------|-------|------------------------------------------|------------------------|--------|----|---------------------|-----|
| 1.                                                  | Management Files<br><i>Includes Annual Reports</i>                                      | Paper | 1991  | 12100/10                                 | Fiscal year end        | 2      | 0  | Archives            |     |
| 2.                                                  | Business Plans                                                                          | Paper | 1991- | 12710                                    | Superseded or obsolete | 2      | 0  | Archives            |     |
| 3.                                                  | Programme Files<br><i>Includes management , coordination, and assessment of clinics</i> | Paper | 1991- | 12100                                    | Calendar year end      | 1      | 5  | Selective Retention |     |
| 4.                                                  | Committee Files                                                                         | Paper | 1991- | 12010                                    | Calendar year end      | 5      | 0  | Archives            |     |
| 5.                                                  | Monthly and Quarterly Reports                                                           | Paper | 1991- | 12010                                    | Fiscal Year End        | 3      | 0  | Destroy             |     |
| Office of Record Manager Or Designate Authorisation |                                                                                         |       |       | AIM Authorisation                        |                        |        |    |                     |     |
| Name: _____ Signature: _____ Date: _____            |                                                                                         |       |       | Name: _____ Signature: _____ Date: _____ |                        |        |    |                     |     |

**Item No:** The number given to each series (item) as listed on this series register (1, 2, 3 ....)

**Series Title and Description:** Descriptive title of records series and content or function summary. A records series is a series of files, documents, or data grouped together as part of common function, format, or organisation system (e.g., patient/client case files, unit administrative files, research project database, EEGs) with the same records retention policy.

**Media:** Media format type (e.g., paper, photographs, digital, microform)

**Dates:** Start date of series. If series is closed, provide inclusive dates, e.g. 1985-1990

**RRG:** Assigned number from CCH Records Retention Guide.

[AIM SR 12/5/02]

**Closure:** The time when the file is closed for immediate use and the retention schedule is triggered. FY=fiscal year end, CY=calendar year end, SO =superseded or obsolete.

**Active:**Active retention in office in years

**SA:**Semi-Active retention in off-site storage in years

**Disposition:** Final disposition options: D=Destroy, A=CCH Archives full retention, SR=Selective Retention by CCH Archives, R=Review

**PIB:** Contains personal information and is therefore a *Personal Information Bank*

## Appendix 8b: Example of Archives Transfer Order

Central Children's Hospital

Records Retention Schedule

'Care in the Community'

Archives Transfer Order

Archives and Information Management

|                                                                               |                         |                                                                                     |                                          |
|-------------------------------------------------------------------------------|-------------------------|-------------------------------------------------------------------------------------|------------------------------------------|
|                                                                               |                         | AIM ID #<br>AC114                                                                   |                                          |
| <b>Office of Record Information</b>                                           |                         |                                                                                     |                                          |
| Regional Portfolio Name<br>Acute Care                                         |                         | Division / Section Unit / Programme<br>Medical Ambulatory Clinic                    |                                          |
| Contact Person<br>Black, C. Brooke                                            |                         | Phone #<br>222-2222                                                                 | Fax #<br>222-2223                        |
| Location<br>Site: _____ Floor: _____ Room: _____                              |                         |                                                                                     |                                          |
| <b>Transfer to Archives – attach applicable Series Register or File Lists</b> |                         |                                                                                     |                                          |
| Series Register #<br>(if known)<br>99-20                                      | Item Numbers<br>1, 2, 4 | Volume<br>Containers: ____10____ boxes<br>Shelf / Cabinet space: _____ linear feet. | Proposed Transfer Date<br>____/____/____ |
| <b>Office of Record Authorisation</b>                                         |                         |                                                                                     |                                          |
| Name (print): [ Doe, John }                                                   |                         | Signature: _____                                                                    | Date: ____/____/____                     |
| <b>AIM Authorisation</b>                                                      |                         |                                                                                     |                                          |
| Name (print): [archivist/designate]                                           |                         | Signature: _____                                                                    | Date: ____/____/____                     |

### Section II

|                                                                                            |                                    |                          |
|--------------------------------------------------------------------------------------------|------------------------------------|--------------------------|
| <b>Archival Accessioning (AIM use only)</b>                                                |                                    |                          |
| <i>This certifies that the records identified above were accessioned into CCH Archives</i> |                                    |                          |
| Accession Number(s)                                                                        | Date Accessioned<br>____/____/____ | Archivist<br>(signature) |

**Office of Record** – the office or unit directly responsible for creating and maintaining the records.

**AIM ID #** - a unique number assigned to your office by AIM.

**Regional Portfolio Name** – provide the name of the Department responsible for the office or programme creating the records. e.g., Acute Care, Population Health, etc.

**Division/Section Unit/Programme** – provide the name of the Office of Record, i.e., the functional programme or unit immediately responsible for the creation and maintenance of the records.

**Contact Information** – name and communication numbers for the person coordinating this process at the office of record.

AIM SA 9/28/99

**Location Particulars** – indicate where the records are situated.

**Series Register #** - a unique number assigned to the schedule by AIM.

**Item Numbers** – the range of numbers listed on the attached *Records Retention Schedule Series Register*.

**Volume** – if the records are already boxed, provide the number. Estimate shelf and cabinet space in linear feet.

**Proposed Transfer Date** – the date these records will be boxed and labelled for transfer to **CCH Archives**.

**Office of Record Authorisation** – name and signature of manager or designate.

**AIM Authorisation** – Records Management Coordinator or designate.

Complete Section I, attach Series Register, and submit to AIM for approval. Upon receipt of approval, transfer records according to CCH Archives along with any file or box lists.

**If you require help completing this form please contact Archives and Information Management, [location, address, telephone, fax, e-mail etc.]**

AIM SA 9/28/99

# Appendix 8c: Example of Semi-active Storage Transfer Order

Central Children's Hospital  
'Care in the Community'  
Archives and Information Management

## Records Retention Schedule Semi-active Storage Transfer Order

### Section 1

|                                                             |                    |                                                                                          |                                              |
|-------------------------------------------------------------|--------------------|------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                             |                    | AIM ID #<br>AC114                                                                        |                                              |
| <b>Office of Record Information</b>                         |                    |                                                                                          |                                              |
| Department Name<br><b>Acute Care</b>                        |                    | Division / Section Unit / Programme<br><b>Medical Ambulatory Clinic</b>                  |                                              |
| Contact Person<br>Doe, John                                 |                    | Phone #<br><b>222-2225</b>                                                               | Fax #<br>222-32226                           |
| Location<br>Site: FMC Floor : 9 Room: 954                   |                    |                                                                                          |                                              |
| <b>Transfer Details – attach applicable Series Register</b> |                    |                                                                                          |                                              |
| Series Register #<br>(if known)<br><b>99-20</b>             | Item Numbers<br>#3 | Estimated Volume<br>Containers: _____ boxes<br>Shelf / Cabinet space: _____ linear feet. | Proposed Transfer Date<br>____ / ____ / ____ |
| <b>Office of Record Authorisation</b>                       |                    |                                                                                          |                                              |
| Name (print): John Doe                                      |                    | Signature:                                                                               | Date: ____ / ____ / ____                     |
| <b>AIM Authorisation</b>                                    |                    |                                                                                          |                                              |
| Name (print): [archivist/designate]                         |                    | Signature:                                                                               | Date: ____ / ____ / ____                     |

### Section II

|                                             |                                        |           |              |
|---------------------------------------------|----------------------------------------|-----------|--------------|
| <b>Transfer Verification (AIM use only)</b> |                                        |           |              |
| Job #                                       | Date Transferred<br>____ / ____ / ____ | Cubic ft. | Verified by: |

**Office of Record** – the office or unit directly responsible for creating and maintaining the records.

**AIM ID #** - a unique number assigned to your office by AIM.

**Department Name** – provide the name of the Department responsible for the office or programme creating the records. e.g., Acute Care, Population Health, etc.

**Division/Section Unit/Programme** – provide the name of the Office of Record, i.e., the functional programme or unit immediately responsible for the creation and maintenance of the records.

**Contact Information** – name and communication numbers for the person coordinating this process at the office of record.

**Location Particulars** – indicate where the records are situated.

**Series Register #** - a unique number assigned to the schedule by AIM.

**Item Numbers** – the range of numbers listed on the attached *Records Retention Schedule Series Register*.

**Estimated Volume** – if the records are already boxed, provide the number. Estimate shelf and cabinet space in linear feet.

**Proposed Transfer Date** – the date these records will be boxed and labelled for transfer.

**Office of Record Authorisation** – name and signature of manager or designate.

**AIM Authorisation** – Records Management Co-ordinator or designate.

Complete Section I, attach Series Register, and submit to AIM for approval. Upon receipt of approval, complete all records transmission lists required by storage contractor and arrange for transfer.

**If you require help completing this form please contact Archives and Information Management, [location, address, telephone, fax, e-mail].**

## Appendix 9a: Example of a Functional Series Register

Central Children's Hospital

'Care in the Community'

Archives and Information Management

### Records Retention Schedule

#### Series Register

|                                      |                                                                                                            |                                   |
|--------------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------|
| Department Name<br><b>Acute Care</b> | Division / Section Unit / Programme (Office of Record)<br><b>Surgical Service – Processing Case Charts</b> | Series Register #<br><b>99-21</b> |
|--------------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------|

| Item                                                | Series Title and Description   | Media | Dates    | RRG      | Closure                                  | Active | SA | Disposition         | PIB |
|-----------------------------------------------------|--------------------------------|-------|----------|----------|------------------------------------------|--------|----|---------------------|-----|
| 1.                                                  | Steam Sterilizers Testing Logs | Paper | Dec 1996 | 18120    | Equipment sold or dispersed of           | 1      | 10 | Selective Retention |     |
| 2.                                                  | Sterrad Testing Logs           | Paper | Mar 1996 | 18120    | Equipment sold or dispersed of           | 1      | 10 | Selective Retention |     |
| 3.                                                  | ETO Testing Logs               | Paper | Sep 1996 | 18120    | Equipment sold or dispersed of           | 1      | 10 | Selective Retention |     |
| 4.                                                  | Pasteomatic Graphs             | Paper | 1993     | 18120    | Equipment sold or dispersed of           | 1      | 10 | Selective Retention |     |
| 5.                                                  | Airleak Graphs                 | Paper | 1993     | 18120    | Equipment sold or dispersed of           | 1      | 10 | Selective Retention |     |
| 6.                                                  | Corporate Express - Purchasing | Paper | Dec 1997 | 18500/30 | Fiscal year end                          | 1      | 2  | Destroy             |     |
| 7.                                                  | Payroll - 1996                 | Paper | Jun 1996 | 14600    | Calendar year end                        | 1      | 6  | Destroy             |     |
| 8.                                                  | Budget – Process Schedules     | Paper | 1994     | 14300    | Fiscal year end                          | 3      | 0  | Selective Retention |     |
| Office of Record Manager Or Designate Authorisation |                                |       |          |          | AIM Authorisation                        |        |    |                     |     |
| Name: _____ Signature: _____ Date: _____            |                                |       |          |          | Name: _____ Signature: _____ Date: _____ |        |    |                     |     |

**Item No:** The number given to each series (item) as listed on this series register (1, 2, 3 ....)

**Series Title and Description:** Descriptive title of records series and content or function summary. A records series is a series of files, documents, or data grouped together as part of common function, format, or organisation system (e.g., patient/client case files, unit administrative files, research project database, EEGs) with the same records retention policy.

**Media:** Media format type (e.g., paper, photographs, digital, microform)

**Dates:** Start date of series. If series is closed, provide inclusive dates, e.g. 1985-1990

**RRG:** Assigned number from CCH Records Retention Guide

[AIM SR 12/5/02]

**Closure:** The time when the file is closed for immediate use and the retention schedule is triggered.

FY=fiscal year end, CY=calendar year end, SO =superseded or obsolete.

**Active:**Active retention in office in years

**SA:**Semi-Active retention in off-site storage in years

**Disposition:** Final disposition options: D=Destroy, A=CCH Archives full retention, SR=Selective Retention by CCH Archives, R=Review

**PIB:** Contains personal information and is therefore a *Personal Information Bank*



**Location Particulars** – indicate where the records are situated.

**Series Register #** - a unique number assigned to the schedule by AIM.

**Item Numbers** – the range of numbers listed on the attached *Records Retention Schedule Series Register*.

**Estimated Volume** – if the records are already boxed, provide the number. Estimate shelf and cabinet space in linear feet.

**Proposed Transfer Date** – the date these records will be boxed and labelled for transfer.

**Office of Record Authorisation** – name and signature of manager or designate.

**AIM Authorisation** – Records Management Coordinator or designate.

Complete Section I, attach Series Register, and submit to AIM for approval. Upon receipt of approval, complete all records transmission lists required by storage contractor and arrange for transfer.

**If you require help completing this form please contact Archives and Information Management, [location, phone, fax, e-mail].**

## Appendix 9c: Example of a Destruction Order

Central Children's Hospital

'Care in the Community'

Archives and Information Management

**Records Retention Schedule**

**Records Destruction Order**

### Section I

|                                                                                    |                              |                                                                                   |                                                 |
|------------------------------------------------------------------------------------|------------------------------|-----------------------------------------------------------------------------------|-------------------------------------------------|
|                                                                                    |                              |                                                                                   | AIM ID #<br><b>AC124</b>                        |
| <b>Office of Record Information</b>                                                |                              |                                                                                   |                                                 |
| Department Name<br><b>Acute Care</b>                                               |                              | Division / Section Unit / Programme<br><b>Processing / Case Charts</b>            |                                                 |
| Contact Person<br><b>Boss, Kate</b>                                                |                              | Phone #<br><b>333-3333</b>                                                        | Fax #<br><b>333-3334</b>                        |
| Location<br>Site: _____ Floor: _____ Room: _____                                   |                              |                                                                                   |                                                 |
| <b>Destruction Authorisation – attach applicable Series Register and File List</b> |                              |                                                                                   |                                                 |
| Series Register # (if known)<br><b>99-21</b>                                       | Item Numbers<br><b>#6, 7</b> | Volume<br>Containers: <b>8</b> boxes<br>Shelf / Cabinet space: _____ linear feet. | Proposed Destruction Date<br>____ / ____ / ____ |
| <b>Office of Record Authorisation</b>                                              |                              |                                                                                   |                                                 |
| Name (print): _____                                                                |                              | Signature: _____                                                                  | Date: ____ / ____ / ____                        |
| <b>AIM Authorisation</b>                                                           |                              |                                                                                   |                                                 |
| Name (print): _____                                                                |                              | Signature: _____                                                                  | Date: ____ / ____ / ____                        |

### Section II

|                                                                                                                                                                                                                                                     |                                                                                                                                                                                          |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Destruction Certification – attach all destruction service documents</b>                                                                                                                                                                         |                                                                                                                                                                                          |
| <i>This certifies that the records identified above were destroyed in accordance with the CRHA Records Destruction Policy</i>                                                                                                                       |                                                                                                                                                                                          |
| <b>Destruction Method</b><br><input type="checkbox"/> On-site service <input type="checkbox"/> Off-site service<br><input type="checkbox"/> Office shredder <input type="checkbox"/> Other: _____<br><b>Date of Destruction:</b> ____ / ____ / ____ | <b>Office of Record Designate</b><br>Signature: _____ Date: ____ / ____ / ____<br><hr/> <b>Destruction Service Provider (if applicable)</b><br>Signature: _____ Date: ____ / ____ / ____ |

**Office of Record** – the office or unit directly responsible for creating and maintaining the records.

**AIM ID #** - a unique number assigned to your office by AIM.

**Department Name** – provide the name of the Department responsible for the office or programme creating the records. e.g., Acute Care, Population Health, etc.

**Division/Section Unit/Programme** – provide the name of the Office of Record, i.e., the functional programme or unit immediately responsible for the creation and maintenance of the records.

**Contact Information** – name and communication numbers for the person coordinating this process at the office of record.

**Location Particulars** – indicate where the records are situated.

**Series Register #** - a unique number assigned to the schedule by AIM.

**Item Numbers** – the range of numbers listed on the attached *Records Retention Schedule Series Register*.

**Estimated Volume** – if the records are already boxed, provide the number. Estimate shelf and cabinet space in linear feet.

**Proposed Destruction Date** – the date these records will be boxed and labelled for destruction.

**Office of Record Authorisation** – name and signature of manager or designate.

**AIM Authorisation** – Records Management Coordinator or designate.

Complete Section I, attach Series Register, and submit to AIM for approval. Upon receipt of approval, destroy records according to CCH Records Destruction Policy and Procedures (contact AIM) and complete Section II. Forward copy of destruction certificate to AIM.

**If you require help completing this form please contact Archives and Information Management, [location, phone, fax, e-mail].**

## Appendix 10: Select Bibliography

This selection includes a number of titles that broaden the learners understanding of contemporary issues in medical records. These are included to provide a larger base for exploring possible roles for the records professional.

Boardman, Elizabeth. 'Records Management for the National Health Service: Financial Savings and Effective Information Retrieval. A Conference on the Implementation of HC (89) 20 Organised by the Records Management Society in Association with the Health Archivists Group, 1 March 1990, St George's Hospital, London.' *Health Libraries Review* 7 (4) Dec 90, 216-218.

Choo, Chun Wei. *The Knowing Organisation: How Organisations Use Information to Construct Meaning, and Make Decisions*. New York: Oxford University Press, 1998.

Coldsmith, Elizabeth E. Evitts, Beth. A. 'The Creation and Maintenance of A Hospital Archives.' *Medical Reference Services Quarterly*.10 (1) Spring 91, 35-42.

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Denham, E. 'Dealing with the Records of Closing Hospitals: the Calgary Area Health Authority Plan.' *Archivaria* 41 (Spring 97), p.78-87.

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Dujat, C. Haux, R, Schmucker, P. and Winter, A. 'Digital Optical Archiving of Medical Records in Hospital Information Systems: A Practical Approach Towards the Computer-based Patient Record?' *Methods of Information in Medicine* 34 (5) Dec 95, p.489-97.

Great Britain. Audit Commission. *Setting the Record Straight: A Study of Hospital Medical Records*. HMSO, 1995. A review of this publication is Nicholson, L. 'Setting the Record Straight: A Study of Hospital Medical Records Undertaken by the Audit Commission.' *Records Management Journal* 6 (1) Apr 96, p.13-32.

Howard, M. D. 'From Oral Tradition to Computerisation: a Case Study of a Social Work Department.' *Computers in Human Services* 12 (3/4) 1995, p.203-19.

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Maxwell-Stewart, H. Sheppard, J. and Yeo, G. *Hospital Patient Case Files: A Guide to their Retention and Disposal*. London: Health Archives Group. 1996.

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McCall, N. and L. A. Mix. eds. *Designing Archival Programs to Advance Knowledge in the Health Fields* (Baltimore: Johns Hopkins University Press, 1995).

Ngin, P.M. 'Record Keeping Practices of Nurses in Hospitals.' *American Archivist* 57 (4) Fall 94, p.616-30.

Pare, G. Elam, J J. Ward, C. G. 'Implementation of a Patient Charting System: Challenges Encountered and Tactics Adopted in a Burn Center.' *Journal of Medical Systems* 21 (1) Feb 97, p.49-66.

Roberts, A. 'The Standard Generalised Markup Language for Electronic Patient Records.' *Health Informatics Journal* 4 (2) Jun 1998, p.92-97.

# **Improving Records Control and Storage in Papakura: A Case Study**

**Setareki Tale<sup>1</sup>**

## **Abstract and Acknowledgements**

The aim of this case study is to identify problems in the area of records management that are common to the less developed states in the Pacific region. This study therefore focuses on problems which confront the majority, if not all, records managers and archivists in the Pacific.

The major challenge presented here, the need to ensure adequate records storage, is a real life situation and one that is common to all. Traditionally, whilst archives and records management are essential, they are often 'invisible' to the agencies they serve. Quietly going about their work, they are seldom given the attention or resources they deserve by managers and administrators. Consequently, archives and records management units are allocated the barest and poorest of work spaces and storage and frequently their holdings and operations spill over to basements and tool rooms.

Whilst an efficient government records centre can remedy overcrowding and space constraints, it alone is not the full solution. Overall records management success also requires the streamlined record keeping systems and the use of disposal schedules.

This case study is designed to present the student with realistic situations that will encourage him to think creatively and strategically of ways in which these problems can be solved, and thus not only help in the development of archives and records management in the island states of the Pacific, but also in other parts of the world.

I would like to acknowledge the contribution of Ms Margaret Patel, former Head of the National Archives of Fiji, to this case study together with the assistance of Ms Viniana Ibeco of the National Archives of Fiji in the compilation of this work.

June 1999

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<sup>1</sup> Mr Setareki Tale is the Principal Archivist of the National Archives of Fiji. Mr Tale holds a Masters degree in Information Management - Archives/Records from the University of New South Wales, Sydney, Australia. He has also undertaken a special programme in Records Management at the National Archives of Malaysia. Mr Tale has spent the last twelve years with the National Archives of Fiji, including the last 3 months as the Head of the Archives. He is a professional member of the Australian Society of Archivists (ASA) and is currently Acting Vice President of the Pacific Regional Branch of the International Council on Archives (PARBICA).

# Introduction

## Setting the Scene

From 1994 to date the National Archives of Papakura has vigorously pursued its mandate function of surveying and identifying records of archival value around the country. This course of action was set by the Director, who has since retired from the National Archives. Recently a newly appointed Archivist has been given the task of developing a Records Management Section within the National Archives with responsibility for improving records management systems within departments and ministries and for advising on proper storage of records. Part of his job is to work with agency officials to identify and design effective solutions to records management problems.

In the last few months, this officer has followed-up on initial records management surveys that were completed in 1994 with a programme of personal inspections. His findings reveal that there has been very little improvement in the quality of records storage or of records management systems in government offices in the intervening four years to 1998.

## Background

The Papakura Islands include more than 120 islands in the north-west Pacific. The total land area is about 400 square kilometres. Out of the 120 islands, 70 are inhabited. Government Stations including Health Centres, Forestry Stations, Agricultural Stations, Weather Stations, etc are located in all but about 10 of the inhabited islands.

The capital, Taoniū, is located at the north west part of the largest island Talasiga. Administratively the island state is divided into four Divisions: Western, Central, Northern and Eastern. Each division is responsible for a number of outlying islands.

The National Archives is situated in the capital and is part of the Ministry of Information, Culture and Arts. The Archives has 17 staff with an Annual budget of P\$250,000 [P\$= US\$.52].

The National Archives of Papakura was established in 1945, but it was not until 1965 that it came into being legislatively, with the enactment of the *Archives Ordinance*. This instrument was later amended in 1980, henceforth to be known as the *Public Records Act*. See Appendix 3 for a copy of the Act.

## Definitions and Responsibilities

The *Public Records Act of 1980* has the following important provisions:

‘Public records’ means all such documentary materials, in any form, of any kind, nature or description which have been drawn up, made, received, acquired or used in the course of legislative, administrative or executive transactions or in proceedings in any court, together with all exhibits and other material evidences which form part of or are annexed to or are otherwise related to specific documents, which are or

are required to be in the custody of any public officer or Government office or which may at the commencement of this Act or thereafter be transferred to or acquired by the Archives office.

As you can see, the definition of public records is quite comprehensive and covers all records created within government regardless of form.

### **Authority to Protect Records from Unauthorised Destruction**

No records may be destroyed without the authorisation of the Director of the National Archives.

### **Scope of Authority to Acquire Records**

The Act authorises the Archives to acquire documents other than 'public records' such as records of private institutions like religious organisations, banks and even individuals. Records of local government organisations which come under the responsibility of the Minister for Local Government are also adequately covered under the Act.

The National Archives is required under the Act to acquire all public records which are more than 15 years old. However, retention of records in public offices may be prolonged if the Director of the National Archives or the Head of that government office sees it fit to retain such records in that office.

Records which are less than 15 years old may also be accepted into the 'Records Centre' of the National Archives with the consent of the Director.

### **Other Important Provisions**

The National Archives, under the Act, has the power to  
inspect public records which are retained in Government Offices  
recommend to offices preservation measures for current and semi-current records and records whose transfer to the Archives have been deferred  
advise on matters relating to the proper management of public records from their creation to their ultimate disposal.

## **The Current Situation**

As explained earlier, since the survey was first conducted, virtually no improvements have taken place since the 1994 survey, despite departments and ministries having been advised of National Archives recommendations for improvement. The following list comprises a summary of the record keeping problems found in most government departments:

gloomy, badly ventilated and overcrowded file and storage rooms  
records overflowing into unsuitable storage spaces such as damp basements and alcoves under staircases

senior executives and managers feel the need for a proper system of current records management, but lack a formal mechanism or programme to co-ordinate record keeping efforts among or within the departments

no official link between the National Archives and government departments;

no government-wide system for records scheduling and disposal

the National Archives has no information on or warning of impending records transfers and has had to suspend accepting semi-current records due to space constraints

lack of staff training in the preservation of records in special formats means that the National Archives acquires only paper records

agency registry personnel are poorly trained, and most have very low morale and few prospects for advancement.

However, there are a few encouraging cases where officers feel very proud of being in a registry. In some more 'records-intensive' departments, they are held in high regard and enjoy their work. Sadly, such instances of high esteem and satisfaction among record keeping professionals in the island nation are the exception, not the rule.

## **Summary of Problems**

### **Storage**

The conditions of records storage rooms of the majority of government office in the capital and the districts are very substandard.

### **Training and Employment**

The National Archives has acted to improve staff expertise by conducting 'Records Management' workshops all throughout the country in the last three years. However, this training has had little effect because there are no official classifications or line positions for 'Records Managers' in government, only for registry officers. Thus those registry officers with records management training receive no recognition for their knowledge and remain at the disposal of the departmental and ministerial heads for transfer to other sections or departments when the need arises.

### **National Archives Poorly Resourced and Understood**

With its limited number of staff and very stringent budget, the National Archives can make little meaningful progress to mount an effective whole-of-government records management programme. Certainly the current government is aware of the need to manage the nation's semi-current and non-current records properly, but it has not sought the expertise the National Archives to develop workable solutions. For example, the government had offered a building to be used as the National Archives 'Records Centre' which was not acceptable because of its structure and susceptibility to flooding. Another facility was offered by the Commissioner of the Northern

Division which again was regrettably declined by the Director of the National Archives for similar reasons.

## **Government's Proposed Solution: A Centralised Records Centre**

In the last few weeks, the government has confirmed that it has Agency for International Development (AID) funds which could be applied for constructing a purpose built records centre to serve agencies in the national capital. Each project should cost a maximum of P\$90,000 (P\$1 = US\$0.52).

Whilst storage problems in the capital will be relieved with the establishment of a centralised Record Centre, the problem of storage for the non-metropolitan Divisions and outer islands still remains to be addressed. The system currently in place to bring all semi-current records to the records centre in the capital and having to send them back to the divisions when required has, in the past, proven to be a costly exercise. The professional literature suggests that the storage problems outside the capital could be solved by establishing a network of outlying records centres which would service agencies outside the capital and on other islands. This, however, may not be achievable for some time due to the limited funds available. Obtaining authority to design and build a well equipped 'records centre' seems to be the only 'records management improvement' the present administration considers viable.

### **General Plans for Disposal of Housekeeping Records**

Currently there are 612 linear metres of semi-current records that are stored in the 26 government departments in the island state. Of this total, about half are ephemeral and will be destroyed. The current accumulation rate for records in government offices is approximately 150 linear metres yearly. It is suggested and agreed therefore, that the development of a disposal programme with schedules covering general 'Housekeeping' records should contain the records growth rate at a manageable level until such time that Records Centre services are available locally for the divisions. This measure has been included in the National Archives Corporate Plan for completion within the next three years.

### **Problems with Records Identification and Classification**

The file titling and registration systems within most government offices are chaotic because there is no systematic guidance regulating file titling and registration. An example of this ad hoc approach and its effects can be seen in the list of files obtained from the Customs and Excise Department of the Ministry of Finance, which is attached as Appendix 1. It is noted from the list that no distinction was made between generalised administrative or 'Housekeeping' records and records documenting mission-specific activities ie. 'Functional' records. A copy of the 'Activity Description' of proposed improvements in the management of records in the Department of Custom and Excise is attached as Appendix 2.

# Teaching Notes

## Learning Objectives

Learners should learn to think strategically in making proposals and in the management of space for storage.

Learners should be able to distinguish between file numbering and control systems - their advantages and disadvantages.

Learners should be able to differentiate general Housekeeping from Functional records.

It should also give learners a taste of some of the challenges of developing a disposal programme in the absence of clear standards for record and file identification and classification.

## Case Problem 1

### Designing a Facility for Records Centre Storage and Services

1. As the Archivist responsible for the Records Management Section of the National Archives, you are required to submit to government a proposal for the establishment of a 'proper' Records Centre on a vacant piece of land adjacent to the National Archives. Approval has already been obtained from the Ministry of Lands for the use of this piece of government land. You need to reaffirm with government why it is necessary to set up a government records centre, include your staffing requirements.
2. Your proposal must also include a draft floor plan for the single storey 'Records Centre'. Based on the records on hand ready to be transferred to the centre and the projected accumulation rate of records given in the STATUS segment of the case study, calculate the amount and different types of storage space that will be needed to accommodate records holdings for the next ten years. In particular, allowance should also be made for records in special formats. The plan should show the racking layout, office area, loading bay, security disposal facility, a small search room and staff amenities. Use a separate page for a legend to explain the placement of facilities and areas.
3. Provide a descriptive list of services that you propose to offer, their purposes, proposed clientele and any key policies and/or conditions that will regulate and administer them. Include brief descriptions justifying any charges and conditions of deposit or service provision that you propose to impose.

## Study Questions

- a) What are the advantages and disadvantages of having a central 'Records Centre' as compared to distributed custody? What would be the cost factors? Also discuss 'Integrity' and 'Accountability' issues.
- b) What would be the steps taken for the transfer of records to the Records Centre? What responsibilities and activities should be required of the creating agencies? What supplies and services should the Records Centre provide?
- c) What obstacles or difficulties must you anticipate and overcome in order to ensure smooth and efficient partnerships amongst the staff of the Records Centre, the National Archives and individual agencies?

## Case Problem 2

### The Importance of Identifying and Classifying Records Properly

- a) The Head of Customs and Excise has expressed his desire to change his filing system. He has not been exposed to any other system apart from a simple date order or 'chronological system' which is used in his department. You believe that further study is needed to identify a scheme that will facilitate control and access to individual records and files. Based upon the list of the records given in Appendix 1, prepare a recommendation for a suitable system for his approval. In your discussion, describe the pros and cons of at least three feasible systems and defend your particular choice of system over the chronological number system currently used by Customs and Excise.
- b) To prove your point, using the list at Appendix 1, produce another list using one of the systems you have recommended. Make sure that you distinguish between 'Housekeeping' and 'Functional' records. The 'Activity Description' provided at Appendix 2, may be used as a guide in distinguishing between the two categories of records. Using the revised list that you have constructed out of the Customs and Excise department list, develop a sample 'Disposal Schedule' for Housekeeping records. The sample will form the basis upon which you will later develop a 'Disposal Schedule' to sent out to the divisions.

## Study Questions

Explain the importance of accurate identification and appropriate classification in the efficient and effective management of records.

1. When identifying and/or establishing disposal classifications for records, is it necessary to distinguish between General, particularly 'Housekeeping' or facilitative, records and those which are Functional or 'mission specific' records or, should they not be distinguished? Explain your answer.

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# Appendix 1

## Papakura Customs and Excise Department

### List of General Correspondence Files for transfer to the National Archives of Papakura

| File Ref. | Title                                                                                            | Date Range         |
|-----------|--------------------------------------------------------------------------------------------------|--------------------|
| 1         | Buildings and Furniture                                                                          | 20/3/64 -13/3/75   |
| 2         | Wharfs and Jetties                                                                               | 22/06/64-03/09/75  |
| 3         | Quarters - Government                                                                            | 14/01/64-22/10/75  |
| 4/1       | Sale of Goods                                                                                    | 23/10/63-16/12/74  |
| 4/2       | Seizures                                                                                         | 28/01/64-20/04/78  |
| 4/3/1     | Drawback and claims                                                                              | 09/01/79-25/06/84  |
| 4/4       | Private Bonded Stores - M. H.'S & B.P.'S                                                         | 24/12/63-20/01/75  |
| 4/5 Pt.1  | Boarding of Vessels and Ships stores and Application to proceed to a sufferance wharf. Form C.15 | 11/3/72 - 5/4/88   |
| 4/6 Pt. 1 | Working of Vessels and Goods Short (including Pillage Goods)                                     | 15/10/76 - 3/12/89 |
| 4/7       | Custom House Agents and Importers Authorised Clerks                                              | 14/07/64-30/0/75   |
| 4/9       | Oil Tanks                                                                                        | 3/07/64-02/02/73   |
| 4/10      | Parcel Post                                                                                      | 21/07/64-21/11/75  |
| 4/11      | Customs Carriers Licences                                                                        | 10/08/64-26/06/86  |
| 5         | Customs Duties Ordinance                                                                         | 09/07/64-17/12/68  |
| 5/2       | Values for Duty                                                                                  | 23/06/64-25/02/72  |
| 13        | Handing over Certificates                                                                        | 21/07/64-24/10/75  |
| 15        | Bonds                                                                                            | 23/06/64-07/03/75  |
| 18        | Wreck and Salvage                                                                                | 08/12/75-03/10/79  |
| 19pt.III  | Marine Board - survey Reports - Sea Going Certificates Report Correspondence                     | 03/01/75-09/01/86  |
| 20        | Accounts – General                                                                               | 05/01/71-17/12/92  |
| 21        | Staff General                                                                                    | 16/04/70-16/12/75  |
| 21 pt.3   | Application for Annual Leave                                                                     | 11/01/90-23/06/94  |
| 22 pt.I   | Pacific Fishing Co. Ltd                                                                          | 01/05/76-18/10/76  |

|          |                                                                         |                   |
|----------|-------------------------------------------------------------------------|-------------------|
| 22/2     | Pacific Fishing Co Ltd Fish Loins and Pet Food Cannery                  | 06/05/76-18/10/76 |
| 22pt.III | Pacific Fishing Co.                                                     | 17/4/67-30/8/79   |
| 22(4)    | Pacific Fishing Co. Ltd                                                 | 15/03/74-30/11/79 |
| 23pt I   | 'Fish' Prohibited Imports, and Exports & Exchange Controls 'F' Licences | 04/02/76-19/9/92  |
| 24/1     | Annual Report Marine Department and Statistics                          | 08/1/68-11/01/82  |
| 25       | official Telephones and Official Newspapers                             | 11/07/64-11/12/75 |
| 27       | Weather Information and Warning Services                                | 14/10/64-13/09/74 |
| 28       | Jerquer's and Audit Queries                                             | 20/10/64-10/02/76 |
| 29       | Navigation Aids and Hydrographic Survey                                 | 31/10/64-26/6/74  |
| 34       | Overseas Yacht file                                                     | 25/09/87-19/6/93  |
| 34 pt.I  | Vessels and Yachts                                                      | 09/2/77-8/12/83   |
| 43       | Dept. Instructions and Amendment lists (spare copies)                   | 15/11/68-26/03/74 |
| F/L/I 44 | Minutes and Programmes: Independent Day Celebrations at Leleuvia        | 15/6/70-12/10/70  |
| 45       | New Customs Laws & Regulations (1968)                                   | 14/8/68-27/5/69   |
| 48       | Immigration Clearance Duties at Levuka                                  | 21/1/74-13/10/75  |
| 50       | Public Service Commission Circular                                      | 20/2/74-29/5/74   |
| 51       | Ports Authority of Papakura                                             | 20/12/74-30/12/70 |
| 53       | Metrication - Metric Conversion of                                      | 21/12/76          |
| 54       | Vessel Boarding Forms (Copies)                                          | 4/8/77            |
| 55       | Budget Estimates                                                        | 1/1/77 - 30/12/95 |
| 56       | Appointment of Custom Agents                                            | 3/6/83 – 29/11/96 |
| 57       | Custom and Excise duties                                                | 2/2/69 - 3/4/85   |

## **Appendix 2**

### **Government of the Island Republic of Papakura**

#### **Ministry of Finance**

#### **Department of Customs and Excise**

##### **Description**

The Department aims to improve the management of its records for the following reasons:

To facilitate government revenue collection and to improve fraud prevention techniques. This will be achieved by:

- ◊ using computer technology to
  - 7 facilitate the correct collection of customs and excise duties
  - 7 undertake risk assessed audits of our clients, and
  - 7 impose administrative penalties for understatement of duty.

To manage controls over the inwards and outward movement of goods, people, aircraft and vessels.

To protect the community from the impact of illicit drugs and other prohibited and restricted goods.

To detect, investigate and prosecute breaches of legislation administered by Customs.

To support industry in Papakura:

- ◊ implement and administer in relation tariffs, valuation, preference, tax zone, tax free factories and subsidies
- ◊ facilitate the movement of passengers and cargo through international airports and seaports.

Administer diesel fuel rebate scheme and the warehousing system.

##### **Performance Measures**

The following performance measures are to be introduced:

- Manage compliance with excise and deferred Customs revenue requirements and assist industry and commerce.
- Provide a service to and for the community by ensuring compliance with controls over imports and exports of commercial goods and collection of Customs duties.

- Manage an effective Customs control environment over people, goods, vessels and aircraft entering or leaving.
- Identify and deter unlawful activity by travellers entering or departing Papakura while clearing law abiding travellers as quickly as possible.
- Investigate major breaches of Customs administered legislation, manages the prosecution process on behalf of all sections and provide an intelligence service to the whole of Customs.
- Carry out checks on breaches of Customs requirements and procedures and points out errors that may result in loss of revenue.
- Develop and implement corporate policies and practices in relation to our human, financial and material resources.
- Tariff classification and support development of industry as required by Government.

## **Appendix 3**

### **Selected Segments From The Papakura Public Records Act**

#### **GOVERNMENT OF PAPA KURA**

#### **PUBLIC RECORDS ACT**

#### **CHAPTER 56**

#### **AN ACT FOR THE BETTER PRESERVATION OF THE PUBLIC RECORDS OF PAPA KURA**

#### **PART 1 - PRELIMINARY**

##### **Interpretation**

- 2 'Public records' means all such documentary materials, in any form, of any kind, nature or description which have been drawn up, made, received, acquired or used. In the course of legislative, administrative or executive transactions or in proceedings in any court, together with all exhibits and other material evidences which form part of or are annexed to or are otherwise related to specific documents, which are or are required to be in the custody of any public officer or Government office or which may at the commencement of this Act or thereafter be transferred to or acquired by the Archives office.

\* \* \* \* \*

#### **PART 4 - CUSTODY**

##### **Deposit of public records in the Archives office**

- 9 (1) All public records of the age of fifteen or over (other than those which under any Act are required to be held in the custody of a specified person or Government office) which in the opinion of the Archivist are of sufficient value to warrant their preservation as-
- (a) evidence of the organisation, functions and transactions of Government office in which they were originally made or received; or
  - (b) evidence of public or private personal or property rights or civic rights; or
  - (c) containing historical or general information, shall be transferred to the custody of the Archivist and be deposited in the Archives office.

\* \* \* \* \*

### **Deposit of public records of less than fifteen years of age**

- 13 (1) The Archivist may allow the deposit in the Archives office of public records of less than fifteen years of age if he considers that they are of sufficient value for deposit.
- (2) Any deposit of public records under the provisions of subsection (1) may be subject to any special conditions imposed by the administrative head of the Government office making the deposit.

\* \* \* \* \*

### **Public records not in the Archives office**

- 15 (1) The Archivist shall be entitled from time to time to inspect any public records that are for the time being in possession or under the control of any Government office and give such instructions as to their safe preservation and such advice as to their efficient and economical administration and management as he considers necessary.
- (2) Nothing in this section shall be deemed to authorise the Archivist to inspect the contents of any public records-
- (a) which by any written law are forbidden to be communicated to him or,
  - (b) which are secret or confidential, except with the consent of the administrative head of the Government office having the custody thereof.

\* \* \* \* \*

### **Public records not to be destroyed or disposed of without the authority of the Archivist**

- 17 (1) No person shall destroy or otherwise dispose of, or authorise the destruction or other disposal of, any public record of any kind whatsoever that is in his possession or under his control, except with the consent of the Archivist given in accordance with the provisions of this Act.
- (2) Before authorising the destruction of any public record or any class thereof, the Archivist may, if he thinks fit, consult with any person whom the Archivist considers qualified to advise him as to value thereof for permanent preservation.

\* \* \* \* \*

### **Routine destruction of public records**

- 18 The Archivist may authorise the immediate destruction, or the destruction after the expiration of such specified time as may be agreed upon between the Archivist and the administrative head of the Government office concerned, of any specified public records or classes of public records that -

- (a) by reason of their number, kind or routine nature do not in his opinion possess any enduring value for preservation in the Archives office; and
- (b) are not required for reference purposes in any Government office after action on them is completed, or after the expiration of such period of years from the date on which action on them is completed as may be agreed upon between the Archivist and the administrative head of the Government office concerned.

\* \* \* **end** \* \* \* \*

# **The Management of Legal Records in Kenya :**

## **A Case Study**

**Musila Musembi<sup>1</sup>**

### **Introduction<sup>2</sup>**

The management of legal records constitutes one of the most complex problems for Kenyan archivists despite the existence of legal and administrative provisions. In terms of the Records Disposal Act Chapter 14, authority to destroy court records is shared between the Chief Justice and the Director of the Kenya National Archives and Documentation Service. Similar legal requirements exist for the records of the Attorney-General's Office. While these arrangements provide the necessary checks and balances against hasty decisions to destroy legal records, the situation is greatly disadvantaged by magistrates and lawyers who do not have enough time for legal records. As a matter of fact, it is not just time alone. We have abundant evidence to demonstrate that some of these learned friends are not committed to effective management of legal records. As a result, there has been an unprecedented accumulation of utterly useless legal records in some courts - many of them relating to petty cases. This situation does not serve the interests of research scholars, the creating departments/courts or archivists. The position is, fortunately, much better as regards the management of legal records in other legal public offices, ie in Ministries, Departments and State Corporations. It is for this reason that this case study will devote greater attention to the management of court records.

The management of legal records needs both special consideration as well as special attention. Sections 60 and 64 of the Kenya Constitution state that the High Court and the Court of Appeal are Courts of Record where, at least in theory, all records must be

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

Mr Musembi is the author of *Archives Management: the Kenya Experience* (1985). He has contributed chapters and articles in publications and journals including a chapter in *Legal Records in the Commonwealth* (1994), and co-edited *Proceedings of the Pan African Conference on the Preservation and Conservation of Library and Archival Materials* (1995).

<sup>2</sup> This case study is partly a revised and updated version of an article titled 'The Management of Legal Records: The Kenyan Experience' which was published in *Legal Records in the Commonwealth*, Ed William Twining & Emma V. Quick, Dartmouth Publishing Company, England, 1994.

permanently preserved. Indeed, the concept of a Court of Record means that the documents produced by such a court are a 'record', and are thus a part of the law itself.<sup>3</sup> Archivists cannot take this consideration lightly.

There is also the question of the fast accumulation of legal records, especially court records. The management of these materials has, at times, presented extremely severe problems, especially in relation to the disposal of both the records and exhibits. And in a few cases, this had precipitated real crisis with regard to the storage of these materials with some of the records actually being left on the floor. There is therefore no doubt that legal records in Kenya must have presented peculiar problems from the beginning. These problems must have been fairly pressing and this must be the main reason why the Records Disposal Act Chapter 14 was enacted before the Public Archives and Documentation Service Act. However, although the government had clearly given special consideration and special attention to legal records, the Kenyan archivists failed miserably to give appropriate attention to the management of these materials until the early 1980s. The consequences were, in some cases, disastrous. Since that time, a most significant paradigm shift has taken place. For the first time, Kenyan Archivists began to give greater attention to the management of legal records. The Director of the Kenya National Archives and Documentation Service sought the support of the Chief Justice and the Registrar of the High Court. He got it. The ground was prepared for improved management of legal records in general, and court records in particular. As this case study will demonstrate, significant successes have been achieved. However, in view of the size of the problem, as well as its complexity, much still remains to be done.

## **The Period of Neglect: 1962 to 1982**

The Records Disposal Act Chapter 14 was enacted in 1962. It laid down the procedures to be followed in maintaining the records created by the courts as well as those of the Attorney-General's Office. However, in spite of the existence of guidelines in the form of disposal schedules clearly setting out time limits after which certain court records should be destroyed, no disposal action was taken by the courts on a regular basis. In many cases, no destruction of valueless court records took place. This situation led to overcrowding of some of the courts with valueless materials.

It is not difficult to explain why the Kenya National Archives and Documentation Service took very limited action to implement the requirements of the Records Disposal Act in the 1960s. Two years before the Act was promulgated, in 1959, the embryonic Archives Service was virtually dismantled. Four out of the five posts of clerical officer in the tiny Archives Department were abolished, and the post of Archivist, the officer in charge of the Department, was combined with that of the Controller of Office Services when the holder retired. This was as a result of the severe economic problems which the country was facing at that time. Apart from the

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<sup>3</sup> Knafla, Louis A. 'Legal Archives: the National and Cultural Heritage.' Paper prepared for a meeting of Commonwealth Law Ministers, Colombo, Sri Lanka, February, 1983, p. 2.

reduction of personnel, the budget to run the archives service was almost non-existent. The situation had not changed much by 1962 when the Records Disposal Act was enacted. The stage for poor records management in the public service, legal records included, was therefore firmly set.

The enactment of the Records Disposal Act was, to some extent, a contradiction in terms in that no adequate personnel and finance were made available to implement it. Throughout the 1960s and early 1970s the situation was, despite some improvements, equally discouraging. The total authorised establishment of the Kenya National Archives, now Kenya National Archives and Documentation Service, was eleven in 1963, thirteen in 1970 and twenty-two in 1974. To make matters worse, many of these were junior staff, mainly high school graduates who were also not trained. A country must have a certain minimum professional capability in order to be able to launch and sustain a records management programme, including that of legal records.

The question of minimum professional capability is quite important and it is necessary for me to illustrate what can happen in its absence. Soon after independence, in the early 1960s, the Kenya Government became aware that large quantities of records had been burnt by the departing colonial administration. Others had been physically transferred to Britain. This left a big gap in our holdings. It was therefore necessary to ensure that this gap was not enlarged by unauthorised destruction of records which were still in various government offices after 1963. Circular Letter No. 2 of 1965 was therefore issued by the Vice-President, instructing, among other things, that:

‘In order to deal quickly with the accumulated backlog of con-current records, the Cabinet has authorised the immediate transfer of records dated earlier than 31st December 1945, ie which are approximately 20 years old. This ruling applies to all records whether open, confidential, or secret.’<sup>4</sup>

The main objectives of the above instruction were good. However, as a result of the lack of adequately qualified personnel to appraise the records, a lot of valueless materials were brought into the National Archives quite a good percentage being court records. More than 90% of the court records which were transferred to us were utterly worthless in terms of the Records Disposal Act. And most of them came from the lower courts. Again, inadequately trained staff were not able to appraise the materials even after they were received in the Archives. As a result, the disposal of these valueless records continued to give us problems until quite recently, mainly because the courts which had created them did not feel very much concerned with the records since they were no longer in their custody. It was the National Archives’ storage space and equipment which were being occupied by these valueless records. Yet we could not destroy them before they were gazetted by the courts themselves. Out of desperation, we decided to take them back to the original owners. We had to use our limited time and resources to do so. The experience we have gained in handling these court records has clearly taught us that we must be very careful in accepting valueless records into our custody - whether legal records or not. My advice to colleagues is this: watch out.

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<sup>4</sup> Archives Circular No. 2 of 1965.

In February 1983, totally without prior notice, I was informed that I was going to accompany the Deputy Public Prosecutor to Colombo, Sri Lanka, for a Commonwealth Law Ministers' Conference. A memorandum by the Commonwealth Secretariat and a paper by Professor L Knafla on 'Legal Archives: The National and Cultural Heritage' had been circulated to those law ministers who were planning to attend the conference and it was hoped that the issue would be discussed formally or informally.<sup>5</sup> This explains why I went to Colombo. I could hardly believe that I could be invited to such a meeting, being still a fairly young man who had taken over the management of the Kenya National Archives and Documentation Service only about ten months earlier. More significantly, I had never attended a conference or seminar at such a high level. And so when I was asked to prepare a position paper on the management of legal records in Kenya, I quickly had to conduct detailed research. I was actually surprised by the unsatisfactory situation found in some of the courts which were examined by our staff.

All along, I had thought that the existence of a Records Disposal Act, as well as clear disposal guidelines for court records, were bound to create conditions conducive to more efficient management of these materials. Unfortunately, this was not so. After consultation with my senior staff, it was decided that, henceforth, courts throughout the country were going to be included in all our records management programmes just like other government ministries and departments.

The research I had carried out just before the Colombo Conference and Professor Knafla's paper convinced me that the time had come for the Department to give greater attention to legal records. Furthermore, my invitation to the Colombo Conference gave us a strong signal to the effect that the government expected the Kenya National Archives and Documentation Service to take strong measures for the management of these records. As might be expected, these signals were taken very seriously. Therefore, the Colombo Conference further catalysed our interest in legal records. Soon after the conference, we intensified our contacts with the Judicial Department and especially the High Court. The Registrar of the High Court was in principle supportive of our initiatives. However, he did not have adequate personnel to sort out and appraise an immense accumulation of materials in the basement of the High Court. An attempt to use prisoners' labour to assist in the exercise did not succeed because of unforeseen problems.

Meanwhile, the Office of the President issued a circular to all ministries, departments and para-statal organisations emphasising the need for public offices to manage their non-current records more effectively. The circular, dated 28th November 1985, strongly emphasised the responsibility of public offices in managing their records - both current and closed. We quickly took advantage of the instructions contained in the circular letter and intensified our discussions with senior officers in the Judicial Department. The results were very encouraging. First, it was agreed that the Judicial Department and the Kenya National Archives and Documentation Service should issue a joint letter to all the magistrates in the country in which their attention would be drawn to the instructions contained in the Office of the President's circular. The

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<sup>5</sup> Knafla, Louis A., *op. cit.*

joint letter to the magistrates noted that many courts at the lower level were crowded with valueless records because some of them were not implementing the requirements of the Records Disposal Act. It was further noted that although the retention period for criminal case-files had been reduced from twelve to three years, these materials were still kept in most of the courts long after they matured for destruction. Magistrates were therefore requested to implement the requirements of the Records Disposal Act in order to improve the generally unsatisfactory position. The joint letter is reproduced as Appendix I.

The issuance of the joint circular letter to the magistrates had very positive results. For example, between 1986 and 1987, many courts applied to the Chief Justice for authority to destroy valueless court records. More significantly, more and more magistrates were beginning to accept that the management of court records was an important activity which deserved their attention. However, their busy schedule together with untrained personnel in the courts meant that problems related to the management of court records were going to remain with us for much longer than we had expected. Probably due to the same reasons, some courts failed to destroy the valueless court records even after they actually obtained the necessary approval. What a paradox! And so we had to continue to search for a more permanent solution to the problem.

Experience had shown that the problem of poor records management in the courts was partly caused by inadequate knowledge on the part of executive officers on what the laws and regulations require concerning the disposal of these materials. We had noted earlier that these officers play a key role in the general administration of courts. Furthermore, the newly formulated Scheme of Service for Executive Officers specifically included records management as one of their basic functions. However, experience had shown that such provisions would have no effect so long as the officers concerned were not clear in their minds on how to proceed. It had therefore become evident that the implementation of the requirements of the Court Records Disposal Act could not really succeed unless executive officers were properly educated as to the legal and administrative requirements relating to the management of court records. Consequently, a two-day seminar for some selected executive officers serving in the courts was organised by the Kenya National Archives and Documentation Service, with the full funding and support of the Judicial Department. It was held from 21 to 22 February 1991 and attended by twenty-six officers from different courts. The seminar was very successful, prompting the organisation of other similar seminars until most of the executive officers serving in the courts had been covered. The enthusiasm shown by those who attended the seminars, together with the robust support given by the Chief Justice and the Registrar of the High Court, have absolutely convinced us that it is possible to make a breakthrough in this most difficult area. The recommendations of the February 1991 are given as Appendix 2.

As indicated earlier, both the Chief Justice and the Registrar of the High Court had shown great interest in the management of court records. It is our hope that this will continue. This, of course, is likely to have a positive influence on officers working under them. We have in fact seen evidence of the actual benefits to be obtained from such support. Throughout the two-day seminar which was held on 21 to 22 February, 1991, two Acting Deputy Registrars of the High Court, both the criminal and civil

registries, participated. I was personally very encouraged by this and had no alternative but to join in as well. This gave a lot of inspiration to the participants. It was another clear sign of better things to come.

### **The Present Position**

There is no doubt that legal records form one of the largest groups of records which are created in the public service in Kenya. They accumulate very fast. In certain cases, this has laid an extremely heavy burden on magistrates, executive officers and court clerks whose busy schedules are largely devoted to other more urgent issues. Others do not seem to be aware of their responsibility with regard to legal records or, if they are, have not bothered to take the necessary action. Be that as it may, the extremely fast accumulation of these records has presented complex management problems which call for a co-operative approach, especially between the courts and archivists. In this case, the issue of 'missing' and 'lost' court files cannot escape one's attention.

Now, as indicated earlier, courts in Kenya, as indeed elsewhere, create and receive an immense documentation per month. In a year, the accumulation must be very high. It is noted that their control is often inadequate. This must obviously be one of the major causes of 'missing' and 'lost' files. Good record keeping practices should, however, be able to take care of this problem up to a satisfactory level. This is what the Kenya National Archives and Documentation Service hopes to achieve in the long run. Unfortunately, poor records keeping practices is not the only cause of 'missing' and 'lost' court records. Corruption is another cause of this problem. A Court of Appeal Judge, Justice Philip Kiptoo Tunoi, in a recent interview by the Sunday Nation stated as follows with regard to what could be the reasons behind numerous cases of missing files:-

‘There are many factors but the main reasons are methods of filing and corruption. The filing system is archaic. In 1970s and 1980s, the court used to handle very few cases but today there are thousands of files. Secondly, my experience tells me that this has to do with corruption. A number of people can get involved in this: litigants, advocates and court clerks who all bribe. I do believe that parties can cause files to go ‘missing’ by corrupting court clerks to misplace them. The Judiciary has nothing to gain from missing files.’<sup>6</sup>

When asked what, in his view could solve the problem, Justice Tunoi provided an excellent answer from an archivist's point of view. He observed that the solution to the problem could be action was taken as follows:-

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<sup>6</sup> Sunday Nation. 11th October, 1998, p.19.

‘Through strict supervision by the following: the Executive Officer of the court, Deputy Registrar, Judges and Magistrates. If they all took interest to see that files do not go missing, I am sure the problem would be overcome.’<sup>7</sup>

At this point, it may be useful to determine how widespread is the problem of missing and lost files in Kenyan courts. What is the size of the problem? As I have already demonstrated, there is no doubt that the problem is there. And it is fairly common in the very busy courts which are also located in big urban centres. However, there is also evidence to indicate that the problem is, at times, grossly exaggerated by the local press which excels in promoting sensational stories. As a matter of fact, the files reported missing per year must be very insignificant in relation to the total court files. Few people appreciate some of the problems in which Executive Officers and Court Clerks work under: fast creation and accumulation of records; very limited storage space and equipment for keeping current, semi-current court records and exhibits; high and frequent rate of retrieval of these records for court clerks. Judicial officers, archivists and members of the public all need to appreciate these constraints so that their energies can be mobilised for the search of permanent solutions to the above problems.

And now, a word on exhibits. We need not belabour the fact that they form part of the court proceedings. What, however, must concern us here is that their management often presents very difficult problems. This is especially so when account is taken of limited office and storage space in courts and of course the very varied nature of the exhibits themselves. It was for these reasons that participants in one of the seminars on the management of court records ‘strongly recommended that the disposal of exhibits (objects) be determined and made at the earliest time possible - possibly by the time of a judgement of a particular case.’ This particular recommendation reflected the views of Kenyan Archivists. It was, together with others, communicated to the Chief Justice who rightly advised that:-

‘..... disposal of exhibits is not allowed under the law until any outstanding appeal is disposed of. In some cases convicted persons prefer a second appeal to the Court of Appeal; it takes (usually due to the delay by advocates) sometimes two or three years. For instance, in the case of the murder of Mr J R McCready in 1985, the British Government has requested the return of certain personal items because the second appeal has still not been disposed of, as I stated to the Deputy High Commissioner, it is unwise to take the risk of releasing any of the exhibits before the final determination of the second appeal. This would apply even more so to destruction of exhibits, because they would then be lost for all time, and an appeal might well have to be allowed because of the non-availability of an exhibit.’<sup>8</sup>

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<sup>7</sup> Ibid.

<sup>8</sup> Letter Ref. No. CJ.12 dated 4th April, 1991 in file KNA/16/11/91.

This was indeed a great advice to the Kenyan archivists. We certainly need to be aware of some of the intricacies and legal implications of disposal of court records in general, and exhibits in particular.

I have demonstrated that by early 1990s, we sought and obtained the support of the Chief Justice, the Registrar of the High Court and an increasing number of Magistrates. I must emphasise that this support did not just pay us a surprise visit. We carefully planned for it. And we took appropriate measures to achieve it. As a start, the Director of the Kenya National Archives and Documentation Service held several meetings with the Registrar of the High Court on the management of court records in the country. In these meetings, it was emphasised that the Registrar needed to take measures which could lead to the improvement of the management of court records. We were quite persistent on this point. In the long run, we achieved our objective - the needed support. If we were quick to despair because of 'little' problems during our initial discussions and negotiations with the Registrar of the High Court, it is most likely that we would have given up long before we got the support. There is no doubt that our commitment to the already determined course and our patience helped us to turn-round the unsatisfactory situation described above.

I must emphasise that our mission to improve the management of court records was not all roses. There were times when our statements and recommendations were taken as a little bit over-zealous, and probably alarmist. On 29th October, 1990, the Director of the Kenya National Archives and Documentation Service wrote a rather candid letter to the Registrar of the High Court. In his letter, he expressed great concern on poor management of court records. Among other things, the letter stated as follows:-

'The other area of great concern relates to the present unsatisfactory state of records management in most courts. In very many cases, the courts are clogged with valueless non-current records. The High Court falls under this category since its basement is full of such materials. This has resulted in uneconomical usage of office space and equipment. Furthermore, some of the non-current court records are, in some cases, kept along the corridor - giving a very poor picture to members of the public. This unsatisfactory situation is certainly set to become worse unless your Office takes immediate appropriate action.'<sup>9</sup>

The Registrar of the High Court was obviously not amused by the above statement. He must have liaised with the Chief Justice, who personally responded to the letter. In his reply dated 12th November, 1990, the Chief Justice observed that:-

'I have not personally observed useless Court records clogging the public corridors and neither can I agree that any Court records are valueless. While records of the Courts fall within the Schedule and therefore within the definition of public records in Section 2 of the (Archives) Act, they cannot be indiscriminately lumped with other records. Apart from this, both the High Court and the Court of Appeal are Courts of Record under Sections 60 and 64 of the Constitution and,

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<sup>9</sup> Letter Ref. No. KNA/16/11/Vol. III/(55) dated 29th October, 1990 in file No. KNA/16/11.

theoretically, the records thereof should be preserved in perpetuity: indeed some of the English Law Reports which we have go back to the 16th century and are still relied on by practitioners.

Adherence to this doctrine is, however, impractical for the reason stated in your letter under reference.’<sup>10</sup>

Later, the Chief Justice requested evidence to support the Director’s statement that some courts were managing their records very poorly. The Director had the evidence at hand and he gladly submitted the same to the High Court. Soon after, the Chief Justice personally informed the Director that he should, in the future, inform him of the particular courts where non-current records were poorly managed so that he (The Chief Justice) could take the necessary action. What more support did the National Archives want? The results of this dialogue between the Chief Justice, the Registrar of the High Court and the Director of the Kenya National Archives and Documentation Service have been truly tremendous. Each of the three offices have come to appreciate and support the missions of each other. We have come to understand the constraints each stakeholder faces in our efforts to improve the management of court records in Kenya. And even more significantly, we have come to agree that we are in a position to improve the situation even with our present limited resources. It is for these reasons that I must pay special tribute in this case study to Mr A R W Hancox, Retired Chief Justice; E G H Mwera, formerly Registrar of the High Court and now a High Court Judge; and Mr Jacob ole Kipuri, the present Registrar of the High Court for their support to improve the management of court records. This has certainly made a great difference.

## **Seizing the Opportunity**

Support by the Chief Justice and the Registrar of the High Court was not just moral. It was concrete. Earlier, in 1989, the Chief Justice had set the ball rolling by personally supervising the clearance of one of the stores in the basement of the High Court. Look at that enviable support!! Three years later, in 1991, the Registrar of the High Court seized the opportunity and successfully carried out consultations with the Directorate of Personnel Management and the Treasury, consequently, the following posts were specifically established for the Judiciary:-

1 post of Assistant Archivist - Job Group ‘J’

1 post of Senior Archives Assistant - Job Group ‘H’

10 posts of Archives Assistants - Job Group ‘G’.

By the end of 1980s, non-recurrent records in the High Court, Nairobi, were very badly managed. It is therefore no wonder that Mr A R W Hancox, the former Chief Justice personally got involved in supervising the clearance of one of the rooms in the basement through the application of the disposal and retention schedule as provided in the Court Records Disposal Act Cap. 14. More efforts were put in applying the

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<sup>10</sup> Letter Ref. no. C.J.12 dated 12th November, 1990 in file No. KNA/16/11/Vol. III.

provisions of the above Act in the same office. Today, the High Court provides a good example of a fairly well organised system for non-current court records. Retrieval is much faster than it used to be. It would, as a matter of fact, appear as if things are set to improve even further in this court. It is noted that an Assistant Archivist and some Archives Assistants were posted in this court and some other courts outside Nairobi. There are also other signals which give us positive indications that the High Court wishes to improve the management of its records further. Discussions have already been held at a high level on ways and means of modernising the Court's records and information systems. In addition, the Director of the Kenya National Archives and Documentation Service submitted a detailed report to the Registrar of the High Court with specific recommendations on records management in 1997. And in September 1998, some senior officers from the High Court visited the Kenya National Archives and Documentation Service to practically see how we manage our holdings. They were led by a Principal Deputy Registrar. The team also included a Chief Magistrate and a Senior Deputy Registrar. After touring the Department, a short meeting was held and it was chaired by the Director of the Kenya National Archives and Documentation Service. These are obviously strong indications to the effect that the Judicial Department continues to recognise good records management as a necessary condition for an efficient judicial system. The Kenya National Archives and Documentation Service is proud to be associated with these very important initiatives.

Improvements were also evident in law courts around the country. The Kitale Law Court provides another good example where the state of records management has greatly improved in recent years - thanks to the support of the senior Judicial Officers and the Archives Assistant. Both the current and non-current court records are well managed. This is also true of Isiolo Court and several other courts. An evaluation report dated 14th August, 1997 by the Provincial archivists, Nairobi Records Centre observed as follows with regard to the management of records at Isiolo District Magistrate's Court:-

'In my discussions with Mr G K Mutai, I got the impression of a magistrate who is not only very concerned with the prompt and just disposal of cases brought before him, but who is also very keen to ensure the court records are in order and the qualifying ones are disposed of as per the law as soon as they are ready. This was the second time the Isiolo court was seeking to dispose of obsolete case files. The court has already written to the Chief Justice seeking to be permitted to destroy old receipt books for Court fees and related documents.

Cases of missing and misplaced files are unknown in this court. I never came across 'temporary' or reconstructed case files which is usually the indicator of the prevalence of missing files.'<sup>11</sup>

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<sup>11</sup> Letter Ref. No. NRC/3/2/12(56) dated 14th August, 1997 in file No. KNA/16/11/93.

The High Court in Nairobi, as well as Kitale and Isiolo Law Courts are not the only success stories. There are others. However, there are also many other courts where no significant improvements have been made in spite of our professional advice and the commitment shown by the Chief Justice and the Registrar of the High Court. After about seventy years of neglect during which time the management of non-current records really deteriorated, it would not be reasonable to expect the situation everywhere to improve drastically overnight. This, of course, does not mean that there is no urgency in this matter. However, it is important to realise that different magistrates will place different emphasis on records management at different times - of course depending on special circumstances.

Now, court records form a significant part of the total legal records of a country. There are many others. The records of the Attorney-General's Office, the land title registers (commonly known as title deeds) from the Ministry of Lands and Housing, and records from various legal departments in the public service are also legal records. The list of such materials is long. With the exception of some of the Attorney-General's Office, legal records created or received in public offices are generally well managed. Aside from public legal records, there are also records of individual legal firms which represent a rich source of our national and cultural heritage. We cannot claim to have complete legal archives without them. Some legal firms in Kenya have been in existence for over half a century and their records would certainly serve as useful sources for studying the evolution of our legal system. At the moment, no adequate positive steps have been taken to co-ordinate the preservation of these archives in private hands. And we are not likely going to take the needed action in the near future for these privately held materials. Our hands are already full with public records.

## **Use of Legal Archives**

Any significant exploitation or use of legal archives in Kenya and indeed many other developing countries has not yet occurred. Most lawyers seem to depend largely on law reports and therefore do not seem to see any need to examine the legal archives. This, it is argued, is consistent with the doctrine of precedent. Law reports concentrate mainly on the reporting of decisions of the courts, mainly major and significant cases. Clearly, such reports must be seen as summaries of what transpired in certain cases. The actual substance of such cases usually remains with the court records, which eventually form legal archives. The Kenya National Archives and Documentation Service has many legal records, and especially from the Resident Magistrate Courts. Unfortunately, these have hardly been consulted by lawyers. Why?

As I have demonstrated, non-current records were poorly organised in most of the courts until recently. Obviously, this situation does not promote the use of legal records. Any attempt to access these materials in those early days must have ended with frustrations due to their general inaccessibility. And even more significantly, the Kenya National Archives and Documentation Service had not, until late 1980s, developed a systematic procedure in its acquisition and preservation of these

documents. Therefore, potential users were directly and indirectly discouraged from using non-current court records in the Archives' custody for research or litigation purposes. However, the situation has greatly improved.

Legal records in the National Archive are now well-organised and are easily accessible. At last, we can have the courage to publicise the availability of these records in our custody. We have actually begun doing so and the demand for these materials is expected to gradually increase. At the moment, the usage of these materials is still very low compared to historical and other related disciplines. Therefore, it is necessary for the Kenya National Archives and Documentation Service and the Council of Legal Education in Kenya to sit down together and explore ways and means of encouraging lawyers to use legal archives, especially in broadening their knowledge of the country's legal systems and services. If archivists can get lawyers on their side, they (the lawyers) can also lobby on our behalf. They are well placed to do so. In this way they can help records managers to increase their visibility in society. Obviously, this will create favourable conditions for improved funding for records and archives programmes and activities.

## **Some Lessons**

1. Kenya has a generally good archival legislation and a fair Court Records Disposal Act. However, the presence of these two legislations did not, by themselves, prevent poor records management practices in courts and some other legal offices.
2. Archivists and records managers must ceaselessly seek dialogue with top judicial officers and clearly explain the situation with regard to the management of legal records in general, and court records in particular. If we do not do so, who else will take the challenge? It is significant to note that the Chief Justice was not aware of the deplorable state of records management in many courts until I drew his attention to the matter. Obviously, we cannot get the support of these top judicial officers if we do not seek it. And this can never be a one day's job. It may take a frustratingly long time before country-wide success is achieved.
3. Senior archivists and top judicial officers must realise that no satisfactory solution will be found with regard to effective records management without first developing a favourable environment for good records management in courts and other legal officers. An environment that provides for systematic disposal of legal records must first be developed and regularly implemented. The officers who manage the legal records must be given appropriate training. Whenever possible, a specific cadre of Records Officers (Archives Assistants in the case of Kenya) may be created to focus all their attention on the management of these materials. And they must be provided with the necessary facilities like adequate storage space and equipment.

4. In a medium sized country like Kenya, it will be difficult to service the courts from one central point - the capital. The existence of fairly well resourced Record Centres will facilitate more efficient provision of advisory services on creation, control, preservation and disposal of public records, legal records included. The five Record Centres which are located in Nairobi, Mombasa, Nakuru, Kakamega and Kisumu have not only enabled the Kenya National Archives and Documentation Service to reach courts in almost all parts of the country, but they have also facilitated greater awareness-raising among top Judicial Officers. This is of crucial importance.
5. A grossly under-funded and poorly resourced National Archives will find it quite difficult to effectively get involved in the management of legal records and especially court records which may have experienced years of neglect. On the other hand, a fairly well-funded and well-resourced National Archives will also find its efforts undermined if it lacks the necessary storage space for legal records which may be selected for permanent preservation. What a vicious circle for many developing countries? Shortage of storage space has, however, not seriously dampened the enthusiasm of the senior staff of the Kenya National Archives and Documentation Service.
6. It is necessary to review, on a regular basis, any legislation or administrative arrangements which govern the management of legal records. Failure to do so may lead to reduced efficiency in the management of these documents.
7. And finally, any records management programme for legal records must be able to demonstrate its usefulness, particularly to top judicial officers in terms of savings on storage space and equipment. Even more significantly, the actual benefits in terms of efficient retrieval of records whenever needed must be clearly seen. This must also be accompanied by a drastic reduction or even absence of cases related to missing and lost files. This, in the final analysis, is what matters most.

## Appendix A

The High Court of Kenya  
P. O. Box 30041,  
NAIROBI

Kenya National Archives  
P. O. Box 49210,  
NAIROBI

24th October, 1986

To All Magistrates,

### **Disposal of Papers Relating to Criminal Proceedings - Reduction of Retention Period from 12 Years to 3 Years**

We wish to draw your attention to item 3 of the First Schedule of the Records Disposal Act Chapter 14 on the disposal of papers relating to criminal proceedings. The retention period for these papers was, in 1979, reduced from twelve (12) years to three (3) years ..... Records surveys carried out by the National Archives in various courts clearly show that magistrates have not complied with this particular requirement. As a result, many valueless court records are still occupying valuable space and equipment in most of the courts, contrary to paragraph (c) of the Chief Secretary's Circular Ref. No. OP.1/48A/66 of 28th November, 1985. Copies of this circular may be obtained from the Chief Archivist. The Registrar of the High Courts of Kenya is also gravely concerned about the non-compliance of the Judicial Department's Circular to Magistrates No. 3 of 1969 dated 10th February, 1969. This Circular outlines the procedure which must be followed in destroying valueless records. Stations which do not have the Circular may request for copies from the Registrar of the High Court of Kenya.

In order to rectify the present unsatisfactory situation, you should take immediate disposal action in accordance with the Legal Notice No. 183 of 27th August 1979, and as instructed in the Chief Secretary's Circular. Thereafter, continue to take action as and when necessary.

M J Batt  
SENIOR DEPUTY REGISTRAR  
FOR : REGISTRAR  
HIGH COURT OF KENYA

M Musembi  
CHIEF ARCHIVIST  
KENYA NATIONAL ARCHIVES

## **Appendix B**

### **Seminar on Records Management For Executive Officers Working In Courts - Nairobi, 21st To 22nd February, 1991: Recommendations**

- 1 The participants recommended that the Chief Justice may wish to consider to remind Resident Magistrates to give greater attention to the management of court records. It was noted that the management of non-current court records is not satisfactory in some courts.
- 2 It was recommended that Magistrates should ensure that all court records due for destruction are promptly destroyed in accordance with the Records Disposal Act Cap. 14 in order to avoid uneconomical usage of office space and equipment.
- 3 Executive Officers must ensure that non-current records are properly maintained in line with the instructions contained in the Office of the President's circular letter Ref. No. 1 OP.1/48A/66 of 28th November, 1985.
- 4 Registers for civil, criminal and traffic cases, and all other records which need to be permanently preserved must be well safeguarded by the courts until the time when they may be transferred to Kenya National Archives and Documentation Service.
- 5 It was strongly recommended that the disposal of exhibits (objects) be determined and made at the earliest time possible - possibly by the time of a judgement of a particular case.
- 6 The existing Archives Assistants' posts should be filled at the earliest time possible.
- 7 The Registrar of the High Court and the Director of the Kenya National Archives and Documentation Service should consider the possibility of organising similar seminars (meetings) for other Executive Officers and Executive Assistants working in the courts.

# Storage/Preservation Case Study: Responding Effectively to Disaster

Ann Pederson<sup>1</sup>

## Introduction and Instructions

The case study which follows was developed from experiences of actual disasters. Although the scenario may seem ‘dramatic’, the problems and actions described are representative of all significant emergencies. Your goal in undertaking this case study is to learn how to respond quickly and effectively when disaster strikes and how to plan to prevent or minimise the impact of disasters that may occur in the future. Using case study exercises helps learners develop the following managerial skills:

identifying and analysing problems

understanding and interpreting data

identifying and utilising authoritative and accurate sources of information

understanding and recognising assumptions and inferences, as opposed to concrete facts

thinking analytically and critically

understanding and maximising the productivity of interpersonal work relationships

exercising and making judgements

communicating ideas and opinions

making and defending decisions.

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<sup>1</sup> Ms. Ann Pederson is a Senior Lecturer in Archives Administration and Records Management in the School of Information, Systems, Technology & 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).

# Objectives

The Somewhere City Council Disaster Case Study will enable students undertaking it to

- improve their understanding of key concepts, techniques and procedures used in disaster minimisation and response
- demonstrate their capability and skill
  - ◊ in analysing and designing a professionally appropriate response to an emergency situation involving severe wind and water damage
  - ◊ in identifying and rectifying problems and management errors that led to or exacerbated the emergency.

## The Case Study: Disaster Strikes Somewhere City Council

Somewhere City Council Administration is housed in a U-shaped complex of buildings which are currently undergoing modification to add two new stories. Council contracts called for construction to take place without shifting or interrupting Council services. The facility houses the Municipal Library, City Engineer's Office, Building and Planning Department, Central Records Section and the electronic data processing (EDP) and telephone switchboard and network exchange (PABX) Centres.

It was a stormy weekend with torrential, wind-driven rain that occasioned disaster.

On the previous Friday, the original roof of the buildings had been removed. A waterproof substance was applied then covered with a heavy plastic sheeting in anticipation of awaiting re-roofing. Sometime over the weekend the answering service for the Council contacted Council's Rangers/Security Officers as they were experiencing problems with calls forwarded from the PABX. The Rangers visited the site but could not enter as they did not have keys. They tried to contact the Town Clerk or his designated officer with appropriate keys but were unable to reach either. It was not until late on Sunday afternoon that entry was finally gained. The building was awash throughout. The stairwells resembled waterfalls; water flowed freely down walls. Ceiling tiles had fallen and were crumbling everywhere. Carpet tiles floated through the building. Water was pouring onto the PABX and the two main computer servers which were still going.

The State Emergency Service (SES) was called. They discovered that the plastic sheeting covering the roof had shredded in the wind, exposing several large areas and allowing massive water penetration. They secured the building roof with tarpaulins, covered as many desks, tables and shelves as possible with plastic sheeting and cut off the power.

Blissfully unaware, the staff of the affected offices arrive at work Monday morning to stacks of sodden files, and wet scattered debris left by the now subsided water. Rain is still falling and the temperature inches upwards towards 23 degrees. Some people

begin dragging wet drapery and carpeting out of the building; others sort through the wet mess on their desks. Many stand stunned with disbelief.

The Town Clerk gathers the senior staff of the affected areas together in the Council chambers (unaffected) to diagnose the situation. The Information Resources Manager Bill Jones had driven up from the country in the early hours and had been the first to enter the wet, dark building. Realising immediately that a disaster was in progress, he unlocked the main doors and made a quick torchlight tour of the flooded areas. He reported that the storage areas for Buildings and Plans and Central Records were badly affected. Boxes containing files were wet, about 20% were soaked through. Building plans that had been rolled up on open shelving were sodden and those with cloth backing were separating. The Library was also damaged. The local studies collections of manuscripts and photographs were damp; microfilm reels and boxes were floating in their cabinets and the shelving holding modern adult fiction, art books and other serials collections had collapsed, dumping the volumes into the water. The map cabinets in the damaged area were wet on top but seemed okay. In the EDP and PABX area, several boxes of back-up disks were filled with water; general ledger printouts were thoroughly drenched and disintegrated on handling. In all, some 20 metres of record material and about 3,500 volumes and 2,000 serials has suffered some type of damage.

Also at the meeting is the building company representative who is most concerned and offers the company's full co-operation in the salvage and repair operation. He suggests converting the library reading room adjoining the damaged area into a salvage centre. He would supply extra tables, shelves and fans, even a couple of microwaves for rapidly drying books and loose papers. He confirms that his insurance will cover all documented repair and recovery expenses and gives the name and number of the agent. The Town Clerk thanks him and accepts his offers of assistance.

Several section heads express the need to conduct Council business and resume major services as the first priority. They discuss relocating public enquiries, relocating the cashiers, finding places for the staff to work and dealing with the builders and insurance company. Most are not very concerned about the wet records or books. It did not help that some of the builder's workers had told them that everything would dry out when the air conditioners were turned on. Everyone starts talking at once - expressing anger, the need to 'get started' and 'go back to work'. Some leave the meeting, return to their desks, and begin throwing things out. It is obvious that they are all frustrated and upset.

At this point, the Town Clerk appoints Bill Jones to organise the record and library materials salvage operation and leaves the meeting. Bill Jones turns to you and says 'you know something about preservation. Devise a step-by-step plan of action for me to approve.'

*How will you proceed?*

**INSTRUCTIONS:** Prepare your explanation and comments in 4 parts:

- 1     **Introduction:** Describe how you will go about preparing yourself to write an effective plan.
- 2     **Plan:** Prepare an annotated outline of the requested plan, setting out the steps, considerations and priorities, *briefly* explaining in each instance what action is required, why and how it should be carried out. *Use point form with short phrases, rather than complete sentences.*
- 3     **Recommendations:** Make a list of recommendations which will identify and correct the problems which contributed to the disaster and which will enable the Council to cope more effectively with future emergencies.
- 4     **Bibliography:** Recommend several readings [up to 5] you actually used in completing this assignment. Give the complete bibliographic citation and write 3-5 sentences explaining the value of each source.

The first three parts of your assignment should not exceed 1500 words. Remember, you may *use point form with short phrases, rather than complete sentences.*

# Somewhere City Council Preservation Case Study

## Instructor's Notes

### Discussion or Study Questions

The goal here is to enable students to draw out the major points that they need to 'solve' the case study.

- A What were the main and secondary causes of damage?

*Suggested responses:* wind and water were the actual damaging agents, but poor planning, no emergency response training, lack of communication and the timing of the storms made the damage much worse.

- B What would you recommend as the first 3 steps to be taken in this situation?

*Suggested responses:*

- 1 Contact leading archives/public library authorities for emergency advice/assistance from their preservation departments.
- 2 Obtain immediate services of a conservator knowledgeable AND experienced in disaster recovery of archival and library materials (the full range of media).
- 3 Obtain advice on what to do immediately to stabilise conditions and buy time to prepare a reasoned plan. Sources to be consulted are:
  - a) Emergency Service personnel (Safety First)
  - b) Industrial relations advisors (re who can be directed to do what activities under emergency conditions) + key management (obtain necessary authorities to obtain space, equipment and supplies, select and direct staff and act + set up 2-way information conduit)
  - c) Insurance representatives (documentation of damage for claim support)
  - d) Professional conservators (stabilisation, salvage recovery - best steps in what order)
  - e) Key disaster recovery literature (Buchanan, Waters, McIntyre, etc.).

- C Identify 3 or 4 major 'clusters' of related problems that require action and list the steps you would take in solving them.

*Suggested responses:*

- Identify and obtain appropriate advice and expertise.
- Stabilise, assess and plan.
  - a check safety/security and insurance
  - b quarantine area and make sure it is safe to enter and to begin work survey damage with Leadership Team above (salvage conservator, SES rep, insurance rep. etc.). TAKE PHOTOS
  - d draft plan for immediate action.
- Assemble key personnel and make TO DO, TO ORGANISE and TO OBTAIN lists; delegate leaders for 'doing', 'obtaining' and 'setting up and supporting', 'communicating/liaising' and 'record keeping'.
- Set up 'command centre' (library reading room) to deal with management, press, public: overall co-ordination of record making and keeping. Set up communications structure.
- Obtain, manage, schedule and support staff and volunteers.
- Assemble and Brief Teams: Delegate key responsibilities and take actions:
  - a) stabilise damage area and start fans and pumps to remove water. Remove non-record debris and moisture retaining furnishings (carpets, drapes, furniture)
  - b) set up and equip Removal Operations (Library, Records, PABX) and re-supply as required
  - c) set up and equip: Sorting and Packing Area, including teams to take to freezer trucks and to drying area; re-supply as required
  - d) set up and equip a Drying Area and re-supply as required
  - e) set up an Equipment/Removal/Storage/Repair/Rehabilitation Team (an area for items to be stored pending repair).

D One of the major issues here might be described as 'managing people'. What are some of the difficulties you would envision and how would you suggest handling them?

*Suggested responses:*

- Calming down fear and anger, keeping people from going off in unhelpful directions and turning energy into productive thought and action.
- Getting *skilled and effective* people together on a Leadership Team/Task Force to plan and implement recovery. The suitable members of Team include
  - ◊ you (as co-ordinator/leader or chief advisor to co-ordinator/leader)

- ◇ conservation Expert in disaster recovery
- ◇ key staff from affected areas
- ◇ building Manager
- ◇ safety expert
- ◇ council Administrator (key to emergency money and authority)
- ◇ insurance representative
- ◇ note-taker and photographer.

E What media were damaged and what does the literature recommend for dealing with the damage described?

*Suggested responses:*

Get students to list media, then what scenario says is being done with them. Assign each student one or more types of material and have him/her go to literature and make notes, come back to class and participate in fleshing out the chart on the board.

| MEDIA                        | Situation in Scenario | Literature: Initial Action to Minimise Damage | Literature: Later Action to Restore Usability |
|------------------------------|-----------------------|-----------------------------------------------|-----------------------------------------------|
| loose paper records          |                       |                                               |                                               |
| bound paper volumes (damp)   |                       |                                               |                                               |
| bound paper volumes (soaked) |                       |                                               |                                               |
| paper files in boxes         |                       |                                               |                                               |
| microfilm                    |                       |                                               |                                               |
| books with coated paper      |                       |                                               |                                               |
| photographs                  |                       |                                               |                                               |
| Magnetic tape                |                       |                                               |                                               |
| Computer disks               |                       |                                               |                                               |

F What should be done after the immediate crisis is past to prevent such a scenario from recurring?

*Suggested responses:*

- Need for Disaster Plan development, implementation and updating. Give key elements that a thorough plan would include some clear idea of major points to be addressed, identifying particular things that went wrong, such as
  - 1 better provisions for protection during repair and construction (regular checking during weekend, no such work in future over weekend)
  - 2 measures to ensure keys are available for emergencies
  - 3 procedures to ensure rapid response capability in any emergency
  - 4 staff education and emergency drill programme for disasters
  - 5 identification of hazards inside and outside building
  - 6 water detection alarms
  - 7 vital records protection, including catalogue and finding aids for records
  - 8 proper protection and backup of computers and disks.

## Relevant Sources

Anderson, Hazel, and John E McIntyre. *Planning Manual for Disaster Control in Scottish Libraries & Record Offices*. Edinburgh: National Library of Scotland, 1985. Available from The National Library of Scotland, George IV Bridge, Edinburgh EH1 1EW, Scotland.

ARMA International *Guideline for Records and Information Management: Magnetic Diskettes -- Recovery Procedures*. Prairie Village, KS: Association of Records Managers and Administrators, Inc., 1987. ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208 USA

Barton, John P., and Johanna G Wellheiser, eds. *An Ounce of Prevention: A Handbook on Disaster Contingency Planning for Archives, Libraries and Record Centres*. Toronto: Toronto Area Archivists Group Education Foundation, 1985. Available from Canadian Archives Foundation, PO Box 97, Station F, Toronto, Ontario, M4Y4L4 CANADA.

Brooks, Constance. *Disaster Preparedness*. Washington, DC: Association for Research Libraries, 1993. Association of Research Libraries, Euram Building, 21 Dupont Circle, NW, Suite 800, Washington, DC 20036 USA (202-296-2296, fax: 202-872-0884)

Buchanan, Sally A. *Disaster Planning: Preparedness and Recovery for Libraries and Archives -- A RAMP Study with Guidelines*. Paris: UNESCO, 1988. Order from UNESCO, Maison de l'Unesco, 7 Place du Fontenoy, Paris F75007, France.

Conservation Center for Art and Historic Artefacts. *Managing a Mold Invasion: Guidelines for Disaster Response*. Philadelphia: CCAHA, 1994. Available from CCAHA, 264 South 23rd St Phila, PA, USA (215-545-0613, fax: 215-735-9313).

Eulenberg, Julia Niebuhr. *Handbook for the Recovery of Water Damaged Business Records*. Prairie Village, KS: Association of Records Managers and Administrators, 1986. Available from ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208 USA

Fortson, Judith. *Disaster Planning and Recovery: A How-To-Do-It Manual for Librarians and Archivists*. How-To-Do-It Manuals for Libraries, No. 21. New York: Neal-Schuman, 1992. Order from Neal-Schumann, 100 Varick St, New York, NY 10013 USA, (212-925-8650, fax, 212-219-8916) Also available from Society of American Archivists, 527 S. Wells St, 5th Floor, Chicago, IL, 60607 USA. (312) 922-0140, info@archivists.org, <http://www.archivists.org/publications/>

Parker, Thomas A 'Integrated Pest Management for Libraries.' In *Preservation of Library Materials*, ed. Merrily A Smith, pp. 103-123. IFLA Publications 40/41. Munich: K. G. Saur Verlag, 1987. Available from K. G. Saur, 121 Chanlon Rd, New Providence, NJ 07974 USA (800-521-8110, fax 908-771-8984)

*Primer on Disaster Preparedness, Management, and Response: Paper-Based Materials.* Washington, DC: Smithsonian Institution, National Archives and Records Administration, Library of Congress, and National Park Service, 1993. Available online: CoOL (Conservation OnLine) URL:

<http://palimpsest.stanford.edu/bytopic/disasters/>

SOLINET Preservation Services. 'The Invasion of the Giant Spore.' *SOLINET Preservation Leaflet #5*. Atlanta: SOLINET, January 1997. Available from SOLINET Preservation Services, 1438 W. Peachtree Street, NW, Suite 200, Atlanta, GA 30309-2955 USA(800-999-8558).

Trinkley, Michael. *Can You Stand the Heat? A Fire Safety Primer for Libraries, Archives and Museums*. Atlanta, GA: South-eastern Library Network, 1993.

Trinkley, Michael. *Hurricane Surviving the Big One: A Primer for Libraries, Museums and Archives*. Columbia, SC: Chicora Foundation, 1993.

Upton, M S and Colin Pearson, (1978) *Disaster Planning and Emergency Treatments in Museums, Art Galleries, Libraries, Archives and Allied Institutions*. Canberra: Institute for the Conservation of Cultural Material Inc.

Walsh, Betty. 'Salvage Operations for Water Damaged Archival Collections: A Second Glance'. *WAAC Newsletter* [Western Association for Art Conservators] 12 (May 1997): 12-23. Issue features a 17'x 22' foldout summary chart of salvage guidelines printed on a waterproof and stain resistant synthetic paper. Copies of the Salvage at a Glance chart are available by contacting Chris Stavroudis, email: [cstavrou@ix7.ix.netcom.com](mailto:cstavrou@ix7.ix.netcom.com)

## Some Tips to Give Students

1. Identify all the things that went wrong or were damaged as a result of the storm.
2. Looking at what went wrong, try to list what actually caused the thing to happen and then for each cause, think about how it might have been prevented or could be prevented in future.
3. Go to the library and search for books and articles under the topics 'preservation planning', 'disaster and minimisation or response or recovery', read those articles/chapters/sections that deal with water damage to find out what advice experts give on
  - how to deal with an emergency situation involving storm or flood damage
  - how to handle and salvage damaged records and important documents in various media
  - what plans and actions are recommended to prevent or minimise such disasters.

## Suggested Marking Guidelines

**Overall work set out in easy to follow, annotated outline format, in order of what would be done in sequences.**

### **PART I. 20%**

- 1 Contact leading archives/public library authorities for emergency advice/assistance from their preservation departments.
- 2 Obtain immediate services of a conservator knowledgeable AND experienced in disaster recovery of archival and library materials (the full range of media).
- 3 Obtain advice on what to do immediately to stabilise conditions and buy time to prepare a reasoned plan. Sources to be consulted are
  - a Emergency Service personnel (Safety First)
  - b Industrial relations advisors (re: who can be directed to do what activities under emergency conditions) + key management (obtain necessary authorities to obtain space equipment and supplies, select and direct staff and act + set up 2-way information conduit).
  - c Insurance representatives (documentation of damage for claim support)
  - d Professional conservators (stabilisation, salvage recovery - best steps in what order)
  - e Key disaster recovery literature (Buchanan, Waters, McIntyre, etc.).
- 4 Assemble Leadership Team/Task Force to help you plan and implement recovery. Members of Team include

- you
  - conservation Expert in disaster recovery
  - key staff from affected areas
  - building Manager
  - safety expert
  - council Administrator (key to emergency \$\$ and authority)
  - insurance representative
  - note-taker and photographer.
- 5 Stabilise, assess and plan:
    - a check safety/security and insurance
    - b quarantine area and make sure it is safe to enter and to begin work
    - c survey damage with Leadership Team above (salvage conservator, SES rep, insurance rep. etc.) TAKE PHOTOS
    - d draft plan for immediate action.
  - 6 Assemble key personnel and make TO DO, TO ORGANISE and TO OBTAIN lists; delegate leaders for 'doing', 'obtaining' and 'setting up and supporting', 'communicating/liaising' and 'record keeping'.
  - 7 Set up 'command centre' (library reading room) to deal with management, press, public - overall co-ordination of record making and keeping. Set up communications structure.
  - 8 Obtain, manage schedule and support staff and volunteers.

## **PART II. THE PLAN 20%**

### **SEQUENCES AND SOME CONCURRENT TASKS:**

- 1 Assemble and brief teams.
- 2 Delegate key responsibilities:
  - a Stabilise damage area and start fans and pumps to remove water. Remove non-record debris and moisture retaining furnishings (carpets, drapes, furniture)
  - b Set up and equip removal operations (Library, Records, PABX) and re-supply as required.
  - c Set up and equip: Sorting and Packing Area, including teams to take to freezer trucks and to drying area; re-supply as required.
  - d Set up and equip a Drying Area and re-supply as required.
  - e Set up an Equipment/Removal/Storage/Repair/Rehabilitation Team (an area for items to be stored pending repair).

3        Begin work on all tasks in all areas concurrently.

**YOUR TEXT SHOULD INCLUDE DISCUSSION OF**

- safety
- conditions suitable for mould growth (referencing climbing temperature, etc)
- freezing to obtain time. Arranging freezing services and transport of material. What to freeze and what not to freeze
- Setting priority for removal, replacement, salvage of material
- caution in use of adjacent library reading room ie wet materials there meant non-damaged materials in rest of building could be contaminated by mould
- appropriate handling and drying methods for different media and different degrees of wetness
- thorough evacuation of damage area - sterilisation and drying periods to ensure no residual damp before returning materials.
- re-shelving of dry materials
- post-salvage evaluation
- thanks to helpers.

**SOME POINTS TO RAISE:        20%**

- use of microwave (definitely not)
- map cabinets first 'damp on top' - should evacuate and dry thoroughly
- need to take steps to allow council business to resume/continue
- urgent salvage of back-up discs for possible reconstruction of lost records and resumption of services
- whether general ledgers were re-constructable from computer data tapes or not
- cost and possibility of replacement vs. salvage and repair of published materials
- importance of record making and keeping during removal and salvage.

**PART III.        RECOMMENDATIONS.        25%**

- Need for disaster plan development, implementation and updating. Give key elements that a thorough plan would include
- Some clear idea of major points to be addressed, which references particular things that went wrong, such as
  - 1        better provisions for protection during repair and construction (regular checking during weekend, no such work in future over weekend)
  - 2        measures to ensure keys are available for emergencies
  - 3        procedures to ensure rapid response capability in any emergency

- 4 staff education and emergency drill programme for disasters
- 5 identification of hazards inside and outside building
- 6 water detection alarms
- 7 vital records protection, including catalogue and finding aids for records
- 8 proper protection and backup of computers and disks.

**PART IV. BIBLIOGRAPHY. 15%**

Presence of 6-10 leading works, particularly Buchanan, Anderson and McIntyre, Barton and Wellheiser, Fortson, Upton and Pearson.

# Appraising the Records of the Australian Shipbuilding Engineers Association (ASEA)

Ann Pederson<sup>1</sup>

You are the archivist in charge of private records at the National Archives. This section was created in order to acquire and preserve the records of private companies, institutions, associations, families and individual citizens that have played a significant role in the development of the nation and its affairs. One of the special strengths of your holdings is maritime enterprise, because the sea and its harvest have been key to national development.

In recent weeks, you have been approached by members of the Australian Shipbuilding Engineers Association (ASEA) to advise them on the disposition of 75 years of documentary materials that have accumulated in their headquarters building, which has just been sold and will be demolished to make way for a waterfront apartment development. The association wants to deposit its archives in your care and have made a list of the major types of records they hold. While they and you both realise that you will need to do a thorough inventory and appraisal of the records at a later time, they have asked you to prepare some preliminary disposal recommendations for them to discuss at an upcoming meeting of the executive board. The secretary has requested that you present your findings in the format shown in Appendix 1, so that it will be easier for them to understand your suggestions.

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

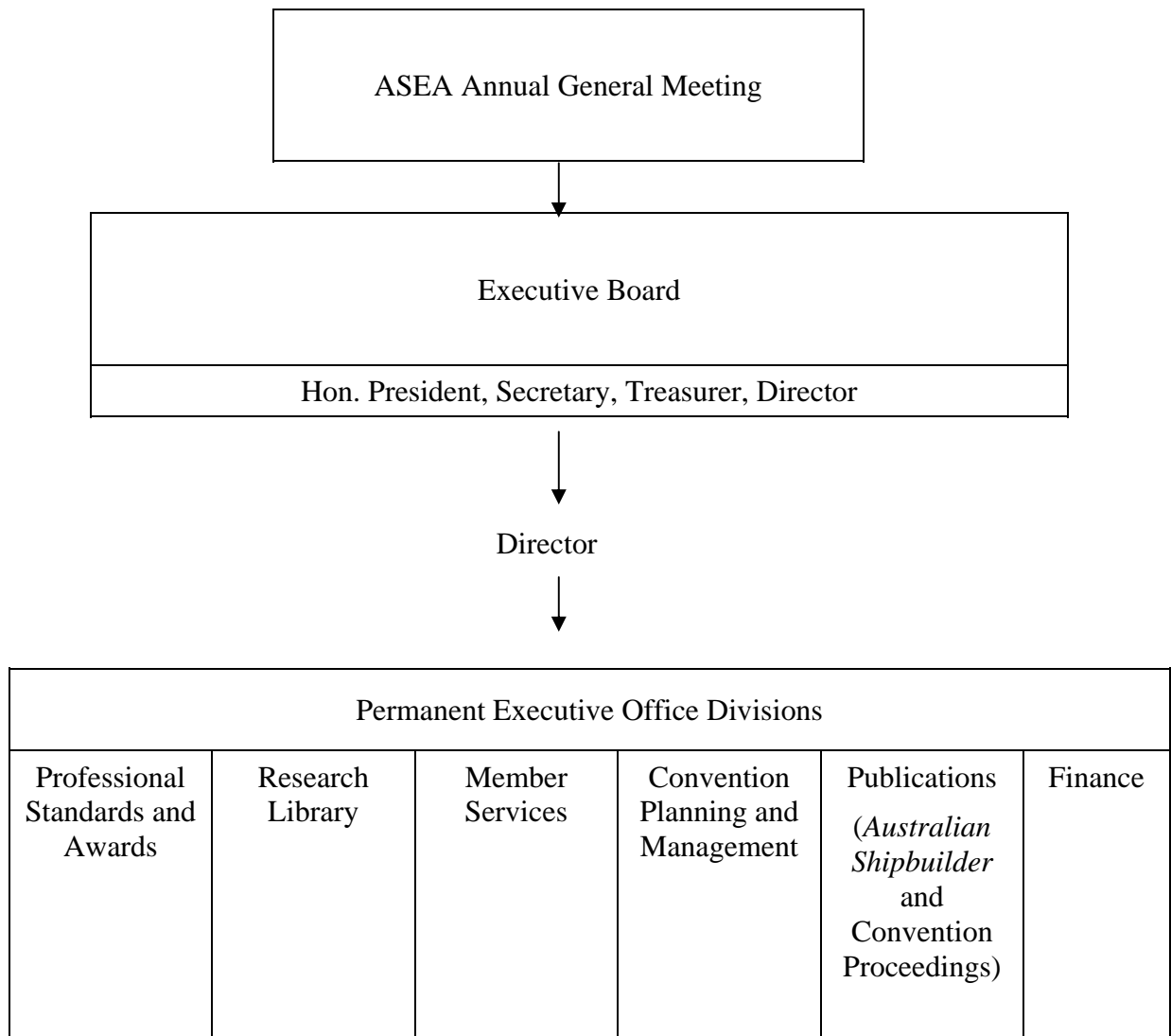
Born and educated in the USA, Ann holds BA [Hons.] and MA degrees in history and is a qualified secondary teacher. She spent ten years with the Georgia Department of Archives and History in a number of capacities, including five years as Director of the Archives Division, with responsibility for all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

## **Categories of Documentary Materials Identified by ASEA Officials:**

- 1      Agenda and Minutes of the ASEA Meetings, monthly
- 2      *Australian Shipbuilder*, the journal of the ASEA
- 3      Certificates of Honorary Membership in ASEA
- 4      Drawings of Ship Machinery and Equipment Designed/Patented by ASEA Members
- 5      Letters Addressed to Honorary President, ASEA
- 6      Letters Sent by the ASEA Director, copies
- 7      Lists of ASEA Members
- 8      Members Files (consisting of completed individual application forms, professional activity diaries, news cuttings, photos)
- 9      Minutes of ASEA Executive Board Meetings, quarterly
- 10     Papers presented at ASEA Annual Convention
- 11     Photographs taken at ASEA Conventions, unidentified
- 12     Proceedings of the ASEA Annual General Meeting and Convention
- 13     Professional Membership Application Forms
- 14     Programmes and Handouts from Annual Meetings of the International Federation of Shipbuilding Engineers (IFSE)
- 15     Receipt Books
- 16     Reports, Annual
- 17     Treasurer's Reports, monthly
- 18     Vendor's Catalogues, Handbooks and Repair Manuals for many and varied types of marine vessels and equipment

## Basic Organisational Chart of ASEA



# Case Problem One

## Identifying and/or Assigning Appropriate Provenance for Each Record Series

The ASEA wants you to begin your work by identifying the officers or work units responsible for each of the 18 categories of material that correspond roughly to record series. In archival terms, you are to identify or, if there is more than one choice, recommend the appropriate provenance: that is, the official or work unit that would be likely to have been responsible for creating/managing and keeping each of the record series on the list. Some work units may be responsible for several of the series. In some cases more than one option could be suitable so you will need to think carefully to select the office or official that is more appropriate and explain your reasons.

| <b>WORK UNIT OR OFFICIAL</b>       | <b>Record Series No. and Short Title</b> | <b>Reasons</b> |
|------------------------------------|------------------------------------------|----------------|
| Annual General Meeting of Members  |                                          |                |
| Executive Board                    |                                          |                |
| Director                           |                                          |                |
| Honorable President                |                                          |                |
| Secretary                          |                                          |                |
| Treasurer                          |                                          |                |
| Professional Standards and Awards  |                                          |                |
| Member Services                    |                                          |                |
| Finance                            |                                          |                |
| Research Library                   |                                          |                |
| Publications                       |                                          |                |
| Convention Planning and Management |                                          |                |

## Case Problem Two

### **Recommending and Justifying Disposal or Retention for Each Series**

Not all of the material identified by the ASEA can or should be kept permanently. Your recommendations to keep or to discard any particular series will be based on its meeting one or more of the following criteria:

record created by or has had substantial actions by ASEA arising from it

custodial or managing entity is a significant official or work unit of ASEA

records are the only, the best and/or the most authoritative record of an important work activity of ASEA

record reveal important information about persons associated with ASEA

the record series documents substantive managerial decisions, operations and/or transactions of ASEA

the records are identified.

the records are unique

the records document the 'public face' of the ASEA.

See Appendix 1 for a sample of a checklist of appraisal criteria suitable for private records.

**PART ONE: RETENTION RECOMMENDATIONS - Series to be Retained and Explanation of Why**

| <b>Record Series No. and Short Title</b> | <b>Provenance</b> | <b>Reasons</b> |
|------------------------------------------|-------------------|----------------|
|                                          |                   |                |
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|                                          |                   |                |

**PART TWO: DISPOSAL RECOMMENDATIONS - Series to be Discarded and Explanation of Why**

| <b>Record Series No. and Short Title</b> | <b>Provenance</b> | <b>Reasons</b> |
|------------------------------------------|-------------------|----------------|
|                                          |                   |                |
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## **Selected Readings on Appraisal**

Boles, Frank. *Archival Appraisal*. New York: Neal-Schuman, 1991.

Ham, Gerald F. *Selecting and Appraising Archives and Manuscripts*. Chicago, IL: Society of American Archivists, 1994.

Reed, Barbara. 'Appraisal and Disposal,' in Ellis, Judith, editor. *Keeping Archives*. Port Melbourne, VIC: D.W. Thorpe, 1993. pp. 157-207.

Samuels, Helen. *Varsity Letters*. Metuchen, NJ: Scarecrow Press, 1992.

Schellenberg, T. R. '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.

# Appendix 1

## General Appraisal Criteria Checklist Relating To Archival Values

No. of Pages 1 of \_\_\_\_  
including attachments

**PROVENANCE:**  
**SERIES/COLLECTION TITLE:**  
**DATES AND QUANTITY:**

### 1 Criteria Relating to the Documentary & Research Values of the Material

*Criteria* EXPLAIN & RATE FROM 1 (low) to 5 (high) to reflect EXTENT

- A Are the creators of the records/collection historically significant (in their own time or from present perspective)?
- B Do the types of records or the information they contain reveal the historically significant work of the creators? EXPLAIN FOR EACH TYPE OF INFORMATION THAT APPLIES:
- 1 Establish or document authority, legal status, or civil/ property rights (vital - records)?
  - 2 Direct action?
  - 3 Describe structure, policy or procedures?
  - 4 Explain, document, or report action?
  - 5 Provide evidence of fiscal responsibility?
- C Do the records and information therein represent the best quality of archival material? EXPLAIN FOR EACH CATEGORY THAT APPLIES:
- 1 Uniqueness (no other copies, forms, not published)?
  - 2 Information content is insightful, revealing, candid, authentic?
  - 3 Represents 'best version' of material or information?
  - 4 Compactness (value for volume)?
  - 5 Most useable/understandable form or format?
  - 6 Most complete/fills critical gap(s)?
  - 7 Soundness of condition?
- D Does the record series/collection fall within established research interests or developing trends for research?
- E Does the record series/collection represent the only surviving documentation of the work of its creator?

## Appraisal Criteria Checklist Page 2

SHORT TITLE PROVENANCE:

SHORT TITLE SERIES/COLLECTION:

### II Criteria Relating to the Purpose and Scope of the Repository

*Criteria*      **EXPLAIN & RATE FROM 1 (low) to 5 (high) to reflect EXTENT**

- A Does the preservation of the record series/ collection fall within the mandated responsibilities of the repository?
- B Does the record series/collection substantially complete or complement archival materials already held by the repository?
- C Are any parts of this record series/collection or any-closely related original material held by another archival repository? IF 'YES' ATTACH NAME OF REPOSITORY(IES) WITH DESCRIPTIONS OF HOLDINGS.
- D Will the processing necessary to preserve and make the record series/ collection available be able to be accomplished within a reasonable period of time WITH RESPECT TO:
- 1 Current staff, space, and equipment?
  - 2 Pre-existing commitments for processing other materials?
  - 3 Repository priorities?
- E Do the costs of the work described in D above diminish the value of the record series/collection to the repository?
- F Do the terms of deposit or of access to the record series/collection provide impediments that reduce the value of having them in the repository?
- G Do any 'other factors' affect the appraisal of archival values of this record series/collection? IDENTIFY, EXPLAIN, AND RATE BELOW.

### III Overall Numerical 'Score' and Summary Retention / Disposal Recommendation AND / OR Terms of Deposit.

# Instructor's Notes

## Learning Objectives

- 1 Understand and apply the basic principles, criteria and decision sequences that comprise the identification and appraisal of records as archives.
- 2 Appreciate the complexity and co-operative nature of the acquisition process and the importance of accurate disposal-related information to effective programme planning and management.

## Comments

### General

**The assignment instructions** stated that the two sheets (PART ONE = retain; PART TWO = dispose) were to be set out neatly and clearly as an overhead for discussion of your recommendations with the ASEA Executive Board. In such an instance I would expect to find paper and complete names of creators and of series with clear, concise explanations about reasons for retention/disposal, suitable for lay people unfamiliar with records appraisal. Therefore, I marked papers down that were vague, full of jargon and which assumed considerable knowledge on the part of the reader.

**Research Library collections** are also being 'appraised'. Sending material to the library is not a final decision. What happens to it after that? Will it be retained indefinitely? What if the organisation goes out of existence? Will all collections be tossed out? Should some special ones be retained and deposited with archives or another agency which collects marine objects and equipment ie a museum. These matters should be discussed under the 'Further Recommendations' section on each form.

**Letters Sent and Letters Received from Director and President, respectively.** 'Further Recommendations' should have indicated necessity to locate the other side of this correspondence, first by checking organisation premises again and second by instituting steps to see that both sides are captured in the future. It is important to realise the importance of the relationship between appraisal of existing accumulations and the development of retention/disposal recommendations for future receipts of continuing series.

**Minutes.** There are several sets of minutes. Therefore 'Further Recommendations' needs to note the need to sort out their provenance and relationships and, perhaps, to select among them the most representative record rather than retain them all, if from the same creator.

### Comments on Part One: Records Proposed for Retention as Archives

These records are arranged numerically by organisational authority/hierarchy and then thereafter by record importance which is a useful way to present them for discussion.

## **12 ASEA Annual General Meeting. Proceedings of AGM and Convention**

Factors/Justification: Major document of planning, policy, structure of ASEA. Convention proceedings include papers which reflect interests and issues of ASEA.

Decision: Retain two copies (security and reference copy). If unpublished, keep signed original manuscript set as security copy and a minimum of one duplicate for reference purposes. Keep in head office for use of director and board. If published, verify published copies, return signed originals and one published copy as security and keep a published reference set. Dispose of published duplicates over 5 years. Additional reference sets should be available in the research library (full set) and to the Convention Planning/Management Committee for format and content ideas in future years. *NOTE:* this series may be listed under AGM or under publications. The records are actually created by AGM, the physical product is packaged by publications.

### **ASEA. Executive Board.**

#### *a) Records Created*

## **16 Reports. Annual.**

Factors/justification: Major overview of structure, policy and accomplishments of ASEA. Summary record that provides 'leads' into more detailed series.

Decision: Retain two copies (security and reference). Duplicate to be kept in head office for use by director and executive board. An additional reference set should be in the library and in the publications section (to produce future reports). A supply of additional copies (past 5 years) may be kept in publications for distribution on request.

## **9 Minutes. Quarterly.**

Factors/Justification: Major record of executive actions and decisions; contain reasons supporting decisions.

Decision: Retain 2 copies (security and reference), the latter to be kept in the head office or for use by director and executive board.

#### *b) Records Received*

## **5 Honorary President. Letters Received.**

Factors/Justification: Letters to top elected official or organisation indicate issues of concern to members and outsiders. Only incoming correspondence series.

Decision: Retain.

### **1      Agenda and Minutes of ASEA Meetings. Monthly.**

Factors/Justification: It is not clear if the national organisation has branches or chapters which meet monthly in multiple places or whether there is only one monthly meeting in one place. These are the only records which document grass roots level of operation throughout the year. It is also unclear whether branches, if any, publish report news to the journal or prepare annual reports. If they do either or both in reasonable detail affect the decision to retain.

Decision: Retain, two sets (security and reference) pending further review. Local branches, if any, also retain one set for reference.

### **6      ASEA Director. Letters Sent (copies).**

Factors/Justification: As the ongoing chief executive, this individual represents the organisation in all contracts, commitments, position statements, etc. These letters would reflect the *spirit* as well as the substance of the organisation's position. It is there that most substantive issues would be discussed in the executive board. Minutes and in some instances actual letters would be presented for review/approval by the board or tabled for the record. This is only series documenting the director.

Decision: Retain.

### **3      ASEA Professional Standards and Awards. Certificates of Honorary Membership.**

Factors/Justification: Whether or not these are filled out has some relevance. If yes, they should be forwarded to the individual honouree. If yes or no, two blank copies should be retained as 'master' forms (one for security and one for reference).

Decision: Always keep two copies of each design; discard multiple copies when design is superseded.

## **ASEA.      Member Services.**

### **7      Lists of ASEA Members.**

Factors/Justification: Assuming these are 'directories' or mailing lists which have names/addresses and are available for each year or every few years, they are valuable for showing membership fluctuations, distribution, etc. They also provide entry into more detailed membership records.

Decision: Retain two copies (one security and one reference) at appropriate interval (every two years) and destroy multiples.

## **8 Members Files**

Factors/Justification: These contain important information about achievements and activities of individual members, with the application and the professional activity diaries being the key items. Personal details are confidential, of course, which will restrict the application forms, unless the relevant member gives his/her permission. Conservation problems with mixed media and acidic news cuttings. Be sure photos are identified. Arrangement (alpha or membership no.) could facilitate use or make it difficult (by year or random)

Decision: Retain, but separate photos, clippings for conservation reasons. Future: if professional activity diaries are cumulative, verify against error in re-recording information or loss of detail, then retain only most recent.

## **2 ASEA Publications, *Australian Shipbuilder***

Factors/Justification: Always retain two copies of each journal or newsletter (one security, one reference) of any organisation. Provides an overview of activity and acts as a kind of 'index' to other records

Decision: Retain as stated above. The reference set is to be held by publications office. A second reference set should be held by the library. Duplicates should be disposed of at the rate of 50% of remaining back issues per year until 5th year when all are discarded.

### **Comments on Part Two: Records Proposed for Disposal**

#### **17 ASEA: Executive Board Treasurer Reports. Monthly.**

Factors/Justification: The information herein is summarised in the annual reports and any controversial matters are likely to appear in executive board minutes.

Decision: Dispose.

#### **13 ASEA. Member Services. Professional Membership Application Form.**

Factors/justification: Assuming these are blank, one would retain only two copies as security and reference copies until superseded, then destroy. If samples are needed in the future, they can be seen as completed forms in membership files.

Decision: Destroy when superseded.

### **ASEA Convention Planning and Management**

#### **11 Photographs of Annual Convention**

Factors/Justification: Unidentified photographs of convention groupings are pretty vapid and useless. It is likely that any of importance (offices, awards) would show in membership files.

Decision: Dispose.

#### **10 ASEA Annual Convention. Papers.**

Factors/Justification: These are collected/received by convention management but are turned over to publications for editing and publication so should not be retained. However, between the end of the convention and the publications of the proceedings, there is a gap when these materials are useful.

Decision: Keep a security set until publication and send a set of the papers to the research library where they may be used, copied, etc. Destroy both sets when proceedings are published.

#### **15 ASEA Finance. Receipt Books**

Factors/justification: These transactions are summarised in treasurer's annual reports. They may need to be retained for an audit period, after which they can be destroyed.

Decision: Destroy after audit requirement (if any) is satisfied.

### **ASEA Research Library**

NOTE: The Research Library is an important resource for ASEA member, but if/when one gets into archival disposal a very careful selection will have to be made of materials which complement the original ASEA records and reflect the usage patterns of the library (ie most used) and which may be unique compilations (ie Series of Drawings of Machinery. Designed/Patented...). Library will have REFERENCE SETS OF 2, 10, 12, 14 and 16. These, with the exception of 10 and 14, should be kept indefinitely (when the library closes then they should be discarded). Series 10 and 14 are to be disposed of after one year.

#### **14 IFSE: General Meeting and Programmes and Handouts**

Factors/Justification: These are not ASEA's records and therefore are not to be kept except for temporary interest of members. If the accumulation is substantial, contact IFSE; otherwise destroy after 1 year.

#### **4 and 18 Special Collections.**

On Part Two sheet because these are NOT ASEA archives. They are valuable research collections which should be kept intact and offered to an appropriate institution, such as a maritime museum. The collections could be the 'ASEA collections' which would be added to by ASEA as a continuing commitment.

### **ASEA. Research Library Special Collections.**

#### **4 Drawings of Ship Machinery and Equipment Designed/Patented by ASEA members.**

Factors/Justification: This material represents an unique compilation of drawings by ASEA members. The selection criteria are not clear (whether they are 'the best', are originals or whether they are all patented designs which

would preserved in the patents office files). Also volume and rate of growth are decision factors. In any case, they are an important special collection that reflects the professional achievements of members and, by association, of the ASEA.

Decision: Retain, but clarify (refine selection criteria to ensure consistent approach with minimal growth Discuss future of this collection with maritime museum.

## **18 Various Vendors: Publications, (Catalogues, Handbooks, and Repair Manuals for Marine Vessels and Equipment).**

Factors/justification: This special collection was assembled for the use of members who owned/operated vessels or equipment. The collection spans many years and contains mainstream and fringe products; it is therefore a reflection of the industry, as well as a valuable resource for servicing antique machinery. It is, however, voluminous.

Decision: Clarify acquisition criteria to ensure consistent 'runs' of catalogues, new or technologically important changes in models of standard equipment. Consult with maritime museum on criteria and on agreement for deposit of material over X years old (X = 30, 50 years) on condition that they micropublish them or make copies (observing copyright requirements) for ASEA members who need them at cost.