Department of Conservation
andand Management

eRecords

Management of Electronic Records

CALM Leadership and Organisational Development Program

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Introduction

This paper discusses the findings of our study into elecronic records management within CALM. The increasing use of computer networks into our agency means that more and more essential and vital documents are not only being created and stored on computers, but are being transmitted electronically within and between agencies, thus spending their entire lifetime in electronic form. Our current records management system only addresses the requirements of managing paper files.

At present CALM is bound by the following records legislations:

- State Records Act
- Freedom of Information Act
- OccupationaHealth Safety and Welfare Act
- FinanciaAdministration and Audit Act
- CriminaCode Act

The introduction of the *State Records Act* 2000 has significantly changed the way recordkeeping wilbe coordinated and managed by our agency. Our current techniques need to be extended to the management of electronic documents, otherwise we risk breeching the *State Records Act* 2000 andoss of valuable corporate memory through the inaccessibility or inadvertent destruction of valuable documents, and the confusion of the corporate record through the unnecessary retention of non-essentiadocuments.

Project Background - Sponsor

Government agencies records take many forms: paper documents, electronic text documents, databases, geographic information, research information, email, and so on. Record management systems are employed to organise these records, so that they may be retained by the agency for an appropriate period of time, and for tracking and retrievafor business purposses. CALM uses this mainly for only one *type* of record, namely, **correspondance**, and only one *format*, **paper**.

The new State Records Act, proclaimed in July 2001, defines goverment records very broadly, with a definition that clearly includes electronic records. This means electronic records that are produced or received by a CALM officer in the course of his work are government records, and that they must therefore be managed according to a 'Record Keeping Plan'. This plan is an instrument of accountability which sets out the records created in the agency, how those records are to be managed (ie so that they may be retrieved when required), and for howong the records are to be kept.

Project Scope - Sponsor

To recommend on those types of electronic records that should be managed as corporate records, what sort of system should be used to manage them, how this sould relate to the present InfoRMS, how the transition to electronic records management should take place, and what generapolicies and procedures should apply.

Contract - Sponsor

Conduct information gathering and analysis, and present a report on its recommendations.

Project Team

Name	Role	Work Centre	Division
Karina Knight	A/Collections Manager	Herbarium - Kensington	Science
Drew Griffiths	District Manager	Wellington District - Collie & Harvey	Regional Services
Femina Metcalfe	Information Technology Coordinator (Fire)	Fire Management Services - Kensington & Bunbury	Regional Services
Ben Davies	Resource Projects Officer	Forest Management Branch - Bunbury	Sustainable Forest Management
Peter Murray	Forest Ranger	Forest Management Branch - Manjimup	Sustainable Forest Management

Project Plan

Goa1 - What is a corporate electronic "record"?

Objective - Review Project Scope with sponsors

Meeting 1

- Karina, Femina, Jenny Moss, Colin Pearce, Anne Terry - 21/09/2001 @ 3:30pm - To review scope of theODP project and establish sponsor participation protocol. Jenny Moss identified Anne Terry as our mentor for the project.

Miniutes form meeting - 21/09/2001 @ 3:30pm

CALMs protocol for recording corporate information is managed by Information Management Branch(ISS, GIS and CIS).

- ISS (Information Services Section) records the existance of alcorporate application,
- GIS (Geographic Information Services) is in the process of developing a system to record Corporate GIS data. CALMs EIMC has delegated this responsibility to the "Metadata Group", and
- CIS (Corporate Information Service) records corporate documents listed on CALMweb

"Records legislation defines a government record as any record made or received by a public officer in the course of his duties. The definition is interpreted to refer to alrecords regardless of format, eg electronic, graphic, audio. Disposaof government records without the specified approvals is illegal.
A guide to what sort of materiashould and should not be placed on corporate files follows.

Do File:

Correspondence received by CALM which requires action or a reply by the Department, including:

- Enquiries from members of public
- Enquiries fromocal, State and FederaGovernment agencies
- Enquiries from non-government organisations
- Ministerials
- Freedom of Information applications/appeals
- Ombudsman enquiries
- Applications for funding
- Letters from solicitors and otherike professionals
- The replies/information prepared on behalf of the agency in response to the above.
- Agendas, minutes, briefing papers of CALM meetings and committees.
- Agenda, minutes, briefing papers of meetings and committees at which the CALM is represented.
- Policies, procedures and strategic plans developed within CALM.
- Any significant communications between CALM, i.e. has impact on the policy and decision making processes of CALM:
    - Correspondence created or issued by an officer of CALM
    - Office memos
    - E-maimessages
    - Facsimiles

- Notes of telephone conversations.

- Significant draft documents that reflect the decision-making processes of CALM, eg drafts of regionamanagement plans, strategic plans.

Do not file:

- Advertising material, 'junk mail'.

- Drafts and working papers where 'finacopy' has been appended to the relevant file, except where a draft reflects the decision-making process of CALM e.g. regionamanagement plans. Significant drafts are FOIable and should be treated as documents in their own right.

- Duplicate copies of identicadocuments, except where individuacomments placed on any copy may be relevant for futureegaor FOI purposes. (Note: alfile notations are FOIable and should be treated as documents within their own right.)

- Copies of annuareports of externaorganisations.

- Documents received for information only, not requiring any Departmentaaction and not impacting on the decision making processes of CALM, eg notice of change of address, courses available from training providers, etc.

- Duplicate copies of accounts, purchase orders, claim forms, flexitime sheets or other similar working documents maintained separately in the Department's financiaor personnerecords.

- Agendas, briefing papers and minutes from meetings and committees at which CALM is not represented.

- Copies of journaarticles, paper clippings, and conference papers from externaorganisations.

- Illegible handwritten notes that wilmean nothing to anyone but the writer.

- Substantiareports, such as consultants' reports. Place the report in a corporateibrary and make a note of itsocation on the appropriate file."

(*http://calmweb.calm.wa.gov.au/drb/csd/imb/cis/frequentlyaskedquestions.html#dofile1*)

The sponsors have scoped our project to CISs span of control for record keeping within IMB. CIS has developed comprehensive standards for managing paper based corporate documents. It currently records the instances of any paper based corporate document via its Record Keeping System (infoRM's). The current mechanism for recording corporate documents is via incoming mail and CALM staff requesting for documents to be filed as a corporate record.
The limitation of CIS current system is the inability to capture electronic corporate records that travel via E-mail and stored/managed on electronic mediums (CDs, PSc, Servers, etc.). The only time an electronic corporate document is captured by CIS is when a paper copy is produced for filing within our corporate paper based filling system.

A major limitation in CIS current corporate records filling system is the inability to track, record and manage electronic documents. The current infrastructure is limited to tracking, recording and managing paper based documents. This has lead to CALM staff developing local systems to manage corporate electronic documents.

Our project will aim to;

- **Study**
  Extent of corporate electronic documents currently being managed outside CIS corporate record keeping system via sampling techniques.

  Systems being used to manage electronic corporate documents outside CIS corporate record keeping system.

  Storage medium (CDs, PCs, Servers, E-maifolders) being used to manage electronic corporate documents outside CIS corporate record keeping system.

- **Identify**
  Shortcomings between our current and legally required standards for recording and managing corporate documents. - *Gap Analysis*

- **Develop**
  Interim processes to assist CIS and CALM staff to identify and record corporate electronic documents (eg. produced a paper based copy and file it within our current corporate paper based filling system). - *Business Rules*

- **Propose**
  A *Transition Plan* that will be based on proven case studies and industry standards for recording and managing corporate documents.

Objective - "Literature Review" - Policies, Standards and Acts

The Records Management Policies and Standards Manual, published in 1993, provides the best practice policies and standards recommended by the State Records Office for use in State andocaGovernment recordkeeping.
As well as providing a policy for the ongoing management of electronic records designated as having archival value, the State Records Office has three Record Keeping Standards (Number 4, and Numbers 5 and 6) that relate to electronic/online records.
The State Records Office of Western Australia has issued a number of publications to assist State and local Government agencies with the proper management and disposal of public records.
Publications include:

- Records Disposal Handbook (2000)
- Policies and Standards Manual (incremental, launched 1992)
- General Disposal Authority for Human Resource Management Records (revised 1999)
- General Disposal Authority forocaGovernment Records (1999)
- General Disposal Authority for Financiaand Accounting Records (1996)
- How to Design a Records Management Procedure Manual (1995).

State Records WA Standard 4: Records Management Standard for the Management of Electronic Mail (E-Mail). This standard was developed to provide best practice guidelines for the management of records created or received in e-maiapplications by State or local Government agencies. Focussing primarily on the role of the record-keeper with regard to the capture of e-mail, the document covers topics such as security requirements,

admissibility as evidence, digital and electronic signatures, registration within an agency's recordkeeping system, and e-mainaming conventions.

Parts 1, 8 and 9 of the WA *State Records Act 2000* were proclaimed on Friday 27/07/01. The rest of the Act is scheduled to be proclaimed in December 2001. Coupled with the State Records Act is the introduction of the *Privacy Act 2000*, which has brought the issue of information management to the forefront for government and business alike. Of main concern to government agencies and business is the storage and retrieval and privacy of information. The impact at this stage is that the definition of a "record" has been proclaimed as part of section 1 of the *State Records Act* as follows;
"record" means any record of information however recorded and includes -

a. any thing on which there is writing or Braille;

b. a map, plan, diagram or graph;

c. a drawings, pictoriaor graphic work, or photograph;

d. any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;

e. anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and

f. any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically:

Upon reading the ;literature, a list which follows:

- Appendix 11, Identifying which documents to place on CALM files.
- Legislative Assembly, State Records Bil1998 - Second Reading Speech
- State Records Standard: 4
- State Records Standard: 5 (**SRS5**)
- Public Records Policy: 8
- Recordsegislation
- Managing ERMS Implementation at the University of Western Australia - A Case Study
- Victorian Electonic Records Strategy (VERS)
- Manuafor the Design and Implementation of Record keeping Systems (DIRKS manual)
- CALMweb, Records Management.

The definition below has been compiled from a literature review (listed above) and **"Meeting 1"** .

Corporate Electronic Documents contain corporate information which forms part of an auditable work trail. The corporate electonic record is owned (created or received) by an organisation and are those documents that are created and stored by means of electronic

equipment and are contained in units known as files. A corporate document may have any or alof the following attributes: **SRS5**

- These documents can contain administrative, legal, financial, historical or evidential information, which is not recorded elsewhere on the public record.

- Has occurred due to the business of CALM Officers in the department carrying out formacommunication either internally or externally in their departmentaduties.

- The documentation may contain the reasons behind the departments, policies, decisions and the directives. **SRS5**

A corporate record is any record of information created or received by a CALM Officer in the course of their duties and can include the following:

1. Anything on which there is writing. This includes correspondence received by CALM which requires action or a reply by the Department including:
   - Ministerials

   - FOI applications and appeals

   - Ombudsman inquires

   - Enquiries from members of the public

   - Enquiries from State, Commonwealth andocaGovernment Agencies

   - Enquiries from non-government organisations

   - Applications for funding

   - Letters from solicitors and similar professionals

The replies/information prepared on behalf of the agency in response to the above

Agenda's, minutes, briefing papers of CALM committees and meetings

Agenda's, minutes, briefing papers of meetings and committees at which CALM is represented.

Policies, procedures and strategic plans developed within CALM

Any significant communications between CALM (i.e. has impact on the policy and

decision-making processes of CALM

Correspondence created or issued by a CALM Officer (emails messages including compound emails, office memos, facsimiles)

Significant draft documents that refledt the decision-making processes of CALM, e.g. drafts of regionamanagemtn planw, strategic plans

Notes of telephone conversations i.e. those that contain instructions/directives, proposals, recommendations, definitions or interpretations.

2. A map, plan, diagram or graph

3. A drawing, pictoriaor graphic work or photograph

4. Anything on which there are figures, marks, perforations, or symbols having a meaning for persons qualified to interpret them,

5. Anything from which images, sounds or writings can be reproduced with or with out the aid of anything else; and

6. Anything on which information has been stored or recorded, either mechanically, magnetically or electronically

Electronic records must comprise of content, context and structure sufficient to provide evidence of activities.
Content: that which conveys information e.g. the text, data, symbols, numerals, images, sound, vision.
Context: the background information which enhances understanding of technicaand business environments to which the records relate e.g. metadata, application software,ogicabusiness models and the provenance (e.g. address, title,ink to function or activity, agency, program or section) and
Structure: the appearance and arrangement of the content e.g.. The relationships between fields, entities,anguage, style, fonts, page and paragraph breaks,inks to other records and databases and any other editoriadevices. **SRS5**

Goal2 - Current Status of eRecord in the Department

Objective - Investigate current Record Keeping System

Meeting 2
Karina, Femina, Anne Terry, Pam Burgoyne- 25/09/2001 @ 3:30pm (meeting)On Tuesday, Femina and Karina visited Anne Terry and Pam Burgoyne who explained the current record keeping system (infoRMS).

Findings from the meeting:

InfoRMS ……definition

Not all CALM branches are included in infoRMS, in fact there is quite a list which are not part of this system. CIS is currently rolling out a uniform system of indexing records using CALM's Keyword Classification Thesaurus and applying it to branches currently using infoRMS, and this wileventually apply it to branches where the system is not currently used.

InfoRMS has recently been upgraded and the new version encompasses electronic records. CIS are in the process of reviewing InfoRMS to assess its ability to meet future requirments of CALM..

Each piece of mail which ends up inocked Bag 104 reachs CIS. Every piece of mail is opened unless it is not corporate mail, such as a magazine, marked private and confidential and packaged boxes. This whole process is under the control of state legislation and mail must be opened and each document read.

Each document is date stamped and assessed as to whether or not it is corporate and then to which responsibility area it belongs. If deemed corporate it has a file number applied to it. Each file has metadata recorded so that the content of each file is known by justooking on the database. Some documents are regarded as having high significance. These wilbe

registered and have a barcode applied as welas a file number. The metadata of this individuadocument is added to the records database.

In the case of branches where infoRMS is not available, the record is forwarded to the originaintended recipient and it is hoped it is stored adequately for easy retrieva(called an axillary file system, therefore the branch has no corporate files that infoRMS is aware of). If the file is kept in the Records branch the document is appended to the file and the file forwarded to the originaintended recipient, to be returnedater with the file. If infoRMS is decentralised, (i.e. the file resides in the branch) the document is forwarded to the branch for them to add the document to the file.

Records are filed based under the 'activity' not the 'subject'. CIS figure out what a branch does and makes record files base on the activity, and the file name reflects the content. Record processes are subject to audit, and due to newegislation the Records Branch must produce a Record Keeping Plan (See State Records Bil1999). Part of this plan requires CALM to produce a schedule in consultation with each branch as to howong documents are required to be kept. (do I need this in here). For example, Wildlife has a file full of licenses, they are all under one file because ot the high volume. That file has rules applied to it, about how long to keep it active, when to archive it.

It is up to each individual CALM Officer to forward outgoing mail which they consider to be corporate to Records Branch for assessing and placing on file. Corporate mail received directly by a CALM Officer should be forwarded to CIS, as should corporate documents created by CALM Officer. Be useful if the CALM Officer informed CIS which branch they belong to so CIS doesn't waste time trying to figure out which file to place the document.

There are different levels of access and security within the InfoRMS database. CALM staff can search for files using the metadata, free text and controlled language (see *Description of Keyword Classification* document given to us)

First impressions portrays infoRM'S as an ineffective and inefficient system. It is applied to only some branches in CALM, and not standard as they are rolling out a new Thesaurus system. We have requested user access to review further.

When electronic erecords are captured there will be a huge increase in volume of records to be captured. Far too much for the current level of resources allocated to the management of corporate documents.

Objective - Conduct survey to identify identify current status of eRecords in the Department

Our team realised the timeline set for the project was not suffucient for us to adopt a comprehensive sampling process using probability sampling techniques on CALMs population. The study of electonic records management is broad and specialised, indepth knowledge and understanding is paramount. The team needed to give itself adequate time to build the required level of knowledge and undersatanding before we could contribute to the project. We would like to give our sincere thanks to Anne Terry (of CIS) for her patience and the wealth of knowledge and experience she imparted to the group.

The team selected itself as the sample fraction for the study. We represented three of the seven divisions in the department.We decided to adopt a non-probability sampling method by using subjective judgement to decide which observations will be included in the sample, based on experience and knowledge of the population..

- Executive Director's Office
- Strategic Development & Corporate Affairs
- Nature Conservation

- Parks & Visitor Services
- Science
- Regional Services
- Sustainable Forest Management

Below is a table (See Table 1) of the Geographic location of each person surveyed, the department each person works in and a generadescription of job title.

- **FINDINGS FROM OUR PILOT SURVEY:**

What types and formats of eRecords exist our workplace.

See Table 2.

ANALYSIS OF RESULTS:

The results are quite consistent amongst the surveyed.

In CALM, generally emaiis catalogued in folders and stored in Outlook. (This wilneed to change shortly due to theast edict from Helpdesk about Mailboximits.)

However, people exhibit many different behaviours, from continually deleting emaito storing everything. Some people catalogue their emails alin one folder in Outlook, relying on their memory such as using dates, sender, or title to retrieve a document. Others catalogue their emails in a manner which makes them easier to retrieve, however, there is stilan element of memory required as to using dates, sender, or title.

Most people are filing their documents electronically. Rarely are documents printed, and if so are filedocally in their office for their own reference rather than filed at Records Branch or in the Axillary filing system in their branch.

People generally store Word documents in their hard drive or on a Server under their own filename. These files are not accessible by other members of the staff.

Each person is currently responsible for theocamanagement of eRecords in the workplace. Problem here is that as a generarule because these records are not printed out and filed corporately, or on a share drive, they are not available to the rest of the staff.

TABLE 1

Geographic Location	**Department**	**Surveyed**	**Task**	
Manjimup	Sustainable Forest Management Division	Peter Murray	Forest Ranger	
Kensington	CALMScience Herbarium	Karina Knight	A/Collections Manager	
Kensington	Fire Management services	Femina Metcalfe	Information Technology Coordinator (Fire)	
Collie	Regional Services	Drew Griffiths	District Manager	
Bunbury	Sustainable Forest Management Division	Ben Davies	Resource Projects Officer	
	Parks and Visitor Services			
Kensington	Corporate Services	Tanya Kisiel	A/Consultant Personnel	
	Strategic Development and Corporate Affairs			
	Nature Conservation			

TABLE 2.

NAME	Type of corporate ERecord	Format of ERecord	How are eRecords currently managed in your work area.
Peter Murray	Email Documents Other (please nominate)	Outlook Peter filin Peter filin	All eRecords dumped in Outlook folder called WORK. Peter filin Peter filin
Karina Knight	Email Documents Other - none	Outlook Microsoft Word N/A	Makes a decision on which emails to delete or keep using the criteria “cover myself’. Catalogue in folders in Outlook. Structures folders by subject. Rarely print and then file in office. Kept in PC. N/A
Femina Metcalfe	Email Documents Other (please nominate)	Outlook Femina filin Femina filin	Keeps all email. Catalogues in folders in Outlook. Structures folders by subject. Archives frequently onto local server Manages documents by allocating job numbers and using software to catalogue. Archives on CD
Drew Griffiths	Email Documents Other (please nominate)	Outlook Drew filin Drew filin	Keeps alemail. Separates into work and personal. Catalogues in folders in Outlook. Drew filin Drew filin
Ben Davies	Email	Outlook	Only keeps emaithat are related to business. Catalogues under the project

			title in Outlook Ben filin Ben filin
	Documents Other (please nominate)	Ben filin Ben filin	

Goal3 - Identify the problems between current and required Record Keeping System

Objective - "Gap Analysis"

CALM manages "records" as evidence to prove how we have acted. It is one of the mechanisms we use to deal with our clients, customers, other agencies or bodies in the private sector, and how they deal with us. It is the basis from which we report to government and the public and show we run our agencies efficiently and effectively.

We have changed in the way we keep the evidence. More and more the proof is moving from traditional paper documents to electronic media. This poses problems to CIS because their traditional records management practices have been applied to paper documents and are currently not being applied to electronic documents.
"This has resulted in:

- confusion between different versions of a document (e.g. because there may be multiple copies, none of which is the authoritative version);
- loss or destruction of documents that should be kept (e.g. because there is no central repository analogous to the paper file repository, and the author is unaware of the need for retention); questionable authenticity, because of possible manipulation of text in electronic documents;oss of context of documents (e.g. because related documents are notinked or kept together); and
- documents becoming inaccessible because of technological change (e.g. changes in software or storage media make the files unreadable)."

(IEDM)

The challenge CIS have is they need to expand their expertise in managing paper records to electronic document. CIS will need to manage electronic documents, in a coordinated way, in a manner appropriate to their environment, in order to preserve and provide access to business documents.

Paper

Paper is still a widely used medium for the storage of information within CALM. These documents have been under the control of CIS. Our findings highlighted a decline in the effectiveness of paper records management due to changes in work practices, devolution

of records management responsibilities to regional work centres and individual sections, and a lack of trained and qualified records management staff at these decentralised sites.

Word processing and PCs

CALM officers have the ability to create and destroy electronic documents independently of any formal management regime. There has been a transition within CALM to depend on electronic documents for their business operations. Unless corporate management practices are applied to these documents, recognising records management and archival requirements for documents that are records, we will be placing ourselves in a vulnerable position in terms of business and government accountability.

Electronic mail

Nearly all CALM officers generate and transmit electronic documents daily. One of CALMs immediate pressures is to implement an electronic document management system for electronic mail.
Uncontrolled use of electronic mail to transmit important documents is a major risk for our agency, since the documents may bypass existing document management procedures.

The Internet

The Internet in particular is a potential source of uncontrolled documents, if appropriate planning is not in place.

- **The need for better a electronic document management system**
  Our study has hilighted the need for an integrated electronic document management system. This will incur additional costs, such as the purchase of software and the cost of extra time required to provide the necessary document management information. However, it will also bring benefits not offered by paper-based systems. Poor electronic document management will incur real and ongoing costs.

  The major benefits of good electronic document management include: faster and more effective retrieval of information than is possible with paper systems; greater accountability; preservation of corporate memory; and special uses for electronic documents, including:
  bulletin board services, for both news and reference, precedent documents, for reuse with little modification, and template documents, such as form letters.

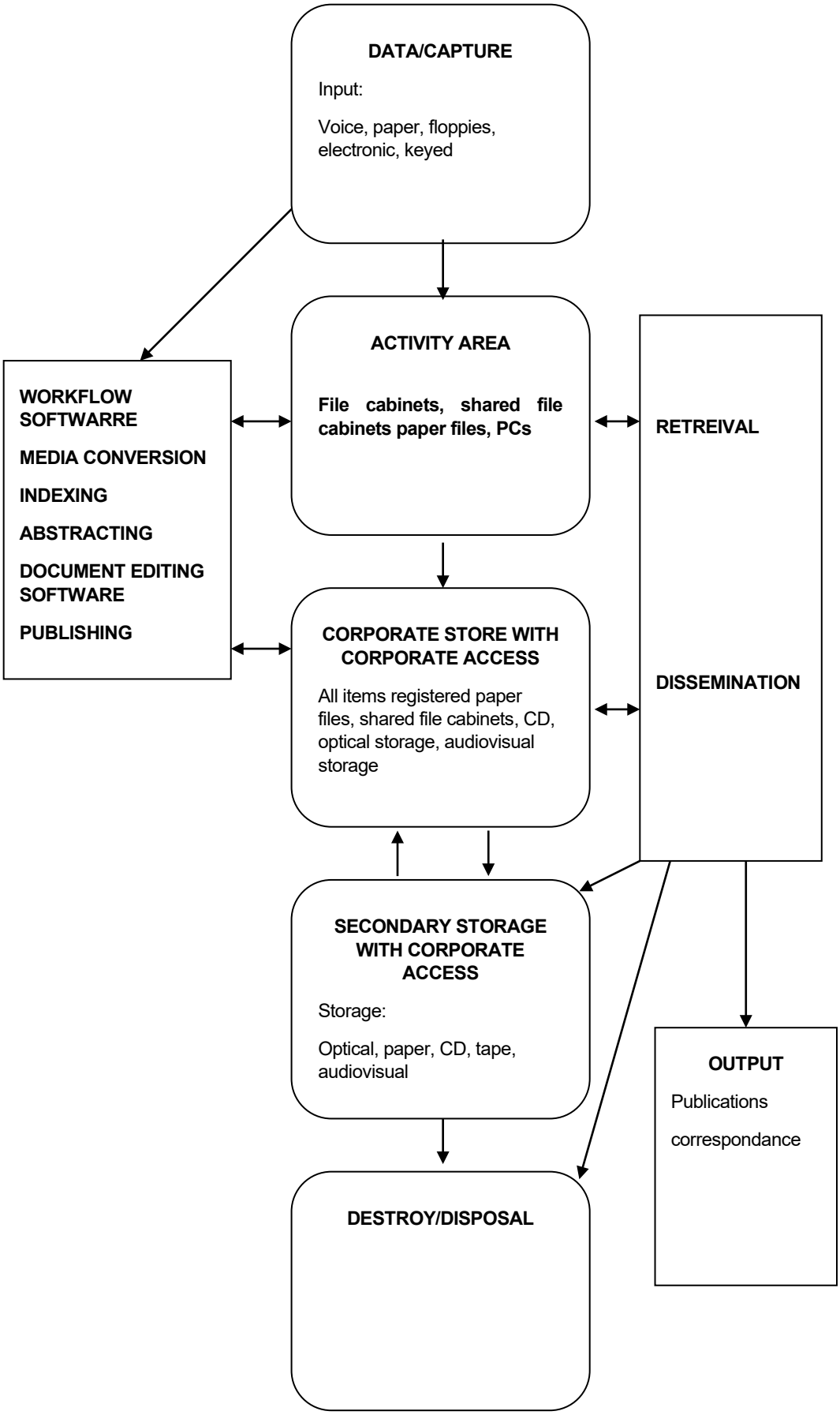
  "The major costs of poor electronic document management include:
  - time wasted searching for electronic documents stored without adequate planning for future retrieval, or deleted due to inadequate document retention procedures;
  - time wasted due to use of an incorrect version of a document, and negative implications for accountability;
  - storage wasted on unnecessary duplication of documents; law suits which cannot be adequately defended because vitainformation stored in electronic documents, such as contract details, cannot be retrieved;
  - loss of business due to inability to provide information; lack of common corporate view caused by information stored in electronic documents not being available throughout the organisation;
  - embarrassment to the agency and loss of client confidence; and
  - failure to comply withegislative requirements for electronic records."

(IEDM)

Goa4 - Recommend a Record Keeping Process for the Department

Objective - Develop Business Rules

Document Management Lifecycle



BUSINESS RULES:

Because CALM is a group of loosely tied areas of conservation, many departments should have the opportunity to work Business rules out for their own local environment, rather than a Big Brother from Corporate Relations knows best sort of attitude. Business rules need to be driven by business need.

Therefore below is a general grip of what areas Business rules need to be applied in document management rather than aist of what we think should happen in every case.

Currently CALM has business rules which cover file and document access, new files & attaching new maiand archiva& disposal. Generally this is good policy for those filing e-record and can be changed and applied when e-records are managed.

For each business process, it must be possible to capture the records that provide evidence of the business activities emerging from that process, where this is conducted by electronic means. There should be clear organisational principles which set out the business processes, activities and transactions to be documented, and which enable the identification of important documents that should be captured as records.

These examples should make clear distinctions between:

- Personal documents which are purely a resource for the individual
- workgroup documents that are exclusively a resource for the team
- corporate documents that are a resource for the organisation as a whole,

and making unambiguous statements on which of these categories, in which circumstances, should be captured and treated as formal records within the records management process.

The limits of corporate, workgroup and individual workspace, and the rules which apply to documents and records which cross the boundaries between these workspace, should also be defined.

Records which are captured should be authentic and complete representations of the business activity from which they are derived, and should retain their context of use. The fragile nature of the electronic medium, and the dynamic way in which information technology is deployed, threaten the reliability and authenticity of the record if appropriate information management disciplines are not applied. The information within an electronic record is represented internally by an abstract machine-based code, and can only be rendered visible by a sophisticated technology which can read and interpret that code and display it in a human-readable form. Once the ability to read the code isost, the record becomes unusable.

An electronic record can be multi-layered i.e. a spreadsheet, or the results from the spreadsheet. Record managers must decide which view to keep to preserve the context of the record
Need to maintain consistency within hybrid assemblies of paper and electronic records: there may be difficulties in maintaininginks between electronic records of different types (for example , between an e-maiand an attached file to which the contents of the e-mairefer).
So, need to ensure that alelements which make up an individual record are present (e.g. e-maiand attachment) and ensure that the record isinked into the wider pattern of records, of which it is itself a part.(i.e/ a reply to an e-mail).
Need to get version controin here somewhere

Officers require a clear understanding of rules for the destruction of documents. I.e. those that are not considered to be corporate, or are incomplete versions of a corporate document I.e. a draft.

Need rules for particular files, some are high volume such as issuingicences, alunder one file, then that file has rules about howong to keep a document active, when to archive.

Security: rules are required as to who can access particular documents. Password rules etc.

Business rules wilbe required for alphases of electronic record capture. Rules for

1. Creation of documents.
2. Rules for when documents are in the draft or revision phase of creation.
3. Review
4. Approval----------Corporate eRecord
5. Publish---delete
    - ---archive (saving)
    - ---accessibility

Steps to be considered:

6. Capture & register a document
7. Capture & register email
8. Edit a document-document version
9. Workflow
10. Reporting (CIS) Report on who accessed etc.

We may need instructions/resources available in how to name and organise files.
Need to make sure files are backed up.

Goal 5 - Develop a plan for transition from current paper based system to an integrated paper and eRecord system

Objective - Transition Plan

Our team believes we require more indepth study into this subject before we will have the material to compile a Transition Plan suitable for CALM. We have dicided to discuss the issues that need to be considered within the Transition Plan and provide examples of case Studies.

The success of developing and inplementing a Transition Plan for CALM will depend on CALM staff. All levels of the organisation will need to take on roles and responsibility and take ownership of the Transition Plan.

The roles identified within "Section 4, Improving Electronic Document Management, Guidelines for Australian Govedrment Agencies" are:

- Senior Management
- Reviewer
- Implementor
- business manager
- records manager
- information technology manager
- individual

Two essentiaelements in making the plan work:
Raising awareness of the importance of record keeping and building support within the higher reaches of the administration.

PROCEDURES:

Who does what, when and how in relation to corporate e-record keeping.

The Officer receiving or creating an e-document or e-maishould be responsible for its capture in a Record Management System. This is the person best qualified to understand the context and content of the record. This Officer decides if the e-record is corporate and to be archived, or a record to be disposed of.

Workplace documents (such as spreadsheets), managers should be responsible for making a decision about when the document becomes corporate and take responsibility for scheduling its corporate retention or disposal.

Document registration should occur at Records Branch. The officer deciding to keep the document sends the document metadata to Records and files the document with the appropriate file number.

CALM will require more Records Branch staff to cope with the increase in metadata capture and System Management. More staff wilbe required to answer questions, be this through the helpdesk system or directly with Records Branch. Roll-out and pilot studies would require hands on staff out in the departments being upgraded.

Current Records Branch staff need to have the right attitude, skills and expertise to cope with these changes. These are the first people to be convinced a roll-out in e-record capture is a positive process for themselves and CALM.

The roll-out wilimpact on the current Records Branch staff's work processes. Consideration wilneed to be made that these people need to do their usuawork and implement the new procedures within CALM.

TRAINING:

Theong term requirements and potentia benefits for electronic records need to be welunderstood throughout the organisation to ensure that a

higheveof quality is upheld at the time of creation and maintained through theifecycle of the electronic record.

Customised in-house training and training manuals are probably the way to go. Records Branch could visit a section pre roll-out to check what sort of e-records are created and rather than producing generic helpfiles, build the sections owness complicated explanations and specific examples.

Current Records Branch staff are probably the best qualified to help CALM staff to understand the Business Rules and procedures needed to capture e-records. However, firstly they would need to be appropriately qualified themselves and have a good understanding of the System, being new to the System themselves.

Training is probably cheapest and most efficient such as what occurred for the Outlook roll-out. Training could be conducted in groups 10-15 over a short period of time. Initially keep training to Officers simple. Cover only the essentiaknowledge and skills, advancing the Officers skills when they are ready.

Records Branch need to be aware that there is a wide range of computer skills and knowledge amongst the staff. Some staff wilbe unfamiliar with the technology necessary to move forward. The training must be paced and aimed at the most appropriateeve(lowest). Don't assume a certain stage of computer knowledge amongst staff. Some people wilbe embarrassed to have to say they are not very computeriterate.

Essentiato have customised web base training for new staff and refresher courses for existing staff.

RESOURCES:

Software probably be a smalpart of the final figure.

Perhaps Femina can expand on this bit, not sure about it myself. Because of geographically distant nature of CALM Offices, need to be able to retrieve records stored on their local servers. Or is everything to be stored on one centralised server? Certainly upgrades wilbe required as there will be a huge increase in space required once corporate e-mails start to be captured.
Who incurs the cost, Record Branch, or Branch where server is kept.

SECURITY: Definitely Femina's area, please fix up this mess

Security on all levels needs to be reviewed with policy and procedures implemented. Security at theeveof document, file, ERMS, network, web and auditogging.

Similar groups of Officers within CALM could have a security level giving specific access to e-records, each person could be judged individually. Time and resource wise it would be sensible to have groupevels of security and only on application with good reasons would an individuabe able to upgrade their security level.

System should be able to report on security andogin details for security and statisticaanalysis reasons.

Who will manage ongoing security changes (e.g. when staff change positions). What resources are required to maintain this.

Will audit/securityogs be monitored for security breaches? Who will do this and what resources are required.

PROCESS ANALYSIS:
Identification and analysis of business processes that create records.

Prepare for electronic records management before a system is decided. Have the following elements in place before going electronic:

- Record keeping policies and procedures (even though they would change as move further into the EDM project).
- Corporate recordkeeping culture
- Retention schedules for records
- Thesaurus or controlled vocabulary
- Records security

Implementation would be most successfuif business processes were analysed and improved prior to system installation. This would ensure we had a full and accurate understanding of the group's processes and needs, assisting in system configuration

Need to identify how e-documents flow around CALM, and therefore able to identify which records to capture, when to capture them and where to capture them.

Need to streamline document registration as much as possible so it is not an onerous task for the user.

Some documents are standard (i.e. issuing Wildlifeicences), and a standard set of controlledanguage can be developed which streamlines the process further.

Could have pull down lists for the controlled words used to construct the electronic document titles. Be much faster than typing in free text and the use of controlled vocabulary gives the added benefit of more consistent and accurate document titling. But won't work so well for files containing widely varying subject matter (e.g. generacorrespondence files).

Pilot roll-out: Choose a group which requires the smallest input, butargest gains. Need a public area that would be seen by others, a group that would encourage further ERMS rollout. And probably most importantly, a group with sound technology skills. The group may need some persuasion before agreeing to participate (point out the benefits).

SYSTEMS: Another area for **Femina** to work on**.**

Require a mechanism for reporting, recording and resolving problems. Can probably ride on centraIT helpdesk and use this to record problems and system solutions, ranging from users forgetting passwords, to network problem, to software bugs and hardware failures.

Recording this information means can report on problems through prevention rather than fire fighting. Can monitor recurring problems so discover patterns and identify solutions.

System maintenance requirements wilconsume Records department resources. Moving to electronic systems requires more stringent attention to user details to ensure that security is not compromised, staff can view appropriate electronic documents, workflow notifications are received by the right person, and file requests are notost to the ether.

Do we go the route of Central records storing, or decentralise onto local servers.

CHANGE MANAGEMENT AND USER SUPPORT:

Could be considered the most important factor in the implementation of desktop record management. Must realise most peopleike paper, and many people don'tike change.

Hold regular meetings with the Record Branch group, provide system demonstrations, answer question (silly and sensible), be flexible in approach and timetable. Probably need to hold hands and cost set in the first 2 to 3 months to increase the groups confidence .

As part of the roll-out, the implementation should be preceded with customised user training, user bulletins, regular visits to the implementation office, advertisement of the helpdesk, and lots of reassurance.

For the desk-top users, emphasise the benefits of keeping and cataloguing records, not only teaching how to use the system but opening their eyes to the benefits of the technology. With a carefuchange management program the users grow more confident and accepting of changes to their work environment and office processes.

Attitude of some staff could be that the Record department should take totaresponsibility for the recordkeeping. From the outset of the project, need to reinforce the idea that staff take individuaresponsibility for recordkeeping in the electronic environment. With the death of the centratyping pooand the advent of desktop computing, e-mail, voice maiand faxing the devolution of record keeping responsibility has become essentiato ensuring corporate records are captured.

The records department role will focus on adviser, auditor and facilitator, moving away from the more traditionadoing role.

Records branch staff may feeon the outside and out of control about what is going on about them. Try to include them in decision making/planning, keep them informed about what is happening. Seek their input wherever they can possibly give it, like on matters of rearrangement of the office and incorporation of new procedures into existing work processes.isten to their problems and suggestions.

CONCLUSION:

Need to spend considerable resources in communicating openly with staff and helping them to feecomfortable with the new technology. We designed the system with ease of use for staff in mind. A key measure of

the success of the implementation is the happiness of the people involved and the extent of use of the system.

SYSTEM:

The procedures that routinely involve the capture of these records are built-in to the electronic systems which produce the records.
Need a system that is designed to manage reliable and authentic records, ensuring that the integrity of electronic records is securely maintained.
A strategy to ensure that electronic records wilremain accessible and usable for asong as they are needed.
The ability to apply appropriate appraisal, scheduling and disposaprocedures to managed electronic records.
A culture of best-practice record-keeping among managers and end-users.

IN order to deliver good electronic record-keeping, these requirements must be supported at three levels.

Organisational level, where the overalpolicy and strategy is set, and where an organisationaculture of good record-keeping can be shaped.
Record Management level, where electronic record management procedures are defined and built into the recordifecycle, and where the operationarecord-keeping environment is shaped.
IT systems level, where appropriate design models and approached can be employed to build the systems that can support conscientious record-keeping.

The boundaries of business processes and systems, and theegaand other requirements that affect them, should be weldefined and understood to enable the capture of electronic records of the resulting transactions.
Each business process should be assessed to determine and articulate the record-keeping requirements and records management practices which should be applied to them.

Strategies.

Record-keeping requirements should specify which electronic records types should be captured and maintained in electronic format a the primary record, which should be converted to a non-electronic format, apply this consistently across the organisation, and develop mechanisms for assessing compliance.
Record-keeping requirements should articulate almetadata elements which are necessary for the management of each electronic record type: record-generating information systems should provide the facilities necessary to support capture of this metadata, and its retention with the associated record.
Users of electronic records management systems should be make aware of their roles and responsibilities, and end user policies and guidelines should be described in appropriate detaiand widely disseminated.

Benefits of eRecord capture is:
Easy access- paper and electronic wilbe seamless.

Threats of eRecord capture is
extra resources required
change business rules-
existing network to accommodate EDM
Change management

Weakness of eRecord capture is
Training-standard controThesaurusanguage
Inventory guideline

Types of Software in Use to Capture eRecords

Outlook (microsoft range of applications, ie word)
GIS packages
Image Formats
Other Doc readers (PDF etc)
Web

CORPORATE EXECUTIVE SUMMARY SHEET

TITLE

Management Of Corporate Electronic Records

– A project undertaken through the Leadership & Organisational Development Program (LODP)

ISSUES TO BE DISCUSSED

1. Definition and requirements for Electronic Record management in this department.
2. Current Status of Electronic Record management in the Department
3. Identify the problems between current and requirements for Electronic Record management.
4. Recommendations for Electronic Record management in the Department
5. Recommendations for transition from current paper-record management to integrated paper and electronic record management.

BACKGROUND SUMMARY/IMPORTANT ISSUES

Definition and requirements for Electronic Record management (ERM).

- Corporate records are broadly defined as any record made or received by a public officer in the course of his or her duties.
- All government departments are required under the State Records Act (2000) to manage all corporate records,
- There are numerous types of electronic records that this department might produce or receive. The most common, and the one of greatest immediate concern being e-mail. The Act now specifically identifies Electronic records as records that must be managed.

The current status of Electronic Records management

- Throughout the department there are many different forms of electronic record. A full and complete inventory of these is required in order to properly specify a competent ERM.
- Informs, the corporate RMS is being introduced across the whole department but the current management of e-mail is to make hard copy and file as paper record.
- The protocols and responsibilities within this department for management of records by individuals exist and are published on CALMweb. The degree to which these are being used is not know, but the impression is that at best there is a wide range of local methods employed.

Identify the problems between current and requirements for Electronic Record management.

- Creation of a Corporate Record Keeping System (business rules and protocols) that fully incorporates ERM.
- Ensuring that existing (and future) record protocols are followed.
- A procurement of robust ERM software to fit the department.

RECOMMENDATIONS

Recommendations for Electronic Record Management in the Department.

The development of business rules and protocols for ERM needs to include the following:

- Recognition of the structure of the organisation and the way we operate (workgroups, Regionalisation, specialists and the wide variety of types of records).
- Clear guidelines for, and sound training and supervision of staff (a simple process that will encourage correct use by all staff)
- Managing different versions of documents, authentication, continuity, attachments and relationship to paper (or other media).
- Workflow, high volume files, security.

Recommendations for a transition plan from current paper-record management to integrated paper and electronic record management.

- Use the recommendations of the existing comprehensive studies.
- Reinforce adherence to the existing rules through managers to individuals.
- Intensely scrutinise and where possible trial software to ensure that any purchase will meet the department's needs and predicted needs.
- Incorporate a thorough training plan including provisions for general IT skills.

Review security in order to implement policies and procedures.

NOTIONAL AGREEMENT FROM:

IMPLICATION FOR CURRENT BUDGET
To be incorporated in future Budgets.

PROPONENT:
Electronic Records Team,
Leadership & Organisational
Development Program
(Peter Murray, Karina Knight, Femina Metcalfe, Drew Griffiths, Ben Davies).

FORWARDED BY:
Dr. John Byrne, Sponsor and Director, Corporate Services

DECISIONS: