IMS 5047 – MANAGING BUSINESS RECORDS

TOPIC 1 - Introduction to the Course and to Recordkeeping Frameworks

Week One:
1. Course overview.
2. Introduction to essential definitions, concepts and core references.
3. Introduction to a case study and background paper.

1. Course Overview

Unit website – overview of content and use
Handbook = standard entry.
Overview = Formal unit outline. Available in class, weeks 1-3 and on the website.
Lectures = Unit structure - will be added to in weekly or 2 weekly instalments.
Includes lecture notes and reading, either to be downloaded via the Library or other references for you to source.
Tutorials = These are tutorial exercises for on-campus students, and email tasks for all students in this unit. All students are to complete the Email Tasks. Currently shows number and related weeks and topics. Will be added to with the details of each Email Task.
Create a group directory in your email system for group distribution of email communications.
Readings = reading list of material referred to over the unit, available through the library or for you to source – will be added to.
Assessment = assignments. These will be put up with plenty of notice. Currently a list of dates due, worth 20%, 35% & 20% each. Will be added to with the details of each assignment.
Staff = my contact details, and contact details for your Tutor Maria McKeown.

Email communication
Create a group directory in your email system for group distribution of email communications – list of names and student email addresses to be provided by Maria.
Cut and paste into a group directory for IMS5047 contacts.
Email to all students on all Email Tasks or other discussion items.
When sending an email to the group, put the group in your “Bcc” section of your address, not the “To” or “Cc” section.
Assessment includes 25% on Email Tasks and participation in this.
6 Email Tasks will be set over the 13 weeks. Everyone is expected to participate.

Guest presenters – where possible and suitable to the topic we will have guest present to the class. Material from these sessions will be made available to OCL students. In addition, OCL students who are able to attend campus for any of these sessions are very welcome.
2. Introduction to essential definitions, concepts and core references

Title of unit - Business Records Management - refers to records management that supports business processes. Business processes occur in any sector, any size of organisation, covering government, private, not for profit, etc.

Government websites like State Records NSW provide standards-based approaches that follow this 'business-based' approach.

Reading

Look at:
- Government Recordkeeping Manual
- Glossary of Recordkeeping Terms, rev 2003
- Copyright provisions
- DIRKS manual 2003
- Latest electronic newsletter, *For the Record*, June 2004, no 45
- Guideline 17, Building Better Records Management Skills

Key Terms

(Note – references to AS4390 – this standard is superseded, but definitions are useful.)

**Records**

Information created, received, & maintained as evidence & information by an organisation or person, in pursuance of legal obligations or in the transaction of business. “

*AS ISO 15489, clause 3.15*

Records = Evidence of business. Includes evidence of decisions, actions, transactions, and documents that support these.

- Who generates, manages and retrieves this evidence of business?
- What about email?
- An email is a record, a PC is not personal when it is a company/organisation.
- Other examples of records? Phone recordings examples.
- What might not be records? Junk mail, working papers, not to be reused, drafts not to be reused, copies (unannotated) -of anything.

**Business activity**

Umbrella term covering all the *functions*, processes, *activities* and *transactions* of an organisation and its employees. Includes public administration as well as commercial business.


**Recordkeeping**

Making and maintaining complete, accurate and reliable *evidence* of business *transactions* in the form of recorded information.

*AS 4390-1996, Part 1.4.19*

**Evidence**

Information that tends to prove a fact. Not limited to the legal sense of the term.

Recordkeeping system
Information system which captures, manages and provides access to records through time.
*AS ISO 15489.1 – 2002, clause 3.17*

Recordkeeping systems may be distinguished from other types of information systems by the fact they are organised to accomplish the specific functions of creating, storing and accessing records for evidential purposes.
*Bearman, 'Record-keeping Systems', p. 17*

Recordkeeping systems are not simply software applications designed to manage records. They are an organised collections of: people, policies, procedures, tools, technology, ongoing supporting education, and maintenance.
In combination, these combinations enable organisational business to be adequately documented.
*State Records NSW, DIRKS Manual, 2003*

Records management
Field of management responsible for the efficient and systematic control the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
*AS ISO 15489.1 – 2002, clause 3.16*

OR

The discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations.

Records management plays many roles within an organisation and in the organisation's relationship with the world. Thus records management is concerned with the following:
(a) managing the records continuum, from the design of a recordkeeping system to the end of the record's existence
(b) providing a service to meet the needs, and protect the interests, of the organisation and its clients
(c) capturing complete, accurate, reliable and useable documentation of organisational activity to meet legal, evidential and accountability requirements
(d) managing records as an asset and information resource, rather than as a liability
(e) promoting efficiency and economy, both in the management of records and in organisational activity as a whole, through sound recordkeeping practices.
*AS 4390-1996, Part 1 Foreword*

Records management program
A records management program is the program conducted on an organisation-wide basis for the management of records, recordkeeping activities and recordkeeping systems.
*State Records NSW Glossary*

Appraisal
The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.
*AS 4390-1996, Part 1. Clause 4.3*

This will be covered in more detail in Week 6.
Archives
Those records that are appraised as having continuing value.
*AS 4390-1996, Part 1. Clause 4.5*

Registration or Capture – provides evidence of the existence of the record within a recordkeeping system.
Act of giving a record a unique identifier on its entry into a system.
*AS ISO 15489.1 – 2002, clause 3.18*

A deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records.

Classification
Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in a classification system.
*AS ISO 15489.1 – 2002, clause 3.5*

OR

The process of devising and applying schemes based on the business activities which generate records, whereby they are categorised in systematic and consistent ways to facilitate their capture, retrieval, maintenance and disposal. Classification includes determining document or file naming conventions, user permissions and security restrictions on records.
*AS 4390-1996, Part 1. Clause 4.8*

This will be covered in more detail in Week 8.

Adequate records
Records should be adequate for the purposes for which they are kept. Thus, a major initiative will be extensively documented, while a routine administrative action can be documented with an identifiable minimum of information. There should be adequate evidence of the conduct of business activity to be able to account for that conduct.

Accountability
The principle that individuals, organisations and the community are responsible for their actions and may be required to explain them to others.
*AS ISO 15489.1 – 2002, clause 3.2*

Organisations and their employees must be able to account to appropriate regulatory authorities, to shareholders or members and to the public to meet statutory obligations, audit requirements, relevant standards and codes of practice, and community expectations.

Corporate governance
Corporate Governance is the processes by which organisations are directed, controlled and held to account. It encompasses authority, accountability, stewardship, leadership, direction and control exercised in the organization.
Or – The system by which entities are directed and controlled.
*AS 8000 -2003, Good Governance Principles.*
Key Concepts

Key Concept: Records Continuum
The whole extent of a record’s existence. Refers to a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping systems), through to the preservation and use of records as archives. 
AS 4390-1996, Part 1 Clause 4.22
Different from the old life-cycle concept. 
This will be covered in more detail in Week 2.

Use of a corporate recordkeeping framework - for
• Compliance, corporate governance & risk management requirements.
• Business and individual capability.
• Business continuity.

Good recordkeeping is all about
• Reducing costs
• Improving the delivery of services
• Promoting accountability.

The framework relies on a functional analysis of the business’s environment, context, drivers, requirements, needs, internal and external expectations and understanding what are the recordkeeping requirements in that context. The analysis results in the development of recordkeeping strategies, tools, technologies, processes and competencies to ensure that recordkeeping requirements are met. This unit will cover the business analysis, and the outcomes of such analysis.

Functional analysis = analysis of the business functions & activities of the organisation and the environment in which it operates. This will be covered in detail in Weeks 4-6.

The reasons for a corporate recordkeeping framework – in more detail:
1. Compliance Reasons:
• Legislative
• Regulatory
• Audit
• Ethics
• Governance
• Litigation
• Risk management
• Protection of interests

Example: Pharmaceutical companies - often maintain numerous procedures, protocols, standards, codes of practice for the development, manufacture, testing, licensing and sale of drugs.
• They MUST comply with state, federal & overseas legislation and regulations to put such products on the market.
• They MUST operate according to their standards; they are audited; they are certified or accredited; they are licensed.
• They keep their procedures, protocols etc as inviolate (unable to be altered), & in electronic form. Categorisation, storage, process flows, access - is all done electronically.
Also relates to managing risk
What are the costs (potentially) of not doing it right.

Strategy here = use of a corporate recordkeeping system.
Capture of all corporate documents.
Business rules - including your regulatory requirements & system use,
In summary : you need to account for your actions.

There is a need for ongoing use and re-use of info - for various reasons - business compliance;
business continuity; customer service; risk management; best practice; responsiveness to
opportunities; innovation; productivity improvements, etc.
• Example - Cost: Case study examples of cost savings: mining coy to save $1.5mill over 3
years simply by implementing a comprehensive records disposal program and rationalising
hardcopy storage within its CBD buildings.
• The ROI for a govt dept spending $750,000 on an EDMS = one year, given savings from
maintaining old systems, staff time spent searching for documents, & estimated salary
savings through decentralised RM services.
• Example - Efficiency, effectiveness & productivity:
The organisation needs to operate effectively and reduces costs & time wasted looking for
information, correcting wrong decisions.
• Staff need to know policies, procedures, precedents - helps reliability and credibility of the
organisation
• Example - Service delivery: You need to know your customers’ or stakeholder’s
requirements. You’re expected to deliver the highest possible value and service to
stakeholders.
• Example - Policy & decision making: The organisation wants to make informed policies,
decisions & plans.
• Example - Consistency & continuity: An organisation MUST know what it said at any
point in time to its stakeholders, public or customers. Look at any organisation’s website.
How many documents/records are on the site? What do they commit the organisation to?
Can the organisation account for instructions it issued a year ago? What are the potential
effects of people/customers using outdated information?
• Need to ensure only current info is on the website, redundant info must be removed, how
are successive versions maintained.
• Core issue = The status of a transaction or provision of information/advice should be able
to be captured and reproduced at any given point in time, to confirm that a certain offer or
statement was in fact made.
• Example - Competition – need to stay ahead of the pack, need business intelligence over
time, and the analysis of that intelligence.

3. Research or IP Planning reasons for a Corporate Recordkeeping Framework.
• R & D
• Strategic or operations planning
• Historical research

Need to know what organisation owns, its obligations, rights and debts.
Example 1: Hospital story - “rationalisation” of the hospital sector; government funding to be revised on the basis of disposal/realisation of surplus hospital assets; record discovery action done to identify properties owned by one hospital - could account for about 8-10; turned out it owned 58 properties including a number of suburban houses & a nightclub!

Example 2: A research establishment developed a product in its labs, in conjunction/collaboration with another partner. The scientists kept insufficient lab notes and diaries. As a result when the product went to market the primary research company lost the patent rights & revenue as they couldn’t prove beyond doubt that the product was invented in their labs. The other partner went on to make considerable $; research establishment got nothing. There is now an electronic laboratory notebook and diary systems installed, with related procedures and protocols about what to record.

Research or planning still requires an enterprise framework to enable inter-organisational and public information exchange & organisation-wide access to information.

4 & 5 Culture & Corporate Memory reasons for a Corporate Recordkeeping Framework.
• Business/corporate culture
• Organisational identity
• Achievements & contributions
• Frame of reference for the present

Most organisations experience high levels of staff turnover, or organisational & functional changes based on the politics & economics of the day, & lack of corporate memory. This causes some lost info, redistribution of info, and ongoing difficulty in knowing where to find something. It makes organisations more dependent on their records than ever before.

We see more “organisational amnesia” than examples of corporate memory.

Need for ongoing use and re-use of information - for various reasons - business compliance; business continuity; customer service; competitive edge; risk management; best practice; responsiveness to opportunities; innovation; productivity improvements; global information access.

This will be covered in more detail in Week 6.

Ownership, access and accessibility are important factors here.
This will be covered in more detail in Weeks 9-10.

Key Concept: Responsibilities

Responsibilities are at all levels. (AS ISO 15489, clause 6.3)
1. Leaders/executives - to support the use & enforcement of compliant recordkeeping regimes in their orgs.
2. IM or RM professionals - design, implementation of appropriate systems & training.
3. System administrators - to ensure the system functions properly and is available to personnel when required.
4. All employees - for generating & keeping accurate and complete evidence of their business activities, & using the corporate recordkeeping framework to ensure this evidence is retrievable for operational & compliance purposes.
**Key Concept: DIRKS**
An acronym that stands for 'designing and implementing recordkeeping systems'. DIRKS is about building more efficient and accountable business practices through the design and encouragement of good recordkeeping across an organisation.  
*State Records NSW DIRKS Manual, 2003*
This will be covered in more detail in Weeks 2, 5 & 12

**Key Enabler - the role of technology** – RMS, EDMS, Web content management, customer service systems, core information systems. In the modern office a record can be in any format and from any source - it is evidence of business.

Recordkeeping functionality required of the technology includes:
- Capture & categorisation/indexing the records
- Storage of the records
- Retrieval of them again later, to authorised users
- Prevention of the records being tampered with or erased by managing versions of the records which are changed, preventing unauthorised access, restricting unauthorised document deletion.

This will be covered in more detail in Week 7.

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### 3. Introduction to a case study

Reading:
1. A Futuristic University.
2. Background paper – Technology Introduction.

A case study is provided on a virtual university (Dubbo) with a supporting paper on the information technology environment.

Some students who have completed IMS 5011/3611 this year will have seen the case study, for newcomers to the subject this is a useful introduction to a recordkeeping regime in a fictitious organisation.

Both papers have a series of questions for you to consider, which will be discussed in tutorials, and are for OCL students to consider. These questions also form the basis for your first Email Task, and can be used by students later in the semester as their case study where their work experience is limited.