

JUNE 2013

WELCOME TO THE ELECTRONIC CONTENT MANAGEMENT (ECM) STEP PROGRAM

Electronic Content Management (ECM) STEP Program is a step-by-step capacity and capability building program for Electronic Content Management within Victorian Local Government.

The program is run by the Municipal Association of Victoria (MAV) in conjunction with the ECM Steering Committee as the governing body responsible for setting the strategic direction of the program. Its focus is to encourage councils to increase capability in managing electronic content to support and promote more digital business within local government. The ECM Step Program is based on the Plan-Do-Check-Act continuous improvement approach.

There are currently 62 Victorian Councils participating.

ECM COMMITTEE MEMBERS

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Minutes:

The minutes for the last ECM Step Program can be found at the following URL:

http://mavecmstep.com/attachments/article/150/MAV%20ECM%20Step%20Program%20Committee%2010052013%20Minutes%20_2.pdf

1. THE ECM PROGRAM IN DETAIL

The ECM Step Program incorporates the following:

- An assessment of council's electronic content (records management) framework.
- Participation in a series of capability works aimed at increase capability in managing electronic content.
- Access to the ECM Wiki which currently stores Records Management policy, procedural, training documentation that has been developed in conjunction with councils for common use.
- A yearly conference on the key Electronic Content Management strategic developments.
- Access to sector wide contractual arrangements for scanning and storage services.

2. PROJECT UPDATES

Local Government Business Classification

The Local Government Business Classification is now in the ECM Wiki. Please note that a change request form has also been provided. If upon use improvements to the Business Classification has been identified please email the change request to Tim Newbegin for review and endorsement by which the ECM Committee

The Wiki is located at the following [URL: http://mavecmstep.com/](http://mavecmstep.com/)

Legal Advice: Building Act – Can we or cant we scan and destroy?

MAV has sought legal advice on behalf of the whole of the ECM Step Program relating to the provision within Building Act where records need to be maintained in original form, therefore precluding the scanning and destruction of these records. This is now in the ECM Wiki.

3. PROV NEWS

PROV advice on the management of Councillor records

PROV would also advise that Councillors should make and keep full and accurate records of their actions and decisions to demonstrate their probity and integrity.

Councillor records should be kept separate from the public records created, received and managed by the Council. If the same EDRMS is being used, then it should be configured so that Councillors do not have access to the records used by the Council and that the Council do not have access to records used by Councillors unless they become public records.

All further questions to: Allison.Hunter@prov.vic.gov.au

PROV advice on National Standards in Maternal Health – discrepancy between National and Victorian retention requirements:

PROV are just clarifying the recordkeeping requirements for early childhood providers (which includes Local Councils) following the introduction of the National Quality Framework for Early Childhood Education and Care (NQF) which began on 1 Jan 2012.

The NQF applies to most long day care, family day care, pre-school and out of school hours care services in Australia. The Education and Care Services National Law and Education and Care Services National Regulations provide the legislative framework for the NQF. A new national body jointly governed by the Australian Government and state and territory governments was established - The Australian Children's Education and Care Quality Authority (ACECQA)

The records kept by Regulatory Authorities (which in Victoria is Department of Education and Early Childhood Development (DEECD)) are subject to the applicable records law for each state or territory. The Public Records Act 1973 therefore continues to apply to records kept by DEECD. (The records kept by ACECQA are subject to the NSW State Records Act 1998)

State and territory privacy and freedom of information laws however do not apply to the ACECQA and the Regulatory Authorities. The National Law establishes a new privacy and freedom of information framework.

The ACECA have published a Guide to the National Law and National Regulations which explains this. This can be found at the following link:

<http://acecqa.gov.au/resources-and-templates/>

This is the link to the pdf:

<http://acecqa.gov.au/storage/2%20-%20Guide%20to%20the%20Education%20and%20Care%20Services%20National%20Law%20and%20National%20Regulations%20%28updated%209.11%29.pdf>

(see page 144 of the above guide which explains the application of laws)

The National Regulations set out the types of records that early childhood education and care services regulated under the NQF must create and keep and the minimum periods for which these records must be kept.

Victorian public offices, including local councils that provide early childhood education and care services should determine whether their service is regulated under the NQF. Services regulated under the NQF need to ensure that records are created and kept in accordance with both the Public Records Act 1973 and the new National Law and Regulations.

Therefore if the early childhood services provided by local councils are regulated by the NQF, then the records created and kept by the councils need to be retained in accordance with both PROS 09/05 Retention and Disposal Authority for Records of Local Government Functions and the National Law and Regulations.

All further queries to: Emma.Murray@prov.vic.gov.au

Disposal Freeze on Royal Commission

PROV has sent agencies a letter cautioning on the disposal records that may be required by the newly established Royal Commission. An update can be found at the following URL:

<http://prov.vic.gov.au/blog-news/update-on-royal-commission-into-institutional-responses-to-child-sexual-abuse>

All further queries to: Emma.Murray@prov.vic.gov.au

5. WIKI UPDATE

The ECM Wiki will be an undergoing a review, but the following documents are available for reuse by participating councils:

Element	Title	Type
Policy	Meeting PROV Compliance Measures - Integrated Approach to Records Management - 6 September 2012	Presentation
	eassure - Records Management Policy Template Version 2	Template
	eassure - Developing an Integrated Suite of Policies	Template
Performance Management and Reporting	Presentation - Developing RM Key Performance Indicators	Presentation
	Eassure - Operational KPIs for Records Management	Template
Business Process Management	Eassure - Survey Records Management EDRMS	Template
	Eassure - Survey Records Management Service Delivery	Template
Digitisation (scanning)	eassure - Presentation - Establishing a Digitisation Program V1	Presentation
	eassure - Activity - Digitisation Plan Template - Introduction and Digitisation Activity Plan Only	Template
	Eassure - MAV Workshop Products - Digitisation - Outsourcing VS Insourcing	Information
	Eassure - MAV Workshop Products - Digitisation - Executive Brief Scanning and Destruction	Information
Disposal	eassure - Presentation - Establishing a Disposal Program V1	Presentation
	eassure - Activity - Disposal Documentation Needs Analysis	Template
	eassure - Activity - Disposal Procedures Gap Analysis Template	Template
	eassure - Reference Document - PROS Compliance Requirements - Disposal	Information
Classification	eassure - Presentation - Developing a Classification Scheme	Presentation
	eassure - Presentation - Implementing a New Classification Scheme	Presentation
	Business Classification Scheme for Local Government	Template
Communication	Presentation - Developing a Communication Plan for	Presentation

Element	Title	Type
	RM	
	eassure - Activity - Classification Communication Plan	Template
	Stakeholder Identification and Communication Plan - Master Template V1	Template
	Stakeholder Identification and Communication Plan - MAV Activity Plans	Example
Training	Presentation - Developing a Records Management Training Program	Presentation
	Eassure - Recordkeeping Summary Slides for General Introduction V2	Presentation
	Eassure – Records Management Induction Program Presentation V3	Presentation
	Eassure - Induction Training - Staff Comprehension Check Questions V1	Template
	Statement of Responsibility Template	Template
	Training Evaluation Survey	Template
	Training Needs Analysis Form	Template
Fact Sheets	Eassure - Recordkeeping Standard 1 - Keeping Records	Advice
	Eassure - Recordkeeping Fact Standard 2 - Electronic Records	Advice
	Eassure - Recordkeeping Fact Standard 3 - Managing Email	Advice
	Eassure - Recordkeeping Standard 4 - Document and Records Naming Conventions	Advice
	Eassure - Recordkeeping Standard 5 - Records Protection and Security	Advice
	Eassure - Recordkeeping Standard 6 - Managing Photographic Images	Advice
	Eassure - Recordkeeping Standard 7 - Records Disposal	Advice
	Eassure - Recordkeeping Standard 8 - Full and Accurate Records	Advice
	Eassure - Recordkeeping Standard 9 - Scanning Documents	Advice
	Eassure - Recordkeeping 10 - Recordkeeping Glossary	Advice
	Eassure - Recordkeeping Fact Sheet 11- Recordkeeping Frequently Asked Questions FAQ	Advice
Email Alerts	Eassure - Recordkeeping Email Alert - Whats in a Name	Advice
	Eassure - Recordkeeping Email Alert - What is a	Advice

Element	Title	Type
	Record and Document	
	Eassure - Recordkeeping Email Alert - Sentencing Records	Advice
	Eassure - Recordkeeping Email Alert - Responsibilities for Recordkeeping	Advice
	Eassure - Recordkeeping Email Alert - Records Access	Advice
	Eassure - Recordkeeping Email Alert - How to Decide to Make or Keep Records	Advice

Please send any new requests for content to Toula.Varvarigos@eassure.com.au and t.newbegin@cardinia.vic.gov.au for consideration by the ECM Committee

6. RECORD KEEPING IN THE NEWS

PARLIAMENTARY INQUIRY INTO ABUSE

There has been a great deal of publicity on poor record keeping practice and the adverse impact of people which were in institutional care. The following articles are worthy of a read in that they reaffirm the value of records management:

Poor record-keeping holds back pursuits of justice

The Age Victoria, April 6 2013, titled, " Poor record-keeping holds back pursuits of justice", comments on incompetent recordkeeping that is depriving thousands of Victorians of life-changing information, but the Department of Human Services has "a profound conflict of interest" because fixing the problem would allow a rush of lawsuits, a parliamentary inquiry was told on Friday. This also state that some 90 per cent of DHS records are not properly managed, and the increasing amount of electronic data is making the problem worse, the Victorian inquiry into how the churches have handled sex abuse heard <http://www.theage.com.au/victoria/poor-recordkeeping-holds-back-pursuits-of-justice-20130405-2hcay.html#ixzz2Put3j8mi>

Dark Records of Broken Lives

The role of record-keeping is close to the centre of what the royal commission into abuse is all about: the battle between the Closed and the Open Society. But — at least in some cases — documents have been subpoenaed only as far back as 1970.

<http://www.theglobalmail.org/feature/the-dark-records-of-broken-lives/594/>

BUSHFIRE CLASS ACTION

A former SP AusNet engineer says that in the lead-up to Black Saturday the company did not keep records about power poles and lines he considered "imperative" to deciding how maintenance should be performed. <http://www.theage.com.au/victoria/maintenance-history-lacking--engineer-20130520-2jx00.html>

7. A WORD FROM GRACE RECORDS MANAGEMENT

Introduction

It is generally accepted that the promise of the paperless office predicted by Business Week over 35 years ago has not, and may never eventuate as paper continues to be the cheapest and most widely used medium for the documentation and sharing of the most critical of business information. What has occurred over the past decade however, has been a small but steady reduction in the consumption of paper generated for day to day transactional documents leading to what is now commonly referred to as the "paper - less" office. One only needs to complete their banking on line, receive an electronic statement, or read a book on their new e-reader, to realise that these things which once relied heavily on paper, are now being completed in a purely electronic form.

New equipment

While the equipment used in commercial scanning operations has certainly come a long way since the introduction of the first drum type scanner built by the US National Bureau of Standards in 1957, modern commercial scanners have for some time possessed the ability to generate images faster, and at a much higher resolution than is practical for any current real world business application. Perhaps the biggest influence to the industry in terms of new equipment has been the introduction of mobile computing technologies such as smart phones and tablet computers. These devices lend themselves to the use of electronic rather than paper based forms which can be completed and distributed to multiple sources at any time regardless of the geographical location of the user or sender

eliminating the need to generate any paper at all from the complete transaction between organisation and customer.

Software T

he software used in conjunction with commercial scanning hardware has been the area that has improved the most during recent times. The processes of Optical Character Recognition (OCR) and Intelligent Character Recognition (ICR) driven by this software have rapidly become much more intuitive, accurate and reliable providing a huge advantage over the labour intensive methods of indexing, and the time demanding quality control processes of the past. This progression has significantly reduced the costs commonly associated with large back scanning projects and has resulted in far better outcomes for the client.

Another area where software has improved greatly, is in the usability of the output format that the scanning applications produce. Where as only a few years ago Tiff and Jpeg formats, which are basically just a "photo" of the document being scanned, were the most commonly used output formats, Today the most commonly used scanning output format is searchable PDF which allows the user to quickly search for any text contained with the scanned document, as well as many other features such as document collaboration which allows instant access to the document from multiple devices over the internet.

Expanded staff

While it was common for many scanning operators to take advantage of the inexpensive labour offered by many overseas counties by sending their projects off-shore for processing, due to the ever increasing concerns around the privacy and confidentiality of both personal and business information, many of these projects are now remaining within Australia. This has lead to a significant increase in the demand for local labour and top quality experienced scanning operators within Australia have now become highly sought after. Our local operators have at the same time become far more highly skilled than the

operators sourced from overseas due to the stringent requirements based on local businesses.

Is scanning picking up across the broader business community?

The demand for scanning services has for the past couple of years increased at a much higher rate than at any other time. While it has been common for many organisations to operate Departmental based projects, particularly in their accounts area, many larger companies are now making enterprise wide commitments to digital record keeping across all areas of their business operations. The Australian Government's "Transition to Digital Record keeping" policy has been a key driving force of this demand, as has the desire for private organisations to create differentiation in their markets through increased customer service.

Are Local Government front runners, or lagging behind?

While local government were one of the first to embrace the scanning and digitisation process, they have appeared to have plateau over recent times rather than continue to push forward with the next stage of digital development which is eliminating the need for paper altogether. Perhaps this trend simply comes back to the requirement for local government to provide services to such a broad range of age groups, some of whom have simply operated their whole lives using paper alone and have no trust in a form or application that they can't physically touch or feel.

Can they learn from other sectors?

While Government is certainly one of the front-runners in digital development, the finance sector is now also taking huge steps, through not only the back scanning of large volumes of paper records for use in electronic applications, but by also introducing "move forward processes" following this process that eliminate the need for paper to be produced in the future at all. This includes the complete removal of the dreaded "Print" button. There are certainly lessons to be learnt from every sector as one would be hard pressed to find any

modern day organisation that does not use at least some form of digitisation through their businesses.

Summary

Paper will always have a place in business due to personal preferences based on how each individual processes information, and because paper will always afford different uses than screens, however just how "paper-less" each office becomes will continue to be driven by the customer, regardless of the increased efficiencies, reduction of environmental impact, and long term cost saving advantages that scanning and the digitisation of documents can provide.

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