

MANUAL FOR ASSOCIATION MANAGEMENT



produced by the
Section of Professional Associations (SPA)
International Council on Archives

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INTRODUCTION

The Section for Professional Associations (SPA) aims to strengthen and unite the archival profession globally and help its member associations develop their organisations and increase their influence.

To assist associations, SPA has produced over a number of years a set of guidelines based on the experiences of its members, with particular impetus from our Australian colleagues. These guidelines, which are available as individual documents on the ICA/SPA website, have now been brought together in an online manual.

The idea for a manual was proposed at the 2009 annual planning meeting of the SPA Steering Committee. At this time guidelines were available in at least one language and over the next 2 years a major program was undertaken to translate all guidelines into English, French and Spanish. This work was undertaken through the volunteer services of French and Spanish speaking members of the Steering Committee, by member associations and supported by generous financial contributions from the Association des archivistes français (AAF) and the SNCF.

The guidelines in the manual provide new or developing associations with assistance to establish sound administrative structures and effective programs for their and members. Established associations can use the guidelines to assess or improve their current activities and administrative practices.

The manual has a number of themes:

- good governance, with guidelines on how to develop a constitution and conduct elections, and advice on setting up a records management program and developing an association retention schedule;
- education and professional development, with guidelines on organising conferences, training workshops and seminars and on establishing a mentoring program; and
- advocacy and promotion, with guidelines on developing promotion strategies and on conducting lobbying and public campaigns.

The objective in developing the manual was to bring together in one document the shared experiences of SPA members that could be easily accessed by all our colleagues. Its publication on the ICA website fulfils this goal. It is a tool meant for all associations and therefore all archivists.

Henri Zuber
ICA/SPA President
August 2011

GUIDELINES FOR THE ESTABLISHMENT OF A PROFESSIONAL ASSOCIATION

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Preface

Associations are formed by individuals working in similar areas of activity in order to facilitate their meeting and exchange of views, and their action to advance their objectives. An association of professionals may undertake such initiatives as establishing standards, assisting in the continuing education of members and promotion of the role of the profession in society.

Associations of archivists are no exception. Throughout the world they have demonstrated their value in providing a forum for communication between members, for the pooling of knowledge, experience and ideas, and for the mentoring of those new to the field by experienced members. When there is not an established system, such as a central school of archival studies, to determine archival methodology, the association can fulfill this role by forming task forces to research and debate aspects of practice: when such mechanisms do exist the Association may challenge the set practice or point up the need for change. Associations give individuals influence outside their own institutions permitting their participation in the development of their profession and ensuring their voice in decisions affecting its future. Associations can also be of help to archival institutions by offering professional alternatives for their reflection and providing them with professional guidelines on specific problems. They can be asked for advice by government. They can bring to bear the opinions of a large number of professionals that can be useful in various ways to the administration of an archival institution.

An important activity for most associations is an annual meeting open to the entire membership to regulate the business affairs of the association and enable discussion of approaches to matters related to the association and issues facing the profession. Members plan and review their activities and debate topics of concern. Members often take advantage of their coming together to work on tasks in sub groups and to offer education programs or training sessions.

The following are examples of activities and projects which archival associations undertake:

Education. Associations may decide on qualifications required for entry into the profession and promote the introduction of formal courses of study that enable persons to obtain these qualifications. They may, as an alternative, offer educational programs themselves. Usually they provide training sessions and workshops to update the qualifications of professionals already at work as archivists or to introduce new technologies and areas of practice.

Public Awareness. Associations present thematic conferences for their membership, sometimes held jointly with other professions or with users of archives to discuss issues and problems current in their practice. They may prepare and disseminate brochures and mount exhibits that explain and promote to society at large the role and benefits of archives. Some associations designate a date as archives day or a longer period as archives week or month during which time special events are promoted to draw attention to the value of archival holdings and their usefulness.

Advocacy. Archivists represent the interests and needs of professional archivists in lobbying governments and organizations for adequate support for archival programs. They promote the introduction of legislation required to facilitate the operations of archives and the revision of laws to require the deposit of records in archives or to permit access to them.

Communication. Most associations publish a newsletter to update members on issues and communicate the activities of the executive and committees of the association. Often they publish a journal that provides a forum for in-depth and intellectual treatment of aspects of archival work. Meetings are also an important means of enabling communication among members.

Associations of professionals are generally different from bodies that officially regulate or discipline the members of the profession, for example, the College of Physicians and Surgeons, or from trade unions, which negotiate working conditions for employees. However a professional association may pursue the objectives of raising the acceptance and image of the profession and administering a code of ethics. Associations normally are not established by government, although they may be registered or incorporated by government charter or other instrument. Associations should function independently of government and may indeed bring pressure to bear on government to enact legislation or provide financial support to advance interests of the profession.

Purpose of the Guidelines

These guidelines are intended to provide assistance to archivists in developing or reforming an association of archivists. Constitutional arrangements creating an association will vary considerably to take account of cultural, political, and economic conditions of the country or region in which it will operate. The articles of the constitution which are provided as part of the *Guidelines* are offered as a model that can be adapted to suit the situation in which the association will operate. For instance, in some countries annual meetings might not be physically or financially feasible. An emerging association may or may not want to enter into the same degree of formality as a more established one. Some articles of the constitution may never be necessary, others may be adopted as the association evolves. The model is based primarily on the *Guidelines for the management of professional associations in the fields of archives, library and information work*. General Information Program of UNISIST, UNESCO. Paris 1989.

How to use the Guidelines

The *Guidelines* begin with general information on government requirements and other points related to the formation and operation of an association including: **incorporation, regulations, tax issues, democratic process, multidisciplinary associations, and funding**. This is followed by a number of articles that are considered basic for the constitution of an association of archivists. These appear in bold type and are presented in the form of a comment or instruction. The last section repeats these articles and follows each by examples, printed in italics, which are taken from constitutions of various associations of archivists. A number of entire constitutions are reproduced as an appendix.

Introduction

Incorporation/Registration

Generally incorporation or becoming registered with government or the relevant authorities is a matter of choice for associations. This will be determined by such factors as the degree of formality that is appropriate, the need for the association to receive and manage funds, and how the association wishes to handle matters related to tax issues. Associations are required to follow the conditions for registration or incorporation established by the laws of their own country or region. Often the articles essential to the formation of an organization are stipulated in this legislation.

The essential elements are sometimes contained in the instrument of incorporation or in the document named the constitution, with points relating to the structure and operations of the association left to detailed regulations. These regulations are sometimes known as by-laws and are easier to amend than the clauses of a constitution which must be revised by a more complex procedure and may be required to be filed with government. However, in some cases, all governing clauses are called by-laws and the incorporation is achieved by a separate, formal legal instrument.

Regulations

Regulations are necessary to control a number of different areas of activity and usually encompass rules necessary to regulate membership criteria, the composition of the governing body and its sub-organizations and professional qualifications. Regulations will guide the operation of elections, describe and establish machinery for the officers and committees, govern financial affairs, and provide rules for general meetings. They are normally a requirement of incorporation and are often reinforced by laws and statutes for the formal registration of such associations.

Tax Issues

Requirements relating to tax issues are established by the laws of the country in which the association is forming. The association itself is normally not profit making and will be accorded a tax free status. In some cases members may claim membership fees and annual dues as a tax deduction. As well, those who contribute to the support of an association or its projects, both members and non members, may be entitled to a credit which can be deducted from income taxes levied by government.

Democratic Process

Associations are normally governed by democratic processes and should be seen to be democratic. Each member should have, and be seen to have, the ability by his or her vote to influence the management and decision making processes of the association. These democratic processes are important because they enable members to arrive at a consensus within the association, and they provide authority for those who speak outside its meetings on its behalf.

Multidisciplinary Associations

Generally associations are devoted to a single profession although they frequently permit membership in a general category to members of other professions. Archivists share interests and related pursuits with librarians, documentalists, and other information

professions, as well as with museologists and historians. In some countries or regions an association will encompass, at least at the beginning stages, a number of these disciplines. In some instances the multidisciplinary association gives way to separate associations as the professions mature and their membership increases.

Funding

Associations are funded in a variety of ways. Nearly all associations have membership fees and these may be the only support of the organization. Foundations that support educational or cultural objectives may make funds available but these are usually for specific projects that the association will carry out. Associations sometimes receive grants from government on a regular basis or for a specific period of time. Associations also generate revenue from annual conferences, specialized colloquium, and the sale of publications and in other ways. The source and method of funding may be mentioned in the constitution and membership fees are usually included in the by-laws or separate regulations as they are subject to frequent review.

ARTICLES OF A CONSTITUTION

I. NAME

Legal Name. This should be simple, short, and descriptive. Normally it should have three parts - type of organization (“association”, “society”, etc.), the identity of the profession which the organization serves (archivists) and the geographic area of operation (nation or region).

II. OBJECTIVES

The objectives establish the purpose for which the organization is formed and operates. These are usually made clear in the legal documentation necessary for the registration and establishment of the association with government or other authority. The objectives are general in nature leaving the detail to other documents.

III. MEMBERSHIP

There are two broad types of membership, individual and institutional. This model constitution is intended for an association of individuals.

III (i) Categories and definitions of classes of members:

There are various reasons for having different categories of membership as the proposed classes listed below indicate. However the most significant relates to the matter of professional qualifications. In some countries the requirements for entry into the profession have been established by its members and/or government legislation. In others, practitioners may enter from a variety of backgrounds. In some areas there is an evolution toward qualifications for professionals but these have not yet been attained. In this situation provision is usually made giving non qualifying practitioners, who have been working in the field for a number of years, an opportunity to upgrade to professional status or to have membership status as long as they practice.

Professional. Category of member possessing professional qualifications which it is necessary to define. The constitution of the (British) Society of Archivists provides for a Professional Register, for which particular education and/or experience are required.

General. Can include any person with an interest in the profession, or those without the qualifications of a professional. This class is used in situations where professional qualifications are not clearly established. Membership rights may be limited, for example, general members may not be eligible to serve on the executive.

Academic. A category of membership offered to related academic disciplines, for example, historian.

Student. Open to students in archival studies, intended to attract future members of the profession to membership in the association. A lower membership fee may be offered.

Retired. Open to archivists who have retired from active work. Usually a reduced membership fee is required.

Honorary. Category created to honour distinguished individuals who have made a major contribution to the profession or the association itself. It usually carries with it free membership and certain other benefits.

Foreign. Usually a separate category with a subscription rate different from that charged to national members because of the physical difficulties of providing services to them over long distances and of identifying their prime requirements in foreign environments.

Individuals members who contribute financially to the association in excess of membership fee.

Institutional. A professional organization is ordinarily based on individual membership, however many of the services provided for personal members indirectly, and often directly, benefit institutions which employ individual members. Furthermore obtaining revenue and financial support through subscriptions and institutional membership, which is often at a higher rate, is important. This category does not usually entitle the member to full individual benefits.

III (ii) Membership fees

It is necessary to establish how membership fees are set and amended. Usually the fees are set out in a schedule of fees contained in a by-law.

III (iii) Suspension of membership

A mechanism may be needed to strike from membership an individual or institution that ceases to merit membership or that delays payment of fees beyond a stated period. It is important to ensure that such action, if taken, is legal.

IV. GOVERNING BODY

It is necessary to establish the governing body of the organization that takes responsibility for the decisions made and actions taken. This body must be identifiable as an entity for the purposes of registering the organization. The form and structure of the governing body will

be influenced by the political tradition of the country where it is forming, the size of the organization and other matters. Usually a larger membership meets as a General Assembly or at the annual general meeting and the governing body is an Executive (officers of the association), or a larger Council (also Board of Directors) with an Executive Committee (officers of the association) which acts on matters requiring immediate attention. Different structures are possible.

IV (i) General Assembly or Congress

Comprised of all members, or all professional members, this body has sole authority for revising the constitution. It also has responsibility for the election of the Executive or Council. It normally meets once a year to take responsibility for decisions and actions of the governing body and to approve the budget and financial report.

IV (ii) Council (Board of Directors)

The Council represents the association and is responsible for the association's actions, activities and decisions, financial management of the association, decisions on policies, and approval for courses of action or activities. The Council guides the association's interaction with bodies external to it.

Selection of Council

Only members in good standing are eligible for election as council members. If an association has different categories of members, council positions may be limited to certain categories. Council members should be those who are best able to carry out the executive work of the association. Where necessary representation of geographic regions or special interests should be considered in choosing a council. If the membership is large and individuals are not well known to each other, a nominating committee can propose council members for each office after ensuring that the individuals named have the appropriate experience and abilities. Nominations at the business meeting are always permitted.

The council is elected for a set period by members entitled to vote. The election of council members ensures that they can be removed by the electorate if their performance fails to reach expected and identified standards. Council members are servants of the association and carry out its wishes. Elections need to be conducted by secret ballot and the methods by which this is done should be carefully planned and controlled. Rules for nominations, the sectors of practice or the geographical areas from which members of council are to come (if such representation needs to be ensured), set time for the election, manner in which it is to be carried out must be stipulated in by-laws.

Care should be taken that all Council members are not changed at the same time so that continuity is ensured.

IV (iii) Executive (Officers of the association)

An executive may be created instead of a Council or as a smaller unit of the Council. It consists of the officers of the association. The most important function is supervision of the day-to-day running of the association, which it can undertake because its membership is small.

Duties of the Executive are as follows:

- to conduct the day to day and routine business of the association;
- to monitor and manage the finances;
- to make decisions where action is urgently required; and
- to coordinate policies and the work of other sub organizations that operate with some degree of independence of action on matters related to their objectives.

Numbers and functions of officers can vary widely depending on the type of association, its aims and objectives and the legal requirements of a country or region. Selection of officers should follow the same guidelines as suggested for the selection of Council members.

Terms of Office. The length of time each officer can serve in an office or the term of office and the number of times a term can be repeated is established in the by-laws.

Signing Authority. It is necessary to delegate signing authority for financial matters and responsibility for immediate actions to one or two officers. They are ultimately responsible to the Executive and the entire Council for their actions and through them to the membership.

President (Chairperson). Normally a senior or highly respected member of the association. Represents the association on formal and substantive occasions. Supervises the day to day affairs of the association. Chairs the executive committee. Chairs the annual general meeting.

Vice President (Vice Chairperson). Assumes the responsibilities of the President in the case of his or her absence or inability to act. May be designated by the constitution or by-laws to succeed to the position of president (President-elect). Takes over duties of president in event of removal of president. May have special responsibilities assigned, such as oversight of certain committees or projects.

Past President. This position is used by some associations to facilitate continuity, may be assigned responsibility for a task or tasks begun under his presidency or review of aspects of the organization.

Treasurer. Manages the finances of the organization.

Secretary. Issues notices of Annual General Meeting and elections. Responsible for minutes, correspondence, notices of meetings, running of elections. (Is combined with position of Treasurer as Secretary-Treasurer in some associations.)

Member/s at Large (Member/s without Portfolio). No duties are specifically prescribed. Oversight of the work of a number of committees or one-time tasks may be assigned.

IV (iv) Committees, task forces, editorial boards, appointed officials, working parties
These are appointed to advance the business of the association, develop policies or programs, look after business, and assist in the governance of the association. They may be permanent committees, sometimes called Standing Committees, that deal with ongoing matters such as constitutional review or nominations. Other committees are established to

develop or oversee an initiative such as an education program. These are known as Select (or *Ad Hoc*) Committees. Objectives of committees, terms of reference should be established and, in some cases, a specific period set for completion of the task. Members are usually appointed for their expertise, or to represent a special interest or geographic area. It is important to have some experienced members, however, new members can be drawn into committee work to help them gain experience and non members can also be involved to broaden the structure and bring needed skills or knowledge.

Points to be addressed in organizing committees are: number of members, areas to be represented if appropriate, voting rights within the committee in formal situations. All members may vote. Committees may also have corresponding members and Ex officio members, that is individuals who are members by virtue of their office, such as the President. In the case of ongoing committees, terms of membership should end at different times to ensure continuity. Budgets and guidelines for the expenses of committee members will need to be established. It is important to note that committees do not carry out their work independently of the association on important matters but bring their recommendations to the Executive or Council which may decide to bring the matter before the entire membership at an annual meeting.

There are a number of positions which may be elected or appointed. These may include: Membership Officer, Publications Officer, Conference Officer and others.

V. OPERATING YEAR

Prescription of the operating year is required for purposes of financial control and accountability, for membership purposes such as subscription, to define the length of terms of officers and the life of committees, and the reporting period. A normal operating year is annual meeting to annual meeting. However another period may be designated as operating year in order to permit the preparation of a financial report to members in advance of the annual meeting.

VI. ANNUAL GENERAL MEETING

An annual general meeting is desirable and is usually required by the regulations set by government for the establishment of associations that wish to incorporate . This defines the terms of office of officers and fixes a time for communicating on the business of the organization to the membership, for discussion and approval of these matters, and for elections.

VII. MEETINGS

Rules governing procedures at meetings are very important to provide for the orderly conduct of business and to ensure that democratic process is followed and therefore that the decisions of the association are respected because they are seen to have the support of a majority of the membership.

Details for the conduct of business are usually contained in by-laws or regulations and cover such areas as:

- Special meetings
- Elections

Quorum

Moving of motions and Voting

Rules of procedure.

Rules of procedures are needed to cover such matters as Executive and Committee Reports, Procedural motions, Amendment motions, Adjournment. These can be specifically developed for the association or covered by reference to standard rules of order which are available in published form from other contexts.

VIII. DISSOLUTION

Provision should be made for the disposition of assets in the situation where an association ceases to exist. This generally takes the form of a recommendation such as their transfer to a related professional association or to a charitable cause. The last executive or individuals not directly involved in the governing of the association can be asked to take responsibility for this matter.

IX. RECORDS

Direction is required as to the keeping of various records and access to them, which generally should be open, including their deposit in an appropriate archival repository.

X. AMENDMENT

The mechanism for amending the constitution and by-laws must be established. Often a constitution committee is established as a standing (permanent) committee of the association to undertake a review of the constitution at regular intervals to formally receive recommendations from the membership for amendment of the constitution and by-laws, and to administer their presentation to membership.

ARTICLES WITH EXAMPLES

I. NOM

Nom officiel. Le nom devrait être simple, court et descriptif. Il se compose de trois parties -- type d'organisation (association, société, etc.), la désignation de la profession que l'organisme dessert (archivistes) et la région géographique de son fonctionnement (pays ou région).

Exemple: *Koninklijke Vereniging van Archivarissen in Nederland, Associazione Nazionale Archivistica Italiana, Verein Deutscher Archivare.*

II. OBJECTIFS

Les objectifs déterminent la raison d'être et le mandat de l'association. Ils font habituellement partie de la documentation juridique nécessaire à l'enregistrement et la création de l'association auprès du gouvernement ou de tout autre autorité. Les objectifs sont énoncés de façon générale, laissant à d'autres documents le soin de spécifier les détails.

Régie par la loi du 1er juillet 1901, elle a pour objet l'étude de toutes questions intéressant les archives et les archivistes dans l'exercice de leurs activités et la défense des intérêts de la profession par tous les moyens appropriés. (Association des archivistes français)

The Society of American Archivists is a professional organization established to provide a

means for effective cooperation among persons concerned with the documentation of human experience; to stimulate and to publish the results of research in archival administration and records management; to promote the adoption of sound principles and standards by all public and private agencies responsible for the preservation and administration of records; to foster a better public understanding of the nature and value of archival operations and holdings; to develop professional standards, particularly for the training of archivists, records managers, and custodians of private papers, and to improve the facilities and increase the opportunities for such training; to maintain and strengthen relations with historians, librarians, educators, public administrators, and others in allied disciplines; to cooperate with other professional organizations, cultural and education institutions, and international organizations having mutual interests in the preservation and use of recorded heritage. (Society of American Archivists)

Sein Zweck ist die Förderung des Archivwesens, insbesondere durch fachwissenschaftliche Forschung, Legende zu einer Deutschlandkarterfahrungsaustausch und fachliche Weiterbildung. (Verein deutscher Archivare)

III. TYPES D'ADHÉSION

Il existe deux catégories générales d'adhésion, individuelle ou institutionnelle. Ce modèle de statuts s'applique à une association d'individus.

III (i) Catégories et définitions des niveaux d'adhérents :

Plusieurs raisons peuvent justifier une grille d'adhésions à niveaux multiples. La plus importante porte sur la question de la compétence professionnelle. Dans quelques pays, les exigences pour devenir professionnel ont été fixées par les membres ou par législation gouvernementale. Dans d'autres, les praticiens peuvent le devenir sur la base d'antécédents d'une très grande diversité. Dans certaines régions, on évolue actuellement vers une qualification pour les professionnels, sans l'avoir encore atteint. Dans ces situations, des arrangements sont habituellement pris pour fournir aux praticiens qui ne sont pas qualifiés formellement, mais qui ont travaillé dans le domaine pendant plusieurs années, la possibilité de rehausser leur statut professionnel ou de bénéficier d'un statut équivalent aussi longtemps qu'ils travailleront.

Professionnel. Cette catégorie de membres possède des qualifications professionnelles qu'il est nécessaire de définir. La constitution de la Society of Archivists (Royaume-Uni) prévoit l'inscription à un Registre professionnel pour ceux qui détiennent le niveau requis de formation ou d'expérience.

Ordinaire. Cette catégorie peut comprendre toute personne intéressée à la profession ou qui n'a pas les qualifications d'un professionnel. Ce niveau s'avère utile dans les situations où les niveaux de qualifications ne sont pas clairement définis. Les droits et privilèges peuvent être limités; par exemple, les membres ordinaires peuvent n'être pas éligible aux postes de l'exécutif.

Associate membership shall be limited to those who wish to support the objectives of the Society but are not professionally responsible for custody or control of records, archives, or private papers. Associate members may vote for officers, members of council, members of nominating committee, and on all matters requiring a vote which come before the Society as a whole. (Society of American Archivists)

Die Mitgliedschaft des VdA können erwerben...c) auf Beschluß des Vorstandes nebenamtliche Leiter von Archiven und Archivverwaltungen. (Verein deutscher Archivare)

Académicien. Cette catégorie d'adhésion est offerte à des membres de disciplines connexes, par exemple, les historiens.

Étudiant. Cette catégorie vise les étudiants en archivistique afin d'attirer de futurs membres de la profession à adhérer à l'association. Il est possible de leur offrir une cotisation moins élevée.

Student membership shall be open to full time students for a two-year period only. Student members may vote for officers, members of council, members of the nominating committee, and on all matters requiring a vote which come before the Society as a whole. (Society of American Archivists)

Die Mitgliedschaft des VdA können erwerben, Archivare, a)... die sich im Vorbereitungs-dienst befinden. (Verein deutscher Archivare)

Retraité. Cette catégorie s'applique aux archivistes à la retraite. Une cotisation plus modeste est nécessaire.

Le membre retraité: personne n'occupant plus une fonction ou un emploi et qui a droit à une pension. (Association des archivistes du Québec)

Honoraire. Cette catégorie est créée pour honorer des personnalités éminentes qui ont apporté une contribution majeure à la profession ou à l'association elle-même. Habituellement, ce membre ne paie pas de cotisation et bénéficie de certains autres avantages.

Le titre de membre d'honneur peut être décerné par l'Assemblée générale aux personnes qui rendent ou ont rendu des services signalés à l'Association. Ce titre confère aux personnes qui l'ont obtenu le droit de faire partie de l'Assemblée générale sans être tenues de payer une cotisation annuelle. (Association des archivistes français)

Mitglieder, die sich um den Verein oder das deutsche Archivwesen hervorragend verdient gemacht haben, können durch Beschluß der Mitgliederversammlung zu Ehrenmitgliedern ernannt werden. (Verein deutscher Archivare)

Étranger. Une catégorie distincte permet à des adhérents étrangers de déboursier une cotisation moins élevée que celle des membres du pays en raison de la difficulté matérielle de leur fournir des services équivalents à des distances éloignées et de servir leurs besoins essentiels dans des milieux étrangers.

Foreign members shall be those persons residing outside Canada interested in the field of archives. (Association of Canadian Archivists)

Membres de soutien. Cette catégorie s'applique aux membres qui fournissent une aide financière supérieure à la cotisation ordinaire.

Individual sustaining members shall be those persons qualifying for professional or general

membership who wish to assist the Corporation financially in its work on behalf of the archivists and archives. (Association of Canadian Archivists)

Institutionnel. Une organisation professionnelle repose normalement sur l'adhésion d'individus; néanmoins, plusieurs des services offerts aux membres individuels procurent, indirectement et souvent directement, des avantages aux institutions qui emploient des membres individuels. De plus, il est important de générer des revenus et des appuis financiers par des subventions et des cotisations institutionnelles. Cette catégorie ne procure habituellement pas les mêmes avantages qu'à un membre individuel.

Institutional membership shall be open to institutions or agencies concerned with or substantially interested in the custody, control, or use of records, archives, and/or private papers. (Society of American Archivists)

Archive und Institutionen, die archivische Einrichtungen unterhalten. (Verein deutscher Archivare)

III (ii) Les cotisations

Il est nécessaire de prévoir comment les cotisations sont fixées et modifiées. Normalement, le barème des cotisations est établi par un article des règlements.

A member shall be enrolled upon the first payment of dues and shall receive benefits during the period for which dues have been paid. All dues shall be payable in advance. Changes in membership dues shall be determined at the annual business meeting of the Society. (Society of American Archivists)

Die Höhe der Mitgliedsbeiträge der natürlichen und juristischen Personen wird durch die Mitgliederversammlung festgesetzt. Der Mitgliedsbeitrag ist mit dem Beginn des Geschäftsjahrs fällig. (Verein deutscher Archivare)

III (iii) Suspension

Il peut être nécessaire d'établir une procédure prévoyant la suspension d'un membre ou d'une institution qui serait disqualifié ou qui ne paie pas sa cotisation après une période donnée. Il est important de s'assurer de la légalité d'une telle décision, si elle est prise.

Any member may be required to resign from membership in the Corporation by a vote of three-quarters of the members present at an annual meeting of members. (Association of Canadian Archivists)

Die Mitgliedschaft erlischt durch den Ausschluß, den der Vorstand beschließen kann, wenn ein Mitglied seine Beitragsverpflichtungen gegenüber dem Verein trotz dreimaliger Mahnung nicht erfüllt hat. Berufung an die Mitgliederversammlung ist auch hier zulässig. (Verein deutscher Archivare)

IV. ADMINISTRATION

Il est nécessaire de déterminer la nature de l'instance dirigeante qui assume la responsabilité des décisions et des actions de l'organisme. Cette instance doit être désignée en tant qu'entité pour les fins de l'enregistrement de l'organisation. La nature et la structure de cette instance dirigeante dépendent forcément des traditions du pays, de la dimension de l'organisation et de plusieurs autres facteurs. Habituellement un organisme formé d'un grand nombre de membres tient sa rencontre dans le cadre d'une Assemblée générale ou lors de la

réunion annuelle; l'instance supérieure, dans ce cas, se modèle selon la forme d'un exécutif (administrateurs de l'association) qui prend toutes les initiatives exigeant une attention immédiate. D'autres types de structures sont aussi possibles.

L' Association est administrée par un Conseil composé de membres élus par les sections définies à l'article 13 et de membres élus par l'Assemblée générale. Chaque section désigne un représentant. Les sections comportant 100 adhérents au moins en désignent deux. Les membres élus par l'Assemblée générale doivent être en nombre supérieur d'un au total des membres désignés par les sections. (L'Association des Archivistes Français)

Der Vorstand führt die Geschäfte des Vereins. Ihm obliegen insbesondere Vorbereitung und Durchführung der Deutschen Archivtage, Aufnahme und Ausschluß von Mitgliedern. Er beruft die Mitgliederversammlung ein und legt die Tagesordnung fest. (Verein deutscher Archivare)

Élection du Conseil

Seulement les membres en règle sont éligibles à un siège au Conseil. Si une association offre plusieurs catégories de membres, il est possible que certaines seulement permettent de faire partie du Conseil. Les membres du Conseil devraient être ceux qui sont les plus capables de mener le travail exécutif de l'association. Si nécessaire, il convient de prendre en compte les considérations géographiques et les intérêts particuliers dans la composition d'un Conseil. Si le nombre des adhérents est important et que les individus ne se connaissent pas bien, il est possible de faire intervenir un comité des nominations pour proposer des membres du Conseil pour chacun des postes à pourvoir après s'être assuré que les individus désignés possèdent l'expérience et les qualifications nécessaires. Il est toujours possible de proposer des membres lors de l'assemblée générale.

Le conseil est élu pour une période de temps limitée par les membres ayant droit de vote. L'élection des membres du Conseil assure qu'ils peuvent être changés par l'électorat si leurs réalisations ne rencontrent pas les niveaux attendus et prévus. Les membres du Conseil sont les serviteurs d'une association et réalisent ses volontés. Les élections doivent se faire par scrutin secret; le processus doit en être planifié et réglé soigneusement. Les règles de nominations, les domaines de la pratique ou les aires géographiques d'où les membres du Conseil doivent provenir (s'il est nécessaire d'appliquer une telle répartition), l'horaire prévu pour l'élection, la façon de l'exécuter doivent être prévues par règlement.

On devra s'assurer que tous les membres du Conseil ne changent pas en même temps afin de maintenir une certaine continuité.

At the first Annual General Meeting (AGM) and at each alternate AGM thereafter one half of the elected councilors shall retire from office (or, if the number is not divisible by two (2) the next greater number). The elected councilors to retire shall be those who have been longest in office since their last election. As between elected councilors of equal seniority, those to retire shall (in the absence of agreement between them) be selected from among them by lot. A retiring elected councilor shall be eligible for re- election.

Valid nominations for elected councilors shall be received by the Honorary Secretary not later than four (4) calendar months before an AGM, signed by a proposer and a seconder who shall be members of the Society and by the Candidate signifying his willingness to stand. Such nominations will be circulated, by the Honorary Secretary, not later than three (3) calendar

months before the AGM. Should the number of valid nominations exceed the number of vacancies, a postal ballot of the members shall be held, the results of which shall be declared at the AGM. Ballot papers may be subject to the scrutiny of two (2) Vice Presidents of the Society. If there are not additional nominations for elected councilors, the nominees shall be deemed to have been elected at the AGM. In the case of equality of votes, the Chairman of the meeting shall be entitled to a second or casting vote. (Society of Archivists, UK)

Der Vorstand besteht aus ... Vertretern der Fachgruppen Jede Fachgruppe wählt aus ihrer Mitte ihre Vertreter für den Vorstand in geheimer Abstimmung mit einfacher Mehrheit auf vier Jahre. Die gewählten Vertreter bedürfen der Bestätigung durch die Mitgliederversammlung. (Verein deutscher Archivare)

IV Exécutif (Administrateurs de l'association)

On peut créer un exécutif de préférence à un Conseil ou en tant que composante plus petite du Conseil. Formé d'administrateurs de l'association, il est surtout chargé de superviser les opérations courantes de l'association, ce qu'il est en mesure de faire en raison de sa taille limitée.

Les devoirs de l'exécutif sont les suivants :

- a) mener les actions courantes et routinières de l'association;
- b) contrôler et gérer les finances;
- c) prendre les décisions lorsque requis urgemment;
- d) coordonner les politiques et le travail des autres instances de l'organisme qui fonctionnent avec un certain degré d'indépendance dans les questions relatives à leurs objectifs.

Le nombre et les fonctions des administrateurs peuvent varier considérablement selon la nature de l'association, ses buts et objectifs ainsi que les exigences légales d'un pays ou d'une région. Le choix des administrateurs devrait obéir aux lignes directrices déjà énoncées pour le choix de membres du Conseil.

Le Bureau de l'Association se compose de: 1) un Président, 2) un Vice-Président 3) un Secrétaire, 4) un Trésorier 5) éventuellement un or plusieurs membres. Association des archivistes français

Der Geschäftsführende Vorstand besteht aus dem Vorsitzenden, dessen Stellvertreter, dem Schatzmeister und dem Schriftführer. ... Der Vorsitzende wird bei der Führung der laufenden Geschäfte vom Geschäftsführenden Vorstand unterstützt. Näheres regelt eine Geschäftsordnung, die vom Vorstand erlassen wird. (Verein deutscher Archivar)

Mandats. La durée des mandats de chaque administrateur ainsi que les modalités et les limites de leur renouvellement est déterminé par règlement.

The officers of the Society shall be a president, a vice-president, and a treasurer. The president and vice president shall serve terms of one year each and shall take office at the conclusion of the annual meeting following the election. The vice-president shall automatically become president at the conclusion of the following year's annual meeting.

The treasurer shall be elected for a term of three years beginning at the conclusion of the annual meeting following the election and shall be ineligible for immediate re-election. (Society of American Archivists)

Den Vorsitzenden und den stellvertretenden Vorsitzenden wählt die Mitgliederversammlung aus den Mitgliedern des Vorstandes in geheimer Abstimmung auf vier Jahre. Eine einmalige Wiederwahl ist möglich. Scheidet der Vorsitzende oder scheidet der stellvertretende Vorsitzende vorzeitig aus, so ist ein Nachfolger für den Rest der Wahlperiode zu wählen. (Verein deutscher Archivare)

Autorisation de signer. Il est nécessaire de confier à un ou deux administrateurs, l'autorisation de signer les effets financiers et la responsabilité des actions immédiates. Ils répondent de leurs actes auprès de l'Exécutif ou du Conseil et, par eux, devant tous les membres.

Contracts, documents or any instrument in writing requiring the signature of the Corporation shall be signed by the President and any one of the Vice-President, Secretary/Treasurer and Director without Portfolio. All contracts, documents and instruments in writing so signed shall be binding upon the Corporation without any further authorization or formality. The Board of Directors shall have power from time to time by by-law to appoint an officer or officers on behalf of the Corporation either to sign contracts, documents and instruments in writing generally or to sign specific contracts, documents and instruments in writing. The seal of the Corporation when required may be affixed to contracts. (Association of Canadian Archivists)

Der Vorstand im Sinne von § 26 BGB (Bürgerliches Gesetzbuch) besteht aus dem Vorsitzenden und dem stellvertretenden Vorsitzenden. Jedes Vorstandsmitglied ist einzeln zur Vertretung berechtigt. Im Innenverhältnis wird bestimmt, daß der stellvertretende Vorsitzende von seinem Einzelvertretungsrecht nur Gebrauch machen darf, wenn der Vorsitzende verhindert ist. (Verein deutscher Archivare)

Président. Habituellement un membre d'expérience ou éminent, il représente l'association dans les circonstances officielles ou importantes et exerce une surveillance quotidienne des opérations; il préside le comité exécutif et l'assemblée générale annuelle.

The President shall be the chief executive officer of the Corporation, and shall chair all meetings of the Corporation and of the Board of Directors. The President or designate is an ex-officio member of all Standing and select Committees and shall coordinate their activities. He/She shall recommend measures to further the objectives of the Corporation, represent the Corporation in its dealings with external bodies or agencies, and report on the state of the Corporation at each annual meeting. (Association of Canadian Archivists)

Dem Vorsitzenden obliegt die Einberufung und Leitung der Vorstandssitzungen. Er führt die laufenden Geschäfte des Vereins in Übereinstimmung mit den Beschlüssen des Vorstandes und der Mitgliederversammlung. Er ist dem Gesamtvorstand für seine Handlungen auskunftspflichtig und dem Verein rechenschaftspflichtig. (Verein deutscher Archivare)

Vice Président. Chargé des responsabilités du président en cas d'absence ou d'incapacité de celui-ci, il peut être désigné à terme, par les statuts ou la constitution, pour devenir président (Président désigné). Il assume les devoirs du président dans les cas où celui-ci serait disqualifié et peut se charger de responsabilités particulières telles que la surveillance de

certaines comités ou projets.

The Vice-President shall, in the absence or disability of the President, perform the duties and exercise the powers of the President. The person occupying this position shall assist the President in recommending measures to further the objectives of the Corporation upon request and upon the advice of the regional associations in Canada. The Vice-President shall automatically succeed to the office of the President in the second year of his or her term, and in the event of the resignation, death, or incapacity of the President, the Vice-President shall succeed the President as acting President for the duration of the then President's term. (Association of Canadian Archivists)

Président sortant. Certaines associations utilisent ce poste pour assurer une continuité; le titulaire peut assumer certaines responsabilités pour des tâches amorcées sous sa présidence ou pour analyser certains aspects de l'organisation.

Le premier vice-président, le secrétaire et le trésorier sont élus par l'assemblée générale annuelle. Au terme de son mandat à la vice-présidence, le premier vice-président devient président. Son année de présidence terminée, il continue de siéger au Conseil à titre de deuxième vice-président. (Association des archivistes du Québec)

Trésorier. Gère les finances de l'organisation.

Secrétaire. Responsable de la diffusion des avis d'Assemblée générale annuelle et des élections, il rédige les procès-verbaux, la correspondance et les avis de réunions et dirige les élections. (Dans certaines associations, ce poste est jumelé à celui de trésorier sous le titre de Secrétaire-trésorier).

The Secretary-Treasurer shall attend meetings of the Board of Directors and meetings of the members and act as Clerk thereof, and shall record all facts and minutes of all proceedings in the books kept for that purpose. The person occupying this position shall be responsible for the maintenance of the corporate records and for the general correspondence of the Corporation, and shall be, ex-officio, Chair of the Finance Committee and an ex-officio member of the Standing Committee on Nominations and Elections to maintain lists of nominees for office and to prepare and distribute ballots, maintain lists of nominees for office and to prepare and distribute ballots. The Secretary-Treasurer shall give or cause to be given notice of all meetings of the members and of the Board of Directors, and shall perform such other duties as may be prescribed by the Board of Directors or President, under whose supervision he or she shall act. The Secretary-Treasurer shall be custodian of the seal of the Corporation which shall be delivered only when authorized by the Board of Directors.

The Secretary-Treasurer shall have the custody of the funds and securities of the Corporation and shall keep full accurate account of receipts and disbursements in books belonging to the Corporation and shall deposit all monies and other valuable effects in the name and to the credit of the Corporation and in such depositories as may be designed by the Board of Directors from time to time. The person occupying this position shall disburse the funds of the Corporation as may be ordered by the Board of Directors, taking proper vouchers for such disbursements and shall render to the Board of Directors at directors meetings, or when ever they may require it, an account of all transactions of the Secretary-Treasurer and of the financial position of the corporation and also perform such other duties as may from time to time be determined by the Board of Directors. (Association of Canadian Archivists)

Membre/s du Conseil. Cet administrateur n'a aucun devoir spécifique; on peut lui confier la surveillance du travail d'un certain nombre de comités ou des tâches ponctuelles.

The Director without Portfolio shall carry out supportive duties and special assignments as determined by the Board of Directors. (Association of Canadian Archivists)

Comités, groupes de travail, comité éditorial, administrateurs nommés.

Ces groupes sont formés pour réaliser le travail de l'association, élaborer des politiques ou des programmes, prendre la responsabilité de certaines tâches et aider à la gestion de l'association. Ils peuvent être des comités permanents qui s'occupent de questions comme la révision des statuts ou les nominations ou créés pour préparer et gérer des projets comme, par exemple, un programme de formation. Les objectifs des comités et leurs mandats doivent être précisés explicitement et, quelquefois, la durée de leur tâche sera pré-déterminée. Leurs membres sont habituellement nommés en raison de leurs connaissances ou pour représenter un point de vue particulier ou une région. Il est important de recourir à des membres d'expérience et d'y engager de nouveaux membres pour les aider à prendre de l'expérience; il est possible aussi d'utiliser des non-membres pour élargir la structure et apporter des habiletés et des connaissances nécessaires.

Les questions importantes à régler dans la formation de comités sont : le nombre de membres, la représentativité, si nécessaire, et les droits de vote au sein du comité dans certaines occasions officielles. Tous les membres peuvent voter. Les comités peuvent aussi recourir à des membres correspondants ou *ex officio*, c'est-à-dire des individus qui en sont membres en raison des fonctions qu'ils occupent, comme le président. Dans le cas des comités permanents, les mandats devraient se terminer à des dates différentes afin d'assurer une continuité. Des budgets et les lignes directrices pour rembourser les dépenses des membres des comités devront être déterminées. Il est important de prendre note que les comités n'agissent pas indépendamment de l'association sur des questions importantes; ils font plutôt des recommandations à l'Exécutif ou au Conseil qui peut décider d'en saisir tous les membres lors de l'Assemblée générale.

Committees may be established and shall operate as follows:

(a)The Board of Directors shall establish Standing, Select and Joint Committees and shall appoint Chairs of said Committees as herein provided. Standing and Select Committees and Special Interest Sections shall report to the Board of Directors.

(b)Subject to paragraph 43, the Board of Directors shall establish the terms of reference for each committee and may alter these terms of reference at its pleasure.

(c)Subject to paragraphs 42 and 44, the Committee Chairs shall hold office until their successors are appointed and subject to the provisions of any written employment agreement the Board of Directors may remove at its pleasure any such Committee Chair. With the exception of the officers of the Corporation serving ex-officio and members of the Constitutional Review Committee, the Membership Committee and the Nominations and Elections Committee, or as provided in Section 44 (g) concerning the Planning and Priorities Committee, no member of the Corporation shall serve on more than one Committee at a time.

(d) No remuneration shall be paid to any Committee members, save under

written employment agreement or as ordinary expenses.

Standing Committees shall:

(a) Advise the Board of Directors on matters of policy within their particular sphere, and shall have: a Chair appointed for a two year term which may be renewed; a minimum of two members and a maximum of six members, including the chair, which shall be drawn from the professional membership of the Corporation; and such officers as are designated as ex-officio members. The chair shall appoint committee members with the advice of the Board of Directors. The term of appointment of the committee members shall coincide with and terminate with, the term of office of the Chair. All Chairs and members serve at the pleasure of, and may be removed by, the Board of Directors.

(b) Provide a written report for distribution to the membership at the annual meeting. The membership shall have an opportunity to question or comment upon all sections of the written report.

Standing Committees of the Corporation are the following:

(a) Constitutional Review Committee: responsible for receiving proposals for the enacting, amending and repealing of the By-laws.

(b) Membership Committee: responsible for approving applications for membership in the different classes of members, etc.

Joint Committees are committees established jointly between the Corporation and many other organizations with which regular consultation and coordination and cooperation is desirable to further the Corporation's aims and objectives. The Corporation's members on such Committees are appointed by the Directors.

Special Interest Sections of the Corporation may be established and shall operate as follows:

(a) Special Interest Sections of the Corporation may be established to provide a forum for discussion for members of similar interests, to attract and integrate new members of the same interest into the Corporation, and to advocate the advancement of archives in these special interest areas.

(b) Any group of seven or more members with similar professional interests, may, upon presentation of a statement of goals and objectives, petition the Board for recognition as a Special Interest Group. (Association of Canadian Archivists)

Zur Vorbereitung und Unterstützung der Arbeit des Vorstandes kann dieser zeitlich befristete Arbeitskreise einrichten, deren Leiter vom Vorstand benannt oder bestätigt werden. Verein deutscher Archivare

Certains postes peuvent être électifs; d'autres sont pourvus par nomination : responsable des adhésions, responsable des publications, responsable de la Réunion annuelle et autres.

The Programme Coordinator for each Annual Conference will be responsible for developing the programme and organizing the sessions, meetings and workshops that make up the Conference. The Coordinator shall keep the Board of Directors regularly informed of all preparation for the Annual Conference. A member of the Board shall be a member of the working group assisting the Programme Coordinator. (Association of Canadian Archivists)

V. ANNÉE D'OPÉRATION

Il est nécessaire de déterminer l'année d'opération à des fins de contrôle financier et d'imputabilité, pour régulariser les adhésions au sujet de questions comme la cotisation, la durée des mandats des administrateurs et des comités ainsi que les dates où des rapports d'activités sont requis. Une année d'opération habituelle se définit comme la période entre deux assemblées générales; il est toujours possible de déterminer une autre période comme l'année d'opération afin de permettre la préparation d'un rapport financier et sa présentation aux membres avant l'assemblée annuelle.

The financial year of the Corporation shall be from 1 July to 30 June. (Association of Canadian Archivists)

VI. ASSEMBLÉE GÉNÉRALE ANNUELLE

Une Assemblée générale annuelle est souhaitable et habituellement nécessaire en vertu des réglementations gouvernementales pour la création d'associations qui désirent s'incorporer. Ces règles déterminent les mandats des administrateurs et la période de communication aux membres des rapports d'activités pour leur discussion et approbation ainsi que pour les élections.

The annual meeting of the members of the Corporation shall be held at the head office of the Corporation or elsewhere in Canada as the Board of Directors may designate, in May of each year, unless such date shall be changed by the Board of Directors, and may be held as a constituent of the Conference of Learned Societies and if so is subject to the regulations of said conference where said do not conflict with this by law or the Corporations Act. At such meetings the members shall receive a report of the Board of Directors. (Association of Canadian Archivists)

The Society shall hold an annual meeting at such time and place as the council shall determine, and special meetings may be called by the council. Notice of each meeting of the Society shall be mailed by the executive director at least thirty (30) days before the date of the meeting. One hundred individual members shall constitute a quorum for the transaction of business, but a smaller number may adjourn to another day. Resolutions passed at the annual business meeting which request the council to take a specific action must be formally considered and voted upon by council in a timely fashion. The membership shall be notified of the results of that deliberation in the first mailing sent to the membership following the final council decision. If ten percent (10%) of the membership disagrees with council's decision, and files a petition to that effect with the executive office, a mail ballot shall be conducted through the next mailing to the membership and the results of this ballot shall be binding. (Society of American Archivists)

Alljährlich soll, alle zwei Jahre muß der Vorstand eine Mitgliederversammlung einberufen, die in der Regel mit dem Deutschen Archivtag verbunden wird. Die Einberufung hat spätestens vier Wochen vor dem Zusammentritt unter Bekanntgabe der Tagesordnung zu erfolgen. Bei Festlegung der Tagesordnung müssen Anträge von Mitgliedern berücksichtigt werden, wenn sie spätestens 8 Wochen vor dem Zeitpunkt der Mitgliederversammlung mit mindestens 10 Unterschriften gestellt werden. (Verein deutscher Archivare)

VII. RÉUNIONS

Il est important de déterminer les règles régissant les procédures lors des réunions afin d'assurer le déroulement ordonné et le respect des règles démocratiques. Les décisions de l'association seront respectées si elles sont perçues comme découlant de la volonté de la

majorité des membres. Les détails relatifs au fonctionnement sont habituellement prévus dans les règlements et visent des domaines tels que :

Les réunions spéciales

Special meetings of the Corporation may be called by a majority of the Board of Directors and by the Board of Directors on behalf of the members upon the receipt of a request in writing signed by not less than one-third of the members. (Association of Canadian Archivists)

Les élections

Les élections sont annoncées par le Président trois mois avant l'Assemblée générale. Les candidats se font connaître 6 semaines avant le scrutin au Président en lui indiquant à quel titre ils sont candidats. Le Président diffuse immédiatement les listes auprès de tous les membres de l'Association. (L'Association des Archivistes Français)

L'élection a lieu au scrutin secret et majoritaire à un tour. Le vote par correspondance est admis. (L'Association des Archivistes Français)

Quorum

Les quorums sont nécessaires pour certaines questions. Les matières les plus importantes ou fondamentales requièrent qu'une plus grande proportion de membres soient présents lors de la réunion.

The quorum for any meeting of the members of the Corporation shall be 25 members in good standing present in person. (Association of Canadian Archivists)

Die ordnungsgemäß einberufene Mitgliederversammlung ist bezüglich der in der Tagesordnung angegebenen Punkte beschlußfähig. ... Mit einfacher Mehrheit wird von der Mitgliederversammlung

- a) der Vorsitzende und der stellvertretende Vorsitzende gewählt,*
- b) die Bestätigung der Vertreter der Fachgruppen ausgesprochen,*
- c) der Jahresbeitrag festgesetzt,*
- d) die Bestellung der Rechnungsprüfer vorgenommen und Entlastung erteilt,*
- e) über alle sonstigen Punkte der Tagesordnung beschlossen, soweit nicht eine qualifizierte*

Mehrheit dazu nötig ist. Eine Zweidrittelmehrheit der Mitgliederversammlung ist erforderlich zur

- a) Ernennung von Ehrenmitgliedern,*
- b) vorzeitigen Abberufung eines Vorsitzenden oder eines Vorstandsmitgliedes,*
- c) zur Beschlußfassung über Satzungsänderungen und Auflösung des Vereins,*
- d) Entscheidung über Berufungen gegen die Ablehnung von Mitgliedschaftsanträgen und gegen den Ausschluß aus dem Verein. (Verein deutscher Archivare)*

Les propositions et votes

À toutes les réunions des membres de la corporation, toutes les questions seront décidées par une majorité de voix à moins d'exception spécialement prévue dans l'Acte de la Corporation ou par ces règlements.

Only individual members in good standing of the Corporation shall be entitled to vote at meetings of the Corporation, and shall have the equal right to exercise one vote. (Association of Canadian Archivists)

Abwesende persönliche und institutionelle Mitglieder können ein abwesendes Mitglied schriftlich mit der Abgabe der Stimme bei den Wahlen sowie bei Beschlüssen betrauen. Ein Mitglied kann jedoch nur bis zu fünf Stimmen auf sich vereinen. (Verein deutscher Archivare)

Les règles de procedure

Les règles de procédures sont nécessaires pour ordonner des questions telles que les Rapports de l'Exécutif et des comités, les propositions procédurales, les demandes d'amendement, les ajournements. Elles peuvent être définies spécifiquement pour l'association ou réglées par l'usage de règles de procédures qui sont disponibles dans des publications préparées dans d'autres contextes.

Where these By-laws, or the Rules and Regulations enacted under them, do not provide otherwise, proceedings of meetings of the members and of the Board of Directors shall be governed by Bourinot's Rules of Order as revised by J.G. Dubroy. (Association of Canadian Archivists)

VIII. DISSOLUTION

Il est nécessaire de prévoir la disposition des biens de l'association dans le cas où elle devrait cesser d'exister. Un tel article prend normalement le forme d'une recommandation telle que le transfert des actifs à une association professionnelle connexe ou un organisme charitable. Les derniers administrateurs ou individus qui ne seraient pas directement engagés dans la gestion de l'association sont ceux à qui l'on demande de prendre charge de ces questions.

In the event of the dissolution of the Society, its property, funds, and other assets shall pass to whatever agency or agencies may be designated by the council in office at the time of dissolution. (Society of American Archivists)

Die Auflösung des Vereins muß von einer zu diesem Zweck einberufenen Mitgliederversammlung mit Zweidrittelmehrheit beschlossen werden. Bei Auflösung oder Aufhebung des Vereins oder bei Wegfall der satzungsmäßigen Zwecke fällt das Vereinsvermögen zu gleichen Teilen an die zu diesem Zeitpunkt bestehenden Archivschulen in der Bundesrepublik Deutschland, die vorhandene Vermögenswerte und künftige Erträge aus den Publikationen des Vereins im Sinne des gemeinnützigen Vereinszwecks unmittelbar und ausschließlich für die fachwissenschaftliche Förderung des Archivwesens zu verwenden haben. (Verein deutscher Archivare)

IX. ARCHIVES

Il est préférable de prévoir des directives sur la garde des archives et leur accès, qui normalement devrait être libre, y compris leur versement à une institution d'archives compétente.

The records of the Society and of its committees shall be preserved by the officers and the executive director and shall be promptly turned over by them and by the chairs of committees to their successors. Non-current records shall, by direction of the council, be appraised and those of continuing value shall be deposited for preservation in a repository selected by it, and council shall determine a policy for access to these records. (Society of American Archivists)

X. AMENDEMENTS

On doit prévoir un processus d'amendement des statuts et des règlements. On recourt souvent à un comité des statuts à titre de comité permanent de l'association pour initier régulièrement une révision des statuts, afin de recevoir officiellement des membres les recommandations d'amendement des statuts et règlements ainsi que pour coordonner leur présentation aux membres.

Les Statuts ne peuvent être modifiés qu'après avis du Conseil et à la suite d'un vote de l'Assemblée générale émis par la majorité des deux tiers des membres présents et à condition que ceux-ci représentent au moins le quart des membres de l'Association à jour de leur cotisation. Si cette proportion n'est pas atteinte, l'Assemblée générale est convoquée de nouveau dans le délai de six mois, ses décisions étant valables quels que soit le nombre des membres présents. (Association des archivistes français)

The Council is authorized and directed to prepare, adopt, or amend such by-laws as may be desirable to regularize the administrative practices of the Society. A copy of the current bylaws shall be available to any member upon request to the executive director. any part of the by-laws shall be subject to review by the membership at an annual business meeting of the Society and may be changed by a majority vote of those attending. (Amendments to the constitution may be recommended by a majority vote of the council or proposed in writing by at least 25 members of the Society...4 months prior to the annual meeting. Copies of the proposed amendments are to be mailed by the executive director to all members at least 30 days in advance of the meeting at which they are to be considered. If approved by the council, the amendment may be adopted by a majority of the members present and voting at the annual business meeting of the Society ... or 2/3 vote of members present at the annual business meeting of the Society.) (Society of American Archivists)

Anträge des Vorstandes oder einzelner Mitglieder auf Satzungsänderungen sind den Mitgliedern rechtzeitig mit der Tagesordnung ... im Wortlaut bekanntzugeben. Die Beschlußfähigkeit steht der Mitgliederversammlung zu. (Verein deutscher Archivare)

CONDUCTING ELECTIONS: GUIDANCE FOR PROFESSIONAL ASSOCIATIONS

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Introduction

An informal discussion at the 2003 general meeting of Section of Records Management and Archival Professional Associations (SPA) of the International Council on Archives revealed that many associations find it difficult to recruit officers. In these associations, a loyal group of members find themselves carrying the burden of association leadership for many years. It is no surprise that these associations experience difficulty in finding anyone willing to lead.

Some associations, however, have the opposite problem: more members are interested in being an officer than there are posts available. These associations may resolve this situation by creating a rotation in office, based on agreed-upon criteria such as length of membership in the association or geography. Most of these associations, however, resolve leadership questions through elections.

The Section of Records Management and Archival Professional Associations (SPA) of the International Council on Archives provide this guideline to help associations develop good practices as they elect members to their governing bodies. The guidance reflects practices in a number of associations that are members of SPA. It is based on the four principles:

1. A nominating committee recruits candidates and selects the persons who will be on the ballot.
2. Each candidate runs for a specific office.
3. Balloting is secret.
4. A committee of members counts the ballots and announces the winners.

SPA produces a series of guidelines on aspects of association life. This guidance is part of that series. The impetus for the guidance, however, is the increasing interest of associations, particularly ones that are geographically dispersed or that have large memberships, in using an electronic voting system. Consequently, the basic guidance is followed by an Annex providing considerations for adopting an electronic system.

Timetable

The first step in an election process is to establish a timetable for the election. This normally involves counting back from the date of the election (if the balloting is done at a meeting of the association) or the date at which the results are to be announced. A sample timeline might be:

January 1	Nominating Committee begins work; call for nominations sent to members
February 1	Time period for nominations ends
March 15	Candidate selection completed by Nominating Committee
April 15	Candidate materials (CVs, other information) sent to Nominating Committee
May 1	Association office sends ballots and candidate materials to members
June 15	Postmark deadline for mailing back ballots
	<i>Or</i>
	Meeting of association held and voting completed
July 1	If mail ballots were used, the counting committee meets, counts ballots and announces election results

Nominations

Nominating Committee

The Nominating Committee may be elected by the membership or the president or the board of the association may appoint it. The Nominating Committee is often three persons; it is always more than one. One person is named as chair and organizer.

The primary function of the Nominating Committee is to select candidates who will stand for election to association offices. Nominations may come from any source, including the membership, the board, and the Nominating Committee.

Call for nominations

Notice of a call for nominations is the beginning of the nominations process. Some associations send out a notice of nominations to the members as a separate mailing; others put the notice in a newsletter; still others include it with the previous year's ballot. The call for nominations should clearly state the closing date for nominations.

Nominations should normally:

- (a) be made in writing;
- (b) indicate the office for which the person is nominated; and
- (c) be accompanied by the written consent of the candidate.

In addition to the nominations made by members or board members, the Nominating Committee formulates its own nominations. If the nominations for a post are lacking or in any way inadequate, it is the responsibility of the Nominating Committee to find qualified candidates to stand for election.

Confirming availability and selecting candidates

The Nominating Committee contacts the nominees for each office to confirm their interest in serving in the post. Nominees may be contacted by phone or e-mail or in person.

The Committee meets and agrees upon the final candidates. Each post should have one or candidates. The chair of the Nominating Committee sends letters, by post or email, to each person nominated, thanking them for their interest.

Obtaining candidate materials

Candidates should prepare a brief professional biographical summary that will be sent to the electors; some associations also ask for a photograph. Some associations also ask the candidates to prepare a short statement; other associations have the Nominating Committee formulate one or more questions to be asked of each candidate. The candidates' responses to those questions or the short statement are included with the CV in the ballot mailing. Candidates must be given 2 to 4 weeks to prepare the necessary materials and return them to the chair of the Nominating Committee.

Balloting

Each individual member in good standing is sent a letter from the chair of the Nominating Committee giving instructions for the completion of the ballots, the candidates' biographical and other statements, and the ballot. Some associations include an envelope for returning the

ballot; some associations print the ballot on one side of a page that can be folded to make an envelope. The printing and mailing of the ballots can be handled by the chair of the Nominating Committee or by the secretary of the association.

The closing date for the postmarking of ballots must be clearly stated in the instructions. Depending on the postal service in the country, associations allow a reasonable time after the postmark deadline before counting ballots. The ballots are usually returned to the secretary of the association.

For a discussion of electronic balloting considerations, see the Annex.

Election Procedures

Counting Team

The Nominating Committee usually does not count the ballots. A small group of members, always more than one person, counts the ballots; they may be named by the president or by the board but usually are not elected. They are selected for their reputations as honest, trustworthy, and discreet persons. One person is named as chair and organizer of the Team.

Ballot handling

Only original ballots are counted; photocopies or facsimiles are not allowed. Ballots delivered through the mail are checked for their postmark. Hand delivered ballots and ballots that were mistakenly not postmarked by the postal service are acceptable if they are received by the secretary of the association on or before the postmark date; the secretary writes the date of receipt on the outside of the envelope. Any ballots not meeting these date deadlines are not counted.

Ballots are not opened until the Counting Team assembles. If the ballot is mistakenly opened, such as the secretary opened the envelope not realizing it was a ballot, the secretary should note on the envelope the error in opening it and the envelope is kept with the ballot until the time of counting.

Counting

The ballots are counted a week to ten days after the postmark deadline, in order to allow all ballots postmarked by the deadline to arrive.

The winning candidate in each contest is whoever has the most votes.

There are many procedures that can be used to count ballots. For example, if the Counting Team is three persons:

1. The ballots are opened and the choices read aloud by one counter while two other counters records the result on the tally sheets. The procedure is then repeated with a different counter reading votes aloud while the other two marked tally sheets. If there is any dispute in the final number of votes for each candidate, the ballots are recounted until consensus is reached.

2. The ballots may be divided into three piles. Each batch is counted once by each of the three counters and recorded on tally sheets. The counts are compared to confirm accuracy.

Some ballots are likely to be invalid, such as a ballot that votes for both of the candidates in a paired race. The Counting Team should jointly review the ballots with questionable validity and decide jointly on whether or not to count them.

If, in any count for election, two candidates receive an equal numbers of votes, the election for that post will be re-balloted. This balloting can be done either at the general meeting of the association or by mail.

A final summary sheet representing the true count of the ballots should be written and signed by all members of the Counting Team.

The chair of the Counting Team retains all ballots and worksheets until the new candidates take office. Then the ballots and worksheets should be destroyed.

Notification of Election Results

The chair sends the results of the election to the president, the secretary, and the Nominating Committee. In some associations the chair of the Nominating Committee notifies the candidates of the results; in other associations the secretary or the president handles the notification. Candidates are notified by telephone or personal visit before public announcements are made. Efforts should be made to reach all candidates as soon as practicable.

Within two week of the ballot counting, the president sends letters of thanks to all candidates. In the letter to the persons elected, the president confirms the date at which the elected persons take office and invites them to attend the next board meeting (if it occurs before the change of office holders).

Considerations for Electronic Voting

Associations report that they have adopted electronic balloting (e-ballots) for several reasons:

1. More members participate when e-ballots are used than when paper ballots are used.
2. Voting is cheaper by e-ballot because the association avoids the cost of printing and mailing voting materials.
3. Voting is timelier because it is not dependent on the postal service delivering the ballots.

The major question associations have with e-voting is whether it will be and will be seen by the membership to be secure, accurate and to preserve voter anonymity. If the association simply emails ballots and asks for their return, the return email will identify the sender. So how can anonymity be preserved?

The preferred solution is to use a completely separate entity to collect and count e-ballots. This could be a commercial firm or a trustworthy NGO or it could also be a separate email address set up by the association for the sole purpose of collecting the votes. The entity can be located in any country where connectivity is good.

At its simplest, the e-ballot is sent as an email attachment. The voter downloads the e-ballot, types an "X" in the boxes for the candidates he or she chooses, and mails the ballot back to the entity that will count the votes. The outside entity will download each ballot into a simple file; these anonymized ballots are then used to count the votes (in other words, the counting team will not see the incoming email with the email address on it). The count is made and the results provided to the association.

A more thoroughly automated system provides each voter with access to a voting database. The association sends to the outside entity a file with the email addresses of the members who want to vote by e-ballot. On the day that voting begins, the entity sends each voter an email, giving each a password to use to log into the voting database (once the password is used it is cancelled so a person cannot vote more than once). When the voter is ready to make a choice, he or she logs in, selects the candidates, and logs out. The database automatically calculates the number of votes, and at the end of the voting period the entity provides the e-ballot totals to the association.

It is important to remember that for the foreseeable future, even in the most technologically advanced countries, it will be necessary to have the option of providing paper ballots to persons who do not want an e-ballot. One association sends all its members a "preference" email, asking each member if he or she wants an e-ballot or a paper ballot (persons without an email address are assumed to want a paper ballot). Then on the day that voting begins, the e-ballots and the paper ballots are sent out along with the election materials. When the deadline for voting is passed, the external entity that receives the e-ballots sends the association the results. The association then adds the e-ballot total and the paper ballot total and makes the final determination.

It is also important to ensure that the outside entity that receives the e-ballots retains the data for at least 30 days following the final announcement of the results. If a voting database is used, the counting of the ballots is likely to be accurate, but challenges can occur. It is wise to retain the data for a sufficient period of time to permit challenges.

GUIDELINES FOR ARRANGING A CONFERENCE OR SEMINAR

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Section 1 - Introduction

These guidelines were prepared by the Section of Professional Association of the International Council of Archives to:

- (i) support the organisation of professional forums aimed at promoting the advancement of archival principles, management and practices;
- (ii) encourage full participation in the profession; and
- (iii) generate revenue for the host association.

Objectives

In general, archival conferences/seminars will have the following objectives:

- (i) to promote and encourage the sharing of information amongst attendees;
- (ii) to provide attendees with educational sessions and displays encompassing the best and most current information in the field of archival management;
- (iii) to generate income and/or profits, if allowed by the by-laws of the host Association, as a means to fund future activities; and
- (iv) to solicit new members to the profession.

Delegation of Authority

The control and management of a conference/seminar rest with the professional Association which can in turn delegate part or the complete organisation of the event to a local committee of the Association.

All contracts must be approved and signed by the Director of the conference/seminar unless delegated otherwise. This delegation and all other delegations must be in accord with the Association's constitution. No one else should be authorised to make any agreement(s) on behalf of the Association without the written consent of the Director. All original signed contract(s) should be maintained by the Director.

Whenever feasible or possible it is recommended that the organisation of a conference/seminar be contracted out to professional organiser. However, in all cases the program should be under the complete control of the Association organising the event.

Section 2 – Conference/seminar options

While these guidelines cover most situations for the organisation of a large conference with thousands of attendees, it is recognised that the organisation of a smaller conference /seminar, even though as important, doesn't require the in-depth details that are provided in these guidelines. To facilitate the organisation of various size functions, various options are provided below on how to use these guidelines. It is also understood that in organising smaller events, one or two people would probably undertake all roles rather than a committee.

1. Small seminar

This would be attended by less than 100 people and would last for a ½ day or a full day. It is recommended that the following sections and items be considered:

Section 1:	The complete section
Section 3:	Item 2
Section 6:	Items 2a, 2b, 3r, 4e, 4g, 6b, 6j, 7b, 8d, 10a, 10d, 10f
Section 7	Item 5

2. Large seminar

This would be attended by more than 100 attendees and would last for a ½ day or a full day. It is recommended that the following sections and items be considered:

Section 1:	The complete section
Section 3:	Item 2
Section 6:	Items 2a, 2.b, 4r, 5b, 5e, 5g, 5i, 7b, 7j, 8b
Section 7:	Items 4h, 4i, 5
Section 8:	Appendix A

3. Small conference

This would be attended by less than 100 attendees and would last for 2 or more days. It is recommended that the following sections and items be considered:

Section 1:	The complete section
Section 3:	Items 1, 2, 4a, 4b, 4c, 4e, 4f
Section 5:	Items a, b
Section 6:	Items 2a, 2b, 2e, 2f, 2h, 2i, 2j, 2k, 3c, 3d, 3e, 3h, 3m, 4c, 4f, 4k, 4q, 4r, 5b, 5c, 5e, 5g, 5i, 5k, 7b, 7d, 7j, 8b, 8d, 8h
Section 7	Items 2, 4b, 4d, 4h, 4i, 5, 11, 12, 15
Section 8	Appendix A

4. Medium conference

This would be attended by 100 to 300 attendees and would last 2 or more days. It is recommended that the following sections and items be considered:

Section 1	The complete section
Section 3	Items 1, 2, 2b, 3, 4a, 4b, 4c, 4e, 4f
Section 5	Items a, b, c, e, g, j, k
Section 6	Items 1, 2a, 2b, 2c, 2e, 2f, 2h, 2i, 2j, 2k, 2l, 3a, 3b, 3c, 3d, 3e, 3h, 3k, 3m, 3q, 4c, 4e, 4f, 4j, 4k, 4m, 4q, 4r, 4s, 5a, 5b, 5c, 5e, 5f, 5g, 5i, 5k, 5l, 5o, 5r, 6b, 6c, 6d, 6e, 6j, 6l, 7a, 7b, 7c, 7d, 7e, 8b, 8d, 8f, 8g, 8h, 10a, 10c
Section 7	Items 1, 2, 3, 4a, 4b, 4c, 4d, 4e, 4g, 4h, 4i, 4j, 4k, 4l, 5, 6a, 6c, 6d, 6e, 6f, 7, 8, 9, 10, 11, 12, 13, 15
Section 8	Appendix A

5. Large conference

This would be attended by more than 300 attendees and would last 2 or more days. It is recommended that all sections and items be considered.

Section 3 – Conference/Seminar Sites

1. Site selection

The site selection should be determined by the association organising the event. However, this could be delegated to the organising committee but the final decision should rest with the association.

The selection of a convenient and affordable site is often the single most important factor in a successful conference/seminar. When selecting a site some of the questions to be considered include: the accessibility of the site to the targeted attendees, whether conferences been held there recently and if there any sightseeing opportunities?

2. Conference/seminar dates

The association organising the event will decide on the dates of the conference/seminar taking into consideration various factors that could reduce the attendance such as: other conferences/seminars that would attract attendees, religious and/or traditional holidays, and any requirements set out in the Association's constitution.

3. Selection process

In the case of a large conference, the process of selecting the site should begin at least three years in advance of the event and the Association and/or the Director of the conference/seminar should have the responsibility for approving the site.

The Association or the Director should begin the selection process by reviewing current trade show magazines and hotel and convention centre guides. Certain sites will automatically be eliminated, due to the distance delegates would be required to travel. The use of University facilities, in the off season, is another option that could prove an acceptable option.

4. Site specifications

A site inspection checklist should be completed for each site visit (see Annex A). The checklist allows for information gathering on hotel(s), convention centres(s) etc. The following is an overview of requirements:

(a) Exhibits and Trade Fairs

Exhibits and trade fairs provide an opportunity to inform delegates about new products and also secure a source of revenue for the Association. Target exhibitors that might be interested in participating least one year before the event. Pay particular attention to potential local exhibitors.

(b) Facilities

For the most part, hotel facilities in major cities are more than adequate to hold both small and large conferences. Holding the event in a hotel, or in a conference centre with hotel accommodation close by, eliminates the need to transport attendees to the venue.

The size and number of meeting rooms is an important factor when selecting a location. Attendance projections fluctuate and require that seating be provided for a minimum of attendees who will participate at sessions and luncheon functions.

An important point when selecting a site is to find a facility that can also accommodate an exhibition or trade show, if such activities is being planned for, and provide enough flexibility to seat all the expected attendees for luncheon, plenary sessions, opening ceremonies and other planned functions.

Additional requirements to be considered when selecting a conference site include availability of recreational activities; registration assistance provided by the local Convention Bureau, and sightseeing tours offered by local travel agencies.

(c) Accommodation

The cost associated with the selection of a site is important. Negotiations between the Association, the Director of the conference/seminar and the hotel/ convention centre should be undertaken to clarify what is expected from the host. Complimentary accommodation, reduced room rates, complimentary VIP transportation, etc., are common negotiated items.

(d) Proposal request

The Association or the Director should prepare a *Request for Proposal* (see sample at Appendix B) and send it to selected cities/venues asking for their response by a certain date.

Submissions should be examined to ensure that the minimum criteria have been met. Select the top three proposals for a site visit. During the visit additional information should be collected that could impact on the final decision. A matrix should be developed to compare and determine which site is the most suitable and offering the best value for money.

(e) Site approval

Final approval of any conference site is the responsibility of the Association in consultation with the Director of the conference/seminar, or the appropriate committee. Once approval is obtained, the Director or committee should notify the selected hotel and/or Convention centre of the Association's decision (see sample at Annex C). All other sites under consideration should also be notified in writing dissolving any binding agreement and releasing any tentative reservations (see sample at Annex D).

(f) Formal agreement

A formal written agreement or contract should be signed between the Association and the selected hotel or convention centre, outlining the specific requirements of the Association.

Section 4 – Conference/seminar contingency plan

1. Contingency plan

In the event of a natural disaster in the city selected for the conference/seminar, it is necessary to have a contingency plan taking into account the following precautionary measures:

(a) Consult with local representatives

The organisers should confer with the local representatives such as disaster and relief organisations and representatives of the city's tourism industry regarding the disaster.

(b) Consult with hotel and/or conference centre

The organisers should communicate with the management of the hotel(s) and/or convention centre to make the necessary arrangements to inspect, if feasible, the damage to the site and assess the impact of the disaster.

(c) Make a decision on future of the event

The organisers should decide on whether to proceed, postpone or cancel the event at the selected site.

(d) Conference/seminar attendees

The organisers should provide in writing to each registrant information regarding the disaster and advise them whether the event will take place and new location details if an alternative site has been chosen.

2. Emergency measures

The conference/seminar organisers should carry out the following instructions to ensure the safety of attendees:

(a) Hotel/convention centre

The organisers should be cognizant of the site's emergency plans for the facility.

The organisers should be familiar with the site's floor plans, especially the exit doors.

The organisers should designate an off-site location in the vicinity of the site where the committee's chairperson would be positioned to respond to any major crisis requiring immediate attention.

(b) Registration funds

The registration chairperson and/or the treasurer should immediately gather all money, cheques and valuables to ensure they are properly safeguarded off-site.

3. Event insurance policy

An event insurance policy should be obtained to cover loss of revenue due to cancellations, interruptions, postponements, or failure to vacate the premises in the event caused by circumstances beyond the control of the Association such as a natural disaster, labour strikes etc. The insurance policy should also cover additional expenses that would be necessary to re-

schedule or postpone the conference/seminar. Such an insurance policy should be considered for large conferences/events.

Section 5 – Conference/seminar structure

The President of the organising Association should have complete authority for arranging the event. It is usual for the President to delegate all or part of this authority to a Director of the conference/seminar, who could in turn form a committee to assist organise the event. The organising Association should also ensure the availability of a lawyer to advise and/or represent the Association with any legal problems that might arise.

For the smooth operation of the event it is important that all team members be involved in the planning and organisation of the event and become familiar with their duties and responsibilities.

The organising committee could include:

- Association President
- Director of conference/seminar
- Program Chairperson
- Marking Chairperson
- Local Arrangements Chairperson
- Exhibits/Trade Show Chairperson
- Registration Chairperson
- Special Arrangements Chairperson
- Local Marketing Chairperson
- Treasurer
- Secretary

The following is a summary of these officers' duties. More details are provided in the Section 6.

(a) Association President

The President of the Association should be the ultimate authority in all matters relating to the event. The President is responsible for appointing an organising committee and a conference/seminar Director.

(b) Director

The Director of the conference/seminar reports directly to the President of the Association and has responsibility for planning, organising, controlling and administering the event.

(c) Program Chairperson

The Program Chairperson reports directly to the President of the Association or the Director and is responsible for finding the speakers.

(d) Marketing Chairperson

The Marketing Chairperson reports directly to the Director and is responsible for developing and overseeing the production of all conference material; for coordinating conference advertising and coordinating publicity and paid advertising campaigns.

(e) Local Arrangements Chairperson

The Local Arrangements Chairperson reports directly to the Director and is responsible for all hotel and convention centre logistics, including events such as the conference dinner, receptions and award nights etc.

(f) Exhibits/Trade Show Chairperson

The Exhibition/Trade Show Chairperson reports directly to the Director and is responsible for planning and organising the exhibits and trade show, for soliciting consultants, suppliers/vendors etc to organise displays and informative presentations.

(g) Registration Chairperson

The Registration Chairperson reports directly to the Director and is responsible for planning and organising the activities involved with the registration of event attendees, sending confirmation letters, the collection of registration fees (this may be done by the Treasurer) and the provision of registration/information packs.

(h) Special Arrangements Chairperson

The Special Arrangements Chairperson reports directly to the Director and is responsible for the purchase of speakers gifts, the canvassing of donations, the hiring of the official photographer, and the distribution of tourist information and organising visits to local institutions and/or attractions.

(i) Local Marketing Chairperson

The Local Marketing Chairperson reports directly to the Director and is responsible for advertising and promoting the event within the city through special mail-outs, news releases and special publicity bulletins in conjunction with the Marketing Chairperson.

(j) Secretary

The Secretary reports directly to the Director and is responsible for taking the minutes at all meetings, gathering and assembling progress reports from various committees and forwarding them to the Director.

(k) Treasurer

The Treasurer reports directly to the Director and is responsible for all financial matters that involves the control, disbursement and collections of funds, the preparation of financial reports and issuing receipts and invoices to attendees.

Section 6 – Duties and responsibilities

1. Director of the conference/seminar

The Director of the conference/seminar has the responsibility for directing and overseeing the conduct of the entire team guided by policies and procedures. This includes budgeting, planning, implementing specific policy decisions, setting up and monitoring time schedules and ensuring that the goals of the conference/seminar are met. The Director is also responsible for:

- (a) reporting to the President of the Association on all administrative and financial matters;
- (b) negotiating and signing (if this has been delegated by the President) contractual agreements with hotel(s) and convention centre;
- (c) providing team members with a ‘Schedule of Activities’ with set deadlines (see sample at Appendix E);
- (d) approving contractual arrangements pertaining to entertainment and printing services;
- (e) approving the program together with the President as recommended by the Program Chairperson;
- (f) approving any planned social activities in consultation with the President of the Association as recommended by the Arrangements Chairperson;
- (g) approving content, layout and quantities for all printed material such as the advance flyer, program brochure, proceedings, conference/seminar dinner menu etc., prior to printing, as prepared by the Marketing Chairperson;
- (h) approving keynote speakers in consultation with the President as recommended by the Program Chairperson;
- (i) recommending the allocation of complimentary rooms to the President;
- (j) recommending conference registration fee structure to the President;
- (k) orchestrating the sequence of events for the opening ceremony, the dinner and luncheon functions;
- (l) determining the proceedings sale price for non registrants and processing post conference purchase requests;
- (m) ensuring that procedures and guidelines are in place to provide adequate health and safety conditions for attendees and committee members; and
- (n) approving on-site expenditure.

2. Program Chairperson

The Program Chairperson reports directly to the President of the Association organising the event or to the Director of the conference/seminar and is delegated the responsibility for developing the program. Specific duties include:

- (a) appointing a committee (team members) to assist in developing the program. The committee should include members from all areas and/or interests of the profession as well as geographic locations;
- (b) liaising with other conference chairpersons as required;
- (c) initiating, if required, a 'Call for Papers' or a 'Call for Abstracts' one year before the event;
- (d) developing the conference program in accordance with Association directions;
- (e) arranging for speakers to submit abstracts in accordance with the schedule of activities and set deadlines;
- (f) consulting, where necessary, with speakers requiring financial assistance and obtaining formal approval from the Director;
- (g) researching, selecting and recommending a keynote speaker to the Director;
- (h) structuring the dates and timeframes for all sessions;
- (i) submitting the program to the Director for approval;
- (j) arranging for thank you letters to be sent to selected and rejected speakers;
- (k) requesting speaker biographies, session summaries, audio/visual requirements, and if required, a photograph of each speaker;
- (l) notifying the Local Arrangement Chairperson of speaker's audio/visual requirements;
- (m) providing copies of speaker biographies, session summaries, photographs at least 7 weeks before the event to the Marketing Chairperson;
- (n) obtaining a copy of speakers' presentations for inclusion in the Proceedings according to the prescribed format forwarded to the Marketing Chairperson;
- (o) coordinating the Speakers' Room to welcome and brief speakers;
- (p) if decided, arrange for a note taker at each session;
- (q) arranging for meetings of the program committee during the planning stage. Ongoing contact may be made by phone or in writing. The committee's responsibility is to assist the Program Chairperson carry out such duties as:

- reviewing speaker's abstracts
 - contribute to the selection of topics
 - assisting in the selection of speakers
 - sending acceptance letters to selected speakers and thank you letters to those unsuccessful applicants
 - requesting speaker biographies, session summaries, audio/visual requirements and photograph
 - participating in the design of sessions; and
 - welcoming and escorting speakers to the Speakers' Room
 - monitoring the sessions, including collecting reviews and evaluations
- (r) supporting the development of conference/seminars brochures and publications together with the Marketing Chairperson. They could include:
- *Advanced Flyer* produced to provide notice to the archival community of the forthcoming event.
 - *Countdown reminder* produced to provide regular updates about the forthcoming event to be sent to membership of the Association and other interested parties. It could be distributed in the Association newsletter for at least 10 months prior to the event. This is an effective method of communication produced at a minimum cost.
 - *Call for abstracts* is a means of advertising the event and triggering interests of potential speakers. It should highlight the subject matter to be covered, speaker requirements, expected formats and a formal application form to be returned to the Program Chairperson.
 - *Program brochure* serves the purpose of introducing the program to other potential attendees. It provides information to enable this group to identify sessions and other events that may be of interest and provides a registration form. The brochure should be distributed at least 4 months prior to the event. It should be sent to Association members, other identified interested parties and people who have registered an interest in the event.
 - *Proceedings* are compiled in collaboration with speakers who have agreed to their papers appearing in this publication. The publication can be distributed to attendees, and made available to others for a specified fee. The purchase price is usually determined by the Director in consultation with the President of the Association.
 - *Conference/seminar dinner menu* which can be seen as a commemorative publication of the event.

3. Conference/seminar Marketing Chairperson

The Marketing Chairperson reports directly to the Director and has responsibility for developing and overseeing the production of all promotion material, coordinating pre event advertising to the archival community and for coordinating publicity and paid advertising initiated by the Public Relations Chairperson. Specific duties include:

- (a) appointing a committee (team members) to assist with marketing activities;
- (b) consulting the Director to determine the required quantities of printed material;
- (c) in collaboration with the Public Relations Chairperson, contact various archival suppliers/vendors etc to solicit paid advertising in the conference/seminar Program and Proceedings;
- (d) obtaining from the Program Chairperson the text for the Call for Papers or Call for Abstracts and arrange for their design and printing approved by the Director;
- (e) overseeing advertising campaigns initiated by the Public Relations Chairperson to appear in trade magazines as well as in the local and regional media;
- (f) overseeing the coordination of corporate sponsorships;
- (g) obtaining from the Program chairperson the contents of the Advanced Flyer and Countdown reminders and arrange for their design and printing;
- (h) obtaining from the Program Chairperson the contents of the Program Brochure and arrange for its design and printing;
- (i) obtaining from the Local Arrangements Chairperson the contents of the dinner menu and arrange for its design and printing;
- (j) obtaining information on the speakers and other details for the program brochure and arrange for its design and printing;
- (k) obtaining from the Director required information to produce event tickets and arrange for their design and printing;
- (l) overseeing the production of all printed material and arranging distribution; and
- (m) arranging and supervising the production of various publicity items e.g. commemorative pins.

4. Local Arrangements Chairperson

The Local Arrangements Chairperson reports directly to the Director and is responsible for hotel and convention centre logistics and special events eg the conference dinner. Specific duties include:

- (a) appointing a committee (team members) to assist with various undertakings;
- (b) reviewing all contracts with the hotel and convention centre;
- (c) determining size and location of rooms according to the type of sessions and/or events in consultation with the Program Chairperson and the Director;

- (d) providing the Marketing Chairperson with a room plan for printing and inclusion in the registration pack;
- (e) arranging for equipment requirements for sessions in consultation with the Program Chairperson;
- (f) arranging for rooms to hold pre, on site and post conference/seminar management meetings;
- (g) arranging for hospitality facilities and catering;
- (h) arranging for the receipt and storage of event materials eg banners, publications, forms, equipment etc;
- (i) determining menu selections for luncheons and the event dinner;
- (j) providing the Marketing Chairperson with details about the dinner menu (Marketing Chair is responsible for designing and printing the menu);
- (k) arranging for coffee breaks and liaising with the Exhibits Chairperson to maximize traffic in the exhibition/trade show area;
- (l) arranging social activities in consultation with the Director;
- (m) arranging pening ceremony activities in consultation with the Director;
- (n) arranging signage to assist the movement of attendees;
- (o) consulting with the Director about speaker table arrangements;
- (p) arranging for a representative to work with the audio visual provider;
- (q) arranging for two 'trouble shooters' with a good knowledge about the facilities, the organising committee and the Association to assist resolve any problems during the event;
- (r) coordinating and monitoring the set-up for all sessions and events;
- (s) arranging for visits to local archives or social functions and providing a guide for each function;
- (t) assisting the Director with any other logistical arrangements;
- (u) providing an Information Desk in the registration area to provide information on local activities, transportation and entertainment, restaurants etc; and
- (v) arranging identification for volunteers/workers.

5. Exhibit Chairperson

The Exhibit chairperson reports directly to the Director and is responsible for planning and organising exhibits and the trade show. If a professional company is hired to organize these events the Chairperson should act as a liaison with the organising committee. Specific duties include:

- (a) appointing a committee (team members) to assist with various undertakings;
- (b) designing and producing exhibitor contracts and packages, including plans of booth layouts;
- (c) planning exhibit/trade show area, pricing and sale of booth space and obtaining any approvals required from the Director;
- (d) obtaining from exhibitors signed contracts and managing payments for the booth space;
- (e) arranging for on-site equipment and services;
- (f) arranging security for the exhibit area and ensuring that insurance coverage is adequate;
- (g) working with the Program Chairperson to ensure there is sufficient time to allow attendees to visit the exhibition/trade show;
- (h) arranging with exhibitors to publicize the event;
- (i) providing the Marketing Chairperson with a list of paid exhibitors for inclusion in the Program Brochure;
- (j) preparing information about the exhibits/trade show for inclusion in the registration pack;
- (k) in addition the Exhibit Chairperson is also responsible for:
 - assisting and participating in the planning, coordinating and managing the exhibit/trade show facilities;
 - recommending to the Director booth charges and formulate a deposit and cancellation policy;
 - negotiating the sale of booth spaces;
 - arranging all related signage for the exhibition area;
 - finalising arrangements with the exhibitors after booth space has been confirmed and providing them with an Exhibitors Information Package. This package should include a plan of the booth layout, list of equipment and services, schedule of charges, rules and regulations, shipping and storage charges, publicity and advertising arrangements and costs; hotel reservation forms;

- preparing a detailed outline of exhibition requirements that need to be set up in advance of setting up the booths and displays to ensure installation schedules and exhibitors needs are met;
- providing and maintaining exhibition floor management to respond to requirements;
- ensuring exhibitors complete a Exhibition Evaluation Form and arrange for the collection of the form and compiling results.

6. Registration Chairperson

The Registration Chairperson reports directly to the Director and is responsible for planning and organising activities involved with the registration of attendees. Specific duties include:

- (a) appointing a committee (team members) to assist with various activities;
- (b) arranging name tags and tag holders for attendees;
- (c) acquiring city information, pamphlets, brochures and giveaways for inclusion in the registration packs;
- (d) acquiring bags or portfolios to hold the event information (i.e. the registration packs);
- (e) arranging staffing for the Registration Desk throughout the event;
- (f) maintaining and updating registration lists and providing Registration Desk team members with the necessary training;
- (g) producing an Attendance Roster for inclusion in the registration pack;
- (h) assigning 'Trouble Shooters' to circulate in the registration area to assist team members and attendees;
- (i) providing input into the design of the Registration form;
- (j) sending confirmation letter to registrants;
- (k) arranging for the sale of optional events and additional tickets;
- (l) arranging for the sale and distribution of Proceedings to attendees; and
- (m) arranging for the cashier to collect money at the Registration Desk. The cashier should be the Treasurer, or a Treasurer appointee.

7. Special Arrangements Chairperson

The Special Arrangements Chairperson reports directly to the Director. The Chairperson, supported by the Committee, acts as a welcoming team during the event. Specific duties include:

- (a) appointing a committee (team members) to assist with various activities;
- (b) arranging for the purchase of speakers' gifts;
- (c) arranging for an official photographer;
- (d) canvassing local businesses for donations for attendance/door prizes;
- (e) recommending entertainment for social activities to the Director;
- (f) providing transport to and from the airport and within the city for VIPs and guests;
and
- (g) gathering brochures, restaurant listings, city maps, handouts etc for attendees.

8. Local Marketing Chairperson

The Local Marketing Chairperson reports directly to the Director and is responsible for advertising and promoting the conference/seminar in conjunction with the Marketing Chairperson. Specific duties include:

- (a) gathering a committee (team members) to assist with various activities;
- (b) soliciting various local records and information suppliers, consultants and any other firms for paid advertising to be included in the Program Brochure and Proceedings;
- (c) developing local mailing lists of potential attendees for advertising purposes;
- (d) distributing to all potential attendees appearing on the local mailing lists, any publicity material and personal invitations on behalf of the President of the Association to encourage participation;
- (e) develop lists of local newspapers, trade magazines/publications, radio and television stations which could be used in the promotion of the event;
- (f) preparing press releases for dissemination to the media promoting the event in the host city and surroundings regions, cleared by the Marketing Chairperson;
- (g) preparing special publicity bulletins promoting the merits of the host city;
- (h) maintaining a supply of conference/seminar brochures for local distribution;
- (i) arranging with the Special Arrangements Chairperson to have publicity photographs taken before and during the event for use in post conference publicity under the direction of the Marketing Chairperson;
- (j) arranging a press conference to promote the event; and
- (k) preparing, together with the Marketing Chairperson, publicity of the event for distribution at various Association functions.

9. Secretary

The Secretary reports directly to the Director and is responsible for making and keeping the records of committees. Specific duties include:

- (a) taking and maintaining all committee meeting minutes;
- (b) forwarding copies of committee meeting minutes to the Director and the President of the Association; and
- (c) assembling and forwarding to the Director a complete set of records of all activities carried out by committees within four weeks after the conclusion of the conference/seminar.

10. Treasurer

The Treasurer reports directly to the Director and is responsible for all financial matters relating to the conference/seminar. The Treasurer should have signing authority for all event disbursements as per the procedures set out in the Association's Constitution. In addition, the Treasurer must also maintain the financial records and make them available for auditing. Specific duties include:

- (a) controlling all incoming funds and disbursements;
- (b) opening a separate banking account;
- (c) maintaining all financial records and paying all invoices subsequent to obtaining appropriate approval;
- (d) arranging for collecting and documenting on-site registration fees as well as providing receipts, if requested;
- (e) arranging to have receipts included in the registration package;
- (f) arranging for the safe-keeping of all moneys received;
- (g) providing appropriate input into the budgetary process;
- (h) invoicing attendees, exhibitors etc;
- (i) submitting a monthly financial report; and
- (j) submitting a full financial report to the Director no later than 45 days after the conclusion of the conference/seminar or when required to do so under the Association's Constitution or financial regulations.

Section 7 – LOGISTICS

1. Administration

The overall administration of the conference/seminar is delegated to the Director by the Association's President.

2. Theme

The theme should be suggested by the Marking Chairperson and approved by the Association's President following recommendations from the Director and Program and Committee Chairpersons. In developing the theme every effort should be made to support the educational nature of the event and involve attractions of the host city.

3. Selection of speakers

Speakers and session leaders are a major factor in the success of any conference/seminar. They should be selected and invited according to their ability to contribute to the theme, their status and background in the profession and their speaking competence.

The primary source of speakers could be the Association. Other sources include: members of other professional organisations, universities and colleges, government agencies and recommendations made by the Program Committee. The use of suppliers/vendor representatives or professional consultants should be kept to a minimum.

Speakers should be invited early, 12 to 18 months in advance of the event. There is usually a 'Call for Abstracts' describing the topic. Successful speakers should also be required to submit a synopsis or full text for the Proceedings.

4. Planning

Preparation of the conference/seminar should begin as early as 18 months prior to the event. For large conferences (i.e. 1000 or more attendees) the preparation should start 3 or 4 years before the event. The Director should plan to meet with all Chairpersons at least 15 months prior to initiate discussions.

The following is a general outline describing some of the issues to be considered in planning the conference/seminar. Many of the issues are discussed in further details later in the guidelines.

- (a) While establishing the budget the Director in consultation with the President of the Association should determine the maximum fees, expected expenses and profit margin and determine a final fee structure.
- (b) The Director should gather a group of individuals who will serve as Chairpersons of committees.
- (c) The brochures and publications must be devised in accordance with the established theme.
- (d) Mailing lists should be developed for pre publicity purposes and used for distributing brochures and other publicity.

- (e) The brochure and covering letter should be forwarded to the selected speakers and set out requirements for transport, facilities, equipment etc.
- (f) Several weeks prior to the event contact each speaker to confirm their commitment, their requirements for transport, facilities, equipment etc.
- (g) The hotel(s) and/or convention centre should be contacted to ensure that all meeting and facility arrangements previously agreed on have been carried out.
- (h) Name tags, and portfolio/bags should be purchased.
- (i) All rooms should be verified to ensure adequate lighting, heating and ventilation.
- (j) Make arrangements for the collection of evaluation forms at the end of each session.
- (k) Send personal thank you letters to all speakers and committee members.
- (l) A final report should be developed outlining procedures followed in planning the event.

5. Checklist

The following checklist will help with the planning process for the conference/seminar. Things to do:

- Update computer programme for conference/seminar registrations.
- Obtain material for placing into conference/seminar packs.
- Arrange for the pick-up of waste from meeting rooms, speakers' room, registration area etc.
- Arrange for a photocopier with supplies of paper, etc, to be available.
- Arrange for sufficient tables, seating and computer access in the speakers' room.
- Develop a list of key conference/seminar hotel(s) and convention centre telephone/mobile numbers for distribution to committee members.
- Develop a list of telephone/mobile numbers of event personnel.
- Prepare signage.
- Prepare a list of emergency telephone numbers for calls to attendees and place in the registration pack.
- Arrange for coffee and light refreshments for early morning, mid morning and afternoon breaks in the speakers' room.
- If required arrange for a light lunch to be served in the speakers' room and for committee members.
- Ensure that appropriate equipment and supplies are available (see sample list at Annex G).

Other tasks to be considered in the planning stage:

Audio/visual and computer equipment	Photographer
Budget preparation	Financial reports
Conference Brochure	Registration packs for attendees (include pencils/pens, notebooks, name tags, city map, brochures on sites, tours)
Conference countdown information	Speakers' gifts
Confirmation letters	Time schedule
Evaluation forms	Thank you letters
Exhibits/vendors	Topic/program selection
Flyers	Transportation
Catering	
Hotel bookings – speakers/registrants	
List of registrants	
Mailing lists	
Organise tours	

6. Facilities

(a) Hotel(s)

- Hotels should offer reasonably priced accommodation with adequate space for exhibits if event is going to be held in that location.
- Exhibit insurance and security can be an additional expense.
- Meeting rooms in a hotel may be provided at no cost based on the condition that a number of rooms are blocked for accommodation.
- Complimentary bedrooms are often offered by hotels.
- Cut-off date for room reservations should be as late as possible.

(b) Convention Centre

- The use of a convention centre will probably involve a trade-off between potential free session rooms offered by a hotel and a charge for all materials, versus the provision of professional staff and varying amounts of on-site equipment.
- Security is normally supplied by a convention centre while catering is usually negotiated separately.

(c) Session Rooms

- A room with the necessary equipment should be allocated for each session with appropriate seating capacity. Setting arrangements can vary eg a U shape, hallow square, classroom or theatre style depending on the specifications of the Program Chairperson.
- A speakers' room should be allocated in the immediate vicinity of the session rooms for the duration of the event. Working tables, computers, photocopiers etc should be provided for the speakers as well as for the Director and Chairpersons if needed.

(d) Audio/visual, computer and other equipment

- If not provided by the venue audio/visual and computer equipment may need to be hired. Other equipment includes microphone and taping and video facilities. Connections to the internet may be required.

(e) Communication equipment

- Mobile phones could be used to communicate between organisers.

(f) Evaluation

- Session evaluation forms should be distributed at every session.
- Overall conference/seminar evaluation forms should be distributed at the first session on the last day.
- Evaluation forms should be sent to the Program Chairperson for overall assessment and reporting to the Director.

7. Schedule of activities

As the recommendation is to start planning for the conference/seminar at least 18 months prior to the event, a timetable of matters to be attended to should be developed covering both pre and post event activities. The part of the timetable relevant to each Chairperson should be provided (see sample at Annex E)

8. Program Planning

The program needs to be carefully developed at least one year before the event. An engaging program with a good theme will contribute to the success of the conference/seminar.

9. Program scheduling

The program should consist of an appropriate number of sessions and should encourage group participation through the use of panel discussions or debates, plenary and parallel sessions. Coffee breakers should be scheduled for 30 minutes in the morning and afternoon. If there is an exhibition or trade show the sessions should be structured to allow attendees to circulate as often as possible in the exhibition area.

(a) Types of sessions:

- *Lecture* – A single speech usually occupying most of the allotted time for a session, followed by a question and answer period.
- *Panel discussion* – A panel discussion is designed for the exchange of thoughts and ideas among several participants, usually a minimum of 3, on an informal basis before an audience. Normally attendees are expected to partake in discussions.
- *Workshop* – A session where participants have some hands-on experience covering a topic in more detail.
- *Case Study* – Usually a lecture that covers the presenter's experience in a particular area of archives, records and information management.

(b) Session monitors

Session monitors, selected by the Program Chairperson, are responsible for the smooth conduct of individual sessions. Prior to the start of the session each monitor should pick-up any speaker's handouts from the speakers' room and take them to the session room. They should distribute handouts and evaluation forms to participants. These individuals should be familiar with the functionality of the audio/visual equipment and ready to assist in the

case of any malfunctions. They should remain in the session rooms while the session is in progress and at the end collect the evaluation forms.

(c) Session evaluations

Participants should be asked to complete conference/seminar evaluation forms evaluating sessions and the entire event.

10. Registration

The Registration Chairperson has the ultimate authority for staffing the registration desk. Staff on the registration desk are responsible for processing all those who have registered and 'walk in' registrations. The Treasurer should designate a deputy if unable to be in attendance at the registration desk to process all cash transactions.

(a) Registration hours

The registration desk should be organised in a specific registration area. The desk should be staffed to cover at least one hour before and after the start and at the end of the day proceedings and if possible the day before the event.

(b) Registration packs

Registration packs should be given to each attendee. They should be assembled well in advance of the conference/seminar dates and contain the following items:

- Name tags and badges identifying the full name and affiliation of the registrant.
- Function tickets which should be printed for easy identification and clearly indicate the function.
- Giveaways and other material such as pens, memo pads, tourist information, commercial brochures, attendance certificate, welcoming letter, program, room plan etc. The giveaways should be the responsibility of the Registration Committee.
- Attendees Roster should be prepared in alphabetical order listing the full names, affiliation and business address of registrants.

(c) Complimentary registrations

Complimentary registrations should be kept to a minimum and decided on early in the planning process to avoid confusion.

11. Sponsorship

All supplier/vendor sponsorships will be under the direction and approval of the Director.

12. Advertising

Free advertising may be a possibility through the exchange of journals/newsletters with other associations.

Paid advertising, if possible and/or feasible, in trade and/or business publications to increase awareness and knowledge of the conference/seminar should be part of the marketing plan and approved by the Director. It should be developed and distributed by the Marketing Chairperson well in advance of conference/seminar dates. Paid advertising in the host city should be coordinated by the Public Relations Chairperson.

The soliciting of paid advertisements in the Program Brochure and Conference Proceedings should be coordinated by the Public Relations Chairperson.

13. Financial administration

The President of the Association should authorise seed money to the organisers a year before the event to be used for promotional material and other initial requirements. Further amounts should be allocated according to contracted needs and obligations.

All contracts should be authorised by the Director but some delegations may be approved.

All moneys collected at the event should be deposited in the local bank account established for the conference/seminar.

A statement of revenues and expenses should be completed by each Chairperson within the time period nominated by the Association after the end of the event.

A full report consisting of a summary of the activities and a detailed financial statement should be completed by the Director and submitted to the President of the Association within three months of the end of the event.

(a) Budget

A detailed budget (sample at Annex F) should be devised under the direction of the President of the Association. Financial data should be obtained from the Committee Chairpersons to produce this document. The President of the Association should review and approve the budget.

(b) Registration Fees

Registration fees shall be established by the President of the Association and the Director of the conference/seminar. The calculation of fees shall be based on a stringent cost analysis which shall account for a reasonable excess revenue margin if permitted under the Constitution of the Association.

Registration fees should be structured as follows:

- reduced registration fees for members and/or students
- reduction in fees for early registration
- full registration fees
- fees for accompanying persons
- single day registrations
- session registrations.

(c) Revenue

A full financial report and a cheque for the net profits generated by the conference/seminar should be forwarded to the President of the Association together with a complete report on the event.

(d) Accounting

The Treasurer is responsible for all accounting. All funds should be deposited in the conference/seminar bank account and this account should be closed and reported on at the end of the event and after finalising all outstanding accounts.

(e) Disbursements

All expenditure and payments should be made by the Treasurer. Cheques should be signed by the Treasurer and the Director or their delegates. No commitments should be made or honoured unless authorised in the approved budget and approved by the Director or delegate.

14. Post-Conference activities

- Pay all accounts and send invoices if required.
- Financial reports should be sent by the Chairpersons to the Director.
- Chairpersons should send a final report to the Director.
- Director should provide a report, including a financial statement, to the President of the Association.
- Surplus copies of the Proceedings should be sent to the Association for further sales.
- Thank you letters should be sent to the speakers including comments on session evaluations and participant feedback.
- Letters of appreciation should be sent to VIPs, Committee Chairpersons by the Director.

Section 8 – Annexes

Annex A Site inspection checklist

Annex B Conference site selection/request for proposal

Annex C Site approval notification letters

Annex D Site refusal notification letters

Annex E Schedule of activities

Annex F Budget

Annex G Equipment and supplies

CONFERENCE SITE INSPECTION CHECKLIST

Hotel/Convention Centre

- Name:
- Contact person and email address:
- Telephone number:
- Website:

Hotel rooms:

1. Total number of room available (single, double, suites etc).
2. Is there a complimentary policy?
3. Room rates in peak and off season times.
4. Quality of rooms (furnishings, facilities e.g. TV, wifi, air conditioning, heating, safe, mini bar, hair dryer etc).
5. Is there appropriate safety features (escape route plans etc)?
6. Is room service offered?

Meeting rooms:

1. Number of meeting room available, seating and costs.
2. Are restrooms easily accessible?
3. Are the room heated/ air conditioned/ well lit etc?
4. Is the seating fixed or can be configured to suit particular requirements?

Banquet rooms:

1. What is the seating capacity?
2. What is the quality of the catering service offered? Cost?

Audio/Visual Equipment:

1. Why type of equipment is supplied by the hotel?
2. Are there technicians on site?
3. Can outside contractors be brought in?

Miscellaneous:

1. What is the distance to the airport?
2. How many restaurants/bars in the hotel?
3. How many guest elevators?
4. Is parking available/ cost of parking per day?
5. Is there a health club?
6. Is there medical facilities?
7. Is there a shuttle service available to and from the hotel and airport?
8. What credit cards are accepted by the hotel?
9. Is there a gift shop?
10. Is there in-house security

Assess the following aspects of the hotel with a rating of 1 for fair and 5 for excellent:

Employees' general attitude

Bedrooms

Hotel cleanliness

Hotel security

Meeting rooms

Banquet facilities

Exhibition facilities

Audio-visual facilities

Recreation facilities

SITE SELECTION PROPOSAL

1. Objectives
2. Site Selection Proposal
3. Specifications
4. Potential Site Specifications
5. Potential Site Evaluation
6. Site Evaluation Checklist
7. Site Recommendation

1. Objectives

Set out the objectives of the conference/seminar, for example:

- (a) Educational sessions and exhibits of equipment, systems and services encompassing the most current information and methodologies in the archival profession.
- (b) Opportunities for increasing membership by vigorously promoting the Association's goals and objectives.
- (c) Opportunities for the free exchange of ideas between participants.
- (d) A form for the conduct of Association business.
- (e) Income to aid in funding the Association's operations and activities.

2. Site Selection Proposal

Provide the following details:

- (a) Name of the organisation
- (b) Contacts
- (c) Target location for the event
- (d) Dates – Preferred/ 2nd choice/ 3rd choice
- (e) Number of hotel rooms needed – accommodation and other types of rooms
- (f) Outline decision making process e.g. Director to recommend the site to the President of the Association

3. Conference/seminar Specifications

- (a) Expected number of participants
- (b) Identify functions where food will be served
- (c) Space requirements. For example:
 - (i) Registration area
 - (ii) Speakers' room
 - (iii) Large rooms eg a Ballroom for the opening ceremony
 - (iv) Concurrent session rooms e.g. xx number of rooms with maximum seating capacity of xx
 - (v) Exhibit/Trade Show area e.g. suitable for xx number of booths, able to accommodate xxx participants
 - (vi) Conference Dinner or Banquet rooms e.g. xx minimum with a capacity of accommodating xxx attendees
 - (vii) Rooms for social events e.g. Receptions
 - (viii) Meeting rooms required.

Include details about:

- time needed for setting up the Exhibit/Trade Show area, the registration desk etc., and
 - accommodation needed for organisers prior to the start of the event and after the closing day.
- Provide a complete schedule for each day of the conference/seminar detailing requirements and times such as:
- (i) a room to accommodate 300 people theatre style between 8.30 and 17.00;
 - (ii) coffee breaks for 350 people at 10.00 and 15.00 with coffee, tea, juices and soft drinks;
 - (iii) lunch for 350 people to be served at 12.00; and
 - (iv) (5) break off rooms to accommodate 50 people between 8.30 and 12.00 with coffee and juices being served at 10.00 in each room.

4. Potential site specifications

The Director should have the responsibility for identifying and evaluating two or more cities. Site selection should be determined through visits and by a review of convention publicity. The Conference site should:

- (a) Provide costs effective, easily accessible airline service or ground transportation by the most important carriers.
- (b) Provide appropriate space to accommodate sessions, exhibits, meetings, functions and social activities.
- (c) Provide appropriate guest rooms at reasonable costs.
- (d) Be available for the required number of days to cover the complete conference/seminar.

5. Potential site evaluations

Provide a summary of each hotel/convention centre based on the checklist set out in Appendix A.

6. Site evaluation checklist

<i>Checklist</i>	<i>Hotels (1)</i>	<i>(2)</i>	<i>(3)</i>	<i>(4)</i>
Distance from the airport (10 points)				
Hotel facilities (15 points)				
Hotel rates (10 points)				
Meeting rooms (15 points)				
Preferred dates (10 points)				
Transportation costs to and from airport (10 points)				
Proximity of overflow hotel (5 points)				
Centrality of hotel (5 points)				
Totals:				

7. Site Recommendation - Provide a recommendation based on the above analysis.

ANNEX C

SITE APPROVAL LETTER

Dear

It was a pleasure meeting and working with you over the last couple of months. The Association has considered all information submitted by various hotels and convention centres and has now reached a decision on who will host (name of the conference/seminar) in xxxx. The selection has not been easy since all venues considered had their own particular attractions. However, I am delighted to inform you that we have decided on (name of the hotel) as we feel that it offers the best facilities and value for hosting the event.

On behalf of the (name of the Association President) I would like to thank you again for valuable your assistance in the selection process. We look forward to working with the hotel in organising a successful conference/seminar.

Sincerely,
Director of xxxxxx (name of conference/seminar)

ANNEX D

SITE REFUSAL LETTER

Dear

It was a pleasure meeting and working with you over the last couple of months. The Association has considered all information submitted by various hotels and convention centres and has now reached a decision on who will host (name of the conference/seminar) in xxxx. The selection has not been easy since all venues considered had their own particular attractions. We have decided on (name of the hotel) as we feel that it offers the best facilities and value for hosting the event.

On behalf of the (name of the Association President) I would like to thank you again for valuable your assistance in the selection process.

Sincerely,
Director of xxxxxx (name of conference/seminar)

CONFERENCE/SEMINAR TIMELINE

Activities	Timing	Responsibility
Site selection	1 to 3 years prior to event	President/Conference Director
Signing contract for the site	“	Conference Director
Call for abstracts	1 year prior to event	Program Chair
Local ‘kick-off’ ceremony	“	President
Site contract review	“	President/Conference Director
Exhibitors contract/packages	“	Exhibit Chair
‘Countdown’ reminder #10	11 months prior to event	Program & Public Relations Chair
‘Countdown’ reminder #9	10 months prior to event	“
‘Countdown’ reminder #8	9 months prior to event	“
Organise advertisements for conference brochure	8 months prior to event	Publicity Chair
Select speakers	“	Program Chair
Printing advanced flyer	“	Public Relations Chair
Confirmation of speakers	“	Program Chair
Compile distribution lists	“	Marketing Chair
‘Countdown’ reminder #7	“	Program & Public Relations Chair
Mailing of advanced flyer	7 months prior to event	Marketing Chair
Request speaker session synopsis	“	Program Chair
‘Countdown’ reminder #6	“	Program & Marketing Chair
Review registration form	6 months prior to event	Registration Chair
‘Countdown’ reminder #5	“	Program & Marketing Chair
Set-up exhibit contracts	5 months prior to event	Exhibit Chair
Organise Conference dinner entertainment	“	Local Arrangements Chair
Selection of keynote speaker	“	Assn President/Conference Director
Theme night reception	“	Local Arrangements Chair
Printing Conference brochure	“	Public Relations Chair
Finalise exhibitors contracts	“	Exhibit Chair
‘Countdown’ reminder #4	“	Program & Marketing Chair
Arrange exhibit security	4 months prior to event	Exhibit Chair
Local Advertisements	“	Marketing Chair
Mail Conference brochure	“	“
Request speakers’ papers	“	Program chair
‘Countdown’ reminder #3	“	Program & Marketing Chair
Organise reception	3 months prior to event	Local Arrangements Chair
Test registration software	“	Registration Chair
Select luncheon & Conference	“	Local Arrangements Chair

Activities	Timing	Responsibility
dinner menus		
'Countdown' reminder #2	"	Program & Marketing Chair
Arrange communication equipment rentals	2 months prior to event	Local Arrangements Chair
Print Conference proceedings	"	Marketing Chair
Print Conference dinner menu	"	Marketing Chair
Print event tickets	"	Marketing Chair
'Countdown' reminder #1		Program & Marketing Chair
Purchase speaker gifts	1 month prior to event	Special Arrangements Chair
Purchase commemorative memorabilia	"	Marketing Chair
Arrange signage	"	Local Arrangements Chair
Collate registration packs	"	Registration Chair
Prepare final conference report	1 month after event	All Chairpersons
Prepare final finance report	"	Conference Treasurer

BUDGET**1. Local Chairperson**

Pre and post conference celebrations	_____
Postage	_____
Contingency	_____
Hotel Cost – Facilities	_____
Accommodation	_____
Equipment	_____
Entertainment	_____
Signage	_____
Hospitality	_____

2. Registration

Supplies	_____
----------	-------

3. Special Arrangements

Speakers Gifts	_____
Identification tags/badges	_____

4. Exhibits

Miscellaneous	_____
---------------	-------

5. Publicity and Public Relations

Publicity campaign	_____
Printing	_____
Commemorative memorabilia	_____

Total	_____
-------	-------

Fixed expenditure:

Cost per person	Luncheons	_____
	Coffee Breaks	_____
	Reception	_____
	Miscellaneous	_____
	Total	_____

Registration Fee _____

Revenue over expenditure _____

Number of attendees needed to break even _____

EXPENDITURE AND SUPPLIES

Equipment

Photocopier
Computers
Calculators
Printer
White Board
Flip charts
Audio visual equipment
Projection screens

Supplies

Writing pads
Pencils/pens
Folders
Stapler/staples
Clip Boards
Highlighters
White board markers
Thumbtacks
Bond paper
Sticky tape
Paper clips
First Aid Kits
Glue
Blue-tack
Poster notes
Spare name tags

GUIDELINES FOR ORGANISING REGIONAL MEETINGS AND CONFERENCES

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These guidelines supplement the SPA Guidelines for Organising Conferences. They give additional advice for those organising international or regional conferences.

This document is divided into 3 sections:

- Before the meeting
- During the meeting
- After the meeting

Before the meeting

Planning

- ❑ Agree the purpose of the meeting and set a planning timeline.
- ❑ Allocate responsibility for different tasks, dividing this between local organisers and the international committee members.
- ❑ Plan well ahead to ensure wide participation.

Program

- ❑ Should be related to identified regional needs and the purpose of the meeting.
- ❑ If possible, should also cover topics given priority by funding agencies.
- ❑ Should ensure participation of regional delegates as speakers and panel members.
- ❑ 'Round table' format may be preferable to a series of lectures.
- ❑ Consider whether sessions will be in one or more languages and whether translation facilities are required.
- ❑ Ensure local protocols are observed and that customs and ceremonies are included appropriately, and encourage local content in the program (but not to the detriment of the meeting's purpose).
- ❑ If an ICA meeting, include time for official meetings.
- ❑ If possible, accompany the formal ICA meeting with a professional or training program where locals may be able to participate.
- ❑ Decide whether papers will be published for circulation at the meeting, or as conference proceedings, and set timeframes for their preparation and collation.
- ❑ A website can be a useful way to provide information about the conference but be conscious of the infrastructure available to likely participants.

Participants

- ❑ Decide whether participation will be 'by invitation only' or open.
- ❑ Decide which members, regional representatives, local professionals, sponsors or potential sponsors, government representatives, etc will be invited.
- ❑ Balance of regional representation and gender may be important for the meeting's purpose or for some sponsor's requirements.

Hosting

- ❑ Determine who will host the meeting and what responsibility they have. This may differ depending on whether the host is an institution, an association or an ICA body.
- ❑ You may need to advise participants about local climate conditions and cultural behaviour

Funding

- ❑ Decide whether a registration fee will be charged and whether the conference is intended to break even or return a profit.
- ❑ If there is a lack of resources for particular delegates to attend regional meetings you will need to raise funds.
- ❑ Decide what costs you aim to cover through fundraising - travel of delegates, stopovers, per diem allowance, accommodation, registration, conference costs (catering, venue, transport, etc).
- ❑ Always start fundraising locally, and use past experience for identifying potential sponsors.
- ❑ Encourage potential delegates to seek their own sources of funding.
- ❑ Develop a standard 'business case' to send to potential sponsors including information on program, potential delegates and their needs, etc.
- ❑ Research funding agencies and their criteria. Develop contacts. Examples of some sponsoring agencies are UNESCO, aid agencies.
- ❑ Commercial sponsorship can keep costs down and enable wider participation.

Budget

- ❑ Closely allied to your funding strategy.
- ❑ Determine the financial commitment of the host country (in cash and/or in kind) and the regional branch/ICA.
- ❑ Costs and likely revenue will determine many things - the size of the conference, the amount of support provided to delegates, the number of delegates who can be funded.
- ❑ Be conscious of exchange rates and financial regulations in your planning - in the Pacific for example it will be more expensive to organise a conference in a US\$ or Euro economy than in an Australian, New Zealand or Fiji dollar economy.
- ❑ Common elements of the budget are:
 - ❑ Venue
 - ❑ Catering
 - ❑ Travel
 - ❑ Communications
 - ❑ Local transport
 - ❑ Speakers fees, materials
 - ❑ Printing
 - ❑ Materials for delegates (satchels, etc)
 - ❑ Translation (if required)

Local arrangements

- ❑ It is essential to have someone locally who is able to handle local arrangements e.g. venue, transport, communications, etc.
- ❑ Developing countries may not have facilities for conferences. Hotels are possible but may be more expensive. Local educational venues or community meeting places may be suitable.
- ❑ Accommodation may need to be split if there is not enough available in one venue. Ensure delegates are able to get to the venue easily.
- ❑ Communications e.g. computer use, telephone, fax facility may be needed.
- ❑ If multiple languages are spoken in the region decide how this will be handled - an agreed working language or translation.

- ❑ Promotion to local community - radio, banners, etc. have a media release prepared in advance.
- ❑ International delegates will want to experience the flavour of the country: ensure local culture is integrated into the program and events.

Travel

- ❑ Check what visas are required. Be sure to include stopover or transit locations as some countries will require a visa even for a few hours (e.g. Fiji nationals require a visa for Guam even though in transit).
- ❑ Shop around for fares - some may be cheaper or easier to organise from different countries. Alternatively it may be simplest and give a bulk discount to work through one agent.

During the meeting

Administration

- ❑ Enlist local helpers (you can never have too many!) for preparing satchels and papers, room set up and tear down, photocopying, etc.
- ❑ Make sure you have access to office facilities - phone, PC, printer, paper supplies, and copier. If necessary budget for this item.
- ❑ Distribute an evaluation form and ask delegates to complete it at or before the final session of the conference.

Payments

- ❑ If you are paying a per diem allowance or reimbursing travel costs, develop a standard form which delegates can sign to show receipt of payment.
- ❑ Always have two signatories for accounts and a second person available to check cash reimbursements.

Media coverage

- ❑ Issue a media release and have a local person available to give interviews.
- ❑ Make sure someone takes photographs of official parts of the conference and the delegates. These can be used in reporting, promotion and can be sold to delegates.

After the meeting

- ❑ Send letters of thanks to sponsors, supporters, speakers, dignitaries.
- ❑ Prepare a report on the conference that can be summarised for newsletters and other publications, sent to sponsors, etc.
- ❑ Make financial reports to sponsors.
- ❑ Compile results of the evaluation forms so that future conferences can take account of people's views. The evaluation is also useful to send to sponsors.
- ❑ Prepare and distribute minutes of any official meetings.
- ❑ Report as required to sponsors according to their timetables.
- ❑ Edit and publish conference proceedings (if appropriate).

ADVOCACY AND PROMOTION STRATEGIES FOR PROFESSIONAL ASSOCIATIONS

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Introduction

In July 2000 the ICA Section of Records Management and Archival Professional Associations published a paper on *Lobbying and Public Campaigns for Professional Archival Associations*, which provided guidelines on how “to influence events or a decision and to solicit support for archives and archivists”. It was noted in the introduction to that paper that most associations have as one of their objectives “representing and promoting the profession”, with lobbying and public campaigns being one set of activities which support this goal, and advocacy or promotion of archives the other.

This paper covers advocacy and promotion activities and complements the strategies presented in the paper *Lobbying and Public Campaigns for Professional Archival Associations*. It examines the scope of possible advocacy and promotion activities, discusses the importance of planning, both at a strategic level and undertaking individual activities, provides a list of suggested strategies and possible activities that could be carried out to achieve the strategies.

Scope of advocacy and promotional activities

In a broad sense advocacy and promotional activities in professional associations are carried out to:

- increase community awareness about archives and archivists,
- support the development and advancement of the archival profession, and
- improve communications and build cooperative alliances with kindred organisations, government, the public and business decision makers.

In practice advocacy activities generally target specific audiences the association may wish to influence, whereas, promotion is about taking a broad message to the widest audience possible.

The extent of advocacy and promotion activities, and the communication methods selected will depend on a number of factors, including:

- The level of resources available in the association eg whether the association depends entirely on volunteers or whether it has the resources to acquire skills or produce promotional tools.
- The structure of the association eg whether it is a national body speaking with one voice, or whether it is a national body which also operates at a regional level speaking with many voices. Whether there is an identified person or persons, or committee, who could take responsibility for advocacy and promotion activities in the association; whether there is an overall agreed strategy, with supporting action plans, or whether activities are carried out on an ad hoc basis.
- The level of community awareness that may exist. While archives in a general sense are valued in most communities, there is often little understanding of how the profession contributes to the selection and preservation of archives.

- The level of awareness that may exist in kindred associations, and with decision-makers about the work of archivists and the objectives of the association.

Planning an advocacy and promotion strategy

Planning is the key to delivering a successful advocacy and promotion strategy as it will ensure that activities are coordinated and directed at achieving the overall goals of the association. Planning supports the most efficient use of scarce association resources allowing a clear and shared understanding of the messages being communicated and the implementation program.

Steps in planning an advocacy and promotion activity

Steps in planning an advocacy and promotion activity could include:

- *Identifying advocacy and promotion goals and the target audience*
Any activity must commence with a good understanding of the goals and target audience, i.e. what are you trying to communicate and why, and to whom are you trying to communicate? These goals should complement the objectives of the association and its overall planning strategies. The goals may be long-term (eg develop an general understanding in the community about archives), or short-term (eg to set up a display stand at a Conference of a kindred association) and in some instances short-term goals may support longer term goals.
- *Identifying key advocacy and promotion messages and activities*
At an early stage in the planning cycle it is necessary to identify the key messages and activities keeping in mind the audience. In the first instance this may be a simple dot point list or headings, or brief statements.
- *Identifying how to deliver the advocacy and promotion messages and activities*
There are a wide variety of ways to deliver advocacy and promotion messages and activities ranging from print and web based publications to displays and providing speakers at seminars and workshops. The key is to assess and evaluate methods and chose the most appropriate.
- *Identify resources required to undertake advocacy and promotion activities*
Resources will impact on the type and scope of the activities that can be undertaken and include financial requirements and the capacity of the association's membership to contribute skills needed. There may be some scope for undertaking partnerships with kindred associations or to use products or tools already developed by other archival associations.
- *Create an action plan for carrying out advocacy and promotion activities*
An action plan will assist in carrying out the activity and includes milestones to be achieved, target dates and designating responsibilities.
- *Evaluating the outcome of advocacy and promotion activities*
Evaluation of the activity is an important step to undertake as it will assist with future planning and the allocation of an association's resources. Targeted and specific

advocacy and promotion activities will be easier to evaluate than those that are broadly focused. Evaluation methods could include feedback from the identified audience, or from members of the association involved in supporting and delivering the activity. An association could also develop a set of questions eg were the necessary resources (both financial and human) available, did the activity reach the identified audience, did the planning keep to time and milestone met, what difficulties were encountered?

Suggested strategies for supporting advocacy and promotion activities

Strategy	Audience	Activities
<p>To create a general awareness, elicit support and foster an appreciation about archives and the archival profession in the general community.</p>	<p>- General public or broad community</p>	<ul style="list-style-type: none"> - Publish brochures explaining archives, the profession and the association for community groups and send to identified groups, or place strategically at community venues. - Speak at community forums. Develop a set of speaker notes and PowerPoint slides to support these presentations. - Prepare feature articles and submit to the media. - Present seminars/ workshops with specific broad community appeal. - Publicise association events to a wider community audience, where they have a relevance to a broad audience. - Develop information packages to distribute at community events and venues. - Set up a portable promotional display unit to use at community events and venues. - Make submissions were appropriate on broad community issues where archival matters are relevant.

Strategy	Audience	Activities
		<ul style="list-style-type: none"> - Establish a website for the association.
<p>To develop an ongoing relationship with government, specific community groups and business decision makers in order to promote an awareness and foster an appreciation about archives and the archival profession.</p>	<ul style="list-style-type: none"> - Government - Community groups - Businesses - Other professionals eg accountants, lawyers. 	<ul style="list-style-type: none"> -Establish a relationship with representatives of decision-making organisations and appoint a member to be a central communication point for developing and nurturing an ongoing relationship. -Publish a brochure for community, Government and business decision makers explaining archives, profession and the association. -Talk at other professions' conferences, and other general conferences that decision makers would attend and invite them to speak at the association's conference. - Place brochure about the association into other professions' conferences satchels. - Advertise and write articles in their publications, or publications they would read.
<p>To reach professionals who are not members of the association to promote and encourage membership.</p>	<p>-Archival professionals who are not members of the association.</p>	<ul style="list-style-type: none"> -Publish brochure explaining the benefits of membership of the association. -Arrange an information session for potential new members. -Write letters to potential members inviting them to join the association. - Appoint members of the association to establish personal

Strategy	Audience	Activities
		<p>contact with these potential members.</p> <ul style="list-style-type: none"> - Add details of membership on the association's website, including membership forms and a list of benefits to be obtained from membership.
<p>To create an awareness with students about the possibility of a career in archives.</p>	<ul style="list-style-type: none"> - Students - Academics - Career Counsellors 	<ul style="list-style-type: none"> - Meet with students, academics, and career counsellors and discuss opportunities. - Publish a brochure for students, academics and counsellors explaining archives, the profession and the association. - Address student groups. - Appoint an association member as a liaison officer for students wanting more information on the profession. - Establish a mentor scheme for students to encourage interest in the profession and the association. - Place information about following a career in archives on the association's website.
<p>Build cooperative alliances with kindred professional associations.</p>	<p>- Kindred associations</p>	<ul style="list-style-type: none"> - Talk at other professions' conferences and invite them to speak at the association's conference. - Write for their newsletter/journal on topics of interest to both professions, and invite them to write for the association's publications. - Advertise in their publications.

Strategy	Audience	Activities
		<ul style="list-style-type: none"> - Prepare a brochure about explaining the profession and the role of the association. - Place brochure about the association into other professions' conferences satchels. - Appoint an association liaison officer to support and nurture the relationship with kindred associations.

Bibliography

Elsie Freeman Finch ed., ***Advocating Archives: An Introduction to Public Relations for Archivists***, The Society of American Archivists & The Scarecrow Press, Inc, Metuchen, 1994.

Professional Association websites:

American Society of Archivists - <http://www2.archivists.org/>

Association of Canadian Archivists - <http://archivists.ca/>

The Archives and Records Association, UK and Ireland - <http://www.archives.org.uk/>

LOBBYING AND PUBLIC CAMPAIGNS FOR PROFESSIONAL ARCHIVAL ASSOCIATIONS

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Introduction

Most professional archival associations have as one of their objectives “representing and promoting the profession”. This paper presents advice on one important aspect of promoting and representing the profession – lobbying.

Lobbying or public campaigns are used to influence events or a decision and to solicit support for archives and archivists. This paper does not cover public awareness campaigns used to generally educate or promote archives in the community. Often the nature of public campaign activities will depend on the context in which the association operates. In particular, the nature of social and political systems and the level of community understanding of archives will influence the type and extent of public campaigns that professional archival associations are able to undertake. Despite these differences, the following paper gives some general guidance on planning and undertaking public campaigns. It includes references to additional sources of information, step-by-step guides on what to do and what to avoid, and some example documents.

A touchstone for lobbying activity should be the ICA Code of Ethics. The Code indicates the kinds of situations where archivists may think it necessary to lobby. The ICA Code of Ethics can be found on the Internet at the ICA Website (www.ica.org) at <http://www.ica.org/5555/reference-documents/ica-code-of-ethics.html>.

Types of situations when an archival association may undertake a public campaign

An archival association can undertake a public campaign to:

- influence the development of legislation or other policy statements
- support archives organisations under threat
- raise public awareness of an archives related issue
- challenge an action taken about archives or records

The role and actions taken by an archives association will depend on:

- the size and nature of the archives organisation
- the political and social context

It is crucial that the association is responsible to its members and the preserves the integrity of the profession in all its actions. In public campaigns the association’s spokesperson will be seen as speaking on behalf of the whole community of archivists. It is important to act professionally and not do anything that would bring the association or the profession into disrepute.

Setting priorities and planning the campaign

It is important for the association to set its own plans and priorities so that it can be most effective in its efforts. Associations may have different priorities at different times. For instance, if archives legislation is being prepared, the association may be very active

in commenting on such legislation and meeting with politicians. At another time, it may be active in preventing the closure of an archives program by raising media attention. All activities will need resources so it is important to have a clear idea of the priority the activity has for the association. This is especially because the association will be doing many other things such as serving members, producing publications, etc. The association will need to define whether the public campaign is one activity or many, and whether the campaign will be short term or continuous.

The association will need to have a good idea of its environment and current events in order to gather the information base for a public campaign. Members can be critical in assisting to identify when and how the association could take action.

In developing the plan or strategy, the association must be clear about

- its objective or aim
- who the audience is
- what steps or actions will be taken and when
- who is responsible for undertaking the action
- costs or resources

Types of action: Media campaigns

When an issue about archives or records is of public interest, the archival association may choose to run a media campaign. This involves preparing and issuing media releases and having one or more spokespersons to deliver the association's message. Publicity events can also be organised as part of the media campaign.

It is crucial to have a simple and consistent message. Nominating a single spokesperson can assist with keeping the message consistent but it is also useful to have a few people who have a good knowledge of the issue in case they are needed to respond to media contacts.

The media release

The targeted issuing of media releases is a vital part of playing the media game. It is best to write as much as possible for the media by preparing media releases that can easily be turned into articles. So, media releases should be written in a journalistic style and should not be too long. Elements to remember are:

- an attention grabbing heading and opening sentence;
- pithy and memorable quotes from a person in authority such as the President (or equivalent) of the association or another spokesperson;
- a clear explanation of the issues;
- always include contact names and phone numbers so the journalist can pursue further information;
- include something you know will interest them such as the local aspect.

The interview

It is important to be well prepared for any interview with a member of the media, especially for television and radio interviews which may be 'live'. Know the issue you are concerned about well and anticipate unusual questions where possible. It is useful to make a note of some general facts, figures and examples about archives so that you sound authoritative.

The interview may also take an unexpected turn into general questions about archives so try to prepare generally. You may get a question such as 'how many people use archives?' Have a few phrases about the issue ready, which you can use confidently at appropriate points. A simple, brief phrase will have more impact in most media situations than a detailed explanation. Take a particular perspective or 'spin' on the issue - controversy is always of interest to the media. But be careful not to sound as if you are complaining without offering any constructive points. Try to build sympathy for your case. Be reasonable, knowledgeable and enthusiastic about the subject.

Developing media contacts

It is important to target stories to the media where they are best suited. A message about the pervasion of electronic records in the modern working environment would be best directed to the editors of information technology sections in major newspapers or specialist journals. A message about threats of closure of an archives could be directed to print, radio and television in the local media and nationally. Locating a directory of media contacts is a vital tool for the association in targeting the media campaign. Once you have made contact with a journalist who shows interest in archives it is useful to foster the relationship.

Build alliances with others who share your concerns and can deliver a similar message from their own perspective.

Types of action: Building supportive alliances

In any public campaign, strong alliances with groups who have similar interests can be of great assistance. Archivists traditionally have formed alliances with those in either the cultural heritage or information management fields. So natural allies tend to be researchers and historians, museum curators, records managers and librarians. There is scope to form new alliances with professionals from different fields such as auditors, lawyers and information technology specialists. Sometimes these allies have dealt with the issue of concern before and can give valuable advice.

You can prepare the ground with some allies long before you need their assistance by maintaining regular contact either in person or by correspondence. When you need to enlist their help, they are more likely to understand your concerns. You can establish regular liaison at an executive level and take opportunities to provide documentation about your association. If an issue arises where you might want to implement a media campaign, be sure to inform them of the issues so that you can work cooperatively. There may be common approaches in making a submission to an inquiry on an issue of interest to both groups. It is possible to make a joint submission or independent submissions with some common themes.

Types of action: Making submissions

Government bodies often consider issues with implications for archives and archivists. Professional archival associations may provide submissions to such bodies. Examples of occasions when this could happen are the drafting of archives legislation, an investigation by a parliamentary committee into an issue like freedom of information.

Submissions should:

- Give a clear indication of the professional associations credibility and interests. It may be useful to mention how large the association is and where members work. It is also useful to state the aims of the association and why it may be interested in the issue.
- Relate as closely as possible to any terms of reference. Your input will be more easily dealt with and incorporated if it is aligned to the issues already identified for investigation. Sometimes there may be an issues paper to respond to. This allows greater flexibility to cover broad issues but always come back to the main points.
- Include recommendations or clear statements about what outcome the association would like.
- Include contact details so that those investigating the issue can ask further questions if they need to.

It is also likely that there will be public forums in which to make oral submissions to an inquiry. If the inquiry is not this formal, the association may be able to make appointments to see those undertaking the investigation to present the association's views. When appearing to give evidence or make an oral submission to a formal inquiry it is important to:

- Be able to summarise the main points of any written submissions.
- Make strong statements about the actions or position recommended by the association.
- Have well defined supporting arguments for each point.

Types of action: Legal challenges

On occasions a professional archival association may become involved in legal action concerning an archives related issue. Taking legal action can gain significant public attention for an archival issue. However, the decision to institute legal action should always be carefully considered, as it is likely to be lengthy and expensive. Other options, which could be taken to achieve the desired outcome, should be considered before legal action is commenced and sound advice from legal experts is critical to considering possible options.

Some example cases

Campaign to stop the closure of an archives

The Noel Butlin Archives Centre in Australia is a national archives which collects the records of Australian business and the labour movement. It is based at the Australian National University in Canberra. In September 1997 it was threatened with closure and the dispersal of the collections. A number of groups including the Australian Society of Archivists, the Friends of the Noel Butlin Archives Centre and the Association of Labour Historians participated in a media campaign to prevent the closure of the Centre. The media campaign accompanied a letter writing campaign directed at the University administration. The media campaign included issuing press releases and giving interviews on radio and for the press. The main messages of the campaign were:

- the crucial importance of the collection to an understanding of the Australian nation - the national scope of the collection was emphasised and examples of particular 'gems' were described;

- the types of people using the collection and how they would be disadvantaged;
- for local media, aspects of staff numbers being reduced and general community impact were emphasised; and
- the small cost of maintaining the archive given the great public benefit.

More information on the events can be found in “Where have all the [Business] Archives gone?” a conference paper by Kathryn Dan and Bruce Smith delivered to the 1999 Australian Society of Archivists conference (www.archivists.org.au/events/conf99/dan_smith.html)

Making a submission on an issue of concern

The Federal archives legislation in Australia was reviewed by the Australian Law Reform Commission, an agency of government tasked with reviewing aspects of the Australian legal system and its implementation. The Commission issued an initial discussion paper seeking general public comments. The Australian Society of Archivists wrote a submission to the Commission, which gave responses to the questions raised in this issues paper. Members also participated in discussion forums organised by the Commission. When the Commission prepared a draft recommendations paper, the Australian Society of Archivists responded in writing and also invited members of the Commission to attend a meeting of the association’s executive council for to discuss the options.

Taking legal action to protest actions affecting an archives

In New Zealand two associations, Archives and Records Association of New Zealand and the New Zealand Society of Genealogists took legal action in respect of restructuring of the National Archives. It is described in Rachel Lilburn’s article in *Government Information Quarterly*, (Volume 15, Number 2, pp 173-196) ‘Public Archives: Heritage, Happiness or Horror Story?’. The story is still unfolding. A High Court hearing was held in Wellington in early 1998 and a judgement released in August 1998. The judgement suggested that it was too early to determine whether the fears of the plaintiffs were well founded. It suggested the parties attempt to resolve matters. It is possible that administrative events may overtake the resolution of the legal case.

Campaign to change a political decision

With a change of government in Italy it was proposed to abolish the system of having a regional superintendent of archives. The association worked with other interested parties to gather signatures of protest and meet with politicians to present a case for retaining the system. This was successful.

Selected sources of additional information

Australian Society of Archivists. *Lobbying Guidelines for ASA Council*. January 1998. Available at <http://asa.oxideinteractive.com.au/lobbying-guidelines-asa-council>

Bryan Corbett. “ACA’s Public Awareness Strategy”. *Janus*, 1997, 1, pages 73-109.

Elsie Freeman Finch, editor. *Advocating archives: an introduction to public relations for archivists*. SAA and Scarecrow Press, 1994.

Ann Ten Cate. *Promoting archives: a handbook*. Association of Canadian Archivists, 1992.

Jenny Edgecombe, *Water Dripping on Stone: Development of New Archival Legislation in Western Australia*, Australian Society of Archivists Conference 1999, <http://asa.oxideinteractive.com.au/asa-1999-conference-jenny-edgecombe>

Step-by-step advice

What to do

Do your homework. Make sure you find out the facts of the situation before taking action and make sure you have an agreed position within your association.

Look for a coordinator and committee of enthusiastic people who can concentrate on the lobbying campaign. Lobbying needs constant monitoring and effort.

Report regularly to association members to maintain direction and ensure continuing support.

Look for allies, enlist their help and keep them informed of developments.

Recruit public figures to your cause.

Prepare useful documentation – briefing notes, media releases, submissions and letters.

Leave your ego at home when writing a submission, and ask someone with previous experience to help smooth the rough edges of what you write.

Make sure that significant numbers of personal submissions are made by your members in addition to those formally made by the association.

If you conduct a letter-writing campaign, ensure that members personalise their letters. Politicians will take no notice of form letters, but if there are individualised letters on the same topic, they will start to think there is significant concern.

Media releases should be brief and to the point, using your most articulate, informed member as contact person. Try to make personal contact with the target media outlets.

Arrange personal meetings with politicians or key players.

Prepare carefully for these meetings. Decide on two or three points you can make quickly and clearly. These are busy people you are dealing with. Take a written summary you can leave with them.

Be confident and professional in presenting your case. You might be surprised by how interested people are in what you have to say.

Keep everyone informed. It is important that any members of your association who might possibly be in a position to comment are aware of your position.

Create publicity by issuing an authoritative statement in an impressive format.

Make a significant gesture and bring in the heavy artillery when it might have the most impact.

If members consider the cause to be sufficiently important, spend the money to gain access at the highest levels.

Learn from others with experience.

Maintain the momentum and keep up the pressure.

What to avoid

Public airing of differences with other professional bodies during a lobbying campaign is of absolutely no interest to the people you are trying to influence. Stick to your common concerns.

An expensive and extensive campaign can debilitate a small association. You will need to have the necessary resources and agreement that the lobbying action is a high priority.

Avoid conflicts of interest for those undertaking lobbying.

Don't forget your own members during the heat of the campaign – keep them informed and involved.

Try not to become locked into a reactive negative approach because you are fighting something you don't want. Try to look for positive options.

The whole debate can become too personal – always keep a professional outlook.

Don't waste efforts on addressing the wrong person. Try to target those who have influence over the outcome.

Examples of documents you can use

A submission	Annex 1
Media releases	Annex 2, 3, 4
A letter expressing protest	Annex 5
A letter seeking support from allies	Annex 6
A letter keeping association members informed	Annex 7
A letter expressing concern and seeking information	Annex 8

Australian Society of Archivists Inc.

Submission to the House of Representatives

Standing Committee on Legal and Constitutional Affairs

Inquiry into the Treatment of Census Forms

The Australian Society of Archivists Incorporated (ASA) is the national professional association which represents archivists in Australia. It was established in 1975 and has over 800 members, professional and para-professional. Members work with archives and records in a range of organisations: all levels of government, companies and businesses, universities, schools, religious organisations and community bodies, libraries and museums, and as independent consultants. The ASA is a member of the International Council on Archives (ICA) an international non-government organisation which operates under the aegis of UNESCO.

Archivists ensure that records which have value as authentic evidence of administrative, corporate, cultural and intellectual activity are made, kept and used. The work of archivists is vital for ensuring organisational efficiency and accountability and for supporting understandings of Australian life through the management and retention of its personal, corporate and social memory.

The Census of Population and Housing is a unique survey record of Australian society. As name identified data, it could provide a significant research resource to future generations. The 1993 Annual General Meeting of the ASA passed a resolution concerning the Census. It appears at Appendix 1.

Comments against terms of reference

- **The effect retention would have on the quality, and hence the value, of data from future censuses and other ABS collections**

It has been argued over a number of years that if name identified census data were retained, the Australian public would no longer have faith in the process and would provide inadequate or misleading information on Census returns. While there may be a high level of distrust currently, this largely relates to poor levels of knowledge about the long term value of the information, its potential benefits to society and the level of security which can apply to government records held in archival custody. The ASA considers that such fears are unfounded and could be overcome through an education campaign to raise awareness of the value of the information and the good security record of government archives. There are clear overseas examples where retention and long delayed release of name identified data coexists with public cooperation in successful conduct of censuses (UK and USA for instance).

- **The privacy concerns relating to the storage and use of name-identified census data**

The ASA acknowledges that there are public concerns about privacy and the protection of personal information. However, the ASA would argue that the privacy of personal information associated with census data can be adequately be protected against any likely breach.

Archives throughout the world have a long history of providing protection to information of a personal nature as well as information which may have other sensitive aspects such as national security and commercially confidential data. To the ASA's knowledge there have been no cases of breaches of privacy or confidentiality in relation to records held by archives in Australia. It is one of the central professional responsibilities of the archivist to administer access to records in such a way that privacy and other concerns are protected. The ASA's code of ethics, for example, states in relation to confidentiality and privacy that:

3.7.5 Archivists shall protect personal information gained under privilege and contained in records in their custody. Subject to relevant legislation and/or conditions of transfer, archivists shall neither disclose nor enable others to disclose, personal information that would identify individuals as subjects of case files without their consent.

Furthermore, the ASA is not aware that the Australian Bureau of Statistics (ABS) has ever had a breach of security in the collection and compilation of data where personal information is concerned. The ASA considers that the record for protection of privacy in Australia by archivists and the ABS is excellent.

In order to further assure the public of the security of personal information, the ASA would suggest that personal information (name and address data) be stored separately from other data until such time as the complete census information could be reunited for public release. There would be efficiencies in holding both sets of data electronically until matching which could be done at a period as much as 100 years after the taking of the census.

The experience of the USA, United Kingdom and Canada, countries with similar socio-political backgrounds, is that name identified census data can be held safely and made accessible many years after collection.

- **The value of name-identified records for medical, social and genealogical research released after a significant period of time**

The International Council on Archives together with UNESCO has undertaken international studies in archival science under the Records and Archives Management Program (RAMP). A 1991 RAMP study, *The archival appraisal of records containing personal information: a RAMP study with guidelines*, states that, "the historical research potential for certain categories of records containing personal information is ... extraordinarily high and forms an important part of our collective memory in a democratic era" (p.2). It describes the national census as "the single most essential personal information record in terms of both research for many disciplines and for genealogists", listing it among "classes of records containing personal information which should be preserved by archivists around the world" (p. 22).

The Census as a regularly taken comprehensive survey of Australian society is unparalleled as a potential research resource. The peculiarly valuable aspect of name-identified census data is that it enables the individual to be placed in a context and related to other individuals. Research may be undertaken many years after the point of collection of the data, when the individuals and immediate family members may be deceased. Even after such a passage of time, the information can contribute significantly to our understanding of Australian society particularly in disciplines such as social history and the social sciences. R. J. Morris of the University of Edinburgh has argued that record linkage is an essential tool for the historian in revealing the complexity of social history. "The preservation of innominate records will permit only limited internal analysis of a document. ... When the interest is in groups rather than individuals, something may be recoverable from such emasculated records. Where the interest is in collective biography ... such emasculation will destroy historical evidence." (p. 510). In the case of census records, "the different levels of enumeration district, household and individual are all relevant for social science analysis, and provision for the linkage of information from one level to another is essential for full use of the document." (p. 505).

Census information which survives from last century has been used to examine the factors influencing the development of early Australian society. C. B. Schedvin, a leading Australian economic historian and Deputy Vice-Chancellor (Academic) at the University of Melbourne, has commended the research on long term development of the American economy able to be undertaken because of the micro-level data sets available from the United States Census manuscript records. Areas of study included labour force estimates, mortality, migration, wealth and inequality.

When identification of individuals is possible, researchers are able to match the same group of individuals according to characteristics so that they can be studied either at one point in time or over several years. This is particularly important for epidemiological research. Medical researchers point to the need for identification of individuals and families in the research on genetic factors in health and risk factors for particular groups. (see *Privacy and the Census*, pp 39-41).

- **The cost of retention**

It is true that retention of any records has a cost. However, consideration should be given to whether the cost of retention is outweighed by the value to Australian society of the information to be retained. The Australian population makes a significant investment in the collection of census data. To attain full value from the Census that Australian public should have the opportunity to benefit from the research use of the name identified information in the long term in the same way as it benefits from the use of statistical compilations in the short to medium term.

The ASA would suggest that personal identifying information also be converted to electronic form at the same time as other data from the census forms is captured into electronic form. The personal information could be held separately but in such a way that at a later date it could be matched with the remaining general census data. It would be possible for the data to be held at a location physically remote from non-identified data, for example, at the Australian Archives thus providing greater assurances of security.

In summary, the ASA considers that name identified census data is of high value to the Australian community. It considers that the information should be retained for release after 100 years. It recommends that this release of information be managed by the Australian Archives in accordance with general archival principles. The ASA considers that security of personal information can be assured through professional practices of statisticians and archivists. The ASA supports the retention of name-identified census data.

Sources

Law Reform Commission. *Privacy and the Census*. Report no. 12. Canberra, 1979.

R. J. Morris. "Does nineteenth-century nominal record linkage have lessons for the machine- readable century?" *Journal of the society of Archivists*. Vol. 7, no. 8, October 1985.

Letter from C. B. Schedvin to Director-General, Australian Archives, 25 November 1988 (copy held by Australian Society of Archivists)

UNESCO. *The archival appraisal of records containing personal information: a RAMP study with guidelines*. PG1-91/WS/3. Paris, 1991

Census Data

That this meeting - noting that a paper was published in 'New Zealand Archivist' December 1992 supporting the policy of retaining only de-identified census data - confirms its support of the policy espoused recently by the ASA Council, which we summarise as follows:

- That the National Census is the most important of all personal information records in terms of its research value for many disciplines and genealogists;
- That de-identification of the data destroys much of this value;
- That the risk to civil rights and privacy from complete retention has been exaggerated;
- That long term closure against direct public access would adequately protect civil rights and privacy;
- That the present policy of de-identification and destruction of forms achieves little more in that regard;
- That retention of data in electronic form would facilitate research and reduce costs.

Resolution passed by the Annual General Meeting of the Australian Society of Archivists Inc., 17 June 1993.

AUSTRALIAN SOCIETY OF ARCHIVISTS MEDIA RELEASE

OUR HISTORY PRESERVED

A Parliamentary inquiry has recommended that name-identified information from future censuses be kept for the benefit of future generations. The House of Representatives Standing Committee on Legal and Constitutional Affairs has reported on the first major public examination of the practice of destroying name identified census forms conducted since the Census was first taken in Australia.

In its unanimous report, the Committee recommends that the forms completed by Australians every five years when the census is taken be kept under strict protection by the Australian Bureau of Statistics and the Australian Archives. They have further recommended that the information contained in the forms only be released for researchers 100 years after the census was taken.

The Australian Society of Archivists (ASA) has expressed strong support for the Committee's conclusions and has written to the government commending the report and calling for speedy endorsement of its recommendations.

According to ASA National President Kathryn Dan, "This report recognises the crucial importance of keeping a full record of Australian life today to benefit future research on Australian society. Taking the census is a huge investment for the Australian people and we should make sure that the full benefits of that investment are realised by future generations."

"The value of the information contained in the census forms is unparalleled. It gives us a picture of ordinary people and their lives. It would be a terrific waste to abandon that research resource."

The committee has also made provision for strong protection from unauthorised access to this information. The Australian Society of Archivists supports these recommendations on security. "We are very pleased that the committee has recognised the importance of long term protection for this sensitive information," said Ms Dan. "Professional archivists have a long history of providing protection to sensitive information of all kinds and have strong codes of practice in this area."

"This report brings us hope that information on Australian society in 2001, the centenary year of Federation, will survive to tell our story to Australians in another century."

For further information contact xxxx on (xx) xxxx-xxxx or, after hours (xx) xxxx-xxxx.

AUSTRALIAN SOCIETY OF ARCHIVISTS MEDIA RELEASE

ANU Abandons National Heritage

Outrage and alarm have greeted a decision by the Australian National University to mothball one of the nation's premier collections of historical records.

The National Council of the Australian Society of Archivists, meeting today in Canberra, has condemned the Australian National University's move to close the internationally respected Noel Butlin Archives Centre. The decision, which was announced by the Director of the ANU Research School of Social Sciences yesterday, would mean the closing of the Archives on 31 December 1997. The decision has been made in the context of financial problems and budgetary cuts being experienced within the University.

The Noel Butlin Archives Centre, which was established in 1952 as the Archives of Business and Labour, holds Australia's premier collection of historical records of companies, trade unions and employer and professional organisations dating back to 1824.

The President of the Australian Society of Archivists, Kathryn Dan, said today that "it is a tragedy that the ANU is prepared to oversee the loss and dispersal of a collection which is widely regarded as being of unparalleled national significance. It is a matter of grave concern that historical records such as those of the Australian Agricultural Company, CSR Limited, Dalgety's, Burns Philp, the ACTU, the Waterside Workers Federation and the Miners' Federation can be placed in such peril."

"This is an essential and irreplaceable component of Australia's national heritage" said Ms Dan, "and I am appalled that the ANU can simply walk away from a commitment made in good faith to its depositors and users to ensure the long-term preservation of these invaluable records."

The Australian Society of Archivists calls on the ANU to reverse its decision and reiterate its commitment to provide adequate funding for the continued operation of the Noel Butlin Archives Centre. While the Society appreciates the financial difficulties currently being experienced by the ANU, future generations of Australians will forever regret this short sighted and irresponsible decision.

For further information contact Kathryn Dan on (xx) xxxxxxxx or, after hours (xx) xxxxxxxx, or Adrian Cunningham on (xx) xxxxxxxx or, after hours, (xx) xxxxxxxx.

23 August 1997

AUSTRALIAN SOCIETY OF ARCHIVISTS AUSTRALIAN SOCIETY FOR THE STUDY OF LABOUR HISTORY JOINT MEDIA RELEASE

Optimism that Archives will be saved

The Australian Society of Archivists (ASA) and the Australian Society for the Study of Labour History (ASSLH) have expressed cautious optimism that the Australian National University will soon be able to guarantee a secure future for the Noel Butlin Archives Centre.

This optimism is the result of recent constructive discussions between representatives of the ASA and Mr Chris Burgess, the ANU's Pro Vice-Chancellor for Finance and Development. At these discussions Mr Burgess provided details of the latest version of the ANU's proposed 'rescue package' for the archives. The current proposal provides a budget for the Archives of around \$280,000 per annum for the next three years, during which time a fundraising campaign would be implemented with the aim of transforming the Archives into a largely self-funding facility.

According to ASA National President Kathryn Dan, "This latest proposal represents a substantial improvement over the ANU's earlier 'rescue package', which appeared to only guarantee funding for one staff member during the three year period of transition. Under the current proposal the Archives should have sufficient funding for four positions, a staffing level which the ASA regards as being the absolute minimum required to keep the Archives operational during the transition period."

Ms Dan said "we are delighted that the ANU now intends to resource the Noel Butlin Archives Centre while steps are taken to secure independent sources of funding. The ASA endorses the ANU's long- term vision for an archival facility with partial support from external funding sources, especially as the ANU now intends to establish its own in-house archives for University records as an adjunct to the collecting archives function currently performed by the Noel Butlin Centre."

National President of the ASSLH, Greg Patmore, also expressed support saying, "the ASSLH welcomes this proposal and would certainly provide its support and assistance to the University to maintain the integrity of the collections and the infrastructure to support them. We wish to ensure that the Noel Butlin Archives Centre is able to continue as an important source of research material for Australian historians."

"The ASA hopes that the proposal as outlined by Mr Burgess will be approved by the ANU's Finance Committee at its meeting on 21 November and ratified by ANU Council at its December meeting" said Ms Dan. "The ASA and ASSLH look forward to being able to work with the ANU authorities to ensure the continued development of the Noel Butlin Archives

Centre as a nationally respected facility providing specialist business and labour documentation and professional recordkeeping expertise."

This media release has also been endorsed by The Friends of the Noel Butlin Archives Centre and The Australian Historical Association.

For further information contact the ASA - Kathryn Dan on (xx) xxxx-xxxx or, after hours (xx) xxxx-xxxx. ASSLH - Greg Patmore (xx) xxxx-xxxx.

5 September 1997

Professor Deane Terrell
Vice-Chancellor
Australian National University
Canberra ACT 0200

Dear Professor Terrell

Proposed Closure of Noel Butlin Archives Centre

The Australian Society of Archivists wishes to express its alarm and profound disappointment at the reported decision to close the Noel Butlin Archives Centre at the end of this year. The Noel Butlin Archives is a premier collection of historical records from companies, trade unions, employer and professional organisations and a vital resource for research and study. The Archives form a significant part of the nation's research infrastructure and therefore the decision to abandon them does a disservice to historians now and in the future.

Our concern extends, not only to those collections currently in the custody of the Centre, but to those records where completion of transfer to the Centre is pending. What arrangements have been made to fulfill the University's commitment to depositors to provide a professional archival service for their records? The University seems to be abandoning this commitment. The care and management of both existing collections and those where the transfer is pending require proper archival management.

Without the attention of professional archival staff the integrity of the collections and the provision of services to researchers are threatened. The Australian Society of Archivists calls on the University to reverse its decision to close the Noel Butlin Archives Centre and to give a commitment to provide adequate funding for its continued operation.

While the Society appreciates that this decision has been made in the context of general financial problems and budgetary cuts within the University, its impact will reach far beyond the University, impinging on the work of Australian and international scholars. In June I wrote to the Acting Director of the Research School of Social Sciences suggesting that options to increase the value of the Centre to the University could be explored. For example, the nucleus of professional staff at the centre could contribute to the management of the University's current and archival administrative records. I note that the ANU is the only one of the eight longest established universities in Australia which does not have an archives for its own records. I would appreciate hearing whether full consideration has been given to this possibility.

I and members of the national Council of the Society would be willing to meet with you to discuss any issues concerning the management of an archives of this size and possibilities which could be explored to ensure that this important resource continues to be available for researchers.

In the meantime I would appreciate it if you could clarify for our members:

- the University's plans for the existing collections should the Centre close in December;
and
- arrangements for ensuring that the collection is managed by professional archival staff if the University retains records from the collection after December.

If you wish to discuss any of the issues raised in this letter, I can be contacted on xxxx xxxx.

xxxxxxx
President

Dear Colleague

Proposed Closure of Noel Butlin Archives Centre, Australia

I am writing to seek the assistance of the International Council on Archives Section of Business and Labour Archives. You may not be aware that the Noel Butlin Archives Centre (formerly known as the Archives of Business and Labour) is threatened with closure at the end of this year. The Noel Butlin Archives is a premier collection of Australian historical records from companies, trade unions, employer and professional organisations and a vital resource for research and study.

The Noel Butlin Archives Centre is situated within the Research School of Social Sciences (RSSH) at the Australian National University. Over recent years it has suffered diminishing resources. The Director of the RSSH has announced the intention to close the Centre if no external source of funding can be found to sustain it. Further, it is not clear what will be the fate of the records should the closure go ahead.

The Australian Society of Archivists is concerned that the Centre may close and the records either "mothballed" or the most attractive components dispersed to other institutions. Our concern extends, not only to those collections currently in the custody of the Centre, but to those records where completion of transfer to the Centre is pending. Both existing collections and those where the transfer is pending require proper archival management. Without the attention of professional archival staff the integrity of the collections and the provision of services to researchers are threatened. The collection of the Noel Butlin Archives Centre is a resource for both Australian and international scholars. Together with historians, the Australian Society of Archivists is lobbying with the University and government for the retention of the collection as an integrated whole with proper professional care. To date the RSSH has not altered its position. (I have enclosed a copy of the Australian Society of Archivists' media release on the subject and the most recent response from the Director of the RSSH.)

The Australian Society of Archivists would like to seek the assistance of ICA/SBL in voicing international concern for the impending loss of such an important archival resource. It would be much appreciated if you were willing to write to the Vice-Chancellor of the University and the Minister responsible for higher education in Australia expressing support for the Centre and its continued operation. I have provided contact details below.

Alternatively you may wish to supply a general letter of support to the Australian Society of Archivists for use in lobbying within Australia. If you would like further information or would like to discuss any of the issues raised in this letter, I can be contacted by e-mail at xxxx.

Yours sincerely

President

9 November 1997

Secretary, NSW Branch
Australian Society of Archivists

Dear

Thank you for your letter regarding the Noel Butlin Archives Centre. It has been excellent to see the level of support for the Archives throughout the archival community and I am pleased to report to you and Branch members that prospects for the Archives are starting to look much brighter. I am certain that this is largely due to the significant groundswell of opinion expressed to the University and particularly to the Vice Chancellor.

Adrian Cunningham and I met last week with the Pro Vice-Chancellor for Finance and Administration, Mr Chris Burgess, the University's business development manager, Bruno Ivanovich, and Paul McPherson of the University Library. At that meeting we heard a fairly detailed outline of the University's proposals for the survival of the Noel Butlin Archives Centre (NBAC). The proposal includes funding for NBAC over the next three years while fundraising activities are undertaken. Responsibility for NBAC will move to the mainstream of the University being attached to the University Library and the archives will move to a new building. In addition the ANU is intending to finally establish a University archives for its own records. The proposal is due to be discussed by the University's Finance Committee towards the end of November and will be presented to the December meeting of the University Council.

We have given cautious endorsement to this plan and will be observing the University's actions closely to ensure they deliver on the promises. An area which particularly concerns us, and where we have offered advice and assistance, is the planned re-appraisal of the collection. A brief article will appear in the next Bulletin to give an update on the situation.

Thank you for your suggestions for further action. I have written to the Minister for Education (no reply), and Adrian and others involved with the Friends of the Noel Butlin group have lobbied individual members of the University Council. I expect we will try to continue to use the Australian's Higher Education supplement as a forum to express our views should we need to in the future. I believe that NBAC itself has had support from the ACTU and we would certainly look on them and the ALP as allies should we need to revive a public campaign concerning the future of NBAC.

Yours sincerely,

President

20 June 1998

Vice Chancellor
xxxx University

Dear Professor xxx

I am writing to seek your advice about the current status of the University archives. It is rumoured that the University archives are to close. If these rumours are correct, I would urge you to reconsider and maintain the archives under the care of a professional archivist at the University.

The professional management of the corporate memory of a complex organisation such as xxxx University is a function that is critical to its ongoing efficiency and effectiveness. There have been considerable changes and restructuring of the tertiary sector in the last decade which have made the tracking of past decisions through records even more important to the ongoing operations of the organisation. This is particularly evident with the growth of electronic records systems which must be properly managed over time to prevent the University's investment being wasted. A properly resourced archives and records service can add significant value to the research and teaching functions of a university by enabling it to better manage its own pool of knowledge.

On behalf of the archival community I urge you not to commit your university to any short-sighted decision which places the archives in peril and which you and your successors may come to regret in the future. I hope you will be able to provide a reassurance that the University will be maintaining its archives. If you wish to discuss the future of the University archives with me, or any of my colleagues on the Society's Council, we will be only too willing to make ourselves available.

Yours sincerely

President

DEVELOPING A MENTORING PROGRAM: GUIDELINES FOR PROFESSIONAL ASSOCIATIONS

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Introduction

Significant challenges relating to generation renewal and professional development are being faced today by archives and records management associations. Many associations are in a situation where their membership profile is aging with younger members being reluctant to take on active leadership roles. In addition, both new and long standing association members are working in an increasingly challenging, complex and fast changing industry resulting in a situation where they often need help and guidance to enhance professional knowledge and contacts. One approach to address the needs of both an association and their members is to establish a mentoring program. Such programs can be seen as a form of continuing professional development and while they will not meet all of the development needs of members they can provide members with a form of professional enhancement which focuses on their needs providing them with advice, encouragement and empathy. Mentoring can be carried out on a formal basis (i.e. part of an association mentoring program), or informally (i.e. not supported by an administrative framework but rather a casual networking arrangement). These guidelines cover mentoring undertaken as part of a formal association mentoring program which will facilitate relationships between experienced association members and new or less experienced members.

Advice detailed in this document has been developed after a survey of existing association mentoring programs from information available online. The checklist and templates should assist any association wishing to develop a program and the case studies show a variety of approaches.

Definitions

Mentor – A mentor is an experienced professional who has worked in the archives/ records management field for several years, who has a good knowledge about the association, and who is willing to assist members seeking career development and profession growth. A mentor shares knowledge and experience, offers advice, facilitates networking and provides support to assist the mentee.

Mentee – A mentee is a member of the association who may be a recent entrant to the archival/records management profession, or a member who wants to move into a different area of the profession or enhance their professional development.

Mentoring program – Is an established framework designed to support the management of an association's mentoring program. A successful mentoring program has an accepted definition of mentoring and a clear purpose and set of expectations.

Benefits of an association mentoring program

Mentoring programs can bring a range of benefits to an association, a mentor and a mentee, including:

Benefits to an association –

- Increase members' understanding about the association
- Helps bridge the gap between long standing association members and new members

- Assist in developing potential association leaders
- Provides a professional development opportunity for members.

Benefits to a mentee –

- Provides professional formal and informal networking opportunities
- Assists in identify areas needed for professional growth and development
- Obtain new knowledge and insights about the profession
- Learn more about the role, work and structure of the association
- Can assist in clarifying career directions
- Provides regular and constructive feedback
- Provides access to a professional support system
- For the mentee that works as a sole archivist, or is geographically isolated from easy contact with colleagues, offers regular contact with a colleague.

Benefits to a mentor –

- Satisfaction from contributing back to the profession
- Assist in the development of future leaders of the profession and the association
- Provides a way of staying in touch to emerging issues relevant to less experienced professionals
- Enhancement of coaching and leadership skills.

Checklist for establishing a mentoring program

The following checklist details criteria that should be considered when establishing a mentoring program:

- Identify aims, objectives and scope of the program
- Decide on the duration of the mentoring program
- Define roles and responsibilities for mentors and mentees
- Allocate responsibilities for running the program
- Develop a problem solving framework
- Develop a promotion strategy
- Develop an evaluation and reporting framework
- Develop a mentoring program policy and guidelines.
- Produce documentation to support the program

Identify aims, scope and objectives the program

It is important to identify clear aims, objectives and scope of the mentoring program making sure it supports the strategic goals of the association. The purpose may vary from one association to another, but some examples include to:

- support the introduction of new members into the association and the profession;
- encourage participation in the affairs of the association;
- mentor members to undertake particular roles in the association;
- promote and expand the professional competencies of young archivists;

- provide ongoing support for established archivists working in isolated situations with no possibility of regular and ongoing professional contact
- support professional development.

Decide on the duration of the mentoring arrangement

Generally the time frame should be long enough to allow the participants to achieve their desired goals and objectives but not so long that the relationship becomes superfluous for either party. It is suggested that for a mentoring arrangement to be effective, the mentoring relationship needs to run for a minimum of six months. More effective results would probably be achieved with relationships of one year or more. Of course the relationship can continue after the formal program ceases and an ongoing relationship would reflect a good mentoring arrangement.

Define roles and responsibilities of mentors and mentees

The roles and responsibilities of mentors and mentees could include:

For the mentor:

- Together with the mentee, decide on the goals of the individual relationship. For example of the mentor it might be to pass on knowledge and share insights about the profession and encourage an active engagement with the association.
- Together with the mentee, decide on regularity, frequency and how contact will occur e.g. face-to-face meetings, phone conversation, by email or some other form of internet communication such as Skype.
- Keep the agreed contact commitments. The occasions when work or personal pressures stop this contact occurring, make sure the mentee is advised of the situation.
- Be a good listener and respect confidentiality.
- Show a willingness to listen and communicate with the mentee.
- Provide guidance, offer relevant advice and give feedback to the mentee when required. Don't feel responsible for solving problems (e.g. finding a position) rather tease out an issue or problem with your mentee encouraging them to find their own solution.
- Introduce the mentee to professional networks.
- Help the mentee explore career development opportunities.
- Understand your own professional boundaries and knowledge and be ready to refer the mentee to others who might have more knowledge.

For the mentee:

- Together with the mentor, decide on the goals of the individual relationship. For example of the mentee it might be gaining networking contacts within the profession to aid their future development and gaining an understanding of how the association operates.
- Together with the mentor, decide on regularity, frequency and how contact is going to occur e.g. face-to-face meetings, phone conversation, by email or some other form of internet communication such as Skype.
- Keep the agreed contact commitments. The occasions when work or personal pressures stop this contact occurring, make sure the mentor is advised of the situation.
- While the mentor will provide guidance, feedback and advice it is up to the mentee to take responsibility for their own development.

- Be proactive in initiating contact with your mentor and asking for feedback and advice.
- Ensure confidentiality is maintained.
- Be willing to listen and learn.

Allocate responsibilities for running the program

A decision needs to be made on who should run the program and allocate responsibilities and a reporting framework. Options could include a committee, a coordinator or paid administrative staff. The person or committee will be required to:

- Plan
- Promote the program
- Recruit participants
- Receive nomination forms
- Match mentors and mentees
- Provide advice to mentors and mentees on the operation of the program
- Provide a central point of contact to support the participants
- Solve problems and issues that may arise
- Evaluate the program
- Write to participants thanking them for their participation
- Report on outcomes

Develop a promotion strategy

A promotion strategy needs development to ensure that all members are aware and informed about mentoring opportunities. Suggested avenues for promotion include:

- Placing announcements about the program in association newsletters/ bulletins; on association listservs and websites.
- Hold information sessions about the program e.g. at association branch meetings and/or association conferences inviting invite past participants to discuss their experience.

Develop a problem solving framework

There are occasions when mentoring relationships do not work. This can be for a variety of reasons including problems with the mentor and mentee finding time to meet or make contact; a lack of personal connection between the pair, and differences between experiences leading to a lack of empathy. A person (e.g. the Program Coordinator or a Program Committee representative) should be identified as a point of contact for the mentor and/or mentee to approach when there are problems and to take responsibility for coordinating an approach to address the issues. Possible approaches could include facilitating discussions with each party or making a decision to abandon the relationship and re-match the mentor and mentee.

Develop an evaluation and reporting framework

Demonstrating the effectiveness and efficiency of a mentoring program is important in ensuring success and acceptance of the program by members. To carry out an evaluation, criteria needs

to be established based on the aims and objectives of the program. It is suggested that evaluations be carried out half way through a program, and at the end.

Methods of collecting the information need to be determined, and can include seeking feedback through an evaluation form or by interviewing the participants. After collection and analysis it is advisable to compile a report, including recommendations for changes, and submit it to the association's governing body.

Develop a mentoring program policy and guidelines

Once decisions have been made on the points outlined in the checklist it is suggested that a written policy and guidelines be developed and promoted within the association so that the philosophies and key operating principles are known and understood and can be referred to by both mentors and mentees.

Develop documentation to support the program

Key set of documentation is required to support the program including:

- Application form(s)
- Welcome letter for the mentor/mentee
- Evaluation form

See the Appendix for examples of these documents. (The welcome letter and the evaluation form are based on those used by the Australian Society of Archivists).

Case Studies of Association Mentoring Programs

Australia – The Australian Society of Archivists (ASA)

The Australian Society of Archivists conducts a bi annual mentoring program.

Information on the scheme is located on the Society's website at -

<http://www.archivists.org.au/asa-mentor-scheme>

Aim – The aim of the scheme is “to encourage archivists to be active professionals”. It offers a partnership where both parties, mentors and mentees, can benefit.

Objectives – The following are the objectives of the scheme:

1. To discuss career options
2. To facilitate contacts/networks
3. To overcome isolation (e.g. geographical or sole archivists)
4. To enrich understanding of the breadth of the profession
5. To increase confidence
6. To learn about roles of the ASA.

Eligibility – All members are eligible to participate as either mentors or mentees.

Role of the mentor –

- listen and provide feedback, give information on different workplaces, arrange visits and introductions and refer the mentee to relevant reading;
- introduce the mentee to colleagues at a branch meeting, refer them to SIGs of interest, encourage them to attend ASA social functions, and introduce the mentee to relevant listservs;
- inform the mentee of educational opportunities such as workshops, conferences etc. and encourage participation, and give a reasonable level of technical advice;
- encourage the mentee to write for journals/newsletters, assist with workshops, visit the mentee's workplace and encourage the mentee to give a tour for an ASA meeting, and encourage nomination for positions in the ASA; and
- explain the various roles of the branches, SIGs and Council, mention the ASA Members' Handbook, explain the role of the ICA and refer to relevant internet sites.

It is not the mentor's role to:

- find the mentee a job or give careers counselling;
- arrange the mentee's social life, give personal counselling or assertiveness training;
- give continuous advice on how to do a job e.g. daily telephone calls, supervision; and
- force a mentee to be an ASA office bearer.

Role of the mentee –

- request guidance about their professional development, education and training opportunities; and
- request information about the ASA and opportunities for further involvement in the Society.

Benefits for mentees –

- receive advice from an experienced archivist;
- provides an opportunity for informal discussion of professional matters;
- provides an opportunity to meet other archivists;
- supports the establishment of informal networks;
- increases knowledge and skills;

- supports professional development; and
- provides an opportunity to understand other people's experience and different perspectives.

Benefits for mentors –

- satisfaction of offering support to another archivist, contributing to the development of the profession and contributing to another person's development;
- provides an opportunity to receive feedback from another professional when offering training advice, to develop your own knowledge and contribute to your own development;
- increased informal networks;
- provides an opportunity for mutual exchange of ideas and information and an opportunity for reflection and discussion with a fellow professional; and
- provides an opportunity to improve the ability to share experience and knowledge.

Program administration – The program is run by a Mentor Scheme Committee (2 people), who take responsibility for advertising the program, matching mentors and mentees, surveying participants on their experience and reporting back to the governing body of the Society. The program runs for 12 months but participants can continue the relationship after that point if they wish. General invitations are issued in the bi monthly ASA Bulletin, and on the listserv for mentors and mentees to participate in the program. Application is made to join the scheme by completing an online nomination form. Surveys are conducted mid year and at the end of the annual program to assess progress.

Canada – The Association of Canadian Archivists (ACA)

The Association of Canadian Archivists runs an annual mentoring program. Information on the scheme is located on the Society's website at <http://archivists.ca/prodev/mentorship.aspx>

Aim and objectives – The goal of the ACA's mentoring program is to facilitate the integration of new archivists into the Canadian archival community by matching them with mentors who may advise and guide them on work and career management issues.

The program is in keeping the ACA Vision Statement goal relating to education and research –“to provide strong and diversified professional leadership by developing, supporting, promoting and, where appropriate, delivering educational and training opportunities, tools and materials that are responsive to the Canadian archival community”.

Eligibility – The program is open to new archivists who are members of ACA. Included are student of archival studies, recent graduate of archival studies, or those who have recently entered the archival profession.

Role of the mentor –

- communicate with the mentee on a regular basis during the mentorship period. If possible, one meeting per month is recommended, of at least one half hour in duration. This may be supplemented by phone calls and emails. In the case of geographic separation of the mentor and mentee, communication only by phone and email is acceptable;
- give information relating to career and skill development;
- listen and provide feedback;
- reflect what is expected and valued in the archival profession; and
- respect confidentiality of the mentee.

Role of the mentee –

- respect the other commitments of the mentor (ie working around the mentor's schedule; and
- respect confidentiality of the mentor.

Criteria for mentors – People selected for mentors should have:

- a minimum of 5 years active participation in the profession
- good interpersonal skills
- be open-minded, understanding and patient
- be trustworthy, supportive, advising and encouraging
- recognise mentees strengths to be developed
- recognise when mentees need guidance, and when they need to be independent
- be recognised as competent professionals by their peers
- have a keen sense of their work within the archival profession.

Program administration – The program is annual but it can continue after that if participants desire to do so. It is run by the ACA's Membership Committee with a nominated Program Coordinator from the Committee's membership. An optional orientation session is run for mentee/mentor pairs and a Mentor Breakfast at the ACA Annual Conference. An annual report is presented to the ACA Board and there is ongoing evaluation of the program. Mentors' and Mentees' join the program by completing an online application form.

Sweden – The Swedish Association of Archivists

The Swedish Association of Archivists runs an annual mentoring program referred to as the “Mentor Bank”. Information on the program is available on the Association’s website in Swedish at www.arkivsamfundet.se

Aims and objectives of the program

The goal of the program is to transfer knowledge and skill from experienced to young archivists and thereby promoting the professional competency of the latter. The program is considered as a complement to the theoretical education in Archival science at the university.

Scope

The program is open to all members of the association.

Duration of the program

A program lasts for one year. Each program starts with a meeting of all mentors and mentees and is concluded with a general seminar.

Role/expectations of the mentor

Through the eyes of the mentee the mentor gets new perspectives on his own job. Mentorship gives a good opportunity for the elder generation to have an insight into the expectations and challenges for younger archivists. The advantage is that the relation mentor-mentee is between two professionals in the same business with a hierarchical relationship but with quite a larger freedom than that between boss and employee.

Role/expectations of the mentee

The project has come to the conclusion that everything evolves from the mentee. If the mentee does not have the will to communicate, set goals for the relation and pinpoint what achievements are expected to come out of the relation, then it will not be a good idea to participate in a program like this.

Responsibility for running the program

The Swedish Association of Archivists runs a modest program. It counts about 5-10 mentors/mentees each program. It is run on a part-time job (25 %) by one person with some help of working group within the association. It is the board of the Association that has the formal responsibility for the program.

Support for the program

Before the commencement of a program coaching is provided by a professional training on how to be a ‘good’ mentor.

Evaluation process

Each program is evaluated when it is finished every year by the mentors and the mentees at a general seminar. The Association sends in applications for sponsoring to funds each year. In that process the working group on the project reports to the board what has been done and what are the plans for the next year. It is the board that decides on how to proceed with the program.

Documentation is needed to support the program

The Swedish program includes documentation with advice to mentors and mentees and not the least the evaluation process.

Reporting structures

The working group is continuously reporting to the board of the association. Each year the board gets a report on what has been done and what the plans are in the working group for the next year. The association send applications to funds for sponsoring the program.

Promoting the program

The program is presented on the website of the association. At archival conferences in Sweden the association also promotes the program by distributing a booklet and also giving sessions on the program like at the last archival week in May 2008.

United Kingdom – The Society of Archivists

The Society of Archivists has a strategic objective to establish a mentoring scheme. Information on the proposed program is available on the Society's website at - <http://www.archives.org.uk/careerdevelopment/continuingprofessionaldevelopment/mentoring.html> It is noted on the website that there has been some delay in commencing the scheme due to "hesitancies from the membership".

Aim and objectives – The purpose of the proposed scheme is "to help and support people manage their own learning in order to maximize their potential, develop their skills, improve their performance and become the person they want to be". It aims to support the continuing professional development of members.

Benefits for participants – Individuals within mentor/mentee relationships develop professionally through the transfer of experience and the opportunity to seek alternative perspectives over the term of the relationship. Mentees are provided with career advice and enhancement.

Scheme administration – Administration of the scheme is the responsibility of the Continuing Development Sub-Committee.

Mentoring support for candidates on the Society's Registration Scheme – Support is also offered to members who are participating in the Society's Registration Scheme. This scheme if successfully completed over a period of 3 years, results in members being listed on the Society's Professional Register indicating that they possess both professional competence and experience and have demonstrated a commitment to continuing professional development. Details of this scheme have not been included in this document as it is designed to support a specific program objective rather than the type of general mentoring programs being targeted in this survey.

United States – The Society of American Archivists (SAA)

The Society of American Archivists conducts an ongoing mentoring program for their members. Information on the scheme is located on the Society's website at – www.archivists.org/membership/mentoring.asp

Aim and objectives: The SAA mentoring program aims to facilitate communication and to cultivate career development between archival generations. The program brings together members with expertise in subjects and members who want to build their knowledge within those subject areas.

Eligibility – All SAA members are eligible to participate as either mentors or mentees.

Role of the mentor –

- suggest appropriate continuing education coursework, workshops or annual meeting program sessions to help the mentee achieve career goals
- introduce the mentee to other professional colleagues; together, attend the Mentor/Mentee Coffee at SAA's annual meetings
- Serve as a resource for policies, procedures and other information.

Role of the mentee –

- request guidance about resumes, career goals, or continuing education opportunities
- ask for advice about sessions at SAA's annual meeting, or about how to become involved in SAA's committees, sections and roundtables
- explain and exchange thoughts on current trends in the archival profession.

Program administration – The SAA's Membership Services section runs the program matching participants based on subject interest or geographic location. When a match is made, Membership Services notifies the member and mentee providing contact information and suggested guidelines. Together, the participating individuals determine their expectations and how to best structure their relationships. Participants are encouraged to stay in touch for at least one year. The relationship can be extended beyond this point. Members apply to join the program by filling in an online application form.

Records management program – The Records Management Roundtable of the SAA is currently working cooperatively with the SAA's Membership Committee to partner experienced Records Managers with future leaders in the field.

A records management mentor is:

- willing to offer suggestions for networking opportunities, pursuit of employment and professional resources
- open to discussing theory and practice of the archival and records management fields
- interested in helping the future of records management strengthen and endure
- striving to refresh and further develop his or her own career
- eager to reap the personal and professional rewards available through the mentoring role.

A records management mentee is someone who wants to explore records management as a profession or learn more about the field. Mentees may be students, archivists or other

information professionals who want to learn how records management can enhance their careers, of those new to the field seeking guidance from experienced records managers.

Examples of nomination forms

Australia – The Australian Society of Archivists

Mentor Scheme nomination form (both mentor and mentee) -

<http://www.archivists.org.au/files/forms/ASAMentorSchemeNominationform2009.pdf>

Canada – The Association of Canadian Archivists

Mentor application form - <http://archivists.ca/downloads/documentloader.aspx?id=7266>

Mentee application form - <http://archivists.ca/downloads/documentloader.aspx?id=7267>

United States – Society of American Archivists

Application form (both mentor and mentee) - <http://www.archivists.org/membership/mentoring-app.asp>

Minimum requirements for a mentoring program application form are:

Name of mentor/mentee

Address

Telephone number

Email address

Preference for a Male or Female mentor/mentee

Preference for the geographic region of mentor/mentee (i.e. in the same home location, or outside the location)

Preferred form of contact – e.g. phone, email, meeting

Number of years in the profession

Name of current employer

Whether the preference is/ or is not to be matched with someone in the same workplace

Number of years in the association

Areas of interest

Example of a welcome letter to a mentee

Dear [name]

I am pleased to welcome you to the [name of the association] Mentoring Program. I hope you will find the experience an enjoyable and fruitful one. You have been matched with:

[Name of Mentor]

[Address of Mentor]

[Phone contact of Mentor]

[Email of Mentor]

Enclosed you will find a copy of the Mentoring Program Guidelines including a description of the aims and scope of the program, the benefits you can expect from joining, and an outline of the roles of mentors and mentees.

Your mentor has been sent your details and we have asked him/her to make first contact.

It is important to think about and discuss the ground rules and responsibilities you both want to set for your relationship at an early stage. Ground rules can include things like how often you will meet or be in contact, confirm that confidentiality will be adhered to, and what you expect to gain from participating in the Program.

The Program will be supported by the [name of association] for 12 months and we will contact you for feedback of the progress of your mentoring partnership in 6 months. At the end of the program we will contact you again and ask you to complete an evaluation form and invite you to provide any ideas you may have for improving the Program.

If you would like to discuss any aspect of the Mentoring Program at any time during the next 12 months please contact:

[Name of Association contact person]

Once again, welcome and the best of luck to you and your mentor.

Yours sincerely,

Example of a welcome letter to a mentor

Dear [name]

I am pleased to welcome you to the [name of the association] Mentoring Program. I hope you will find the experience an enjoyable and fruitful one. You have been matched with:

[Name of Mentee]

[Address of Mentee]

[Phone contact of Mentee]

[Email of Mentee]

Enclosed you will find a copy of the Mentoring Program Guidelines including a description of the aims and scope of the program, the benefits you can expect from joining, and an outline of the roles of mentors and mentees.

Your mentee has been sent your details. As a mentor we ask that you make first contact with your mentee.

It is important to think about and discuss the ground rules and responsibilities you both want to set for your relationship at an early stage. Ground rules can include things like how often you will meet or be in contact, confirm that confidentiality will be adhered to, and what you expect to gain from participating in the Program.

The Program will be supported by the [name of association] for 12 months and we will contact you for feedback of the progress of your mentoring partnership in 6 months. At the end of the program we will contact you again and ask you to complete an evaluation form and invite you to provide any ideas you may have for improving the Program.

If you would like to discuss any aspect of the Mentoring Program at any time during the next 12 months please contact:

[Name of Association contact person]

Once again, welcome and the best of luck to you and your mentee.

Yours sincerely,

Example of a Mentoring Program evaluation form

[Name of association] Mentoring Program Evaluation Form

Did you find that your participation in the Mentoring Program met your expectations?

How have you benefited from your participation in the Program?

Did the mentor/mentee match your expectations? If so, what aspects did you like about the match? If not, how could the committee have better matched your requirements?

What, if any, problems did you encounter?

Did you find the guidelines provided useful? If not, how can they be improved?

Can you suggest any improvements to the nomination form?

If you were a mentor, would you participate in the scheme again?

If you were a mentee, would you consider mentoring?

Any other comments on the Program?

Thank you for your participation

ORGANISING TRAINING WORKSHOPS AND SEMINARS: GUIDELINES FOR PROFESSIONAL ASSOCIATIONS

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Introduction

One of the activities commonly undertaken by professional associations is arranging training workshops and seminars. These guidelines have been developed by the Section of Records Management and Archives Associations (SPA); they do not cover program content but planning activities that will ensure the organization of a successful event. The guidelines are based on the understanding that successful training workshops and seminars depend not only on the quality of training provided but also on the planning that supports the delivery of the sessions.

Pre event activities

□ ***Form an organising/planning committee***

The role of a workshop/seminar committee is to take responsibility for putting on the event. The committee would usually be appointed by the executive of the association (or the principal management group) and would be required to report on progress. The size of the committee will depend on the size of the event, but as a general rule there needs to be an adequate numbers of members to ensure that the work load and responsibilities are shared and not too burdensome for any one member. The organization and responsibilities of committee members may vary but generally the roles of chairperson, treasurer and secretary will be needed to effectively manage the event and an editor if there are plans to publish the proceedings. These positions could be created for the specific event working under the general direction of association office bearers e.g., the association treasurer will probably want to provide guidance on handling money to conform to association guidelines. Alternatively, association office bearers (e.g., the secretary and treasurer) may undertake these roles on the committee.

□ ***Draw up a timetable/ timeline***

A timetable is an important planning document identifying:

- all the activities to be undertaken,
- individuals responsible, and
- deadlines for completing each activity.

□ ***Decide on a date***

The date will depend on the availability of the venue and the presenters. Care should be taken to ensure that the date does not conflict with public holidays, religious celebrations and other association events.

□ ***Develop a program***

Developing a program is an early task that needs to be undertaken by the committee. To do this:

- review past workshops/seminars and in particular 'lessons-learnt',
- determine specific goals and learning objectives for the session,
- if your association has a continuing professional development program, decide if points or credits will be allocated for seminar attendance,
- decide on themes, topics, number of sessions,
- identify possible speakers (a well known keynote speaker will attract participants),
- determine the format (e.g., interactive, lecture style),

- develop a draft program,
- issue invitations to suggested speakers,
- decide on whether proceedings will be printed, and
- finalise the program.

□ **Draw up a budget**

Drawing up a budget will allow the committee to identify where money is expected to come from and what expenses are likely to occur. With this information the committee will be in a good position to say how much money will be needed, how much money will be available to be spent, determine the registration fee, how many attendees are needed to break even, whether or not a profit is expected or whether the association may be required to carry a loss.

Expenditure may include:

- payment for speaker/presenter (i.e., for travel, expenses and speaking or honoraria payments),
- venue hire,
- equipment hire,
- catering,
- materials (e.g., paper, pens, name badges, etc.),
- promotion (e.g., printing, advertising),
- information packs,
- postage, and
- printing of proceedings.

Income will come from:

- registration fees,
- sponsorship,
- subsequent sale of proceedings (i.e., if decision is made to produce proceedings), and
- funds provided by the association.

Registration fees are generally calculated by using the formula:

Fixed cost per person PLUS meals and material cost per person

It is usual to offer various levels of registration for:

- members of the association,
- non-members,
- students, and
- members of allied associations.

A decision also needs to be made on whether discounts will be offered to **'early bird'** registrants and for groups. It is very helpful to the committee to know several weeks prior to the event how many people will be attending.

When drawing up the budget it is also useful to develop a ***cancellation and refund policy***. In developing such a policy consider:

- the cut off date when refunds will be made,
- whether an administration fee will be charged,
- whether a registration can be transferred to another person,
- how a cancellation can be made (e.g., by email, fax, mail),
- who should the cancellation notice be sent to, and
- including a 'no show' clause (i.e., detailing a statement on refunding those who registered but did not show up).

□ ***Seek sponsorships***

Registration fees can be reduced if the budget is partially met by sponsorships. The association may have general procedures on seeking and managing sponsorships which the workshop/seminar committee will be required to follow.

Sponsors could be sought to donate the costs for a session speaker, host a morning/ afternoon tea or lunch or contributing material such as badges, folders, notebooks etc. Sponsorship could be promoted through an announcement at the event or by including the sponsor's logo on promotional literature and in the proceedings if they are published. The sponsor could also include promotional literature in workshop information packs.

□ ***Select a venue***

Below are some criteria to consider when selecting a venue:

- Does it fit the budgetary allocation?
- Is it accessible to public transport?
- Does it have disabled access?
- Is there parking available? Will participants have to pay for parking?
- Are the facilities acceptable (e.g., toilets clean and accessible, cloak rooms available)?
- The length of the seminar (e.g., is it over several days and if so, will accommodation arrangements need to be offered)?
- Are there any special security requirements?
- Is there adequate heating/ cooling?
- Is there sufficient space for planned activities?
- Can furniture be rearranged to suit your requirements?
- Is access to the venue possible to set-up the facility?
- Is there access to power points?
- Is equipment provided by the venue (e.g., whiteboards, flip charts, chairs, tables, sound equipment etc.) or required to be borrowed or hired?
- Will the venue cater for food and beverage requirements or will separate arrangements need to be made?

□ **Develop a registration brochure**

The style of the brochure will depend on the target audience and resources available for its production/printing. It could be a simple photocopied page or a glossy brochure. The design and format will also depend on whether you are offering online registration. Whatever the format consider including the following details:

- the theme and aims of the event,
- program summary,
- date of the event,
- location details (e.g., parking arrangements, map),
- participant details – name/ address/ employing institution/ phone/ mobile/ employer/ email/ preferred name on name badge,
- registration fee options (e.g., member of the association, student etc.),
- closing date for registrations,
- early bird/ group registration discounts,
- payment options (e.g., credit card, via internet, cheque, bank draft etc.),
- where to send completed registration forms (post, email, fax, website addresses),
- special requirements (e.g., dietary/ access),
- contact details for event administrators (postal address, email, fax, email addresses), and
- substitution, cancellation and refund policy.

□ **Plan a promotion campaign to advertise the event**

The success of the event will largely depend on a successful advertising campaign aimed at targeting key audiences. Promotion ideas include:

- developing posters, flyers,
- develop, print and distribute workshop/seminar registration brochures,
- developing a website for the event,
- advertising in the association's newsletter/bulletin and on its website,
- advertising in the publications of allied associations,
- sending emails to potential participants, and
- doing interviews on local media.

□ **Send confirmation letter to registrants**

This letter could be sent by mail or email to participants to confirm that their registration has been received. It could include:

- a receipt for the registration fee paid,
- reiteration of dates and place of seminar/workshop,
- directions/map, and
- location and time of registration.

When confirmation letters are sent, develop a **list of participants** to be used to check off registrants as they arrive on the day of the event.

At this point **attendance certificates** to be handed out after the event could be produced.

□ **Maintain contact with speakers/presenters**

Maintain contact with the speakers/presenters to ensure they are kept briefed about the program and arrangements. If they are coming from another city picking them up from the airport/ bus or train station and bringing them to the venue would probably be appreciated. Make sure that their equipment needs are identified and provided on the day. If there is a session chairperson encourage contact with the speaker/presenter before the event.

□ **Organise equipment**

Determine where you will get the computer/ audiovisual equipment needed for the workshop/seminar to save last minute concerns. Venues often provide equipment or it may have to be borrowed or hired for the occasion. Equipment may include:

- computers (is an internet connection required?),
- PowerPoint projector,
- overhead projector,
- screen,
- pointer,
- microphones, and
- video camera.

Other equipment needed could include:

- pens, paper,
- flip chart and markers,
- whiteboard/backboard,
- thumbtacks,
- blu-tack, and
- post-it notes.

□ **Develop an evaluation form/s**

Evaluations provide organisers and presenters with important information about the event. These forms can be handed out after each session and/or at the end of the event.

Possible questions to include on an evaluation form to be handed out at the end of each session include:

- What aspects of the session did you find useful?
- What aspects of the session were least useful or could have been improved?
- What issues or questions do you want to know more about?
- Any other comments you would like to make?

Possible questions to include on an evaluation form to be handed out at the end of the event include:

Content:

- What aspects of the workshop/seminar did you find most useful?
- What aspects were least useful or could have been improved?

Methodology:

- Which presentations or activities did you find most effective and why?
- Which presentations or activities did you find least effective and why?

Venue:

- Comment on the venue – rooms, facilities, ease of access etc.
- Comment on the food.
- Comment on the organization of the event.

Additional comments:

- Please provide any additional comments about any aspect of the seminar/workshop.

□ ***Prepare participants' information packs/folders***

These individual packs for participants can include:

- a copy of the program,
- information on the venue,
- training material to be used in each session (unless handed out separately),
- biographical details about speakers/presenters,
- evaluation forms,
- pens/writing pads,
- list of participants,
- sponsorship material.

If participants are not members of the associations, membership forms and information about the association could also be included.

Activities on the day

□ ***Allocate overall responsibility***

Clearly define who will have overall responsibility for making decisions and changing arrangements on-the-day.

□ ***Organise helpers/volunteers***

It will be important to organize helpers and volunteers on the day to ensure they provide the most effective logistical assistance. They need to be thoroughly briefed on the program, the venue and facilities and should have easily identified name badges to identifying them to participants as people they can ask for assistance.

Tasks these helpers/volunteers can carry out include:

- liaising with caterers,
- setting up and testing equipment,
- making sure equipment is securely stored during breaks,
- setting up signage,
- setting up and provide assistance on the registration and sales desks,

- setting up room/s (e.g., is ventilation and room temperature comfortable, water and glasses on each table, distribute handout material for each participant),
- supporting presenters before, during and after the session,
- photocopying,
- distributing and collecting evaluation forms, and
- assisting with winding-up activities (e.g., handing out attendance certificates, packing up equipment, etc.).

□ ***Set up the venue***

Setting up the venue can include:

- putting up signage (e.g., room numbers, facility directions),
- organising room/s (e.g., arrange chairs/tables, distribute workshop material),
- making sure seminar/workshop materials are available,
- organising the registration desk (should have on hand a list of participants, registration packs/folders, participant name tags, map of venue),
- organising a sales table for association publications and other sales items.

□ ***Present general announcements***

Arrange for one person to gather and compile this information and to announce it at the beginning of each session (e.g., information on whereabouts of facilities, where morning/tea and lunch will be served, whereabouts of telephones and internet/computers, evaluation forms, and other specific information).

□ ***Arrange for photos to be taken documenting the event***

Photographs of the venue, presenters, participants and sessions can be used to promote the activities of the association in newsletters and on websites and also in the proceedings if these are being produced.

Post event activities

□ ***Write thank you letters to presenters, sponsors, helpers and volunteers***

□ ***Publish and distribute proceedings***

Printing proceedings of a seminar/workshop will depend on the nature of the event (e.g., for a training workshop which relies on one-on-one contact and hands-on exercises printing proceedings would probably not be an option, whereas it may be an option for a one off seminar on a particular topic). Deciding if proceedings will be published needs to be made early in the planning cycle to take into account budget requirements and the need to make speakers aware that they will be required to submit copies of their papers. If a decision is made to print the proceedings of the seminar/workshop steps to be undertaken include:

- gather papers from speakers,
- confirm copyright arrangements with authors,
- edit papers and liaise with authors over suggested changes,

- seek quotes from designers and printers,
- select designer and printer,
- submit edited copy to the printer,
- examine proofs, make corrections and return to printer,
- approve proofs,
- distribute copies of proceedings to participants, speakers and sponsors, and
- arrange to promote and sell proceedings to the public and association members.

Publication may also be done online via the association's website with limited access by participants, speakers and sponsors. Selling proceedings to those interested in the topic but who did not attend the event may also be an option for the association.

□ ***Pay outstanding accounts and develop a closing balance sheet***

□ ***Prepare a report on event***

A report written for the association's executive or governing body after the event summarizing outcomes and identifying lessons learnt will provide valuable information to assist with organising future sessions. Consider including the following details in the report:

- an overview of planning and activities undertaken,
- summary of evaluation forms,
- financial summary (receipts and expenditure),
- comments on venue, and
- lessons learnt to support future planning.

A report could also be written for seminar sponsors.

GUIDELINES FOR GUIDELINES FOR DEVELOPING AN ASSOCIATION AWARD PROGRAM

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Introduction

An association awards program can be used as a way of recognising those who have made an outstanding contribution to the profession or given meritorious service to the association. An awards program can raise the profile of the organisation with the general public and provide an opportunity to promote the archival cause. Those receiving the award will gain kudos and recognition.

The guidelines provide a checklist of issues for associations to consider when designing, planning and implementing an awards program. After establishment, the checklist can also be used as a basis for evaluating and reviewing the program's operations. The guidelines and checklist do not cover the granting of scholarships.

Check list for establishing an awards program

Establish award categories

Association awards generally fall into the following categories:

1. *Membership awards.* These are awards that recognise outstanding contributions to the profession or recognise a long term commitment to the association. For example Fellows, Honorary Members, Membership Recognition Awards and Distinguished Service Achievement Awards. While these awards are generally bestowed on individual members they can also be given to institutions, so long as they are institutional members of the association. Those given to individual members are retained by the recipients for life. The numbers of members holding such awards may be limited raising its prestigious standing, e.g., the Society of American Archivists has limited the number of Fellows to 5, as specified in their Constitution.
2. *Specific purpose awards.* These are awards that pertain to particular areas of archival activity or for a particular purpose e.g. for publishing or writing in the field of archives; for promoting public awareness about archives or for providing financial support to students.
3. *Group awards.* These are awards that recognise groups that have worked together and achieved excellence in a particular archival endeavour.

Specific purpose or group awards can be gathered under a collective award name. For example the Records and Information Management Professionals Australasia (RIMPA) Eddis Linton Awards for Excellence in Records Management are named in honour of the outstanding contribution to records management made by this person. These awards cover three categories: Information Proficiency Most Outstanding Individual; Most Outstanding Group; Student of the Year.

Define the purpose of each award

The purpose of each award should be clearly articulated. For example:

- The Society of American Archivists describes their SAA award of Fellow as “.. the highest honor bestowed on individuals by SAA and is awarded for outstanding contributions to the archival profession.”
- The Association of Canadian Archivists describes purpose of the ACA Honorary Membership Award “.. to recognize individuals whom the ACA wishes to honour for their contribution to the archival profession”.
- The Dutch association awards the Hendrik van Wijin Medal to individuals who have worked in extraordinary ways for the association and/or the archival sector.
- The Australian Society of Archivists describes their Distinguished Achievement award as an award “.. conferred on a member of the Society who has been mainly or solely responsible for an outstanding development or achievement in archives work and who has been a member of the Society for at least seven years”.

The group of awards that go to make up an association’s award program should not overlap in their intent and purpose.

Establish a governance structure/ appointment of an awards committee and/or sub committees

The awards program is best co-ordinated and administered by a committee or sub committee appointed by the governing body of the association. Such a committee can be established to oversee all association awards or there can be a separate committee for each award. Whatever governance arrangements are put in place it is advisable to mandate the structure, roles and responsibilities of the committee in the association’s constitution or by-laws.

In setting up a committee the following issues should be considered:

- How will the committee be formed e.g. by invitation, nomination, election?
- When is the committee appointed e.g. annually, biannually?
- How are unexpected vacancies filled e.g. by appointment of the association’s governing body?
- What is the eligibility for committee membership e.g. a distinguished or highly regarded member(s) of the association, past presidents, past recipients of the award, and if the award is sponsored by an organisation, a representative from that body?
- How long should a committee member be able to serve i.e. how many award cycles? It might be useful to have a member serve on at least two consecutive cycles to ensure some consistency in the committee’s operations.

- How will the committee chair be appointed? For example by the association's governing body, or selected by the committee members?
- Should there be provisions to cover situations where there may be a conflict of interest? For example in instances where a nominee might work with or for a committee member.
- Who will make the final award selection? For example will recommendations be made to the association's governing body to make the final decision, or will the selection task be allocated solely to the committee?
- How will the selection of award winners occur? Consensus may be preferable but if this is not possible, by majority vote?

It is the role of the committee to:

- Develop, advise and contribute to the development of an association's award program including development of award criteria.
- Assess nominations received against the published award criteria.
- Make recommendations on award winners.
- Meet award deadlines.
- Manage the award/program budget.
- Publicise the award and/or award program.
- Encourage nominations.
- Prepare citations to be read at award ceremonies.
- Prepare press releases publicising award winners.
- Prepare articles for inclusion in the association's newsletter or bulletin about the award winners.
- Review and monitor the existing award framework and make recommendations on any improvements including new awards.

It is the role of the committee chair to:

- Call and chair meetings of the committee.
- Ensure that records of the committee (meetings, nominations received, selection deliberations, copies of citations and publicity material) are created and kept. Such records are important in proving accountability and transparency in the selection process.
- Represent matters relating to the operations of the committee to the association's governing body.
- Present a speech to the award presentation ceremony about the awards and winners.

Establish criteria

The criterion for an award is the standard or guideline used to prepare and assess nominations. Criteria for each association award should be readily accessible to members e.g. available on the association's website. Publishing criteria will ensure that the nomination process is carried out in a fair and transparent manner.

When developing criterion for membership awards some possibilities include:

- Recognising significant contributions to the association.
- Increasing the international and national standing of the profession.
- Implementing or leading a particularly significant professional initiative.
- Recognising professional innovation.
- Recognising professional knowledge.
- Promoting public awareness about archives.
- Recognising outstanding professional leadership.
- Serving the profession with distinction.
- Delivering exceptional archival service to clients.
- Collaborating in an archival endeavour.

Eligibility to be considered for an award is also necessary to identify. Possibilities include:

- individual archivists
- members with a specified length of membership and involvement in the association
- a group of archivists who had worked on a project
- archival institutions, records centre, manuscript libraries
- non profit or government organisations providing a service to the archival community
- volunteers who has contributed to a project or to the operations of an archival institution
- students undertaking archival studies
- archivists of a particular ethnicity
- archivists of a particular age when younger members are being targeted
- other professionals whose work has impacted on the field of archives
- politicians supportive of archives.

The following are examples of membership award criteria:

Criteria for the Distinguished Service Award of the Society of American Archivists. “The award recognises an archival institution, education program non profit organisation, or government organisation that has provided outstanding service to its public and has made an exemplary contribution to the archives profession. The institution being nominated should have achieved distinction in one or more of the following ways:

- Demonstrably contributing to archival theory and the development of new archival practice.
- Serving its constituency in an outstanding fashion.
- Showing extraordinary ingenuity and resourcefulness in improving efficiency of operations or improving methods of work.
- Going well beyond the normal performance requirements expected of an archival agency and thus providing a model for others.
- Developing over a period of years an archives program of such depth and scope as to warrant special recognition.”

Criteria for the Association of Canadian Archivists Membership Recognition Award applied when:

- “Nominee has at least seven years of professional archival experience, including promoting greater public awareness, appreciation or support of archival activities or programs; and
- nominee’s volunteer activities have made a significant contribution to the development and/or improvement of the ACA; and
- nominee has consistently contributed: to the profession through active participation in the ACA or on behalf of the ACA, or to the corpus of professional archival literature.”

Criteria for specific purpose awards should be directly related to the cause it is promoting. For example the Society of American Archivists, Sister M Claude Lane, O.P., Memorial Award, “recognises individuals who have made a significant contribution to the field of religious archives. Criteria include:

- Involvement and work in the Religious Archives Section of the Society of American Archivists.
- Participation and leadership in religious archives organisations.
- Contributions to archival literature that relates to religious archives.
- Evidence of leadership in a specific religious archives.”

Other factors to consider when developing award criteria include:

- membership requirements – whether winners must be members of the association (individual and institutional members) or are they also open to others
- frequency of the award – annually, biannually
- winner restrictions – whether there are restrictions on the number of times a person may receive a particular award
- number of recipients – whether or not multiple winners are allowed.

Establish documentation requirements

Each nomination must be supported by:

- *A nomination form.* Nominations are ideally made on a specially designed form where details about the nominator(s) and general identify information given about the nominee are provided, and the reasons for the nomination and assessment of the nominee against the criteria are provided. Alternatively a statement by the nominator(s) addressing the criteria could be submitted. The completed nomination form/statement should be signed by the nominator(s).
- *Written referee statements.* Individual, institution or group nominations should be supported by referee statements from members of the association who have had direct

contact with the work of the person/institution/group being nominated. The statements should aim to address the one or more of the award criteria. The committee should have the option of also personally contacting the referees for further comments on the person, or seek additional referee statements.

- *A biography of the nominee* giving comprehensive information from the person's graduation through his/her career. If the nominee is an institution or a group, a brief history could be submitted.
- *Supporting information.* Nominations can be supported by submitting supporting information e.g. copies of publications/ articles, copies of press releases on achievements attained. For publication awards a number of copies of the publication should also be sent to the committee for examination.
- *A photograph of the nominee.* A head and shoulder high definition digital photograph that can be used in any publicity or communications activities to support the award.

Nominations could be submitted using an online form and uploading supporting documentations, or posted or sent by email.

If the nomination is successful the details submitted in the above documents can be used as a basis for developing the citation to be read at the presentation ceremony and released for publicity purposes.

All nominations and documents created in assessing the nominations and all deliberations of the award committee should be confidential.

Establish a timetable

A timetable is important to establish in order to ensure an orderly deliberation process. Steps to include in a timetable:

- publicising the award(s) and issuing a call for nominations by a due date
- closing nominations on the due date
- evaluate nominations
- making a decision which will form the recommendation on a winner to the association's governing body
- make the recommendations to the association's governing body on a winner (it should be accepted that an award may not be granted each year if there are no suitable candidates)
- endorsement or otherwise of the recommendation of the winner by the governing body
- nominee/winner notified that they have been nominated and recommended to receive an award asking if they are prepared to accept the award providing details about the award ceremony
- advise those responsible for the nomination of the outcome
- publicising the award ceremony

- organising the award (presentation item e.g. print a certificate, engrave a medal etc)
- holding the award ceremony – including coordinating speeches, arranging catering, preparing a press release
- publicising the award both within the association (e.g. on association's listserv, in Newsletter or other association publication, on website) and to the general public.

Decide on the award presentation item

The item given to recipients of an award can include a certificate, a letter signed by the president of the association, a citation, a certificate, a medal, trophy, a gift, a plaque, financial assistance or an honorarium. Where an award is given to a group a decision will need to be made about whether each member receives an item, for example, the group leader may receive a medal on behalf of the group, with all members receiving a certificate.

Establish funding arrangements

Awards can be funded through a budget allocation from the association's funds or endowments that earn income through investments.

Funds required to support an award may include:

- travel and accommodation costs to support meetings of the award committee
- printing of nomination forms or award brochure
- purchase of award item
- publicity/promotion costs
- travel and accommodation costs to support winners attending the award ceremony
- venue and catering costs for the award ceremony.

With endowments earned income should be used to support the award process. They can be funded as a one off donation by a benefactor or be open to ongoing donor contributions. Endowments funded by a one off donation should be enough to support at least a five year cycle to ensure the continuation of a recognized award. The management of Endowment Funds may be the responsibility of the association's finance officer or finance committee rather than the awards committee.

The most common way of managing an Endowment Fund is by segmenting the fund into two accounts: the Endowment Fund, which should not be spent but invested and earns income through the returns on the sum invested; and the Working Account, where the income earned (the total or partial amount) is deposited and used to fund direct costs associated with the managing the award. There maybe a requirement to set the Working Account at a certain level to meet expected costs. If this level cannot be maintain in some years the award may need to be deferred for those years.

Arrange the award ceremony

A special ceremony is appropriate to present the award or it could be part of the annual general meeting of the association when it would be expected that a large number of members would be in attendance to participate in the event.

The association's president acts as the presiding officer on the occasion. Special guests could include a donor/sponsor for the award. A possible order of ceremony could be:

- The chair of the award committee reads the purpose of the award and then the citation.
- The president/or donor hands the award to the recipient.
- Acceptance speech is made by the recipient.

Publicise the award

Publicising an award or an awards program can encourage participation and present a valuable opportunity to promote the association. The following are some possible advertising opportunities:

- The association's website could have pages dedicated to the award program providing details on each award, criteria, eligibility, timeframe, sponsorship, a brief history of the award, links to nomination forms and other documentary requirements and a list of award recipients and their citations. When winners are announced a special front page feature could be developed on the site.
- An awards booklet or brochure could be distributed to the general membership and to other appropriate venues such as archival institutions.
- The association's listserv and newsletter or bulletin could be used to call for nominations and to announce award winners after they are presented.
- The association's journal, or other publication, can be used to publish the full citation.
- Local and national newspapers and journals of allied professions.

Monitor and review the award program

Once an awards program is established and has been operating for a few years it may be appropriate to review its management. The following are some questions that could be asked in such a review:

- Has the purpose of the award been understood?
- Has criteria proved adequate to support the recommendation process?
- Could the nomination form be improved?
- Have supporting documentation requirements been sufficient to assist the assessment process?

- Has the committee worked effectively?
- Is the suite of awards making up the program comprehensive covering key areas where recognition is though appropriate, or are there gaps which could be covered by a new award?
- Have financial allocations been adequate?
- Have Endowment Funds been managed appropriately?

Examples of association award programs

The following association websites provide examples of award programs:

Archives and Records Association of New Zealand Inc. (ARANZ)

http://www.aranz.org.nz/Site/about_ARANZ/members_awards.aspx

The Association of Canadian Archivists (ACA) <http://archivists.ca/content/awards-and-recipients>

Records and Information Management Professionals Australasia (RIMPA)

<http://www.rimpa.com.au/grants-and-awards/>

The Society of American Archivists (SAA) <http://www2.archivists.org/recognition>

The Australian Society of Archivists (ASA)

http://www.archivists.org.au/page/Learning_and_Publications/Recognising_Excellence_-_ASA_Awards_and_Scholarships/Awards_for_professional_achievement/

Koninklijke Vereniging van Archivarissen in Nederland (KVAN)

<http://www.kvan.nl/kvan/prijzen.php>

For information on the Award program of the Association des Archivistes du Québec please contact the Executive Director at dq.infoaaq@archivistes.qc.ca

ESTABLISHING A RECORDS MANAGEMENT PROGRAM: GUIDELINES FOR PROFESSIONAL ASSOCIATIONS

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Introduction

Elected officials and administrative staff of records management and archival professional association need to create and keep records of their activities in order to provide evidence of actions taken and decisions made in the course of carrying out their duties. These records are required to ensure that associations are:

- accountable for decisions and actions made on behalf of association members
- complying with requirements set out in the governing documents of the association (e.g. Constitution, By-laws and Rules)
- complying with state laws
- undertaking activities in an orderly and efficient manner, and
- documenting the corporate memory of an association for short and long-term administrative and historical purposes.

Professional associations vary in administrative arrangements. Some are large with an established office and paid administrative staff, while others are run solely by elected members with no additional administrative support. Whatever the size or complexity of an association it is advisable to have a records management program in place ensure that records, documenting all association activities, are created and controlled appropriately.

The ICA Section of Records management and Archival Professional Associations (SPA) has produced these guidelines to assist associations develop a records management program.

In the guidelines the meaning of the word 'record' is taken from ISO 15489 *Records Management* standard, which provides the following definition:

Information created, received, and maintained as evidence and information by an organization or a person in pursuance of legal obligations or in the transaction of business. (Part 1: 3.15)

The definition of records management is also taken from the standard and means the:

Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of an information about business activities and transactions in the form of records. (Part 1: 3.16)

The word 'recordkeeping' refers to the formal practice of managing records in a centralized and controlled way to ensure that records needed by the association are created, that they are saved into systems where they can be found quickly and easily and are kept for as long as they are needed. 'Recordkeeping system' refers to a business information system that capture, maintain and provide access to records over time.

The guidelines are compliant with the ISO 15489, and are a companion document *Guidelines for developing a retention schedule for records management and archival professional associations - including a model retention schedule* issued by SPA in 2008.

Identifying record keeping requirements

In identifying their record keeping requirements associations will ensure that records are created and are available to support its aims, objectives and activities. The following questions will assist in identifying these requirements:

- What records should be created or made?
- How long should records be retained?
- How should records be controlled, stored, tracked?
- Who should have access?
- What are the approved record formats for the association?

Record creation

Generally, records should be created by either an office bearer, operating in a voluntary capacity, or paid association staff, to provide evidence of an action taken or a decision made.

Sometimes the Constitution or Rules of an association will detail specific records that must be created:

The Officers and employees of the Society shall faithfully keep all general records, accounting books and records of receipts and expenditure connected with the operations and business of the Society in such form and manner as the Council may direct. (Section 28 (2) Constitution of the Australian Society of Archivists)

The Council shall cause for proper minutes to be made of all proceedings of all meetings of the Society and of the Council and of the committees, groups, regions and working parties of the Society and all business transacted at such meetings. Any such minutes, if purported to be signed by the Chairman of such meetings, shall be sufficient without any further proof of the facts stated therein. (Section 69 Memorandum of Association of The Society of Archivists)

The council is authorized and directed to prepare, adopt, or amend such administrative guidelines, policies, and procedures as may be desirable to regularize the functions and operations of the Society's committees, task forces, boards, sections, roundtables, representatives, awards, programs, and other activities. (Bylaw 8 - Bylaws of the Society of American Archivists)

Sometimes recordkeeping requirements to create certain records are often not specific but rather implied in the Constitution and Rules of an association:

The president, vice-president, and secretary/treasurer shall be appointed by the members

from among those directors elected at the annual general meeting of the Corporation. (7.02 General Operating By-law No.1 Association of Canadian Archivists). In this example there is a requirement to record the appointment by the members of various office bearers.

The requirements to create records are sometimes far more general, for example the objectives of The Society of Archivists are to a) to foster the care and preservation of archives in the public interest and to promote the better administration of archive repositories; b) to advance the professional education and training of Archivists, Archive Conservators and Records Managers and those engaged in related activities; and c) to commission and support research into the creation, use, administration and conservation of archives and the development of new techniques and the publication of the useful results of such research. To carry out these objectives records are required.

Recordkeeping requirements can also be specified in the laws of the State e.g. taxation laws and employment laws.

To assist in the creation of records an association could develop templates or procedures to guide officers. A minute template is attached, which if used by officers of an association, will ensure the consistent recording of decisions and actions taken in conducting the business of the organization.

Retention and disposition

An association records retention schedule will define the temporary or permanent status for classes of records. It is advisable for all associations develop a schedule, approved by the President, to ensure the accountable retention and destruction of records. The ICA Section for Records Management and Archival Professional Associations has developed a generic Retention Schedule for associations which is available on the ICA website at <http://www.ica.org/en/node/39028> . The introduction to this document sets out steps for an association to follow to adapt the generic schedule to suite their own requirements.

For an association administered by elected officials, at the end of their term of office their files should be sentenced according to the association Retention Schedule. Records needed for ongoing administration purposes should be passed to the succeeding officer; archival records transferred to the association's archives (see section below 'Arrangements for archival records'); temporary records could be passed to the new secretary who could take charge of their destruction when retention requirements have been met, and records for destruction securely destroyed, and notice of this action provided to the Secretary.

For larger associations with paid staff, it is recommended that a records management program be considered for systematically applying retention periods to records as they are created so they can be managed throughout their whole existence. Alternatively, a program can be applied where sentencing (i.e. deciding on the fate of a record) is carried out regularly e.g. every five years. All destructions should be recorded in the records management system for accountability purposes.

Managing access

Associations need to formalize access arrangements for their records. Such arrangements may apply to paid staff of an association, members of the association, and if archival records are transferred to the custody of an archival institution, where they are available for public research, public access arrangements may also need to be established.

With regard to access, for a professional association, the main issues will probably concern private information about members given in confidence (e.g. details such as age, address, salary, employment histories). Other issues could include commercially sensitive information or issues regarding negotiations with external organizations that are being finalized (e.g. the development of memoranda of association with another association).

Managing different formats

In today's business environment records are generally created electronically in business systems; in messaging systems such as email; word documents, spreadsheets, PowerPoint slides, digital photographs. When an electronically generated record is used e.g. when an email or letter is sent, it becomes a record of the association and must be managed in the association's records management system. Born digital records are best managed in an electronic system e.g. if an association has an EDRMS, the record should be saved into that system. If the association does not have such a system the electronically generated record should be printed and kept in the paper based system. Electronic records of an association should not be retained in personal spaces on computers e.g. email folders, hard drives, shared folders as these storage areas do not have the functionality to keep and manage the records over time.

Recordkeeping systems

For records to be managed efficiently, found when needed, and kept for as long as they are required, an association should implement a recordkeeping system which will organize and control the management of records over time.

For associations who have a large membership and paid staff there are two options:

1. An electronic document and records management system (EDRMS) which captures electronically generated documents/records and where paper records can be scanned and saved into the system.

If an EDRMS is being considered associations are advised to use the ICA's *Principles and Functional Requirements for Records in Electronic Office Environments* <http://www.ica.org/en/node/38970> to assist in selecting a system with functionality that will manage the whole life cycle including registration, access, accountable destruction and retention, and link related records. Off-the-shelf EDRMS are available and open source systems provide a cheaper alternative.

As well as selecting the most appropriate product for an association, some of the questions that need to be thought about in implementing an EDRMS include:

- What business processes will be covered by the system?
- What systems will the EDRMS integrate with (e.g. email)?
- What systems contain data which need to be migrated into the EDRMS (e.g. personal drives and email folders)?
- Will paper records be scanned into the system?
- What business rules are required to manage the system?
- What are the configuration requirements (e.g. what system settings should be adopted)?
- How will roll-out occur (a direct or gradual rollout)?
- How will testing, reviewing and evaluating the implementation occur?
- How will change management issues be handled?

To implement an EDRMS, two key recordkeeping tools are needed – a classification scheme, which will inform a record titling framework, and a records retention schedule. These two tools are discussed in detail in these guidelines.

2. A paper based system with registration and naming controls. A paper based system could be managed by a simple file list, by a data base, or an electronic records management system. In choosing an option particular issues relating to records metadata need to be thought about including the type of number system to apply to the records; how to link related records (e.g. minutes and agenda papers); what naming conventions are going to be used for titling the records (the functional classification scheme developed as the framework for the generic retention scheme, referred to below under the heading ‘How long to keep records’ could be used as the basis for a titling scheme); and how are records going to be tracked to prevent loss and facilitate retrieval and access.

If the association depends entirely on elected officials, the recordkeeping system will be decentralized and depend on policies and procedures to guide the ongoing maintenance and control of records. Generally, each official should retain their own set of files covering activities they are responsible for in course of carrying out their duties (e.g. the central governance files of association should be retained by the Secretary and financial records by the treasurer etc). For ongoing continuity these files could be titled using an association titling scheme adopting the classification used to develop the generic Retention Schedule (see notes under heading ‘Retention and disposition’). For example:

PROMOTION & ADVOCACY MANAGEMENT – Exhibition Management -International Archives Day 2009

GOVERNANCE MANAGEMENT – Meeting – Association Council Meeting June 2009

The Secretary should be responsible for retaining a central file title list.

Arrangements for archival records

Each association will need to make a decision about how to care and manage their archival records. There are two options – establish an in-house archives or use an established archival institution whose acquisition policy includes collecting local association records.

Establishing an in-house archives requires an ongoing commitment to sustain the archives by providing suitable space to store the records and staff to apply archival management controls, including managing access to the records.

Using an established archives means the association won't have the overhead requirements noted in the preceding paragraph. However, the association will usually have to comply with the deposit arrangements of the archives (e.g. listing the material for transfer) and signing a depositor agreement. Placing records in an archival institution means that the records will be available for research, but the association will probably be able to negotiate access arrangements if they are concerned about sensitivities in certain categories of records.

Records management policy

It is advisable for associations to have a records management policy setting out how the records of an association should be created and managed over time. A policy will support good governance and assist administrative continuity for associations where there is a regular turnover of elected officials. The existence of a policy will clearly communicate the importance of records to the association.

An association records management policy should:

- Be approved by the association's governing body
- Provide details of any laws and standards that impact on the association's recordkeeping
- Provide details about the association's records management system (e.g. whether its paper or electronic)
- Cover all records, regardless of format
- Set out recordkeeping responsibilities
- Indicate what records should be created, when and in what formats
- Provide details on classification systems to be used
- Give directions on retention and destruction requirements
- Provide instructions on transferring records to new office holders
- Set out access arrangements for the associations records
- Specify arrangements for the associations' archival records
- Include a requirement to regularly review the policy

It is important to promote the policy throughout the association (e.g. made available on the association's web site) and given to new staff members and all newly elected office bearers.

Monitoring records management practices

Compliance monitoring to ensure that the records management policy is being adhered to needs to be regularly undertaken. This work is probably best undertaken in a small association by the Secretary, and in a large association with a paid secretariat, by the Chief Executive Officer. A report should be prepared detailing outcomes and may result in modifications being made to the association's policies and processes if they are found to be inadequate.

Training

Records management training is advisable whatever the size of the association. For a small association this may take the form of a workshop for newly elected officers to introduce the policy and confirm their responsibilities. For larger associations training may be more complex, particularly if an EDRMS is used as the primary records management system, as staff will be required to learn and adapt to the technology.

MINUTE TEMPLATE

Name of meeting:

Date:

Location:

Attendees:

Apologies:

Confirmation of previous meeting minutes:

Matters arising from minutes:

Confirmation of the agenda & identification of additional items:

Agenda Item No.
Summary of discussion:
Outcome:
Action Required:

Agenda Item No.
Summary of discussion:

Outcome:
Action Required:

Agenda Item No.
Summary of discussion:
Outcome:
Action Required:

Other business:

Confirmation of date and place for next meeting:

Time of meeting closure:

Confirmation of minutes:

Chairperson:

Date of confirmation:

GUIDELINES FOR DEVELOPING A RETENTION SCHEDULE FOR RECORDS MANAGEMENT AND ARCHIVAL PROFESSIONAL ASSOCIATIONS - INCLUDING A MODEL RETENTION SCHEDULE

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Introduction

In carrying out their aims and objectives professional records management and archival associations create and keep records providing evidence of decisions made and actions undertaken in administering the affairs of the organization.

The ICA Section for Records Management and Archival Associations (SPA) has developed a generic model Retention Schedule and guidelines for adapting this model to assist organizations make and maintain their records (see Appendix A). The model is based on work carried out by the Australian Society of Archivists in developing a schedule. It is technology neutral, applicable for both paper and electronic records.

The methodology outlined in these guidelines is consistent with the principles in the International Standard on Records Management *ISO 15489 Information and documentation – Records Management*.

Because the model is a generic representation associations are advised to follow the 15 steps outlined in the Introduction to develop their own retention schedule. Undertaking these steps will ensure that specific functions and activities of an association are covered and described correctly, that all local laws and regulations have been considered, and that risks to the association have been assessed, and stakeholder needs taken into account when determining retention periods.

Functional analysis

A functional framework has been used to develop the model schedule. This approach documents the business processes carried out by an organization and presents them hierarchically as functions and activities. Functions are the highest level of business activity or responsibility of an organization, and activities are carried out in performing a function by undertaking tasks or transactions. Records are by-products of carrying out a function/ activity and set of related tasks. A list of functions and activities is called a business classification scheme (BCS) and provides a functional map of the organization. The BCS for the model schedule is provided on pages 12 to 15 of Appendix A. Functions and activities are titled and their scope outlined in a descriptive note.

The model schedule has a number of the generic activities e.g. Advising; Committee management; Policy development; Reporting and informing, but the content and subject of the records created by carrying out the activities will vary according to the particular function they are linked to.

A retention class in the schedule is made up of a function, activity, record description and a retention action.

Steps for using the model to develop a schedule for an association

Follow these steps for appraising the records of an association using the model to develop a schedule. *For accountability purposes it is important to document tasks undertaken in carrying out each step to justify both the final structure of the association's retention schedule and the retention actions.*

1. Gather and list sources that will assist the development of an Association specific schedule. For example the constitution of the association, rules, policies, procedures and guidelines, strategic planning documents, mission statements, annual reports and reports on key association activities, state laws the standards and codes of practice the association is required to comply with.
2. Familiarize yourself with the sources and extant records of the association. Consult with those members and staff of the association who have specific roles and responsibilities to gain an understanding of the processes and tasks they carry out and the records they create. Document the results of these interviews.
3. Check all functions in the model schedule and confirm whether they reflect the functions carried out by your association by linking them to a documentary source identified in Step 1, or advice received from interviews carried out in Step 2. Check whether the function terms are appropriate for your association and whether the scope notes adequately describe the functions. Your association may consider that an activity for your organization needs to be described at a function level. (For example, 'Committee Management' which is described as an activity under many functions may be considered a major function of your association. In this case the term should be removed as an activity under each function and made a separate function with an appropriate scope note describing its purpose and coverage.) Examine whether the boundaries between the functions are clear with no overlaps. Note any cross references or 'For' statements, to clarify boundaries between the functions and to assist use of the schedule. At this stage start to develop a draft schedule for your association.
4. Check the activity terms associated with each function in the model schedule and confirm whether they cover all activities carried out by your association using the sources identified in Step 1, and interviews carried out in Step 2. Also confirm the activity names, perhaps you might call an activity by another name, or you may not carry out a listed activity in the generic schedule. (Remember functional analysis requires that the name of a function or an activity should describe an action e.g. the descriptor should be 'Advising' rather than 'Advice', or 'Conference Management' rather than 'Conferences'). Confirm the scope notes or adjust them to accurately reflect the activities carried out by your association. Note any cross references or 'For' statements, to clarify boundaries between activities and to assist with using the schedule.
5. Check that the record descriptions listed under each activity in the model schedule are appropriate for your association; whether the records generated by the function/activity

pair are described in sufficient detail to ensure accurate sentencing, and whether the retention actions are appropriate.

6. Assessing the retention actions. To do this you will need to consider all possible uses of the records, including compliance requirements, for example whether a state law requires certain records to be retained for a specific period, and the legitimate interests of all stakeholders. You also need to weigh up the risks associated with not having the records against the costs of retention. Sources identified in Step 1, and interviews conducted in Step 2, will assist this task. Document justifications for your decisions e.g. “Required to be kept for 7 years by xxx law”, or “Confirmed by the Secretary of the Association (name of Secretary on 1 May 2007) that these records are required for reference and to support administrative requirements for 5 years from the date of creation”. Creating a supporting document that justifies your retention decisions proves that the schedule was developed in an accountable and transparent manner.
7. Decide on how you will document the retention actions. In the generic model there are two types of retention periods –“Retain Permanently” or “Retain for XX years and destroy”. You may prefer to adopt a method which provides direction on a semi active storage phase, for example – “Retain Permanently. Transfer to semi active storage for 5 years after xxxx, and then to archival custody”; or “Retain for 5 years then destroy. Transfer to semi active storage for 5 years after application is processed”. You might like to consider two retention columns in your schedule instead of the one column adopted in the generic model:

Retention Action	Semi active storage (this column could also be called ‘Custody’)
Retain Permanently	Transfer to semi active storage for 5 years after successful application is finalized then transfer to archival custody.
Retain for 5 years after decision is made on unsuccessful application then destroy.	Transfer to semi active storage 3 years after decision is made on unsuccessful application.

For classes with a retention period “Destroy when reference ceases” your association may prefer to allocate a particular retention period to indicate when this action occurs.

8. Decide how to arrange your schedule. In the generic model the functions are ordered alphabetical. Alternate arrangements could be in order of importance of the functions to your association, or you could have an arrangement which places all core functions first (i.e. Conference Management, Education Management, Governance Management,

Membership Administration, Promotion & Advocacy Management, Publication Management; Standards Development Management, Strategic Relations Management), and all corporate or administrative functions at the end of the schedule (i.e. Financial Resources Management, Information & Communication Management, Real and Moveable Property Management, Human Resources Management).

9. Adjust the index taking into account any changes you may have made in customizing the schedule to suite your association. There various navigation aids to assist with using the schedule, which will be particularly important if those using the schedule have little or no experience in sentencing records. The navigation aids include a content list of functions, a full list of the functions and activities (the Business Classification Scheme), 'for' statements guiding user to the right function/activity, the arrangement of the functions (see Step 8) and the index.
10. Undertake consultation with key stakeholders within the association for example the President and governing body. Also consider making the schedule available to the wider membership to seek their feedback. Make any adjustments to the draft schedule.
11. Test the draft schedule against extant records to ensure completeness of coverage making any necessary adjustments.
12. Produce a report outlining the process followed to produce the Schedule.
13. Present the report and the draft schedule to the association's governing body for authorization.
14. After the schedule is authorized make it widely available within the association to support accountability and transparency.
15. Ensure that all documentation produced during the course of developing your association's schedule is retained – see class 176 in the model schedule.

Implementing the retention schedule

In implementing the schedule you may consider developing a set of guidelines to assist the process. Sentencing records is best done in a planned and systematic way for example annually, to avoid large accumulations of low value records. Checks should be made to ensure that the schedule is being applied consistently, and for accountability purposes a list of records destroyed and the schedule class number recorded as the legitimate authority supporting the destruction.

Sentencing should include records in both paper and electronic formats. If the association does not have an electronic document and records management system (EDRMS) that will keep the records safe from unauthorized alteration and deletion, relate them to other relevant records, ensure they are findable and retrievable, then it may be wise to have a program where the records that are required for permanent or long term retention are transferred to another more stable medium e.g. paper. This advice includes records held in shared folders, email folder, email

storage system, all of which are not recordkeeping systems with the appropriate functionality to keep records safe, secure and findable.

For records with a permanent retention period your association will need to consider archival custodial arrangements such as transfer to an established archival or historical institution.

Using the Business Classification Scheme to assist record creation and classification

The business classification scheme, or the functional map, that forms the framework for the retention schedule can also be used as a record classification scheme for titling files or folders where related documents are kept together. The function and activity terms can form the first and second levels of a title, with a free text third level describing the contents and subject. For example a file/folder relating to the appointment of a representative on the ICA SPA section steering Committee could be titled –

STRATEGIC RELATIONS – Representative appointment – ICA SPA Steering Committee 2008-2012

This harmonization between record creation and the retention schedule will assist both retrieval, by ensuring a consistent form of titling, and support the effective long term management of records. In using such an approach it is possible to apply a retention class when the record is created and then review the decision when the retention trigger date occurs. If the retention action is 'Retain Permanently' the association needs to decide on a date when the record is no longer required for regular reference and can be transferred into archival custody (see Step 7 above on deciding how to document retention periods).

To assist creation the BCS can also be used as a basis for creating a thesaurus, or other type of control vocabulary.

Undertaking the analysis for the retention schedule will also provide information on record creation requirements and enable an assessment of whether full, accurate and complete records are being created to document association activities, and whether they are being kept to ensure their reliability and authenticity. The results of this assessment could be used to develop or update records management procedures and systems.

Reviewing the retention schedule

It is advisable to establish a review date for the schedule in order to make adjustments to accommodate any changes in retention requirements. For example there may be changes to a state law relating to how long a particular class of record needs to be kept, or there could be changes to stakeholder requirements, or changes to risks for the association.

Model Retention Schedule for Records Management and Archival Professional Associations

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Introduction

Coverage

This Retention Schedule covers all administrative records of the xxxx Association created by members or officers of the organization carrying out activities for or on behalf of the organization. The Schedule is technology neutral and can be applied to both paper and electronic records.

Purpose

The purpose of the Schedule is to identify records required for permanent retention by the Association and to authorize the destruction of certain records not required for ongoing administrative or historical purposes after the minimum retention period has been met.

Schedule structure

The records covered in this Schedule have been grouped according to the Association's functions and related activities. The Schedule covers nine functions. These are listed, together with their activities in the Business Classification Scheme detailed on pages 5 to 7.

A retention class in the Schedule comprises of five components - the Function/Activity / Class Number/ Record Description and Retention Action.

Function	A function is a high level business activity or responsibility carried out by the Association. A function is titled in bold e.g. CONFERENCE MANAGEMENT and is followed by notes defining its scope.
Activity	An activity is a process or task that is carried out in performing the function. Activities are located below the function in lower case and bold e.g. Committee management. A scope note provides a definition of the activity.
Class No.	This is the unique identifier for the class.
Record Description	This is the description of the records generated by the particular function and activity which are covered by the class. The record description can cover a group of records documenting a number of tasks or can relate to one type of record.

Retention Action The retention action provides direction on the fate of the record, whether it is to be retained permanently or destroyed after being retained for a minimum period. If the direction is to destroy the record the retention action provides the trigger event the destruction should be calculated from e.g. Retain for 2 years after the course is delivered then destroy.

Cross references, or 'For' statements are used throughout the Schedule to assist use.

Review

This Schedule is valid for 5 years from the date of issue at which time it will be reviewed to determine the applicability of its coverage and the retention actions. If there is a change in the administrative structure of the Association or a change in the retention requirements the review may occur at anytime within that 5 year period.

<p>This Retention Schedule was approved by the governing body of the xxxx Association at a meeting held on xxxxxxxx.</p> <p>Authorized by xxxxxxxxxxxxxxxx President of the xxx Association</p> <p>Date of issue xxxxxxxxxxxxxxxx</p>

Business Classification Scheme

The following is a list of functions and related activities covered in this Retention Schedule.

Conference Management

- Advertising
- Advising
- Affiliating
- Brand management
- Committee management
- Conference administration
- Contract and agreement management
- Exhibition management
- Media relations management
- Meeting administration
- Planning and scheduling
- Policy development
- Procedure development
- Publicity management
- Reporting and informing
- Reviewing and evaluating
- Tender administration
- Travel administration

Education Management

- Accreditation administration
- Accreditation appeal administration
- Advising
- Awards management
- Committee management
- Community archival education training
- Continuing professional development training
- Enquiry management
- Meeting administration
- Planning and scheduling
- Policy development
- Procedure development
- Reporting and informing
- Researching
- Reviewing and evaluating
- Travel administration

Financial Resources Management

- Accounts management
- Advising
- Auditing
- Budget planning
- Donation management
- Fund distribution
- Grant management
- Investment management
- Planning and scheduling
- Policy development
- Procedures development
- Reporting and informing
- Reviewing and evaluating

Governance Management

- Advising
- Brand management
- Code of conduct investigations
- Committee management
- Complying
- Election management
- Meeting administration
- Planning and scheduling
- Policy development
- Procedure development
- Reporting and informing
- Reviewing and evaluating
- Travel administration
- Visiting

Human Resources Management

- Advising
- Insurance administration
- Insurance claims management
- Planning and scheduling
- Policy development
- Procedures development
- Recruitment and engaging staff
- Reporting and informing
- Reviewing and evaluating
- Salary and superannuation administration
- Staff training
- Terminating employment

Information & Telecommunications Management

- Advising
- Asset inventory management
- Complying
- Contract and agreement management
- Data administration
- Planning and scheduling
- Policy development
- Procedures development
- Procurement management
- Library management
- Records management
- Reporting and informing
- Reviewing and evaluating
- Telecommunication equipment disposal
- Tender administration
- Website technical administration

Membership Administration

- Advising
- Application management
- Awards management
- Committee management
- Enquiry management
- Member separation administration
- Membership renewal management
- Mentor Scheme management
- Planning and scheduling
- Policy development
- Procedure development
- Reporting and informing
- Reviewing and evaluating

Promotion & Advocacy Management

- Advising
- Brand management
- Committee management
- Conference administration
- Event management
- Exhibition management
- Lobbying
- Media relations management
- Meeting administration
- Planning and scheduling
- Policy development

- Presentation development
- Procedure development
- Reporting and informing
- Reviewing and evaluating
- Submission preparation
- Travel administration
- Visiting

Publication Management

- Advertising
- Advising
- Awards management
- Brand management
- Committee management
- Contract and agreement management
- Designing
- Drafting and editing
- Enquiry management
- Intellectual property management
- Joint venture management
- Manuscript evaluation
- Meeting administration
- Planning and scheduling
- Policy development
- Procedure development
- Publication disposal
- Publication distribution
- Publishing
- Reporting and informing
- Researching
- Reviewing and evaluating
- Stocktaking
- Subscription management
- Tender administration

Real & Moveable Property Management

- Advising
- Asset inventory management
- Contract and agreement management
- Insurance administration
- Insurance claims management
- Maintaining and repairing
- Planning and scheduling
- Policy development

- Procedure development
- Procurement management
- Property disposal
- Reporting and informing
- Reviewing and evaluating
- Stocktaking
- Tender administration

Standards Development

- Advising
- Committee management
- Meeting administration
- Planning and scheduling
- Policy development
- Reporting and informing
- Researching
- Reviewing and evaluating
- Standard setting
- Travel administration

Strategic Relations Management

- Advising
- Affiliating
- Committee management
- Conference administration
- Meeting administration
- Planning and scheduling
- Policy development
- Procedure development
- Representative appointment
- Reporting and informing
- Reviewing and evaluating
- Travel administration
- Visiting

CONFERENCE MANAGEMENT

The function of managing the Association's annual conference and other conferences and seminars on specific subjects, including those held jointly with other organizations. Includes arranging programs, inviting speakers, hiring venues, organizing catering, liaising with service providers, promoting the event and managing registrations. Excludes continuing professional development seminars.

For publishing conference promotion leaflets, programs and proceedings, use PUBLICATION MANAGEMENT

For managing financial transactions relating to conferences, use CORPORATE SERVICES MANAGEMENT – Accounts management.

For organising and managing professional development courses, seminars and workshops, use EDUCATION MANAGEMENT.

Advertising

Tasks associated with arranging for paid advertisements about an event or publication.

For the task of paying for the advertisement, use CORPORATE SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
1	Copy of published advertisement.	Retain permanently
2	Records documenting arrangements for advertising an Association managed conference. Includes: <ul style="list-style-type: none"> • liaison with advertiser on rates and deadlines • developing advertising copy • ordering the advertisement. 	Retain for 1 year after advertisement is published, or a decision made not to publish the advertisement then destroy

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
3	Records documenting advice provided and/or received relating to an Association conference.	Retain for 1 year after the conference then destroy

Affiliating

Tasks associated with forming ongoing relationships with organizations in related professions.

For tasks work associated with managing a conference, use other relevant activities in the function CONFERENCE MANAGEMENT.

For meetings with affiliated organizations about the conduct of a conference, use CONFERENCE MANAGEMENT – Meeting administration.

For a conference committee where an affiliated organizations a representative, use CONFERENCE MANAGEMENT – Committee management.

Class No.	Record Description	Retention Action
4	Records documenting collaborative arrangements undertaken to support a conference.	Retain permanently

Brand management

Tasks associated with developing and managing the Association's logos, colors and themes. Includes developing and selecting designs.

For the publications produced showing the conference brand, use PUBLICATION MANAGEMENT – Publishing.

Class No.	Record Description	Retention Action
5	Records documenting the development of a conference brand.	Retain for 2 years after the conference then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

For conference committee reports submitted to the Association's governing body, use CONFERENCE MANAGEMENT – Reporting and informing.

Class No.	Record Description	Retention Action
6	Records of conference committees and sub committees. Includes: <ul style="list-style-type: none">• terms of reference• agenda	Retain for 5 years after the conference then destroy

	<ul style="list-style-type: none"> • agenda papers • signed/authorized version of minutes • correspondence between members. 	
7	<p>Working papers supporting the committee. Includes:</p> <ul style="list-style-type: none"> • notices of meetings • notes of meeting • draft minute • copies of committee records (e.g. agenda papers, minutes). 	Retain for when reference ceases

Conference administration

Tasks associated with organizing or attending a conference.

For plans, timelines and resourcing of conferences, use CONFERENCE MANAGEMENT – Planning and scheduling.

For promoting a conferences, use CONFERENCE MANAGEMENT – Publicity management.

For arranging and managing a conference trade show or exhibition, use CONFERENCE MANAGEMENT – Exhibition management.

For logos developed for a conference (e.g. the Association’s annual conference), use CONFERENCE MANAGEMENT – Brand management.

For producing conference publications e.g. programs, brochures, posters and proceedings, use PUBLICATION MANAGEMENT.

For Conference papers sent for publication in the proceedings, use PUBLICATION MANAGEMENT.

For participants evaluations of a conference, use CONFERENCE MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
8	<p>Records documenting conference administrative tasks. Includes:</p> <ul style="list-style-type: none"> • program development • invitations to speakers • assessment of proposals to deliver a conference paper • registration management • venue hire 	Retain for 5 years after the conference then destroy

	<ul style="list-style-type: none"> • equipment hire • catering • rosters. 	
9	Photographs taken at the conference.	Retain permanently

Contract and agreement management

Tasks associated with drawing up and signing contracts and agreements. Includes administering the terms of the contract and agreements to ensure compliance, and the process of reviewing contracts and agreements.

For carrying out a tender process, use CONFERENCE MANAGEMENT – Tender administration.

Class No.	Record Description	Retention Action
10	Contracts/agreements.	Retain for 7 years after the completion or termination of the contract or in accordance with state laws then destroy
11	Records documenting contract/agreement management tasks. Includes: <ul style="list-style-type: none"> • notes of meetings with contractors • evaluation of work performed • reviews of contracts and agreements • reports to the Association’s governing body. 	Retain for 5 years after the completion or termination of the contract then destroy

Exhibition management

Tasks associated with developing and managing an exhibition. Includes designing the exhibition, preparing exhibits, setting up the exhibition and managing the event.

For payment of fees charged for exhibiting at a conference, use CORPORATE SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
12	Records documenting the development and management of a conference exhibition/ trade show. Includes negotiations with exhibitors.	Retain for 2 years after the conference then destroy

Media relations management

Tasks associated with informing the public and the profession through media channels about Association initiatives, activities, events, policies and opinions. Includes responding to media questions.

For advertising a conference, use CONFERENCE MANAGEMENT – Advertising.

Class No.	Record Description	Retention Action
13	Copies of articles and interviews published to promote a conference. Includes print and electronic media.	Retain permanently
14	Association media releases relating to a conference.	Retain permanently one copy. Destroy duplicates when reference ceases
15	Working papers used to develop media releases and articles for publication in the media.	Retain for when reference ceases

Meeting administration

Tasks involved in arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

Class No.	Record Description	Retention Action
16	Records documenting non committee meetings supporting the organization of a conference.	Retain for 2 years after the conference then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For drawing up a conference budget, use CORPORATE SERVICES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
17	Records documenting planning activities carried out to support a conference.	Retain for 2 years after conference then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of policies, use CONFERENCE MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
18	Final version of Association conference policies.	Retain permanently
19	Working papers created in developing the policy. Includes: <ul style="list-style-type: none">• drafts• feedback from consultations.	Retain for 1 year after the release of the policy then destroy
20	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of procedures, use CONFERENCE MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
21	Final version of procedures supporting the conference management function.	Retain for 2 years after procedures are superseded then destroy
22	Records documenting the development of procedures supporting the conference management function.	Retain for 1 year after the release of the procedures then destroy
23	Copies of procedures.	Destroy when reference ceases

Publicity management

Tasks associated with advertising and promoting events. Includes the distribution of event brochures, posters and placing information on websites. Also includes managing the use of the Association's banner.

For developing and publishing brochures, posters and websites, use PUBLICATION MANAGEMENT.

For activities associated with publicizing the conference through media channels, use CONFERENCE MANAGEMENT – Media relations management.

For activities associated with placing paid advertisements about the conference, use CONFERENCE MANAGEMENT – Advertising.

Class No.	Record Description	Retention Action
24	Records documenting publicity management tasks undertaken to promote the conference.	Retain for 2 years after conference then destroy

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
25	Final report submitted to the Association’s governing body on the conduct of a conference.	Retain permanently
26	Regular reports submitted to Association’s governing body on the progress of conference preparations.	Retain for 1 year after conference then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

For reporting on conference activities, use CONFERENCE MANAGEMENT – Reporting and informing.

For developing a new policy, use CONFERENCE MANAGEMENT – Policy development.

For developing new procedures, use CONFERENCE MANAGEMENT – Procedure development.

For the reviews of contracts and agreements, use CONFERENCE MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
27	Records documenting reviews of Association conference policies and procedures.	Retain for 4 years after the review then destroy

28	Conference evaluations and feedback forms.	Retain for 2 years after conference or 1 year if summary is included in final conference report then destroy
29	Working papers supporting reviews.	Destroy when reference ceases

Sponsorship management

Tasks associated with seeking sponsorships to support an Association activity or event and managing the relationship.

For managing money received from sponsors, use CORPORATE SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
30	List of sponsors of an Association conference.	Retain permanently
31	Records documenting approaches made to potential sponsors, and managing relationships with sponsors.	Retain for 2 years after conference then destroy

Tender administration

Tasks associated with calling for, receiving and assessing tenders for the supply of equipment, goods and services.

For drawing up, signing and managing contracts/agreements, use CORPORATE SERVICES MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
32	Records documenting the development, issue of tender documentation and assessment of tenders received.	Retain for 7 years after tender process is completed or in accordance with state laws then destroy
33	Tender documentation of successful tender.	Retain for 7 years after the completion of the contract or in accordance with state laws then destroy
34	Tender documentation of unsuccessful tenders.	Retain for 2 years after tender process is completed or in

		accordance with state laws then destroy
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Travel Administration

Tasks associated with arranging domestic and international travel.

For paying and reimbursement of fares, use CORPORATE SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
35	Records documenting travel arrangements made for speakers, and Association staff.	Retain for 1 year after the financial audit then destroy

EDUCATION MANAGEMENT

The function of fostering the development and provision of high quality archival education, including accrediting tertiary courses for the purpose of admitting members to the grade of professional member. Also includes developing and delivering educational and training courses, seminars and workshops to members to support their professional growth and to small archives to assist in establishing and maintaining archival standards. Includes courses delivered to support the Association’s community archival education program.

For the development of educational standards, use STANDARDS DEVELOPMENT.

For promotion and advocacy activities aimed at supporting archival education, includes presenting papers at conferences or attending conferences, use PROMOTION & ADVOCACY.

For general liaison activities with community groups aimed at heightening awareness about archives and archival management, use PROMOTION & ADVOCACY.

For the production of publications to support the education management function, use PUBLICATION MANAGEMENT.

Accreditation administration

Tasks associated with assessing university programs and courses established to educate and train potential entrants to the profession against defined criteria. Includes establishing an accreditation team, carrying out initial research about the university and courses, liaising with the university, seeking information on courses to be accredited, mapping courses to criteria, undertaking an accreditation visit to the institution, consulting with stakeholders (including students, industry, academic, Association members), assessing information provided against established criteria, preparing and submitting a recommendation to the Association’s governing body, and advising the institution of the outcomes of the accreditation.

For activities relating to the development of accreditation criteria, use EDUCATION MANAGEMENT - Policy development.

For activities relating to the development of course accreditation procedures, use EDUCATION MANAGEMENT - Procedure development.

For managing an appeal made by a university against a course accreditation outcome, use EDUCATION MANAGEMENT - Accreditation appeal administration.

For annual course returns received from a university, use EDUCATION MANAGEMENT - Reporting.

For reviewing the Association’s course accreditation program, use EDUCATION MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
36	Records documenting course accreditations. Includes:	Retain permanently

	<ul style="list-style-type: none"> • appointment of accreditation team • correspondence with the university • information received on courses • feedback from stakeholders • report and recommendations to the Association's governing body. 	
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Accreditation appeal administration

Tasks associated with actioning an appeal made by a university against a decision not to accredit a course or to discontinue the accreditation of a course. Includes appointing an appeals team, and calling for evidence and witnesses. Also includes assessing information, advising the Association's governing body on the progress of the appeal and recommending to the Association's governing body on whether the appeal should be upheld.

Class No.	Record Description	Retention Action
36	Records documenting appeals made against a course accreditation recommendation.	Retain permanently

Advising

Tasks associated with both providing and receiving advice.

For advice provided or received relating to a particular course accreditation, or an appeal being carried out, use EDUCATION MANAGEMENT – Course accreditation administration.

For enquiries regarding educational education, use EDUCATION MANAGEMENT - Enquiry management.

For regular or irregular reports on education management matters, use EDUCATION MANAGEMENT - Reporting and informing.

Class No.	Record Description	Retention Action
37	Records documenting advice provided and/or received relating to the general management of the function.	Retain for 1 year after advice is provided then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference for the committee, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

Class No.	Record Description	Retention Action
38	Records of committees supporting the education function. Includes: <ul style="list-style-type: none">• terms of reference• agenda• agenda paper• signed/authorized version of minutes• correspondence between members.	Retain permanently
39	Working papers supporting the committee. Includes: <ul style="list-style-type: none">• notices of meetings• notes of meeting• draft minute• copies of committee records (e.g. agenda papers, minutes).	Destroy when reference ceases

Community archival education training

Tasks associated with delivering training to support the Association's community archival education program. Includes developing programs, and training material, liaison with presenters and delivering sessions.

For the expenditure and receipt of moneys for the delivery of community archival education training courses, use CORPORATE SERVICES MANAGEMENT – Accounts management.

For reporting on the delivery of training courses, use EDUCATION MANAGEMENT – Reporting and informing.

For the review and evaluating of community archival education training courses, use EDUCATION MANAGEMENT - Reviewing and evaluating.

For the printing of training material used in community archival education training courses, use PUBLICATION MANAGEMENT.

For general liaison activities with community groups aimed at heightening awareness about archives and archival management, use PROMOTION & ADVOCACY.

Class No.	Record Description	Retention Action
40	Training materials for community archival education courses.	Retain Permanently
41	Records supporting the delivery of community archival education courses. Includes: <ul style="list-style-type: none"> • arrangements with speakers • registrations • venue arrangements • feedback on course. 	Retain for 6 years after course is delivered then destroy

Continuing professional development training

Tasks associated with developing and delivering continuing professional development courses, seminars and workshops for Association members. Includes developing programs, and training material, liaison with presenters and delivering sessions.

For the expenditure and receipt of moneys for professional development courses, seminars and workshops, use CORPORATE SERVICES MANAGEMENT – Accounts management.

For reporting on the delivery of training courses, use EDUCATION MANAGEMENT – Reporting and informing.

For the review and evaluating of continuing professional development training courses, use EDUCATION MANAGEMENT - Reviewing and evaluating.

For the printing of training material used in continuing professional education training sessions, use PUBLICATION MANAGEMENT.

Class No.	Record Description	Retention Action
42	Training materials for continuing professional education training courses.	Retain Permanently
43	Records supporting the delivery of continuing professional education training courses. Includes: <ul style="list-style-type: none"> • arrangements with speakers • registrations • venue arrangements • feedback on course. 	Retain for 6 years after course is delivered then destroy

Enquiry management

Tasks associated with responding to enquiries about the Association received from members or the general public.

For enquiries relating to a particular course accreditation, being carried out received from the university or a stakeholder group, use EDUCATION MANAGEMENT - Accreditation administration.

Class No.	Record Description	Retention Action
44	Records documenting the receipt and response to enquiries regarding archival education. Includes enquiries about continuing professional education training courses, community education courses, and tertiary courses available.	Retain for 2 years after enquiry is answered then destroy

Meeting administration

Tasks associated with activities involved in arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

For meetings held during a course accreditation, use EDUCATION MANAGEMENT, Accreditation administration.

Class No.	Record Description	Retention Action
45	Records documenting non committee meetings supporting the education function.	Retain for 2 years after the meeting then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For budgeting to support education activities, use CORPORATE SERVICES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
46	Final version of strategic plans developed to support the education function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
47	Final versions of other plans and programs developed to support the delivery of specific education activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy

48	Working papers used to develop plans and schedules to support the education function.	Retain for 1 year after the plan is approved then destroy
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Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use CORPORATE SERVICES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
49	Final versions of Association education policies.	Retain permanently
50	Working papers created in developing the policy. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	Destroy when reference ceases
51	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use CORPORATE SERVICES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
52	Final version of procedures supporting the education function.	Retain for when superseded
53	Records documenting the development of procedures supporting the education function.	Retain for 1 year after the release of the procedures then destroy
54	Copies of procedures.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

For reports on the accreditation of a particular tertiary course, use EDUCATION MANAGEMENT - Accreditation administration.

Class No.	Record Description	Retention Action
55	Reports prepared for the Association's governing body on the education function. Includes reports on continuing professional education courses organized by the Association.	Retain Permanently
56	Annual returns from accredited courses.	Retain Permanently
57	Ad hoc reports and ongoing communications undertaken to support the education function.	Retain for 2 years after reference ceases then destroy

Researching

Tasks associated with gathering and investigating information on a particular topic or activity.

For research carried out to support a particular course accreditation, use EDUCATION MANAGEMENT - Accreditation administration.

Class No.	Record Description	Retention Action
58	Records documenting research undertaken to support the education management function.	Destroy when reference ceases

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
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59	Reviews of the Association's course accreditation program.	Retain permanently
60	Reviews and evaluations of training courses, programs and training material. Including: <ul style="list-style-type: none"> • continuing professional education courses • Community archival education courses. 	Retain for 5 years after reference ceases then destroy
61	Records documenting reviews and evaluations of various models and delivery mechanisms for presenting Association education courses.	Retain for 5 years after reference ceases then destroy
62	Records documenting reviews of the Association's education policies and procedures.	Retain for 4 years after the review then destroy
63	Working papers supporting reviews.	Destroy when reference ceases

Travel Administration

Tasks associated with arranging domestic and international travel.

For the payment of travel expenses, use CORPORATE SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
64	Records documenting travel arrangements for speakers and Association staff to support education management activities. Includes approvals.	Retain for 1 year after the financial audit

FINANCIAL RESOURCES MANAGEMENT

The function of managing the financial resources of the Association. Includes planning, collecting money and paying accounts, financial reporting, auditing and managing investments.

Accounts management

Tasks associated with recording the receipt, spending and allocation of Association funds for the purpose of accounting for the management of moneys, preparing financial statements, and supporting budgeting and planning activities.

For compiling financial statements, use FINANCIAL RESOURCES MANAGEMENT – Reporting and informing.

For budgeting activities, use FINANCIAL RESOURCES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
65	Accounting records managing the Association's revenue and expenditure. Includes: <ul style="list-style-type: none"> • journals • ledgers • receipts • invoices (both received and sent) • cash books • cheque books • banking records • credit card statements • reconciliation records. 	Retain for 6 years after audit or in accordance with state laws then destroy

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
66	Records documenting advice provided and/or received relating to the financial resources management function.	Retain for 1 year after advice is provided then destroy

Auditing

Tasks associated with examining the Association's accounts to ensure money has been spent correctly and that standard accounting practices have been followed. Includes selecting an auditor.

For the annual audit report incorporated in Annual General Meeting papers, use GOVERNANCE MANAGEMENT – Meetings.

Class No.	Record Description	Retention Action
67	Records documenting audits carried out on the Association's accounts where major discrepancies were found.	Retain permanently
68	Records documenting audits carried out on the Association's accounts where there were no major discrepancies found.	Retain for 7 years after last action then destroy
69	Records supporting the appointment of the Association's auditor.	Retain for 7 years after last action then destroy

Budget planning

Tasks associated with anticipating costs and revenue, and planning expenditure.

Class No.	Record Description	Retention Action
70	Records documenting the preparation of budgets. Includes annual budgets for the Association, or for specific events or activities.	Retain for 3 years the completion of the annual budget cycle or the event/activity then destroy

Donation management

Tasks associated with receiving or giving gifts and monetary donations. Includes acknowledgement and general liaison with the donor.

For managing relationships with sponsors of Association conferences, use CONFERENCE MANAGEMENT – Sponsorship management.

Class No.	Record Description	Retention Action
71	Records documenting the receipt of donations over the value of \$5,000.	Retain permanently
72	Records documenting the receipt of donations under the value of \$5,000.	Retain for 7 years after donation then destroy

73	Records documenting money and gifts made by the Association.	Retain for 7 years after donation then destroy
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Fund distribution

Tasks associated with approving and allocating funds for financing Association activities or specific projects and events.

For managing financial transactions associated with the distribution of funds, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
74	Records documenting the allocation of Association's funds. Includes: <ul style="list-style-type: none"> • requests for funds • negotiations • terms and conditions of allocation of allocation. 	Retain for 6 years after allocation is made then destroy

Grant management

Tasks associated with both seeking and giving grants for specific purposes. Includes developing and assessing applications, and the allocation and acquittal of funds.

For tasks associated with carrying our activities funded by grants, use the relevant function.

Class No.	Record Description	Retention Action
75	Records documenting grants received by the Association. Includes: <ul style="list-style-type: none"> • grant application • correspondence with grant organisation • acknowledgement of receipt of grant • acquittal documentation. 	Retain permanently
76	Records documenting applications for grants made by the Association that were unsuccessful.	Retain for 2 years after reference ceases then destroy
77	Records documenting grants given by the Association. Includes:	Retain permanently

	<ul style="list-style-type: none"> • grant applications received • assessment of applications • correspondence with unsuccessful applicants • correspondence with successful applicants • acquittal documentation. 	
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Investment management

Tasks associated with managing cash reserves, securities and assets of the Association to meet financial goals.

Class No.	Record Description	Retention Action
78	Records documenting the management of investments. Includes: <ul style="list-style-type: none"> • agreements • statements. 	Retain for 6 years after action ceases then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For budgeting activities, use FINANCIAL RESOURCES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
79	Final version of strategic plans developed to support the financial resources management function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
80	Final versions of other plans developed to support the delivery of the financial resources management function.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
81	Working papers used to develop plans and schedules to support the financial resources management function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use FINANCIAL RESOURCES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
82	Final versions of Association financial resources management policies. Includes: <ul style="list-style-type: none">• financial management policy• investment policy• grant funding policy	Retain for 3 years after superseded then destroy
83	Working papers created in developing the policy. Includes: <ul style="list-style-type: none">• drafts• feedback from consultations.	Destroy when reference ceases
84	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use FINANCIAL RESOURCES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
85	Final version of procedures support the financial resources management function. Includes: <ul style="list-style-type: none">• financial procedures• grant funding procedures.	Retain until superseded then destroy
86	Records documenting the development of procedures supporting the financial resources management function.	Retain for 1 year after the release of the procedures then destroy
87	Copies of procedures.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
88	Reports prepared for Association's governing body on financial resources management activities. Includes annual Association financial statements and treasurer reports.	Retain permanently
89	Ad hoc reports and ongoing communications undertaken to support the financial resources management function.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
90	Records documenting reviews of financial resources management policies.	Retain for 4 years after the review then destroy
91	Working papers supporting reviews.	Destroy when reference ceases

GOVERNANCE MANAGEMENT

The function of managing the overall direction and control of the Association to achieve its objectives. Includes the administration of Annual General Meetings, Association governing body meetings, and meetings of Association groups. Covers the management of elections for office bearers. Also includes the review of the Rules and By-Laws of the Association and strategic planning activities.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
92	Records documenting advice provided and/or received on the Association's Constitution and Rules which set a precedent or expected to influence future changes.	Retain permanently
93	Records documenting advice provided and/or received relating to the governance management function with no precedent value.	Retain for 2 years after advice is provided then destroy

Brand management

Tasks associated with the development and management of the Association's logos, colors and themes. Includes developing and selecting designs.

For the establishment of domain names, use CORPORATE SERVICES MANAGEMENT – Complying.

Class No.	Record Description	Retention Action
94	Records documenting the development of an Association logo, trade marks, corporate colors and themes.	Retain permanently

Code of conduct investigations

Tasks associated with carrying out investigations on reported code of conduct breaches. Covers the management of an appeal made against a decision.

Class No.	Record Description	Retention Action
95	Records documenting code of conduct cases where claims were proven . Includes those that were subject to an unsuccessful appeal.	Retain permanently

	<p>Includes:</p> <ul style="list-style-type: none"> • advice and/or request to investigate a breach • records of investigations carried out • report on findings of an investigation • records documenting any appeal made against the findings. 	
96	<p>Records documenting code of conduct cases where claims were not proven, or had no substance. Includes those that were subject to a successful appeal. Includes:</p> <ul style="list-style-type: none"> • advice and/or request to investigate a breach • records of investigations carried out • reports on findings of an investigation • records documenting any appeal made against the findings. 	Retain for 5 years after report is provided to Association's governing body then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers and the preparation of minutes.

For annual general meetings, use GOVERNANCE MANAGEMENT – Meeting administration.

For indices and registers of decisions and actions decided at Associations governing body meetings, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Records management.

Class No.	Record Description	Retention Action
97	<p>Secretary's records of all governance meetings of the Association. Includes:</p> <ul style="list-style-type: none"> • agenda • agenda papers • signed/authorized version of minutes • correspondence between committee members. 	Retain permanently
98	<p>Working paper supporting committees. Includes:</p>	Destroy when reference ceases

	<ul style="list-style-type: none"> • notices of meetings • notes of meetings • draft minutes • copies of committee records (e.g. agenda papers, minutes) • proxy voting papers • general administrative arrangements. 	
99	Copies of committee records.	Destroy when reference ceases

Complying

Tasks undertaken to comply with relevant laws, regulations, standards or codes of practice.

Class No.	Record Description	Retention Action
100	Records documenting and supporting the establishment of the Association under state laws.	Retain permanently

Election management

Tasks associated with running elections for office holders of the Association.

Class No.	Record Description	Retention Action
101	<p>Records documenting an election for office holders of the Association. Includes:</p> <ul style="list-style-type: none"> • appointment of a Returning Officer and Deputy Returning Officer • call for nominations notice • nominations and supporting statements • ballot papers • counting sheets • statement declaring the results of the election. 	Retain for 2 years after the meeting where the results were declared then destroy

Meeting administration

Tasks associated with arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

For meetings associated with other functions of the Association, use the meeting activity under the particular function.

Class No.	Record Description	Retention Action
102	Secretary's records of Annual General Meetings of the Association. Includes: <ul style="list-style-type: none">• notice of meeting and agenda• Council/ Branch, Special Interest Groups annual report• Treasure's report• Auditor's report• Reports from sections of the Association• notices of motion• signed (authorised) minutes.	Retain permanently
103	Working papers supporting the conduct of Annual General Meetings. Include: <ul style="list-style-type: none">• draft minutes• proxy voting papers• postal ballot returns (ballot to confirm decision taken at a Special General meeting)• general administrative arrangements.	Retain for after the subsequent Annual General Meeting then destroy
104	Copies of Annual General Meeting papers of all Association meetings.	Destroy when reference ceases
105	Minutes of regular governance meetings of Association other than Annual General Meetings e.g. Section meetings.	Retain permanently
106	Working papers supporting the conduct of regular governance meetings other than Annual General Meetings. Includes: <ul style="list-style-type: none">• draft minutes• general administrative arrangements.	Retain until after the subsequent meeting then destroy

107	Copies of papers of regular meetings of the Association other than Annual General Meetings.	Destroy when reference ceases
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Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
108	Final version of Association's Strategic Plan.	Retain Permanently
109	Working papers documenting the development of the Strategic Plan.	Retain until superseded by a new plan then destroy
110	Final versions of plans and schedules formulated to support specific governance management function activities.	Retain for 3 years after plan is completed or superseded then destroy
111	Working papers documenting the development of plans and schedules to support specific governance management function activities.	Retain for when plan is completed or superseded then destroy
112	Copies of plans and schedules.	Destroy when reference ceases

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of policies, use GOVERNANCE MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
113	Final versions of Association Constitution, Rules and By-laws.	Retain permanently
114	Final versions of governance policies e.g. Association's Code of Ethics.	Retain permanently
115	Working papers created in developing governance policies. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	Retain permanently

116	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of procedures, use GOVERNANCE MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
117	Final version of procedures supporting the governance management function.	Retain permanently
118	Records documenting the development of procedures supporting the governance management function.	Retain for 1 year after the release of the procedures then destroy
119	Copies of procedures.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analyzing information, preparing drafts, seeking feedback and submitting the final document for consideration.

For the official copy of minutes, annual reports and financial statements presented at meetings of the Association, use GOVERNANCE MANAGEMENT – Meeting administration.

For reports on the investigations on breaches of the code of conduct, use GOVERNANCE MANAGEMENT – Code of conduct investigations.

Class No.	Record Description	Retention Action
120	Reports presented to the governing body of the Association on governance activities.	Retain permanently
121	Ad hoc reports and ongoing communications undertaken to support the governance management function.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
122	Records documenting reviews of governance policies and procedures.	Retain permanently
123	Working papers supporting reviews.	Destroy when reference ceases.

Travel Administration

Tasks associated with arranging domestic and international travel.

For paying and reimbursement of fares, use FINANCIAL RESOURCES ADMINISTRATION – Accounts management.

Class No.	Record Description	Retention Action
124	Records documenting travel arrangements. Includes approvals.	Retain for 1 year after the financial audit then destroy

Visiting

Tasks associated with organising the attendance of visitors and members to attend meetings or events.

For international visits by Association representatives, use STRATEGIC RELATIONS MANAGEMENT – Visiting.

Class No.	Record Description	Retention Action
125	Records documenting the organisation of attendance of visitors to governance meetings.	Retain for 1 year after the visit occurs then destroy

HUMAN RESOURCES MANAGEMENT

The function of managing Association staff. Includes recruiting, establishing and administering employment conditions, providing training, and termination of engagement. Also includes managing a staff superannuation fund, insuring staff and the processes associated with claiming insurance.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
126	Records documenting advice provided and/or received relating to the human resources management function.	Retain for 1 year after advice is provided then destroy

Insurance administration

Tasks associated with obtaining insurance coverage to protect the Association against financial loss, damage or theft.

For insurance claims, use HUMAN RESOURCES MANAGEMENT – Insurance claims management.

Class No.	Record Description	Retention Action
127	Insurance policies relating to the employment of staff. Includes workers compensation insurance policies.	Retain for 7 years after policy expires then destroy
128	Records documenting annual insurance renewals.	Retain for 6 year after financial audit then destroy

Insurance claims management

Tasks associated with claiming reimbursement for loss or damage in accordance with the terms of an insurance policy.

For reports of incidents where no insurance claim was made, use HUMAN RESOURCES MANAGEMENT – Reporting and informing.

Class No.	Record Description	Retention Action
129	Records documenting workers compensation claims for serious injury or death. Includes: <ul style="list-style-type: none"> • accident report • notification to insurer • claim for compensation 	Retain for 75 years after date of birth or 7 years after action completed or in accordance with state laws then destroy

	<ul style="list-style-type: none"> • doctors reports • medical certificates • injury management plans • return to work plans. 	
130	<p>Records documenting claims made for loss personal property of employees, and minor injuries against an insurance policy. Includes:</p> <ul style="list-style-type: none"> • notification to insurer • claim for compensation. 	Retain for 7 years after action completed then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
131	Final version of strategic plans developed to support the human resources management function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
132	Final versions of other plans developed to support the delivery of specific human resources management activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
133	Working papers used to develop plans and schedules to support the human resources management function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use HUMAN RESOURCES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
134	<p>Final versions of Association human resources management policies. Includes:</p> <ul style="list-style-type: none"> • occupational health & safety policy • staffing policy • superannuation policy. 	Retain for 3 years after superseded then destroy

135	Working papers created in developing the policy. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	Destroy when reference ceases
136	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use HUMAN RESOURCES MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
137	Final version of procedures support the human resources management function.	Retain until superseded then destroy
138	Records documenting the development of procedures supporting the human resources management function.	Retain for 1 year after the release of the procedures then destroy
139	Copies of procedures.	Destroy when reference ceases

Recruiting and engaging staff

Tasks associated with recruiting staff to work for the Association. Includes advertising, the selection process, and establishing the terms of engagement.

Class No.	Record Description	Retention Action
140	Records documenting recruitment of staff. Includes: <ul style="list-style-type: none"> • copies of job advertisements • applications • interview report and recommendation to Association's governing body. 	Retain for 1 year after recruitment is completed then destroy
141	Letter of offer made to successful applicant for a position with the Association. Includes details about terms and conditions of employment and any updates of the terms	Retain for 6 year after person leaves the employment of the Association or after conditions change and confirming letter is

	and conditions.	sent then destroy
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Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
142	Reports prepared for Association's governing body on human resources management activities.	Retain permanently
143	Ad hoc reports and ongoing communications undertaken to support the human resources management function.	Retain for 2 years after reference ceases then destroy
144	Records reporting and documenting an employee accident where no compensation claim was made.	Retain for 7 years after accident then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
145	Records documenting reviews of human resources policies.	Retain for 4 years after the review then destroy
146	Working papers supporting reviews.	Destroy when reference ceases

Salary and superannuation administration

Tasks associated with administering the payment of salaries to staff and superannuation contributions and superannuation fund management.

For salary payment transactions, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

147	Records supporting the payments of employee salaries and superannuation	Retain for 6 after action completed or in accordance with
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	contributions. Includes: <ul style="list-style-type: none"> • time sheets • salary calculations • wages records • termination payment records 	state laws then destroy
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Staff training

Tasks associated with providing or organizing staff training.

148	Records documenting arrangements for staff.	Retain for 6 years after termination then destroy
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Terminating employment

Tasks associated with staff leaving the paid employment of the Association. Includes resignation, retirement and retrenchment.

149	Records documenting employee training provided by the Association.	Retain for 1 year after training is undertaken then destroy
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INFORMATION & TELECOMMUNICATIONS MANAGEMENT

The function of managing the Association's information resources including its administrative records and archival and library material, and the website. Also includes purchasing and managing telephones, computer equipment and networks.

Advising

Tasks associated with both providing and receiving advice.

For advice relating to the website, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Website technical administration.

Class No.	Record Description	Retention Action
150	Records documenting advice provided and/or received relating to the information and telecommunications function includes providing advice on using computer and telecommunication equipment.	Retain for 1 year after advice is provided then destroy

Asset inventory management

Tasks associated with keeping an inventory of assets owned or leased by the Association.

For undertaking stocktakes to account for the Association's assets, equipment and stores, use REAL & MOVEABLE PROPERTY MANAGEMENT – Stocktaking.

For the disposal of assets and equipment and surplus stores, use REAL & MOVEABLE PROPERTY MANAGEMENT – Property disposal.

For compiling an inventory of property, equipment and store, use REAL & MOVEMENT PROPERTY MANAGEMENT – Asset inventory management.

Class No.	Record Description	Retention Action
151	Computer and telecommunication equipment inventories.	Record disposal of item on inventory. Delete entry from inventory 7 years after disposal

Complying

Tasks undertaken to comply with relevant laws, regulations, standards or codes of practice.

Class No.	Record Description	Retention Action
152	Records documenting the registration of the Association's website domain name.	Retain for 2 years after the domain name changes then destroy

Contract and agreement management

Tasks associated with drawing up and signing contracts and agreements. Includes administering the terms of the contract and agreement to ensure compliance, and the process of reviewing contracts and agreements.

For carrying out a tender process, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Tender management.

For managing, renting or leasing of goods and services, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procurement management.

For letter of offer of employment, use HUMAN RESOURCES MANAGEMENT – Recruiting and engaging staff.

Class No.	Record Description	Retention Action
153	Contracts/ agreements.	Retain for 7 years after completion or termination of contract or in accordance with state laws then destroy
154	Records documenting contract/agreement management tasks. Includes: <ul style="list-style-type: none">• notes of meetings with contractors• evaluation of work performed• reviews of contracts and agreements• reports to the Association's governing body.	Retain for 2 years after the completion of the terms of the contract then destroy

Database administration

Tasks associated with designing, and developing and maintaining databases used to support administrative activities.

For the procurement of software, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procurement management.

For maintenance agreements for databases/software, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Contract and agreement management.

For the technical management of the Association’s website, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Website technical administration.

Class No.	Record Description	Retention Action
155	Records documenting database design and management. Includes: <ul style="list-style-type: none">• system documentation• business rules• configuration of off-the-shelf packages.	Retain for 3 years after the database is superseded and data successfully migrated then destroy
156	Records documenting the maintenance and management of the database. Includes: <ul style="list-style-type: none">• maintenance and repair• system upgrades	Retain for 3 years after the database is superseded and data successfully migrated then destroy
157	System logs.	Retain for 1 year after the end of the financial year they were created in then destroy
158	Back-up tapes and logs.	Destroy when reference ceases

Library management

Tasks associated with managing library material acquired by the Association. Includes the acquisition of publication, cataloguing, circulating and weeding and disposing of surplus material.

For the procurement of library items (e.g. books and journal subscriptions) use, INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procurement management.

For the payment of material for the Association’s library, use FINANCIAL RESOURCES MANAGEMENT – Accounts management

For developing library management policies, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Policy development.

For developing library management procedures, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procedures development.

For planning activities to support library operations, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Planning .

Class No.	Record Description	Retention Action
159	Library catalogue.	Retain for as long as the library material is held by the Association
160	Records supporting the cataloguing process.	Retain for 3 months after the material is catalogued then destroy
161	Records supporting lending activities. Includes reminders about overdue material.	Retain for 6 months after the material has been returned to the library
162	Records supporting the weeding of the library collection.	Retain for 1 year after the material has been removed and deleted from the library catalogue
163	Surplus library material identified through the weeding process or unsolicited material that does not fit into the library acquisition policy.	Retain for 3 months then destroy
164	Records documenting publications received through reciprocal arrangements with other associations.	Retain for 1 years after the material is catalogued and placed in the Association’s library

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For budgeting activities associated with the Information and Telecommunications function, use FINANCIAL RESOURCES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
165	Final version of strategic plans developed to support the information and telecommunications management function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy

166	Final versions of other plans developed to support the delivery of specific information and telecommunications activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
166	Working papers used to develop plans and schedules to support the information and telecommunications management function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
167	Final versions of Association information and telecommunications policies. Includes Association's: <ul style="list-style-type: none"> • records management policy • archives policy • website policy. 	Retain for 3 years after superseded then destroy
168	Working papers created in developing the policy. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	Destroy when reference ceases
169	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
170	Final version of procedures support the	Retain until superseded then

	financial resources management function. Includes: <ul style="list-style-type: none"> • financial procedures • grant funding procedures. 	destroy
171	Records documenting the development of procedures supporting the financial resources management function.	Retain for 1 year after the release of the procedures then destroy
172	Copies of procedures.	Destroy when reference ceases

Procurement management

Tasks associated with purchasing, renting or leasing goods, services and property, including computer software and hardware, and telecommunication services needed to carry out the business of the Association. Includes seeking quotes, evaluating and selecting suppliers, but excludes tendering.

For paying accounts for the procurement, rent, or lease of goods (e.g. library items), services and property, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

For tending activities carried out to procure information and telecommunication equipment and goods (e.g. library items), use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Tendering administration.

For drawing up, signing and managing contracts/agreements, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
173	Records documenting the procurement of information and telecommunication equipment and goods (e.g. library items such as books and subscriptions to journals) not acquired by tender or contract.	Retain for 7 years after action ceases then destroy
174	Information provided by vendors regarding information and telecommunication products and goods (e.g. library items and journal subscriptions).	Destroy when references ceases

Records management

Tasks associated with managing the Association's administrative records including control, creation, sentencing records against the Association's Retention Schedule, arranging for the destruction or transfer of records into archival custody, and providing access to the Association's records. Includes indexing meetings of Association's governing body and creating and maintaining a list of actions and a register of decision made at these meetings.

For developing records and information management policies, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Policy development.

For developing records and information management procedures, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procedures development.

Class No.	Record Description	Retention Action
175	Final authorised version of Association's Retention Schedule.	Retain permanently
176	Records supporting the development of the Association's Retention Schedule. Includes: <ul style="list-style-type: none">• drafts• stakeholder feedback• risk analysis• justifications for retention actions.	Retain permanently
177	Lists of records transferred to the Association's archives for permanent retention.	Retain permanently by the Secretary
178	Records documenting the process of transferring records to the Association's archives.	Retain for 1 year after the transfer is completed then destroy
179	Records documenting the destruction of temporary value records. Includes: <ul style="list-style-type: none">• advice provided on applying the Schedule• lists of records Retain fored.	Retain permanently by the Secretary for 5 years then transferred the Association's archives
180	Records documenting the provision of access to the Association's records.	Retain for 4 years after last action then destroy
181	Registers and lists recording the creation of files.	Retain permanently
182	File/folder titling thesauri.	Retain permanently

183	Indices of Association's governing body records. Includes: <ul style="list-style-type: none"> • Index of governing body Minutes • Register of governing body actions and decisions. 	Retain permanently
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Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
184	Reports prepared for Association's governing body on information and telecommunication activities.	Retain permanently
185	Ad hoc reports and ongoing communications undertaken to support the information and telecommunication activities.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
186	Records documenting reviews of information and telecommunication policies.	Retain for 4 years after the review then destroy
187	Working papers supporting reviews.	Destroy when reference ceases

Telecommunications equipment disposal

Tasks associated with disposing, through sale, donation, destruction or termination of lease, of telecommunications equipment.

Class No.	Record Description	Retention Action
188	Records documenting the disposal of telecommunications equipment, including computers, owned or leased by the Association.	Retain for 7 years after disposal then destroy

Tender administration

Tasks associated with calling for, receiving and assessing tenders for the supply of equipment, goods and services.

For drawing up, signing and managing contracts/agreements, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
189	Records documenting the development, issue of tender documentation and assessment of tenders received.	Retain for 7 years after tender process is completed or in accordance with state laws then destroy
190	Tender documentation of successful tender.	Retain for 7 years after the completion of the contract or in accordance with state laws then destroy
191	Tender documentation of unsuccessful tenders.	Retain for 2 years after tender process is completed or in accordance with state laws then destroy

Website technical administration

Tasks associated with maintaining the website.

For procedures supporting the maintenance of the website, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Procedures development.

For taking a snapshot of the website to capture the site as a publication of the Association, use PUBLICATIONS MANAGEMENT - Publishing.

For financial transactions associated with carrying out online sales, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
192	Records relating to the design and development of the website. Includes: <ul style="list-style-type: none">• design of site• consultation with stakeholders• testing the website• system documentation• business rules• specifications and configurations.	Retain for 3 years until after the website has been replaced then destroy
193	Records documenting requests for website changes.	Retain for 1 year after the changes have been made then destroy
194	Records documenting technical advice received and given on the management of the website.	Retain until website has been replaced then destroy
195	System logs showing changes made to the website.	Destroy when reference ceases

MEMBERSHIP ADMINISTRATION

The function of managing membership administrative processes. Includes considering applications for admission and membership upgrades, and ongoing activities involved in maintaining up-to-date personal details of members (i.e. addresses, place of employment). Also includes answering membership enquiries and promoting and encouraging networking between members through mentoring.

For financial transactions relating to membership fees paid by new and ongoing members, including managing annual renewals, use FINANCIAL SERVICES MANAGEMENT – Accounts management.

For the activities relating to a breach of ethical standards embodied in the Code of Ethics, use GOVERNANCE MANAGEMENT.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
196	Records documenting advice provided and/or received relating to the membership administration function that has precedent value for future possible changes to the Association's Constitution and Rules.	Retain permanently
197	Records documenting advice provided and/or received relating to the membership administration function with no precedent value.	Retain for 1 year after advice is provided then destroy
198	Advice received from members changing personal details e.g. change of address, change of place of employment.	Retain for 6 months after details are entered on Association's central membership list/register then destroy

Application management

Tasks associated with receiving and processing new membership applications or applications to upgrade membership status.

For financial transactions associated with processing membership applications, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
199	Application forms for new or upgraded	Retain permanently

	membership where the application was successful.	
200	Application forms for new or upgraded membership where the application was unsuccessful. Includes letter of advice.	Retain for 3 years after applicant is advised of the decision then destroy
201	Records supporting administrative arrangements associated with processing membership application forms.	Retain for 1 year after application is processed then destroy

Awards management

Tasks associated with seeking and assessing nominations for an award and arranging conferment.

Class No.	Record Description	Retention Action
202	Citations prepared for the presentation of achievement and recognition awards made to members of the Association.	Retain permanently
203	Records documenting the administration of the achievement and recognition awards made to members of the Association. Includes: <ul style="list-style-type: none"> • call for nominations • assessing the nominations • recommendation to Association's governing body • arrangements for the presentation. 	Retain for 2 years after the award is presented then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers and the preparation of minutes.

For administration of the mentor scheme by the Mentor Committee, use MEMBERSHIP ADMINISTRATION – Mentor scheme management.

Class No.	Record Description	Retention Action
204	Records of committees supporting the membership administration function. Includes:	Retain permanently

	<ul style="list-style-type: none"> • terms of reference • agenda • agenda papers • signed/authorized version of minutes • correspondence between committee members. 	
205	<p>Working paper supporting membership administration committees. Includes:</p> <ul style="list-style-type: none"> • notices of meetings • notes of meeting • draft minute • copies of committee records (e.g. agenda papers, minutes). 	Destroy when reference ceases

Enquiry management

Tasks associated with responding to enquiries about the Association received from members or the general public.

For the provision of advice, use MEMBERSHIPADMINISTRATION – Advising.

Class No.	Record Description	Retention Action
206	Records documenting the receipt and response to enquiries received about Association membership.	Retain for 6 months after enquiry is answered then destroy

Member separation administration

Tasks associated with members' severing their Association membership. Includes resignation, death, and removal due to non payment of fees, or expulsion.

Class No.	Record Description	Retention Action
207	Records documenting separation from the Society.	Retain permanently

Membership renewal management

Tasks associated with supporting the annual renewal of membership. Includes sending out notices and handling the receipt of renewal forms.

For recording financial transactions associated with membership renewals, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
208	Records supporting the annual membership renewal process.	Retain for 1 year after renewal has been processed and any change of details entered on the Association's central membership list/register then destroy

Mentor Scheme management

Tasks associated with managing the Association's annual Mentor Scheme program. Includes promoting an annual program, calling for nominations and matching mentors and mentees and evaluating the program.

For developing Mentor Scheme policies, use MEMBERSHIP ADMINISTRATION – Policy development.

For developing procedures to guide Mentor Scheme processes, use MEMBERSHIP ADMINISTRATION – Procedures development.

For reviewing the Mentor Scheme, use MEMBERSHIP ADMINISTRATION – Reviewing and evaluating.

For information collected about other mentor schemes, use STRATEGIC RELATIONS MANAGEMENT – Affiliating.

For reporting to the Association's governing body on the operation of an annual Mentor Scheme program, use MEMBERSHIP ADMINISTRATION – Reporting and informing.

Class No.	Record Description	Retention Action
209	Records documenting the administration of the Association's annual Mentor Scheme program. Includes: <ul style="list-style-type: none">• copies of announcements about commencing an annual program• promotion of an annual program – e.g. requests sent to universities to promote scheme to students• matching and advising mentors and mentees• evaluation feedback forms.	Retain for 3 years after completion of the program then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
210	Final version of strategic plans developed to support the membership administration function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
211	Final versions of other plans developed to support the delivery of specific membership administration activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
212	Working papers used to develop plans and schedules to support the membership administration function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association's policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of policies, use MEMBERSHIP ADMINISTRATION – Reviewing and evaluating.

Class No.	Record Description	Retention Action
213	Final versions of Association membership administration policies.	Retain permanently
214	Working papers created in developing the policy. Includes: <ul style="list-style-type: none">• drafts• feedback from consultations.	Destroy when reference ceases
215	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of procedures, use MEMBERSHIP ADMINISTRATION – Reviewing and evaluating.

Class No.	Record Description	Retention Action
216	Final version of procedures supporting the membership administration function.	Retain until superseded then destroy
217	Records documenting the development of membership administration function procedures.	Retain for 1 year after the release of the procedures then destroy
218	Copies of procedures.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

For annual Mentor Scheme program, use MEMBERSHIP ADMINISTRATION – Mentor Scheme management.

Class No.	Record Description	Retention Action
219	Reports prepared for the Association's governing body on activities undertaken to support the membership administration function. Includes reports on: <ul style="list-style-type: none">the management and results of an annual mentor scheme programmembership surveys.	Retain permanently
220	Ad hoc reports and ongoing communications undertaken to support the membership administration function.	Retain for 2 years after reference ceases then destroy
221	Collated data from membership surveys.	Retain permanently
222	Membership surveys forms and records documenting the administration of the survey.	Retain for 1 year after report has been presented to the Association's governing body then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

For feedback forms providing evaluations on an annual Mentor Scheme program, use MEMBERSHIP ADMINISTRATION – Mentor Scheme management.

For reporting on the management and results of an annual Mentor Scheme program, use MEMBERSHIP ADMINISTRATION – Reporting and informing.

Class No.	Record Description	Retention Action
223	Reviews of the Association's Mentor Scheme.	Retain permanently
224	Records documenting reviews of the Association's membership administration policies and procedures.	Retain for 4 years after the review then destroy
225	Working papers supporting reviews.	Destroy when reference ceases

PROMOTION & ADVOCACY MANAGEMENT

The function of pursuing promotion, advocacy and lobbying initiatives to support the objectives of the Association. Includes raising awareness about the importance of archives and records. Also includes monitoring legislative developments, government initiatives and matters of concern to the public relating to the use and management of archives and recordkeeping practices, and responding with timely and appropriate actions. Initiatives undertaken to support this function include making formal submissions to public enquiries; commenting on proposed legislation; lobbying for and against policy decisions affecting the management of archival institutions; issuing public statements that clarify issues and concerns to archival professionals; liaising with the media; mounting exhibitions and undertaking promotional liaison activities to foster an appreciation of the value of archives and good recordkeeping practices and delivering presentations to meetings and conferences about the Association's activities. Also includes management of events and visits arranged by members of the Association.

For developing archival and recordkeeping standards and Association position papers on issues of interest to the profession, use STANDARDS DEVELOPMENT.

For producing promotion and advocacy publications, use PUBLICATION MANAGEMENT.

For seminars, workshops and training sessions held to support the continuing professional development of members and educating members of the public through the community education program, EDUCATION MANAGEMENT.

For activities relating to the development of strategic relations with groups who share similar aims to those of the Association, use STRATEGIC RELATIONS MANAGEMENT.

For managing the Association's annual conference or conferences on specific archival and recordkeeping subjects, use CONFERENCE MANAGEMENT.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
226	Records documenting advice provided and/or received relating to promotion and advocacy activities.	Retain for 1 year after advice is received or provided then destroy

Brand management

Tasks associated with the development and management of the Association's logos, colors and themes. Includes developing and selecting designs.

For publications including the brand used for an advocacy, promotion or lobbying campaign, use PUBLICATION MANAGEMENT.

Class No.	Record Description	Retention Action
227	Records documenting the development of a brand for an advocacy, promotion or lobbying campaign.	Retain for 2 years after the conclusion of the campaign then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

Class No.	Record Description	Retention Action
228	Records of promotion and advocacy committees. Includes: <ul style="list-style-type: none">• terms of reference• agenda• agenda papers• signed/authorised version of minutes• correspondence between committee members.	Retain permanently
229	Working paper supporting the committee. Includes: <ul style="list-style-type: none">• notices of meetings• notes of meeting• draft minute• copies of committee records (e.g. agenda papers, minutes).	Destroy when reference ceases

Conference administration

Tasks associated with organizing or attending a conference.

For managing the Association's annual conference or conferences on specific archival and recordkeeping subjects, use CONFERENCE MANAGEMENT.

For seminars, workshops and training sessions held to support continuing professional development of members, use EDUCATION MANAGEMENT – Continuing professional development training.

For the preparation of papers delivered at conferences covering activities of the Association, use PROMOTION & ADVOCACY MANAGEMENT – Presentation development.

For arranging travel to attend a conference, use PROMOTION & ADVOCACY MANAGEMENT – Travel administration.

Class No.	Record Description	Retention Action
300	Records documenting attendance of Association representatives at conferences.	Retain for 2 years after the conference then destroy

Event management

Tasks associated with arranging Association activities, including visits and tours of archival institutions and arranging for guest speakers to address meetings.

For exhibitions, use PROMOTION & ADVOCACY MANAGEMENT – Exhibition management.

For Branch meetings where the business of the Branch is discussed, where proceedings are minuted, and where there is a guest speaker, use GOVERNANCE MANAGEMENT – Meetings administration.

Class No.	Record Description	Retention Action
301	Records documenting arrangements for events supporting the aims and objectives of the Association.	Retain for 2 years after the event then destroy

Exhibition management

Tasks associated with developing and managing an exhibition. Includes designing the exhibition, preparing exhibits, setting up the exhibition and managing the event.

Class No.	Record Description	Retention Action
302	Records documenting the development and management of an exhibition used to promote the aims and objectives of the Association.	Retain for 2 years after exhibition then destroy

Lobbying

Tasks associated with conducting activities aimed at influencing decision makers. Includes writing letters and making representative visits.

For developing a formal submission (written or oral) for presentation to decision makers, use PROMOTION & ADVOCACY MANAGEMENT – Submission preparation.

Class No.	Record Description	Retention Action
303	Records documenting lobbying activities undertaken by the Association.	Retain permanently
304	Records documenting lobbying activities of individuals and other organizations that have influenced the Association, or had an impact on the making and keeping of records by the government or organizations.	Retain permanently
305	Working paper used to support lobbying initiatives.	Retain for 4 years after reference ceases then destroy

Media relations management

Tasks associated with informing the public and the profession through media channels about Association initiatives, activities, policies and opinions. Includes responding to media questions.

Class No.	Record Description	Retention Action
306	Copies of media articles/interviews (both print and electronic) published supporting promotion and advocacy activities. Includes media releases.	Retain permanently
307	Association media releases.	Retain permanently one copy. Destroy duplicates when reference ceases
308	Working papers used to develop media releases and articles for publication in the media.	Destroy when reference ceases

Meeting administration

Tasks associated with arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

For Association meetings where there is a business meeting and a guest speaker, use GOVERNANCE MANAGEMENT – Meeting administration.

Class No.	Record Description	Retention Action
309	Records documenting non committee meetings supporting the advocacy and promotion function. Includes meetings conducted by external organizations and attended by Association representatives.	Retain permanently

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
310	Final version of strategic plans developed to support the promotion and advocacy function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
311	Final versions of other plans developed to support the delivery of specific promotion and advocacy activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
312	Working papers used to develop plans and schedules to support the promotion and advocacy function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use PROMOTION & ADVOCACY MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
313	Final versions of Association's promotion and advocacy policies.	Retain permanently
314	Working papers created in developing the	Destroy when reference ceases.

	policy. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	
315	Copies of policies.	Destroy when reference ceases

Presentation development

Tasks associated with preparing a presentation by members of the Association.

For making arrangements to attend the conference where the paper will be presented, use PROMOTION & ADVOCACY MANAGEMENT – Conference administration.

Class No.	Record Description	Retention Action
316	Final versions of presentation on promotion and advocacy issues.	Retain permanently
317	Working papers documenting the development of the presentation. Includes drafts.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use PROMOTION & ADVOCACY MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
318	Final version of procedures supporting the promotion and advocacy function.	Retain until superseded then destroy
319	Records documenting the development of procedures supporting the promotion and advocacy function.	Retain for 1 year after the release of the procedures then destroy
320	Copies of procedures.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analyzing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
321	Reports prepared for the Association's governing body on promotion and advocacy activities.	Retain permanently
322	Ad hoc reports and ongoing communications undertaken to support the promotion and advocacy function.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
323	Records documenting reviews of specific promotion and advocacy activities.	Retain permanently
324	Records documenting reviews of promotion and advocacy policies and procedure.	Retain for 4 years after the review then destroy
325	Working papers supporting reviews.	Destroy when reference ceases

Submission preparation

Tasks associated with making a formal submission to provide comments, opinions, express concerns and give support to a proposed policy or actions of an external body. Includes tasks involved in making an oral submission to an inquiry.

For lobbying activities such as writing letters and making representative visits, use PROMOTION & ADVOCACY MANAGEMENT – Lobbying.

Class No.	Record Description	Retention Action
326	Final versions of formal submissions made to an external organization.	Retain permanently

327	Briefings prepared to support the delivery of an oral submission.	Retain permanently
328	Records documenting the development of submissions.	Retain for 2 years after submission is made then destroy

Travel administration

Tasks associated with arranging domestic and international travel.

For paying and reimbursement of fares, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
329	Records documenting travel arrangements. Includes approvals.	Retain for 1 year after the financial audit then destroy

Visiting

Tasks associated with organizing the attendance at meetings or events.

Class No.	Record Description	Retention Action
330	Records documenting the organization of attendance of visitors to promotion and advocacy events.	Retain for 1 year after the visit occurs then destroy

PUBLICATION MANAGEMENT

The function of producing for distribution to members, or for sale, publications to advance the objectives of the Association. Includes contacting potential authors, reviewers and book publishers, negotiations with authors, drafting, editing, publishing (design, layout, printing etc), publication launches, marketing and distribution, arranging for the assignment of ISSN and ISBN numbers to Association publications, and storage and disposal of surplus stock. Also includes the production and ongoing management and maintenance of the Association's website and listserv.

For financial transactions covering the sale of publications, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

For the technical design, development and maintenance of the website, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Website technical administration.

Advertising

Tasks associated with arranging for paid advertisements about an event or publication.

For costs associated with advertising activities, use FINANCIAL RESOURCES MANAGEMENT.

For payments received from advertisers in the Association's publications, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
331	Copy of published advertisement.	Retain permanently
332	Records documenting arrangements for advertising of an Association's publication. Includes: <ul style="list-style-type: none"> • liaison with advertiser on rates and deadlines • developing advertising copy • ordering the advertisement. 	Retain for 1 year after advertisement is published, or a decision made not to publish the advertisement then destroy

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
333	Records documenting advice provided and/or received relating to the publication management function. Includes:	Retain for 1 year after advice is received or provided then destroy

	<ul style="list-style-type: none"> • advice provided to contributors of information on the Association's website • general advice about the Association's publications. 	
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Brand management

Tasks associated with the development and management of the Association's logos, colors and themes. Includes developing and selecting designs.

Class No.	Record Description	Retention Action
334	Records documenting the development of a brand for a publication.	Retain for 2 years after the publication date then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

Class No.	Record Description	Retention Action
335	Records of Association's committees to support the publication function. Includes: <ul style="list-style-type: none"> • terms of reference • agenda • agenda papers • signed/authorised version of minutes • correspondence between committee members. 	Retain for 4 years after date of committee meeting then destroy
336	Working paper supporting committees. Includes: <ul style="list-style-type: none"> • notices of meetings • notes of meeting • draft minute • copies of committee records (e.g. agenda papers, minutes). 	Destroy when reference ceases

Contract and agreement management

Tasks associated with drawing up and signing contracts and agreements. Includes administering the terms of the contract and agreement to ensure compliance, and the process of reviewing contracts and agreements.

Class No.	Record Description	Retention Action
337	Final versions of agreements with authors for producing works published by the Association. Includes agreements where the author signs over copyright to the Association and where copyright is retained by the author.	Retain permanently
338	Final versions of contracts/agreements supporting the publication function. Includes contract/agreements with publishers, editors, designers.	Retain for 7 years after completion or termination of contract or in accordance with state laws then destroy
339	Records documenting negotiations and ongoing communications with parties to the publishing agreement/contract and reviews of contracts and agreements.	Retain for 7 years after the date of publication or in accordance with state laws then destroy

Designing

Tasks associated with developing the form, structure and 'look and feel' of a publication, including a website. Includes drawing up plans and layouts and developing graphic representations.

For creating a brand/ logo for a publication, use PUBLICATION MANAGEMENT – Brand management.

Class No.	Record Description	Retention Action
340	Records documenting the development of designs for Association publications.	Retain for 2 years after date of publication then destroy

Drafting and editing

Tasks associated with developing a final text for publication. Includes drafting, making editorial amendments and rewriting and copy editing.

For the referee process of evaluating manuscripts, use PUBLICATION MANAGEMENT – Manuscript evaluation.

Class No.	Record Description	Retention Action
341	Records documenting the drafting and	Retain for 2 years after date of

	editing process for an Association publication. Includes: <ul style="list-style-type: none"> • original manuscript received from the author • drafts • edited texts • correspondence with the author. 	publication then destroy
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Enquiry management

Tasks associated with responding to enquiries about Association activities received from members or the general public.

Class No.	Record Description	Retention Action
342	Records documenting the receipt and response to enquiries regarding the Association's publications.	Retain for 1 years after enquiry is answered then destroy

Intellectual property management

Tasks associated with securing the intellectual property rights of the Association. Includes copyright in published texts, designs and logos.

For agreements made by the Association with authors relating to copyright, use PUBLICATION MANAGEMENT – Agreement development.

Class No.	Record Description	Retention Action
343	Records documenting responses to requests for the use of published material where copyright is vested in the Association, where the Association grants permission.	Retain for 7 years after date of publication, or when permission expires then destroy
344	Records documenting requests made by the Association to publish material where copyright is held by another organization or author with whom the Association has no copyright agreement with, where permission is granted.	Retain for 7 years after date of publication, or when permission expires then destroy
345	Records documenting requests made to and by the Association to reproduce copyright material where permission was denied.	Destroy when reference ceases

Joint venture management

Tasks associated with undertaking joint venture activities to pursue a specific project or outcome and carrying out related activities.

For reports to the Association’s governing body on joint venture publishing arrangements, use PUBLICATION MANAGEMENT – Reporting and informing

For tasks undertaken to support the production of the publication, use relevant activities in PUBLICATION MANAGEMENT.

Class No.	Record Description	Retention Action
346	Records supporting joint venture publishing activities. Includes: <ul style="list-style-type: none"> • liaison with joint venture partners • meetings • agreements • monitoring activities. 	Retain for 7 years after the date of publication then destroy

Manuscript evaluation

Tasks associated with evaluating manuscripts submitted for publication. Includes solicited and unsolicited manuscripts and includes seeking referee comments on manuscripts.

For managing the original submission and for editorial activities after acceptance of the manuscript for publication, use PUBLICATION MANAGEMENT – Drafting and editing.

Class No.	Record Description	Retention Action
347	Records documenting approaches made to authors soliciting manuscripts.	Retain for 2 years after publication, or the decision not to publish then destroy
348	Records documenting the evaluation of solicited and unsolicited manuscripts. Includes: <ul style="list-style-type: none"> • acknowledging receipt of the manuscript • approaching referees • considering referee comments • communicating with author about whether the manuscript will be accepted or not. 	Retain for 2 years after publication, or the decision not to publish then destroy

Meeting administration

Tasks associated with arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

Class No.	Record Description	Retention Action
349	Records documenting non committee meetings relating supporting the publication management function.	Retain for 2 years after meeting date then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
350	Final version of strategic plans developed to support the publication management function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
351	Final versions of plans developed to support the delivery of specific publication activities. Includes: <ul style="list-style-type: none">• publishing timelines• marketing plans.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
352	Working papers used to develop plans and schedules to support the publication management function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of policies, use PUBLICATION MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
353	Final versions of the Association's publication policies.	Retain permanently
354	Working papers created in developing the policy. Includes: <ul style="list-style-type: none">• drafts	Destroy when reference ceases

	<ul style="list-style-type: none"> • feedback from consultations. 	
355	Copies of policies.	Destroy when reference ceases.

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of procedures, use PUBLICATION MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
356	Final version of procedures supporting the publication function.	Retain until procedures are superseded then destroy
357	Records documenting the development of procedures supporting the publication function.	Retain for 1 year after the release of the procedures then destroy
358	Copies of procedures.	Destroy when reference ceases

Publication disposal

Tasks associated with the disposal of surplus Association publications. Includes disposal through sales, donation or destruction.

For managing financial transactions supporting the sale of publications, use FINANCIAL SERVICES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
359	Records documenting the destruction of surplus Association publications.	Retain for 1 year after destruction of publications then destroy

Publication distribution

Tasks associated with disseminating publications through general distribution to members or through sale.

For managing financial transactions supporting the sale of publications, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
360	Records documenting the distribution of the Association's publications. Includes address	Retain for 1 year after distribution occurs then destroy

	lists used for distribution.	
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Publishing

Tasks associated with publishing printed or electronic works making them widely available for sale or general distribution. Includes publishing books, journals, newsletters, brochures and e-publishing on a website and managing listservs. Also includes making a website public on the World Wide Web.

For designing publications and websites, use PUBLICATION MANAGEMENT - Designing.

For drafting and copying editing, use PUBLICATION MANAGEMENT – Drafting and Editing.

For developing a brand for a publication, use PUBLICATION MANAGEMENT – Brand management.

For developing the design, including cover art work, for a publication, use PUBLICATION MANAGEMENT – Designing

For drafting and editing of a publication, use PUBLICATION MANAGEMENT – Drafting and editing.

Class No.	Record Description	Retention Action
361	Master set of Association publications, including those published online.	Retain permanently
362	Snapshot of the Association’s website.	Retain permanently. Capture snapshot every 12 months and before that if there is a major change to the site
363	Association listserv.	Retain permanently. Capture every 12 months.
364	Records documenting the production process of a publication. Includes: <ul style="list-style-type: none"> • liaison with publishing companies • preparation of source files • indexing of publications • printing and binding selection • production of electronic media products (e.g. CD’s and DVDs) • printers’ copies of manuscripts including text layouts, galley and page proofs. 	Retain for 5 years after the date of publication distribution then destroy

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analyzing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
365	Reports to the Association's governing body on publishing activities.	Retain permanently
366	Ad hoc reports and ongoing communications undertaken to support the publication management function.	Retain for 2 years after reference ceases then destroy
367	Surveys undertaken to support the publication management function.	Retain for 2 years after reference ceases then destroy

Researching

Tasks associated with gathering and investigating information on a particular topic or activity.

Class No.	Record Description	Retention Action
368	Records documenting research undertaken to support the development of Association publications.	Retain for 2 years after publication or when reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
369	Published reviews of Association publications.	Retain permanently
370	Records documenting reviews of the Association's publication policies and procedures.	Retain for 4 years after the review then destroy
371	Reviews of Association publications carried out to assess continued relevance of the content, style and presentation.	Retain for 2 years after reference ceases then destroy

372	Working papers supporting reviews.	Destroy when reference ceases

Stocktaking

Tasks associated with accounting for the assets of the Association. Includes examining, counting, valuing and preparing inventories of items.

For the disposal of surplus publications, use PUBLICATION MANAGEMENT – Publication disposal.

Class No.	Record Description	Retention Action
373	Records documenting a publication stocktake. Includes stocktaking lists and reports on the outcome.	Retain for 2 years after action completed then destroy

Subscription management

Tasks associated with managing subscriptions to the Association’s publications.

For managing payments received for subscriptions, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
374	Records documenting subscriptions to Association publications. Includes: <ul style="list-style-type: none"> • requests to subscribe • renewal notices • changes of address • non receipt notices. 	Retain for 6 years after subscription date expires then destroy

Tender administration

Tasks associated with calling for, receiving and assessing tenders for the supply of equipment, goods and services.

For drawing up, signing and managing contracts/agreements, use PUBLICATION MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
375	Records documenting the development, issue of tender documentation and assessment of tenders received.	Retain for 7 years after tender process is completed or accordance with state laws then

		destroy
376	Tender documentation of successful tender.	Retain for 7 years after the completion of the contract or in accordance with state laws then destroy
377	Tender documentation of unsuccessful tenders.	Retain for 2 years after tender process is completed or in accordance with state laws then destroy

REAL & MOVEABLE PROPERTY MANAGEMENT

The function of managing the Association's property including land, buildings, fixtures and fittings, equipment, and stores. Covers activities of purchasing, leasing, construction and maintenance. Excludes the purchase, leasing and management of computer and telecommunication equipment.

For the purchase, leasing and management of computer and telecommunication equipment, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
378	Records documenting advice provided and/or received relating to the real and moveable property management function.	Retain for 1 year after advice is provided then destroy

Asset inventory management

Tasks associated with keeping an inventory of assets owned or leased by the Association.

For undertaking stocktakes to account for the Association's assets, equipment and stores, use REAL & MOVEABLE PROPERTY MANAGEMENT – Stocktaking.

For the disposal of assets and equipment and surplus stores, use REAL & MOVEABLE PROPERTY MANAGEMENT – Property disposal.

For compiling an inventory of computer equipment, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Asset inventory management.

Class No.	Record Description	Retention Action
379	Asset inventories.	Record disposal of item on inventory. Delete entry from inventory 7 years after disposal

Contract and agreement management

Tasks associated with drawing up and signing contracts and agreements. Includes administering the terms of the contract and agreement to ensure compliance, and the process of reviewing contracts and agreements.

For carrying out a tender process, use REAL & MOVEABLE PROPERTY MANAGEMENT – Tender management.

For managing, renting or leasing of property, equipment and stores, use REAL & MOVEABLE PROPERTY MANAGEMENT – Procurement management.

Class No.	Record Description	Retention Action
380	Contracts/ agreements.	Retain for 7 years after completion or termination of contract or in accordance with state laws then destroy
381	Records documenting contract/agreement management tasks. Includes: <ul style="list-style-type: none">• notes of meetings with contractors• evaluation of work performed• reviews of contracts and agreements• reports to the Association’s governing body.	Retain for 2 years after the completion of the terms of the contract then destroy

Insurance administration

Tasks associated with obtaining insurance coverage to protect the Association against financial loss, damage or theft.

For insurance claims, use REAL & MOVEABLE PROPERTY MANAGEMENT – Insurance claims management.

Class No.	Record Description	Retention Action
382	Insurance policies.	Retain for 7 years after policy expires then destroy
383	Records documenting annual insurance renewals.	Retain for 6 year after financial audit then destroy

Insurance claims management

Tasks associated with claiming reimbursement for loss or damage in accordance with the terms of an insurance policy.

Class No.	Record Description	Retention Action
384	Records documenting claims made for loss or damage to property, equipment and stores. Includes notification to insurer and claims for compensation.	Retain for 7 years after action completed then destroy

Maintaining and repairing

Tasks associated with keeping buildings and equipment in good repair.

For maintenance agreements, use REAL & MOVEABLE PROPERTY MANAGEMENT – Contract and agreement management.

For the payment of fees associated with paying for repair and maintenance activities, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
385	Records documenting repair and maintenance of buildings and equipment.	Retain for 1 year after successful completion of task, or at end of warranty period then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For budgeting activities associated with the real and moveable property function, use FINANCIAL RESOURCES MANAGEMENT – Budget planning.

Class No.	Record Description	Retention Action
386	Final version of strategic plans developed to support the real and moveable property management function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
387	Final versions of other plans developed to support the delivery of specific real and moveable property activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
388	Working papers used to develop plans and schedules to support the real and movable	Retain for 1 year after the plan is approved then destroy

	property management function.	
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Policy development

Tasks associated with formulating Association policies to direct and guide future actions. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing policies, use REAL & MOVEABLE PROPERTY MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
389	Final versions of Association real and movable property policies.	Retain for 3 years after superseded then destroy
390	Working papers created in developing the policy. Includes drafts and feedback from consultations.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For reviewing procedures, use REAL & MOVABLE PROPERTY MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
391	Final version of procedures to support the real and moveable management function.	Retain until superseded then destroy
392	Records documenting the development of procedures supporting the real and moveable property function.	Retain for 1 year after the release of the procedures then destroy

Procurement management

Tasks associated with purchasing, renting or leasing property, goods and equipment needed to carry out the business of the Association. Includes seeking quotes, evaluating and selecting suppliers, but excludes tendering.

For paying accounts for the procurement, rent, or lease of property, goods and equipment, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

For tending activities carried out to procure property, goods and equipment, use REAL & MOVEABLE PROPERTY MANAGEMENT – Tendering administration.

For drawing up, signing and managing contracts/agreements, use REAL & MOVEABLE PROPERTY MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
393	Records documenting the procurement of property, equipment and stores not acquired by tender or contract.	Retain for 7 years after action ceases then destroy
394	Information provided by vendors regarding property, equipment and stores.	Destroy when references ceases

Property disposal

Tasks associated with disposing, through sale, donation, destruction or termination of lease, of buildings, equipment and surplus stores.

Class No.	Record Description	Retention Action
395	Records documenting the disposal of land, buildings, equipment and goods owned or leased by the Association.	Retain for 7 years after disposal then destroy

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analysing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
396	Reports prepared for Association's governing body on real and movable property activities.	Retain permanently
397	Ad hoc reports and ongoing communications undertaken to support the real and movable property function.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
398	Records documenting reviews of the real and movable property function policies and procedures.	Retain for 4 years after the review then destroy
399	Working papers supporting reviews.	Destroy when reference ceases

Stocktaking

Tasks associated with accounting for the assets of the Association. Includes examining, counting, valuing and preparing inventories of items.

Class No.	Record Description	Retention Action
400	Records documenting the stocktaking of equipment and stores. Includes stocktaking lists and reports on the outcome.	Retain for 2 years after action completed then destroy

Tender administration

Tasks associated with calling for, receiving and assessing tenders for the supply of equipment, goods and services.

For drawing up, signing and managing contracts/agreements, use REAL & MOVABLE PROPERTY MANAGEMENT – Contract and agreement management.

Class No.	Record Description	Retention Action
401	Records documenting the development, issue of tender documentation and assessment of tenders received.	Retain for 7 years after tender process is completed or in accordance with state laws then destroy
402	Tender documentation of successful tender.	Retain for 7 years after the completion of the contract or in accordance with state laws then destroy
403	Tender documentation of unsuccessful tenders.	Retain for 2 years after tender process is completed or in accordance with state laws then

		destroy
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STANDARDS DEVELOPMENT

The function of supporting and fostering high quality research and cooperative intellectual endeavour relevant to the needs of archival and recordkeeping practitioners. Includes cooperating in the ongoing development and promulgation of industry wide standards. Also includes the production and promulgation of Association position papers on issues of relevance to the profession. Covers developing drafts, seeking and considering feedback from stakeholders, obtaining final endorsement and distribution to members and the wider community.

For publishing an Association developed standard or position paper, use PUBLICATION MANAGEMENT.

For promotion of standards and position papers to the general public, use PROMOTION & ADVOCACY MANAGEMENT – Media relations management.

Advising

Tasks associated with both providing and receiving advice.

For developing formal submissions setting out the views of the Association to support promotion, advocacy and lobbying initiatives, use PROMOTION & ADVOCACY MANAGEMENT – Submission preparation.

Class No.	Record Description	Retention Action
404	Records supporting advice provided on Association development or supported standards, and position papers.	Retain for 2 years after advice is provided then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

Class No.	Record Description	Retention Action
405	Records of Association committees supporting the standards development function. Includes: <ul style="list-style-type: none">• terms of reference• agenda• agenda papers• signed/authorized version of minutes• correspondence between committee members.	Retain permanently

406	Records of committees supporting the standards development function where the Association participates as a committee member.	Retain for 4 years after the release of the standard then destroy
407	Working papers of committees. Includes: <ul style="list-style-type: none"> • notices of meetings • notes of meeting • draft minute • copies of committee records (e.g. agenda papers, minutes). 	Destroy when reference ceases

Meeting administration

Tasks associated with arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

Class No.	Record Description	Retention Action
408	Records documenting non committee meetings relating supporting the standards development function.	Retain for 2 years after meeting date then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
409	Final version of strategic plans developed to support the standards development function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
410	Final versions of other plans developed to support the delivery of specific standards development activities (eg a specific standard or position paper).	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
411	Working papers used to develop plans and schedules to support the standards development function.	Retain for 1 year after the plan is approved then destroy

Policy development

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For the review of policies, use PUBLICATION MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
412	Final versions of policies supporting the standards development function.	Retain permanently
413	Working papers created in developing policies. Includes: <ul style="list-style-type: none">• drafts• feedback from consultations.	Destroy when reference ceases
414	Copies of policies.	Destroy when reference ceases

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analyzing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
415	Reports to the Association's governing body on activities undertaken to support the standards development function.	Retain permanently
416	Ad hoc reports and ongoing communications undertaken to support the standards development function.	Retain for 2 years after reference ceases then destroy

Researching

Tasks associated with gathering and investigating information on a particular topic or activity.

Class No.	Record Description	Retention Action
417	Research papers collected in the development of standards and position papers.	Retain for 2 years after the public release of the standard or position paper then destroy
418	Research papers gathered about the theory	Destroy when reference ceases

	and practice of archives and recordkeeping.	
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Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
419	Records documenting reviews of specific standards and position papers.	Retain permanently
420	Records documenting reviews of standards development policies and procedures.	Retain for 4 years after the review then destroy
421	Working papers supporting reviews.	Destroy when reference ceases

Standard setting

Tasks associated with developing standards and position papers aimed at supporting sound archival and recordkeeping practices. Includes the Association's support of the work of external standard setting organizations. Covers drafting, seeking comment from stakeholders and considering feedback.

For reviewing and evaluating standards and position papers, use STANDARDS DEVELOPMENT – Reviewing and evaluating.

For reports on work undertaken with external organizations to develop standards, use STANDARDS DEVELOPMENT – Reporting and informing.

For research undertaken to support the development of standards and position papers, use STANDARDS DEVELOPMENT – Researching.

Class No.	Record Description	Retention Action
422	Final versions of standards and position papers.	Retain permanently
423	Records documenting activities undertaken to support the development of standards by external bodies, where the Association is represented.	Retain for 2 years after the public release of subsequent edition of the standard or position paper then destroy
424	Working papers documenting the development of standards and position papers. Includes:	Retain for 2 year after the public release of the subsequent edition of the standard or position paper

	<ul style="list-style-type: none"> • drafts • feedback received through consultations. 	then destroy
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Travel administration

Tasks associated with arranging domestic and international travel.

For paying and reimbursement of fares, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
425	Records documenting travel arrangements. Includes approvals.	Retain for 1 year after the financial audit then destroy

STRATEGIC RELATIONS MANAGEMENT

The function of supporting activities aimed at establishing and maintaining communications, beneficial alliances and cooperative initiatives with external organizations and groups who share similar aims to those of the Association with regards to developing, maintaining and upholding archival and recordkeeping better practices and standards. Organizations include national and international professional associations. The function includes nominating members to represent the Association on various organizations and reports from those representatives on liaison activities.

For promotion, advocacy and lobbying activities directed towards reaching the general public and government, use PROMOTION & ADVOCACY MANAGEMENT.

For allocating money to the Association's representatives to attend meetings and conferences of strategic partners, use FINANCIAL RESOURCES MANAGEMENT.

For liaison with allied professional group to develop frameworks and standards for recordkeeping, use STANDARDS DEVELOPMENT.

Advising

Tasks associated with both providing and receiving advice.

Class No.	Record Description	Retention Action
426	Records documenting advice provided and received supporting the strategic relations function.	Retain for 6 years after advice is provided then destroy

Affiliating

Tasks associated with forming ongoing relationships with organizations in related professions.

For organizing joint conferences, use CONFERENCE MANAGEMENT.

For managing publications of another organization received through a reciprocal arrangement, use INFORMATION & TELECOMMUNICATIONS MANAGEMENT – Library management.

For reports on events and projects undertaken with affiliated organizations, use STRATEGIC RELATIONS MANAGEMENT – Reporting and informing.

For arranging attendance at conferences run by affiliated organizations, use STRATEGIC RELATIONS MANAGEMENT – Conference management.

For subscriptions paid for membership to affiliated organizations (e.g. ICA), use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
427	Final versions of formal affiliation agreements and arrangements.	Retain permanently
428	Records documenting negotiations undertaken to develop the agreement or arrangement.	Retain permanently
429	Records documenting sharing information with affiliated organizations, other than publications.	Retain for 2 years after reference ceases then destroy
430	Records documenting projects and events undertaken with affiliated organizations.	Retain for 2 years after the project or event is completed then destroy

Committee management

Tasks associated with setting up and running a committee to support the function. Includes establishing the committee's terms of reference, making arrangements for conducting committee meetings, the compilation of agenda papers, and the preparation of minutes.

For reports on the work of a committee where the Association is represented, use STRATEGIC RELATIONS MANAGEMENT – Reporting and informing.

Class No.	Record Description	Retention Action
431	Records of Association committees supporting the strategic relations function. Includes: <ul style="list-style-type: none"> • terms of reference • agenda • agenda papers • signed/authorised version of minutes • correspondence between committee members. 	Retain permanently.
432	Records of committees supporting the strategic relations function where the Association participates as a committee member.	Retain for 4 years after the committee meetings then destroy
433	Working papers of committees. Includes: <ul style="list-style-type: none"> • notices of meetings 	Destroy when reference ceases

	<ul style="list-style-type: none"> • notes of meeting • draft minute • copies of committee records (e.g. agenda papers, minutes). 	
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Conference administration

Tasks associated with organizing or attending a conference.

For managing the Association's annual conference or conferences on specific archival and recordkeeping subjects, use CONFERENCE MANAGEMENT.

Class No.	Record Description	Retention Action
434	Records documenting attendance of Association representatives at conferences supporting the strategic relations function.	Retain for 2 years after the conference then destroy

Meeting administration

Tasks associated with arranging, managing and attending non committee meetings. Includes developing the agenda, compiling agenda papers and preparing minutes.

Class No.	Record Description	Retention Action
435	Records documenting non committee meetings relating supporting the strategic relations function.	Retain for 2 years after the meeting then destroy

Planning and scheduling

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

Class No.	Record Description	Retention Action
436	Final version of strategic plans developed to support the strategic relations function.	Retain for 6 years after the delivery of outcomes or when the plan is superseded then destroy
437	Final versions of other plans developed to support the delivery of specific strategic relations activities.	Retain for 3 years after the delivery of outcomes or when the plan is superseded then destroy
438	Working papers used to develop plans and schedules to support the strategic relations	Retain for 1 year after the plan is approved then destroy

	function.	
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Policy development

Tasks associated with developing plans and timelines to support a course of action or achieve a specific goal or strategy.

For the review of policies, use STRATEGIC RELATIONS MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
439	Final versions of the Association’s strategic relations policies.	Retain permanently
440	Working papers created in developing the policy. Includes: <ul style="list-style-type: none"> • drafts • feedback from consultations. 	Destroy when reference ceases
441	Copies of policies.	Destroy when reference ceases

Procedure development

Tasks associated with identifying steps, or a set of specific instructions, to support the performance of the function and developing procedural guidelines. Includes collaborating with stakeholders, developing drafts, considering feedback and obtaining final approval.

For the review of procedures, use STRATEGIC RELATIONS MANAGEMENT – Reviewing and evaluating.

Class No.	Record Description	Retention Action
442	Final version of procedures supporting the strategic relations function.	Retain for when superseded
443	Records documenting the development of procedures supporting the strategic relations function.	Retain for 1 year after the release of the procedures then destroy
444	Copies of procedures.	Destroy when reference ceases

Representative appointment

Tasks associated with appointing a member to represent the Association on an external body.

For reports from Association representatives, use STRATEGIC RELATIONS MANAGEMENT – Reporting and evaluating.

Class No.	Record Description	Retention Action
445	List of names of Association representatives.	Retain permanently
446	Records documenting the nomination and appointment of a representative to an affiliated organization.	Retain for 2 years after the term of the representative expires then destroy

Reporting and informing

Tasks associated with developing and presenting regular or irregular reports on activities either undertaken or proposed, or on a current situation requiring investigation. Includes gathering and analyzing information, preparing drafts, seeking feedback and submitting the final document for consideration.

Class No.	Record Description	Retention Action
447	Reports to the Association's governing body on activities undertaken to support the strategic relations function.	Retain permanently
448	Ad hoc reports and ongoing communications undertaken to support the strategic relations function.	Retain for 2 years after reference ceases then destroy

Reviewing and evaluating

Tasks associated with reviewing policies, procedures, agreements and activities undertaken to support the mission and goals of the Association. Also includes evaluating projects, programs and activities against a predetermined set of criteria. Covers gathering and analyzing information, preparing drafts, seeking feedback, and developing and submitting the final document for consideration.

Class No.	Record Description	Retention Action
449	Records documenting reviews of strategic relations policies and procedures that resulted in changes.	Retain for 4 years after policies and procedures are changed then destroy
450	Records documenting reviews of strategic relations policies and conference	Retain for 2 years after the review then destroy

	procedures.	
451	Records documenting reviews of specific strategic relations activities.	Retain for 4 years after the review then destroy

Travel administration

Tasks associated with arranging domestic and international travel.

For the payment of travel expenses, use FINANCIAL RESOURCES MANAGEMENT – Accounts management.

Class No.	Record Description	Retention Action
452	Records documenting travel arrangements. Includes approvals.	Retain for 1 year after the financial audit then destroy

Visiting

Tasks associated with organizing the attendance of visitors and members to attend meetings or events.

For organizing visitors to address meetings of the Association, use PROMOTION & ADVOCACY MANAGEMENT – Visiting.

Class No.	Record Description	Retention Action
453	Records documenting the organization of attendance of visitors.	Retain for 1 year after the visit occurs then destroy

MANUAL FOR ASSOCIATION MANAGEMENT

APPENDICES

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[This Guideline supports the work of the SPA Archival Solidarity Project. The Project works to coordinate international efforts to carry out foreign assistance projects to help developing archival communities. Information about the work of the Project is available <http://archives3.concordia.ca/solidarity/>]

INTERNATIONAL COUNCIL ON ARCHIVES

CODE OF ETHICS

Introduction

- A. A code of ethics for archivists should establish high standards of conduct for the archival profession.

It should introduce new members of the profession to those standards, remind experienced archivists of their professional responsibilities and inspire public confidence in the profession.

- B. The term archivists as used in this code is intended to encompass all those concerned with the control, care, custody, preservation and administration of archives.
- C. Employing institutions and archive services should be encouraged to adopt policies and practices that facilitate the implementation of this code.
- D. This code is intended to provide an ethical framework for guidance of members of the profession, and not to provide specific solutions to particular problems.
- E. The principles are all accompanied by a commentary; principles and commentary taken together constitute the Code of Ethics.
- F. The code is dependent upon the willingness of archival institutions and professional associations to implement it. This may take the form of an educational effort and the establishment of machinery to provide guidance in cases of doubt, to investigate unethical conduct, and if considered appropriate, to apply sanctions.

Code

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

The primary duty of archivists is to maintain the integrity of the records in their care and custody. In the accomplishment of this duty they must have regard to the legitimate, but sometimes conflicting, rights and interests of employers, owners, data subjects and users, past, present and future. The objectivity and impartiality of archivists is the measure of their professionalism. They should resist pressure from any source to manipulate evidence so as to conceal or distort facts.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Adopted by the General Assembly in its XIIIth session in Beijing, China, on 6 September 1996

INTERNATIONAL COUNCIL ON ARCHIVES

UNIVERSAL DECLARATION ON ARCHIVES

Archives record decisions, actions and memories. Archives are a unique and irreplaceable heritage passed from one generation to another. Archives are managed from creation to preserve their value and meaning. They are authoritative sources of information underpinning accountable and transparent administrative actions. They play an essential role in the development of societies by safeguarding and contributing to individual and community memory. Open access to archives enriches our knowledge of human society, promotes democracy, protects citizens' rights and enhances the quality of life.

To this effect, we recognize

the unique quality of archives as authentic evidence of administrative, cultural and intellectual activities and as a reflection of the evolution of societies;

the vital necessity of archives for supporting business efficiency, accountability and transparency, for protecting citizens rights, for establishing individual and collective memory, for understanding the past, and for documenting the present to guide future actions;

the diversity of archives in recording every area of human activity;

the multiplicity of formats in which archives are created including paper, electronic, audio visual and other types;

the role of archivists as trained professionals with initial and continuing education, serving their societies by supporting the creation of records and by selecting, maintaining and making these records available for use;

the collective responsibility of all - citizens, public administrators and decision-makers, owners or holders of public or private archives, and archivists and other information specialists - in the management of archives.

We therefore undertake to work together in order that

appropriate national archival policies and laws are adopted and enforced;

the management of archives is valued and carried out competently by all bodies, private

or public, which create and use archives in the course of conducting their business;

adequate resources are allocated to support the proper management of archives, including the employment of trained professionals;

archives are managed and preserved in ways that ensure their authenticity, reliability, integrity and usability;

archives are made accessible to everyone, while respecting the pertinent laws and the rights of individuals, creators, owners and users;

archives are used to contribute to the promotion of responsible citizenship.

Adopted by the General Assembly of the ICA, Oslo, September 2010

HOW TO APPROACH A POTENTIAL DONOR GOVERNMENT IN EUROPE: SOME BASIC STEPS

This Guideline supports the work of the SPA Archival Solidarity Project. The Project works to coordinate international efforts to carry out foreign assistance projects to help developing archival communities. Information about the work of the Project is available <http://archives3.concordia.ca/solidarity/>

The Project maintains a database of current and recent international outreach projects and a database listing information about funding agencies that might be appropriate sources for funding international archival outreach project.

All archives, big or small, need more funds than they currently have. The principal source for funds for any archives is its parent organization, whether a government or a university or a religious organization. But other funds may be available for archival projects from public or private donors. In this article we suggest some steps to take if you are seeking funds from a government, particularly a government in Europe (country-to-country aid is often called bilateral aid). We will discuss shaping a proposal, preparing for an initial inquiry, and submitting a proposal.

As you prepare to seek funds, you need the support of a strong institution or other body (such as your professional archival association) to coordinate the efforts: writing applications, making contacts, and managing all practical details. Seeking supplemental funds is a demanding process.

You need to have a long-range perspective. Preparing a funding proposal is time-consuming, whether the application is to a national or international funder. It is necessary to be persistent. Do not underestimate the time involved.

Finally, your personal commitment to the proposed project is important. If you are not convinced of the value of the project you propose, it will be very difficult to sell that project to a funder.

With those general issues in mind, you can develop your project proposal.

Shape the proposal

Create a brief statement of what you want to do, who will do it, what it will cost, and what its importance is to your country. Make it short, because you will revise it later.

Think about your request in terms of a project or program. Most donors will not give money to support the basic operating costs of an archives or to build buildings, although some will. You are

more likely to get support for a project that has a clear completion date, which may be some years away, and a project that you can sustain after the project funds have been spent.

Think about what you really want to do:

- If it is a complex project, do you want to do a pilot project first?
- If this is to be a nationwide project, do you want to begin all over the country at once or do you want to start in one geographic area and then move to other locations?
- If the project will require the purchase of equipment, do you have the expertise to select the equipment, operate it, and maintain it?
- If your conception of project is vague at this stage (for example, “I want to rescue 19th century material in my country”), do you want to ask first for funds to bring in an adviser to help you plan the project?

Think about the strategy you want to use. Do you want to have a project funded by only one partner, or are you willing to take part of the funds from one donor and part of the funds from another? What strengths and weaknesses does your institution have and what expertise can you offer? Do you have a partner within your country for the project, either for funding (in which case you may be asking the donor country for matching funds) or for services, space, supplies or personnel? If you are not the national archives or the national archival school of your country, think about whether it could be an advantage if you have one of them as a national partner. Some bilateral aid donors encourage partnership programs, but you need to establish which of you has the mandate to negotiate and sign agreements and take full responsibility for carrying through the project, including filing any periodic and final reports the donor requires.

Identify a potential donor government

Read the website of the government development agency and any other literature (see the Archives Solidarity website <http://archives3.concordia.ca/solidarity/what.html> for a list of contacts). See if that government funds what you are hoping to do. See what they emphasize: good governance, human rights, transparency, infrastructure development. Check whether they fund only governments or also fund non-government organizations. In short, learn what kind of proposal they want to see.

Don't be discouraged if you do not find the words “records” or “archives” in the description of what the government funds. Development agencies are rarely that specific in their statements of funding priorities. On the other hand, archives and records management services exist in every European government. Government development agencies know that efficient archives and records management is absolutely necessary for a modern state to function. Emphasizing this may help you “sell” your archives project.

If the web and literature search suggests that the country's development program might be receptive to the type of proposal you want to make, you could contact the national archives of that country and ask the archives' staff members to help you understand their government's funding priorities. Some national archives are very familiar with the structure, priorities and

other conditions of the government's development program, while others are completely removed from the aid funding. You simply need to ask.

If you are having difficulty finding the right contact for a government within the European Union, you can ask for help from the European Network of Implement Development Agencies (EUNIDA). EUNIDA is a grouping of European agencies with a public mandate to develop, manage and implement development programmes. The link to its website is: <http://www.eunida.eu/>

Revise your proposal

Now take the brief statement you created and revise it to share with the country you hope will give you funds. Use the words the country's development program uses in its statement of priorities, such as "good governance," "cultural heritage," "administrative infrastructure." Keep your statement short, perhaps only two pages, because you want the person you approach to read this quickly.

Development agencies ask themselves a number of questions about proposed projects, such as:

- Does the program need to be at a bigger scale or a smaller (such as a pilot) scale?
- Does the capacity to implement the program as proposed exist, or does it need to be developed through training?
- How will the participants or sites be chosen?
- What is the feasible timing for replication or expansion?
- What support will the "stakeholders" (individuals and institutions who have an interest in or can affect the project) give to the project? Will they provide some of the funds?
- What is the outcome of the project?
- How will the outcome be sustained over time?

You do not have to answer these questions in your brief statement, but you need to have the answers in your mind before you make contact with the country's embassy or development agency.

Contact the country

Now you are ready to contact someone in the country's embassy or development agency. You can make the first contact through e-mail, but you need to follow that with a personal contact. Telephone or visit the embassy in your country and make an appointment to meet with the person handling development funding matters. If the potential donor country does not have an embassy in your country, see if the European Union has a representative in your country who can talk with you about the donor country's priorities. You can also find out where the nearest embassy is located (countries often have an embassy in one capital that serves several surrounding countries, which they visit regularly). Send an e-mail to that embassy, asking to meet with a staff member of the embassy the next time he or she visits your country.

If you work in your government, determine whether you can go alone to the embassy or whether someone from the foreign ministry has to go with you. Some archivists have found themselves blocked from requesting foreign development funds because the government has priorities for foreign aid that do not include archives. If this happens to you, your efforts will have to be directed to persuading your government that there are funds potentially available and that you have a proposal that would appeal to the donor government.

Meet with the donor country representative

Before you go to the meeting, think through what you plan to say. Be able to summarize your proposal in a few sentences. The potential funder may ask you about your organization's capacity to carry out the project you have proposed. If you have a brochure or annual report for your organization, bring some copies with you. If you don't, prepare a simple description about the work you have done in the area of your proposed project.

When you meet with the embassy person, give him or her a copy of your project proposal and explain that it is for information only. Your formal proposal will come later. Ask the embassy representative if your proposal generally fits into the government's funding pattern.

Remember that a donor country's government usually decides on the major, high-cost projects in a country, while the country's local diplomatic and development agency staff may be able to commit modest amounts of funds themselves. During your meeting, you should ask who decides which programs to fund and what decisions are made locally and what are made in the headquarters of the development agency.

Whether or not you get a positive response during your meeting, be sure to follow the visit with a letter thanking the person for the meeting and inviting cooperation in the future.

Develop the full funding proposal using the format the country requires

Some countries require proposals to be in specific formats, include a number of copies of the proposal, and have formal signatures from members of your government or your sponsoring institution. Other countries require a less complicated format, and small amounts of funds may also require less extensive applications. Nevertheless, funders typically require a proposal with the following parts: summary, need and rationale, goals and objectives, project description, implementation plan, costs and resources, sustainability, and issues and risks. At the end of this article is a discussion of these elements.

It is essential to submit the proposal in precisely the format the potential donor requires. Donors reject proposals that are not in their format or that do not have all the required parts. Some donors accept on-line proposals or proposals submitted as an email attachment, while others require the submission of a paper original plus a number of copies. Check and double-check or have another person check the proposal package before it is submitted to make sure you have included all the required elements.

Submit your proposal, either directly or through your foreign ministry

If you have previously contacted the national archivist in the potential donor country, send a courtesy copy to the archives. Take the opportunity to remind the archives' staff members that this is a revision of a proposal you previously shared with them and to thank them once again. In some countries it is quite usual for the development agency to ask the opinion of the archives on a proposal in the archives area, so a little reminder of your previous contacts might help.

* * * * *

Approaching a European Union institution

Most of the steps described above are the same whether you approach a national government or one of the central institutions of the European Union. The EU has a representative in many countries, and the staff members in that office can be of assistance. Your government may also have a formal liaison officer for dealing with the EU, who can make contacts for you. EUNIDA, too, may give you information on EU sources for funds.

The European Union is made up of members from 27 countries, and aid from the Union is multilateral aid. Funding from EU programs is generally allocated to those priority sectors that have been formally identified by the recipient government in consultation with the European Commission. European Union programs often require the receiving country to put in some resources. Working with an international organization can give you substantial funds, access to professional consultants and specialists, and increased recognition from other donors that you are a good organization to fund. However, the application process is often difficult, the paperwork may be extensive, and the competition for resources is great. Be prepared for a long process.

* * * * *

Think of a grant as a partnership between your organization and another one. You and your donor are partners who have agreed on a purpose, a project, the tasks that will be carried out within the project, and the desired outcome. Donors want the projects they fund to be successful because that reflects well on their judgment about people and programs. When your project is completed, you and your partner should recognize your mutual contributions and the work you accomplished together. Celebrate a little: you did it.

THINKING THROUGH A GRANT PROPOSAL

As you develop a written proposal or an oral presentation of a proposal, it is useful to ask yourself a number of questions. The questions that follow are some to consider.

Project summary

What is the essence of your proposal?

This element is listed first because a summary usually is placed at the beginning of a proposal. You should prepare it last, however, after you have thought through all the other questions. Take time with this summary, because a number of people who review your proposal may never read anything more than the summary and will make decisions based on it.

Need and rationale

Why do you want to do this project?

What need or problem are you addressing?

Are there other programs or projects in this same area? If so, how does your proposal relate to them?

This is the part of the proposal where you can explain the background, include information you have assembled about the problem or issue, and clarify the assumptions you are making about the problem. Here is your opportunity to link the work of the archives to the broad category of funding that the donor uses, such as “good governance” or “preservation of cultural heritage.”

Goals and objectives

What are you trying to achieve?

Donors want to understand the overall aim, and they also often want measurable outcomes (for example, a survey completed in 6 towns, ISAD(G) entries completed for all still photograph holdings). Here you should be as specific as possible. You need to explain not only what you will achieve but also what impact completing this project will have on your institution and its programs.

Project description

What are the activities that make up your project?

If the project includes selecting participants, such as for a training course, how will they be selected?

This is the part of the proposal where you demonstrate your professional competence. You should show that what you propose is archival best practice, and you might refer to similar projects that have been undertaken in other archives. If, instead, you are proposing a new, path-breaking initiative, you need to explain how this is an advance on current archival practice. This is the part of the proposal that may be reviewed by archivists on behalf of the possible donor, so it needs to persuade the profession.

Implementation plan

How will the work of the project be organized?

What are the steps?

What is the time frame?

What are the benchmarks at intervals during the project?

If you are sharing the work with another organization, who is responsible for what?

In this section of your proposal, you may want to use tables or an outline style of writing. The reviewers will be looking for the logic of the presentation and what step must happen before another step can be completed. This is especially important if a donor decides to fund only a part of the project, because this will allow the donor to draw an imaginary line and say, "We will fund this part."

Costs and resources

What are the overall costs?

If there is cost sharing, who will pay for what?

Are there in-kind contributions? If so, what are they?

Who are the personnel who will carry out the project? How will they be chosen?

Like the implementation plan, this part of the proposal may be presented in tables or outlines. It is the key section for the budget reviewers, who are rarely other archivists but who have seen many proposals. You should make sure that you show what local pay scales are (for example, the average salary of a government archivist doing roughly the type of work you propose) and the local costs for things like hotels if a training course involves over night stays or supplies like toner for copying machines (particularly if these items have to be imported). Your donor will probably allow you to build in some overhead costs for administration by your parent organization, and you should specify what percentage of the total that represents.

Sustainability

How will the product of the project be sustained?

How will the impact of the project, such as the impact of training, be sustained?

What are you and other cooperating institutions doing now to ensure sustainability?

How committed is your parent institution to sustaining the product?

Donors want to know that a project will not die when the funding ceases. They will expect realism from you.

Issues and risks

Are there contingencies that must be resolved before the project can take place?

What is the likelihood that risks external to the project will jeopardize its success?

What can be done to address these issues and risks?

Any project can run into difficulties, and donors know that. What they will be looking for here is an assessment of plausible problems and what can be done about them.