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President's Message

The saying or phrase, "the proof is in the pudding", has proven to be true insofar as the INFORMAA QUARTERLY is concerned. The efforts of the National Editorial Committee, chaired by Ken Ridley (WA) and the publishers, are to be commended. They have produced a publication with a very professional look, that is readable & most importantly, marketable.

Some of our critics commented that it was late, but a very conscious decision was made to get it right and, if "time" was an important ingredient for the success of the Quarterly's publication, then obviously the ingredient was the correct one.

Mention has been made in previous editions of the INFORMAA Quarterly about the National Marketing Survey of members & non members of the Association, the results being published accordingly. Whilst some members may have paid little or no attention to the published results or findings of the survey, practically every facet has been examined and considered by both Federal and Branch Councils. Greater emphasis was placed on the thirteen major points listed as part of the National Marketing Strategy, submitted by MAP Pty Ltd.

The points are listed again for the edification of all members, however, they are not listed in any order of priority:

• Current Marketing Segments
• Mission of the Association
• The role of the RMAA
• Current Promotion
• External Opportunities
• External Threats
• Competitive Analysis. Other like Associations (strengths & weaknesses)
• Strengths and Weaknesses of RMAA
• Action and Promotion Plans

• Marketing Position
• Possible mergers
• Name change
• Education and accreditation of courses
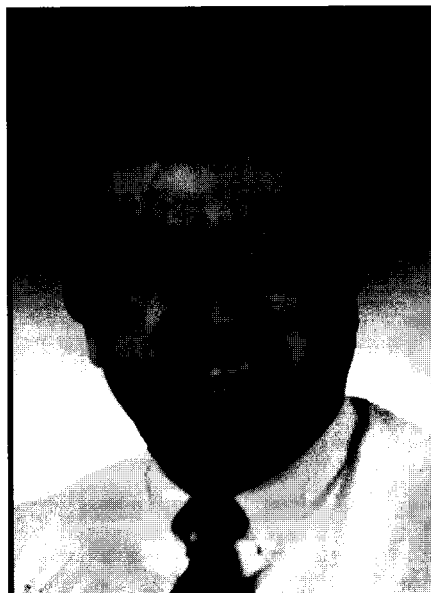
Federal and Branch Councils have devoted many long hours, in some cases with the assistance of a facilitator, in coming to grips with the above points and the formulation of Strategic Plans to complement the recommendations made by MAP Pty Ltd.

The Strategic Plans are based on the national mission and vision, which are:

Mission - To promote and develop Records and Information as valuable Management resources.

Vision - By 1997, to be recognised as a National Authority on Records and Information Management.

Key result areas are:

• Membership
• Member Services
• Management and Resources
• Federal and State/Territory Relations
• Industry and Professional Standards
• Policy Development and Advocacy

Members may well ask why 1997? The answer is very simple: there are not too many organisations with full-time employees, who would attempt to devise & implement a strategic plan under a time frame of 1-5 years, let alone an Association, like the RMAA, which is administered on a "volunteer" and "part-time" basis.

Obviously, there are some actions that have been put into place already at the Federal/Branch level. The remainder, with intermediate and longer term ramifications, will warrant further consideration by all concerned, the end result being a more "PROFESSIONAL" & "NATIONAL" Association.

It has been suggested to me that I should write a paper for the INFORMAA Quarterly, specifically addressing the National Strategic Plans. Rather than do that and use valuable editorial space, at this point in time I will be encouraging Branch Councils to publish and distribute their Branch Strategic Plans to all members, once they have been finalised. The Federal Strategic Plan will be published in an edition of the INFORMAA Quarterly in the very near future.

Finally, do not forget to register for the 10th National Convention in Hobart during September '93. I look forward to seeing you there. Oh! I forgot, make sure your passports are up to date.

Cheers !
Ray Holswich ARMA
Federal President

Records Management Association of Australia
ANNUAL GENERAL MEETING

Notice is hereby given to members that the 18th Annual General Meeting of the Records Management Association of Australia, will be held on Tuesday, 7th September, 1993. It is to commence at 8am & will be held at the Wrest Point Casino and Convention Centre, Hobart Tasmania.
Chris Fripp ARMA Federal Secretary.

Editorial

I recently had the good fortune to attend a seminar on the Management of Electronic Records, conducted by David Bearman, President of Archives and Museum Informatics, based in Pennsylvania USA.

We are all aware of the impact the use of electronic media will have on an organisation's ability to retrieve, use, preserve or discard information. However, Bearman focused on the importance of records providing evidence of business transactions, carrying forward with them in time attributes of content, structure and context, irrespective of existing or future applications software or hardware, or operating systems.

Here lies the challenge - how do we convince Information Systems professionals (at the design stage) that it is business functions rather than systems functions that are important in Records Management? Whilst Records Managers have traditionally managed paper records, the proximity of the
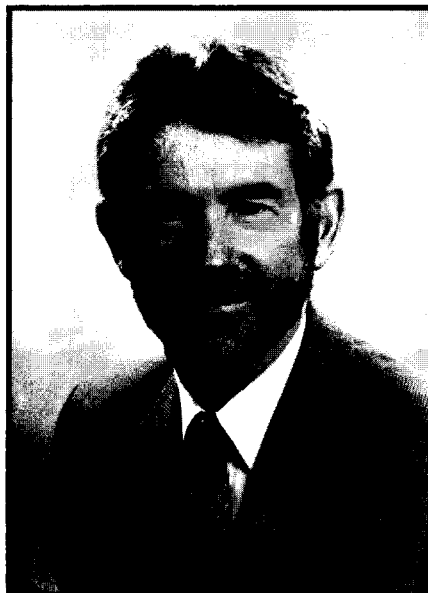
electronic "wave" approaching us is of profound interest. We need to be proactive and to establish dialogue with Information

Systems Managers, Audit Managers and Legal Counsel on matters of data management, accountability/ responsibility & evidentiary requirements of the jurisdictions in which we operate.

Bearman suggested that such an alliance of professionals will facilitate integrity and accountability in the management of electronic records, as we look towards the next century with it's ensuing technological challenges. Records Managers will need to be made aware of the myriad of issues involved and will require specialised education and training. No doubt there is a role here for the RMAA and indeed a number of other organisations!

I understand David Bearman may be revisiting Australia in the first half of 1994.

Ken Ridley ARMA
Chair Editorial Committee
PO Box 8213, Stirling Street
PERTH WA 6849

Federal Executive Meeting

Summary of the 16th Meeting Of The Federal Executive Records Management Association Of Australia

Held at the Hyde Park Plaza Hotel on Saturday, 29 May, 1993.

In attendance were Ray Holswich (Chair), Ross Thompson, Chris Fripp, Kate McCarthy - Apologies: Jim Shepherd

Informaa Quarterly

The May edition of Informaa Quarterly has been noted to be a much improved publication and, Ray Holswich has personally thanked Maria Charlton & Ken Ridley for their efforts. All future editions of Informaa Quarterly will be sent direct to members individually.

National Secretariat

Gary Fitz-Roy from Expertise Events attended to address the Executive on the establishment of a National Secretariat, which is to assist with the management of the Association.

At 2.45pm The Executive took the opportunity of a teleconference call with Jim

Shepherd, to discuss the visit by Gary Fitz-Roy and Informaa Quarterly. Ray Holswich informed Jim of the main points of the presentation by Gary and other members of The Executive gave their views and concerns as well.

There was general agreement to the principals however, to ensure that the executive was fully informed, it was agreed that Gary Fitz-Roy, MAP & Association of Professional Associations would all be asked to give an overview and budget to achieve strategies outlined in the marketing report.

Reports: National Convention

Ray Holswich heard from Kathy Holland
- 18 paid Trade Stands
- registrations coming in slowly

Registration Package

Executive noted that training arranged for the 4th June, in Sydney, Chris Fripp gave a report on training arrangements and discussions that he had with Roley Sharpe (WA) in regard to screen layouts and mail centre codes on address labels.

Liaison with ALIC (Archives Library Information Centre)

Correspondence was received from ALIC requesting a copy of the 1991 Convention Proceedings. Ray Holswich responded.

ALIC is an American Organisation which holds databases on documents, journals etc. and is a clearing house for this information. They are seeking closer liaison and any information we can provide.

Selective Distribution & Endorsements

Ross Thompson and Kate McCarthy spoke of concerns raised at ACT Branch where it is considered that it is RMAA responsibility to advise members of all events associated with the profession. It was suggested that RMAA have a calendar of events and that the basic information on all conferences etc. but no advertising be accepted by RMAA.

Chris Fripp read out a letter from George Smith (SA), where similar concerns were expressed. Executive discussed alternatives /options. Executive agreed that there should be no problems advertising like Association activities on a reciprocal basis.

Executive expressed reservations about advertising of or supporting commercially run conferences, however it was generally agreed that the RMAA should be proactive in these events where we are approached to advertise them. Our support of these conferences / seminars etc., would be conditional upon RMAA being permitted to promote the Association via a trade stand, distribution of Association material /information, presentations etc..

Donations to the Position of the Federal Secretary

Chris Fripp advised the Federal Executive that the following companies had donated products to the position of Federal Secretary. These include -

gmb	RecFind System
Canon	External Disk Drive, Optical Disk & CFView
Filing Efficiency	File covers

Indemnity of Directors and Others

Chris Fripp spoke on a note he received from Ken Ridley (WA), regarding the need for Indemnity Insurance for the Directors of the Association.

Joint Meetings of Associations

Ross Thompson gave a brief report of the meeting attended by Dennis Wheeler. The meeting was productive and it was agreed that the group meet only as issues demand. It was agreed to call the group, the "Forum of Allied Organisations" and to encourage other associations to become involved as appropriate to the issues raised at the time. It was also agreed that any correspondence between organisations, of potentially wider interest, be copied to other associations. Minutes of this meeting will be distributed as soon as they are received.

Industry Reference Group

Kate McCarthy spoke about the issue raised at the last meeting of the Industry Reference Group about the difference in the terms used in Records and Information Management.

Kodak Award

Federal Executive noted that Helen Onopko (SA), is the recipient of the 1993 Kodak Award and the Grant will be presented to her by Arthur Langford-Smith on 17 June, 1993, in Adelaide. The announcement of the award was included in the May 1993 INFORMAA Quarterly.

Chris Fripp ARMA
Federal Secretary

RMAA - PRESENT & FUTURE ROLES

Anne Parkhowell

A nne Parkhowell has worked for 15 years in Medical Libraries and as a freelance in Records Management. This paper formed part of her studies in, Records Management, for the Masters of Business (Information Technology), at the Royal Melbourne Institute of Technology.

Summary

Five trends emerge from the literature as being important in the consideration of the future of Records Management.

1 Records Management needs to co-operate with other "islands of Information Management."

2 Records Managers need to understand management theories as well as techniques of Records Management.

3 Records Managers need to improve their status in the organisations in which they operate.

4 Records Managers must harness technology to improve information retrieval.

5 Multi-skilling & flatter organisational structures will have an effect on how people use information and thus on Records Managers.

These trends highlight the need for the RMAA to be flexible and responsive to changes in the way that society copes with the "information explosion". Education, both in tertiary courses and in a continuing way, is seen as the key to this ability to cope with change.

In fact, the RMAA's strategic plan does incorporate a focus on most of the trends.

Its ability to communicate through education and other means to both its members and the community at large, will be the test of whether the RMAA continues to play a role in Information Management.

Introduction

The RMAA is the professional association for Records Manage-ment in Australia. Membership is open to both individuals (student, affiliate, professional) and organisations. It has Councils at both Federal and State levels and an Executive at the Federal level. Relative to other professional bodies, it is young. It was formed in 1968 and a Victorian education Committee was set up in 1969. A career structure for public servants was proposed in 1977 and in 1979 there was a seminar organised for the 1980's.

Kennedy et. al. (1) describe the aims and the objectives of the organisation as, "concerned with promoting and advancing Records Management in Australia. Its main activities fall into the following areas:

Education

1 It plays a watchdog role over the development of Records Management courses.

2 It accredits courses.

3 It has published an Education policy.

4 It is currently initiating a basic curriculum framework to act as a model for Records Management courses throughout Australia.

Publications

The RMAA publishes a newsletter "INFORMAA", a journal "The INFORMAA Quarterly" & it sponsors other occasional publications, these are:

Conferences and Meetings

THE RMAA organises an annual convention & publishes the proceedings. Some State Branches organise conferences, meetings and workshops on specific topics of value to members.

Standards

The RMAA aims to develop and promote standards in Records Management in Australia.

Future Role

The future role of the organisation is in its ability to deal with trends in Records Management as a profession. A scan of the literature of the last five years highlights a number of issues: many of which are common to many Information Management professionals. Some of the key issues are described below.

Records Management needs to co-operate with other "islands of Information Management."

Marita Hoo (2) highlighted a need for Records Managers to establish and maintain close dialogue with other Information professionals. This is to ensure, that future Records Managers are in concert with the current information community developments. Integrated courses and schools would bring together a general Information Resources Management focus. She stressed that management should mean justification of goals, plans, budget, staff and monitoring as well as activities and techniques.

Records Managers need to understand management theories as well as techniques of Records Management

June Caunt (3) developed the broader aspects of Records Management, by arguing that it is part of the larger field of

Information Management. Although Records Management has traditionally been a practical rather than a theoretical occupation, theories relating to all areas of management need to be examined for their relevance to the Records Management scenario in the context of business practice.

Records Managers need to improve their status in the organisations in which they operate.

Graham Dudley (4) believed that Records Managers need to battle to educate colleagues about the worthiness of computerised Records Management applications software. Meanwhile, they need to keep a watchful eye on the strategic business conditions of the entire organisation at any given time. They need to respond to, "great expectations", while being hampered by, "dubious status".

Records Managers must harness technology to improve information retrieval.

Barry Jones (5) targeted Records Managers as holding the key to the "information explosion". He argues that society cannot afford to lose the knowledge inherent in our information storage. The criteria for success in answering the information needs of the organisation was whether questions could be answered virtually immediately with 99% accuracy. The greatest challenge is, that managing Records is not just the ability to gather and store large amounts of information, but the accurate and timely delivery of that information.

Multi-skilling and flatter organisational structures will have an effect on how people use information and thus on Records Managers.

Eccleston (6) targeted multi-skilling as a way to increase the effectiveness of individuals in an organisation. The impact on Records Management and Information Technology will be substantial:

- top management will become more involved in day-to-day decisions;
- response times will be fast;
- power relationships will change;

- decentralisation is enabled;
- overheads will be reduced;
- knowledge is held in more hands;
- employees will need to be more flexible, and
- leadership will fall to those with the expertise to complete a particular task rather than those in traditional management positions.

Implications Of These Trends

These five trends highlight the need for the RMAA to be flexible and responsive to the changing ways that society adapts to cope with the "information explosion". Education is the key to this responsiveness: not only through traditional curriculum design, but also for the practising professionals. This means that the RMAA needs to plan seminars and conferences which have a continuing education effect and also to maintain publications of a high standard, which address the information issues of the moment.

The RMAA's Strategic Plan

The strategic plan of the RMAA focuses on the organisation seeking new roles & no longer looking inwards. In answer to the five trends, the RMAA

- seeks open communication with other Information Managers & professional associations such as ALIA.
- plans to follow and understand management trends rather than be dictated to, by them: - e.g. centralise when the trend is to centralise or decentralise when the trend is to decentralise.
- plans to take a more active role in advocacy and be more vocal in terms of getting the public to understand, that Records Management is an entire discipline.
- investigate a name change in order to improve the status of members.

Conclusion

The RMAA shares the challenge of the "information explosion" with other professional information groups. The ability to communicate ideas and progress with both its members and the community in general, will be the acid test of whether the RMAA continues to play a role in Information Management.

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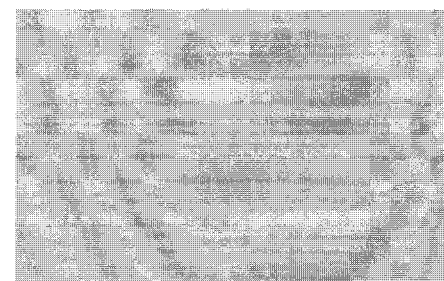
Is Devolution a Dirty Word?

Michelle Culnane

Michelle Culnane has worked in the Australian Public Service for seven years in various departments including the Attorney-General's Department, the Australian Taxation Office, the Retirement Benefits Office and the Department of Immigration, Local Government and Ethnic Affairs, (DILGEA) where she has been the Records Manager since 1990.

Her duties include the management of the Archives Unit, which services Central Office and the Overseas Posts; Registry, includes policy and procedural advice to the Division Admin. Units and the State and Regional Offices; Communications; and special projects such as appraisal, disposal authorities & the management of associated contracts.

This paper was presented at the Australian Archives Agency Management seminar in August 1992.

'Is Devolution A Dirty Word?'

I think it is a little bit dirty. At any rate, it has not proven to be the brilliant new management solution that it was supposed to be.

In my Department, devolution has occurred to quite a high degree. It followed hot on the heels of decentralisation - when the Department moved from one big Central Office in each State, to smaller regional offices in the suburbs to be closer to the client base and more easily accessible. Decentralisation was fair enough & quite logical. However, the logic behind devolution is a little hazier.

I really like the idea of the Sub-registries. Teams of properly trained registry/ archives staff are sent out to be physically located in each Division. They are recruited and trained centrally by the Corporate/Management Division. They are supervised by the OIC Registry or Records Manager who works in the central sub-unit. They work as a team, doing the full range of functions within each unit. They see the 'whole picture' of the function, as OSI prescribes. They also see how each Division works which helps them with their career planning and development.

Devolution does not provide this 'whole picture' aspect. The registry officer in a devolved unit performs only certain functions, without team support, proper supervision and is much more limited in their understanding of the work, which I believe reduces satisfaction.

How It Started

One of the first areas to be devolved was the travel clerk. Then came the typing pool. That close-knit, highly regulated female structure was disbanded in the name of Office Structures Implementation (OSI) and all the rest of us, unskilled clerical people were expected to type our own documents - and be happy about it because we were 'multi-skilled'! Whether you liked working together in the typing pool in your secure group did not matter. Gone was the serious skill development where new starters could be coached in shorthand & speed and get higher duties and promotion as a personal secretary.

Next, registries disbanded, followed by salaries teams, accounts, purchasing, etc.

Devolution In DILGEA

In DILGEA, the idea was to place one registry officer in each Divisional Administrative Unit (DAU). These units are headed by a Senior Officer Grade C (SOG C) as 'Executive' and have an Administrative Service Officer Level 6 (AOS 6) as Assistant, a purchasing and accounts officer, a recruitment officer, one or two salaries officers and a registry officer. At one stage they also had a word processing typist. Apparently this would make all those officers more autonomous, give them more skills, and somehow, give them greater opportunities.

What actually happened is as follows:

- these formerly 'specialised' people, who had sat together in a group/team no longer had the consultation of the other team members to help make decisions;

- short-cuts were developed by certain individuals, some of which resulted in serious errors and loss of information;

- training suffered, because there was not a support network of other 'like-skilled' people to support any absences from the workplace;

- there was no proper or close supervision for any of these people by a specialist in their field;

- practices & procedures were passed on to new starters in an ad hoc fashion and like 'Chinese Whispers' grew distorted along the way; and

- the registry officer quickly became the least respected general 'dogs body' doing all manner of un-registry general administrative tasks & relieving for all the others. The registry work was neglected, files were hastily put away, often out of sequence, or stored insecurely under desks, or in filling cabinets in the DAU. The registry officer, being only an ASO 1, did not have the 'clout' to tell action officers to do the right thing and were often not sure of it themselves - MAYHEM ENSUED.

The best analogy that I can think of to describe what has happened to files and registry procedures is purchasing. I have used chairs, instead of files (because files and file procedures are so complex) as the example, but the end result is the same:

Background

DAU 1s' purchasing officer buys 4 pink chairs at $160 each. DAU 2s' purchasing officer buys 2 grey chairs at $160 each. DAU 3s' purchasing officer buys 10 pale blue chairs at $125 each. DAU 4s' purchasing officer buys 4 olive chairs at $185 each. DAU 5s' purchasing officer buys 1 navy blue chair at $185.

Action

The Executive decides on an office refurbishment including corporate colours of dove grey, gum leaf green & teal blue.

Outcomes

1   The Department now has 21 chairs, new and in good condition, that do not fit in with any of the new corporate colours.

2   If the whole 21 chairs had been bought together in one purchase, they would have cost $110 each, from a local supplier.

3   Excess chairs held in DAU 6s' basement storage cage from when that Division downsized could have been used instead of purchasing new chairs.

4   No consultation occurred with the refurbishment officer, or with other DAUs about standard, colours, types and styles and Government Contracts.

5   An abuse of public monies has occurred.

Conclusion

Each of the purchasing officers thought he/she was doing the right thing. They got quotes to obtain the best price. They listened to what the section wanted. They raised their purchase order in accordance with the Finance guidelines.

How were they supposed to know about the planned refurbishment?

"Anyway, that's the executive, that's not MY Division," they will say in their defence.

Anyone would think they were five different private companies, with no relation to one another competing in a cut-throat world, instead of government employees, responsible for public money and working together in the one organisation!

Registries & Archives Units

In DILGEA only the Mail room and the Archives Unit remained central. Each Division collects their mail from the Mail room and does their own clearances. Files are still stored centrally in the old Central Registry, behind the Mail room, and DAU registry officers enter this area and access them at will. The problems this Department has experienced with the devolution of registry are as follows:

-   file creation is no longer being done properly. Files are created hastily, titles are ambiguous, index searches are not done and duplicate files are raised;

-   file movement has gone out of control;

-   'respect' and an understanding of the importance of good Records Management has almost totally disappeared;

-   files are put away hastily, often out of place. Response times for the retrieval of files are slower. The incidence of lost files is much higher;

-   files are not folioed. No-one thinks it is their responsibility, despite written procedures saying that action officers must do this;

-   folios are removed from files and transferred to other files or destroyed with no notification; and

-   there is some demarcation as to who has control over the registry staff. These staff belong to their Division, they are not recruited centrally. The Executive Officer in charge of each DAU is technically their boss, but (usually) knows nothing about Records Management. The OIC Registry has overall control of access to the system and is responsible for ensuring compliance with the procedures, but she can only do so much.

In our Regional Offices the situation is even worse. Many of them completely abolished the registry. Action officers are supposed to create their own files. File movement

recording works on the 'honesty system'.

Many officers (and it tends to be more senior ones) are afraid of computers and so they do not create their files on to the system. Or else they ask someone else to do it and that someone else may do it incorrectly. There are duplicate files all over the place, and details entered on to the computer so badly that they can never be retrieved.

Officers are taking top-numbering into their own hands, which caused the Department some embarrassment when files have become the subject of FOI, Ombudsman, Privacy and Court actions.

File storage has also become a problem. Sections and Branches may now store their own files in their area. Many have proper compactus for this purpose. However, these are not locked so that officers can access the files whenever they need them.

Archival backlogs have built up to enormous proportions. The Department now has about 20 kilometres of setenceable records and many more metres of records whose disposal status is unassessed. It is going to be an horrendous task to reduce it.

Of course, one of the other 'spin-offs' from devolution is that, no one wants to take responsibility for paying for anything. How many of you have had tremendous difficulty in trying to obtain funding, just to pay for archives charges that were introduced a few years ago? Let alone money to set up a task force or hire a contractor to clear your backlog!

How many of you have been told - 'Make the users pay. Charge out to the Divisions'? Sure! But how do you work it out? Do you have an officer dedicated to ticking off each file request, item of mail or freight on a list split up by Divisions? Or do you make a guesstimate? Do you have the staff to administer it, or the financial skills? Who is going to help you? And of course - how are you going to get all the regular tasks done in the mean-time?

Or what about this one, "Go and ask the DAU". "I did & they told me to ask you".

Solution?

I believe that we need to improve the status of Records Management in the eyes of Management. We need to professionalise ourselves & our function. We are, after all, the 'hub around which the whole department revolves'.

Departments have not devolved a lot of things, because they are supposed to be too important and specialised. They have not devolved the legal work areas for example. So why devolve a function so critical to the work of the agency?

This Department recently put the Salaries team back together. There is also a move to put purchasing back together again. Hopefully the wheel will come full circle so that the way we manage our records is able to be better controlled.

The good things to come from the devolution for us were that we learnt how to design, write and present training. We were also able to see a little more clearly how much, certain functions cost us. It has also enabled us to see ways of doing things that are easier and to identify unnecessary tasks.

Sadly, devolution has taken away some of the professional pride and sense of belonging that were present when people worked in specialised units. It has also taken away a valid and satisfying career path for many people who actually liked what they were doing before.

I am not saying we should go back to the 'olden days' but there really was something to be said about the old OIC Registry who had worked their way up, from clearances, through to classifier and so on, until they knew so much that even the switchboard would put through calls to them when they did not know who else to direct them to.

News Release - US Consultant To Attend TRIM Users Forum

TOWER Software Engineering Pty Ltd, developers of Australia's Premier Records Management Software package TRIM, is pleased to announce that it is co-sponsoring the visit of David O. Stephens, former President of ARMA to Australia, along with the Hydro-Electricity Commission of Tasmania (HEC) & the RMAA. Mr Stephens will be a guest speaker at the TRIM Users Forum (TUF6), at Cradle Mountain and will go on to the RMAA Convention in Hobart. He will also be providing Senior Management briefings for the HEC.

Mr Stephens is an internationally recognised authority in the Records and Information Management field. He has twenty years of experience in the development and implementation of improved Records Management programs, for more than one hundred corporations and government agencies, throughout the United States and Canada.

Mr Stephens is a Certified Records Manager &, recently served as President & CEO of ARMA International, a professional association representing over 11,000 Records Managers, from some twenty-five countries throughout the world.

He is currently serving as Co-author to the Forth Edition of the book, "Information and Records Management", which is generally regarded as the standard reference work for Records Management in North America.

Mr Stephens also serves as Contributing Editor of the Records Management Quarterly. He is a Certified Management Consultant (CMC) with the Institute of Management Consultants.

TUF6 delegates will have the opportunity to benefit from Stephens vast experience during the TRIM Users Forum, where he will appear as a Keynote Speaker and will discuss, "Records Management Developments in the USA".

Mr Brand Hoff, Managing Director of TOWER Software, said, he was, "very pleased, that a consultant of Mr Stephen's calibre could find the time to attend TUF6 at Cradle Mountain".

Book Review - RECORD KEEPING - FOR YOUR OWN BUSINESS

by George R Smith, ARMA

"Record Keeping - for your own Business."

Savage, Warwick, Wal Reynolds, & Alan Williams. Melbourne. Nelson. 1990. ISBN 0170079503

George R Smith, ARMA, has been a member of the SA Branch since 1979 and was granted Associate status in 1981. George represented the Association on the COMTEC Committee in 1983-4, co-ordinating a series of one day seminars. He is currently serving as Vice President, Federal Director (elected 1990) and is a contributing editor to the Informaa Quarterly. George is a distance education student at Curtin University of Technology, studying towards the Bachelor of Applied Science (Records Management) degree.

Record Keeping
- For Your Own Business

Written for Australian TAFE students, this book is not directed to the study of Records Management per se. It is a basic text on Record Keeping for the small business owner manager, but is of course very relevant to the student of Records Management. A very practical text, it illustrates that there are many lessons to be learnt by both the businessman and the student of Records Management. The introductory chapter sets the basis of Records Management in the business context. "Records should only be kept when the benefits they offer are greater than the costs of keeping them." and, "A good business depends on a good Record Keeping system."

The authors present a simple model record system that caters for the requirements of Australian culture and legislation. A major portion of the book deals with financial records, the legal requirement, and use as a management tool. A few pages are devoted to giving details of a fictitious small business and as a practical excercise, demonstrative examples are given that can be followed through by the reader. There are many tables, example forms and step by step instructions.

The middle part of the book deals with information about customers, staff, stock and the business environment. It looks incidentally at market intelligence, security and privacy considerations. The last section tackles production records and the use of computer data-bases. Suggested solutions to review questions and an index complete the work.

While this is not a Records Management text, the student can gain a useful overview of what business records are, why they are maintained and experience a simple system of documentation and control. This is a valuable addition to the literature.

Records Management in Victorian Government Agencies

Mary Anne Rosenthal

B.Soc.Sci (Librarianship) Hons RMIT

Mary Anne Rosenthal has worked for the past twelve years in a variety of Records Management, librarianship & research positions, both in the private and public sectors. Most recently she worked in the Victorian State Revenue Office developing and implementing an automated Records Management system using CAIRS software.

In 1991 she returned to studying and completed a Bachelor of Social Science (Librarianship) with honours.

Background & Introduction

As part of my efforts to obtain a Bachelor of Social Science (Librarianship), I was required to complete a thesis. The idea was to undertake some "Unique" research that would benefit the field of Information Services. As I had been "out" of the library field for some years and working in Records Management, I was lucky enough to be permitted to concentrate on Records Management.

As I fished around for a suitable topic, I came to realise that there really was not much "research" around in the field of Records Management. Most articles published in Informaa Quarterly were descriptive of particular Records Management systems, procedures and issues. Nunn, listed some 120 articles in his index to Informaa Quarterly, not one provided any survey data[1]. While I have nothing against other people's experiences, it did suggest that we as Records Management Professionals have neglected survey research.

There have been three large Australian surveys written up in the literature. In 1975 the NSW Records Management Office, conducted a survey to assess Records Management in NSW State government departments[2]. The survey included questions about the training of Records Management staff and records disposition. The Victorian Task Force on Records Management carried out a survey in 1978, to examine Records Management practices in Victorian State government departments[3]. The survey was conducted with a view to developing effective Records Management provision within departments, consistent with the requirements of the Public Records Act. It concentrated on volumes of records, storage & personnel. A momentous document indeed! The third survey was John William's, 1991 study of Victorian local government Records Management practices[4]. The survey summarised the characteristics of Records Management in local government.

So it seemed to me that more survey data was required. I wanted to know what the current Records Management systems were. What features did these systems have? How were they being used? What manual systems are being used? What were Records Managers up to?

Due to restriction of time and money, I limited the study to 11 Victorian State Government departments. There were 25 separate departments listed in the 1990 Victorian Government Directory. This meant I had selected representatives from just under half of the entire organisation. Two of the largest and two of the smallest departments were surveyed. Only departments in Melbourne Central Business Area were surveyed.

Some Background Details
(Table 1)

The number of records staff employed varied from 3 to 21. The number of staff serviced by the Records Management section varied from 5 to 2500. The ratio of records staff to staff serviced, varied from 1:1 in a small executive system, to 1:830 in a large departmental system. It seemed that the volume of files & correspondence received had no relationship to the number of staff required.

Records Management System
(Table 2)

All agencies were using some level of automation. Agency I, maintained a manual file management system, a manual correspondence location system but an automated correspondence registration system. Agency J, was the only agency relying on a manual system, however, at the time of interview, they had commenced loading data onto automated file and correspondence system.

No agency was using a fully automated system. All systems maintained paper, and all systems required human input for the indexing. Eight agencies were managing files and correspondence, although one had a manual system for files but automated system for correspondence. Two agencies were managing files only and both agencies were looking to upgrade their systems to include correspondence management. The agency that managed correspondence only, had no plans to upgrade to include file management.

The Records Management Techniques
(Table 3)

All agencies were using a central database for their Records Management system, that is, all details about files and correspondence were stored in one location or database. Most agencies have a central data entry area (the registry) and a central storage area. Only two agencies, D and H, allowed file creation by staff in decentralised areas. Some agencies, A, H and I, allowed up-dating of selected fields by non records staff. Six agencies allowed any officer to search the records system.

All agencies except two, E and H, were using some form of subject and/or vocabulary control. One of those agencies not using vocabulary control had plans to upgrade the system to include it.

Three agencies were using the file reference, described by the NSW RMO, as annual single numbering, yy/nnnnn. The other agencies were using variations of the RMO's single numbering with a functional code, where the reference includes a code representing the broad subject of the file or the functional area to which the file belongs, a/nnnnn[5].

All agencies were using the file reference or the correspondence registration number for the references in straight alpha-numeric order. One agency had a file reference and file covers designed for middle digit filing, however, the Records Manager had decided to revert to straight numeric filing.

Conclusion

I was pleasantly surprised at the level of automation. The standard texts on Records Management, were largely concerned with manual systems. This was at odds with what was actually happening in Victorian government departments. All agencies interviewed were using some level of automation. Seven were preparing for their second implementation of software and five were also preparing second generation hardware upgrades.

The use of automation has allowed Records Managers to combine techniques that were not possible with manual systems. For instance, although most agencies had controlled vocabulary, there were also fields for uncontrolled or unstructured terminology as well. The automation seemed to have opened the Records Management systems, to users other than records staff.

This survey was purely a "State of the Art" survey, and as it was conducted in 1991, it is now out of date. I made no attempt to evaluate the systems. Whether they provide good information retrieval services was not my objective. My objective was only to find out what was going on.

I have only included some of the results. The original study covered more details.

The request for interviews was welcomed by Records Managers. All who were contacted agreed to be interviewed and all were more than happy to talk about their systems. As I indicated at each interview, the names of each organisation are confidential, as are the names of the packages used by the organisations.

To those officers who gave me their precious time, thank you.

References

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5   New South Wales. Records Management Office. (1978) File Creation (Publications on Records Management, No. 2). RMO, Sydney.

TABLE 1

Agency	Budget $M	Total Staff	No of Staff Serviced	Records Staff	No of Files	No of Files Created Annually	Vol of Corres. Received Annually
A	180	2456	all	3	7000	1000	9600 **
B	730	8494	800	16	10000	5400	174000
C	64	622	all	6	not appl	-	72000
D	2419	9174	1100	21	80000	4000	15000 **
E	70	1181	all	7	72000	12000	not known
F	186	107	all	3	30000	not known	6000
G	108	598	all	8	25000	2500	not known
H	50	800	650	7	100000	7200	12720
I	22	298	all	8	17000	not known	144000
J	58	176	all	4	20000	500	120000
K	20	650	5	5*	2000	500	5280

* Secretarial Staff

** Heads of Department and Ministers mail only

TABLE 2

Agency	Level of Automation	Software Origin	Hardware	Main Application
A	semi automated	in house	mainframe	files & corres management
B	semi automated	package	mainframe	files & corres barcoding
C	semi automated	package	micro	correspondence registration
D	semi automated	in house	mainframe	files, barcoding
E	semi automated	in house	mainframe	file creation only
F	semi automated	package	micro	files & corres barcoding
G	semi automated	package	mainframe	files & corres
H	semi automated	package	mainframe	files & corres barcoding
I	manual & semi automated	in house	mainframe	correspondence registration
J	semi automated	in house	unknown	files & corres
K	semi automated	package	micro	files & corres

TABLE 3

Agency	Centralised or Decentralised	File No Relationship to File Title	Shelf Arrangement	Method of Subject & Vocabulary Control
A	combination	none	file number	thesaurus
B	central	none	file number	classif. scheme
C	central	not appl	correspondence regis. no.	list of codes
D	combination	subject codes	file number	thesaurus
E	central	none	file number	not controlled
F	central	none	file number	thesaurus
G	central	function codes	file number	thesaurus
H	decentralised	function codes	file number	not controlled
I	combination	function codes	file number	classif. scheme
J	central	municipalities	file number	classif. scheme
K	central	function codes	file number	thesaurus

Outsourcing Evaluation

A Case Study - Choosing a Secondary Storage Provider
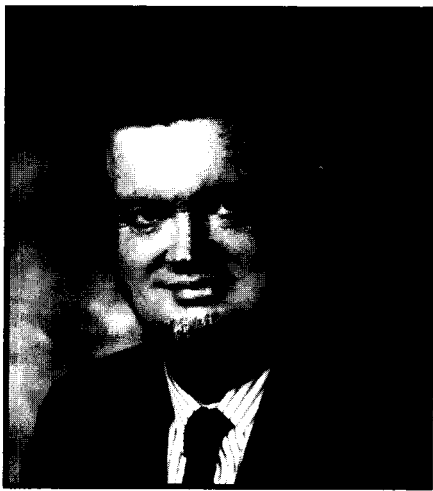
Peter W. McDonald ED MRMA

Introduction

This presentation is based on my experience as a professional Records Management & Work Review Practitioner for more than 31 years in both the public and the private sectors, and in particular my work as the Manager - Records Management for the ANZ Banking Group. I will not be giving a Banker's view of the subject nor will I be presenting any view or policy of my employer, the ANZ Group. However, to put the presentation in perspective, some general background is required.

The ANZ Bank is a complex financial services conglomerate and is one of the four major Australian banking institutions. This year the Bank was named the 'Bank of the year' by Australia's leading financial publication. It operates more than 2300 points of representation in Australia, New Zealand, the Pacific, United Kingdom, Europe, the Middle East, North America and Asia. Around 40,000 people are employed worldwide and business is conducted in at least 17 major languages.

Australia and New Zealand continue to form the bank's important domestic base and ANZ's world headquarters are located in Melbourne, where the ANZ's predecessor, the Bank of Australasia opened in a two-roomed cottage in 1838.

The following statistics from the Payment Services Division (our cheque processing area), provide an indication of the size of the ANZ Banking Group in Australia:

• Every day, its 200 business computer applications process more than 1.65 million transactions.

• Daily transaction are worth, on average, $15 billion.

• The Credit Cards Section handles 10,000 customer telephone queries a day.

• The Division maintains 680 ATMs, 6,000 EFTPOS terminals and 7,000 Fast Track devices.

• Its voice network comprises more than 100 PABXs, 1,400 key systems and, in Australia 25,000 telephones.

To comply with commercial, banking and Australian legislative requirements, banks have traditionally been meticulous record keepers. Although technology has provided some limited relief, the bank's paper records grow daily.

In Australia when it comes to handling vouchers and cheques, the banks operate on a different set of rules and requirements from those of the US Banks. Australian banks own the cheques and are required to retain them for seven years; the cheques are not returned to the customer. If a customer requires a cheque, the Bank makes a copy for a fee and sends it to the customer.

All banks are faced with two major challenges: the first is the relatively easy task of providing efficient and cost effective storage for paper records; the second is the difficult problem of ensuring convenient and quick retrieval of stored records for decision making.

The ANZ now relocates over 90% of its voucher records to low cost secondary storage facilities. The majority of the storage and retrieval functions are outsourced and by using a combination of conventional & innovative techniques and modern technology, the results have been, improved customer service and significantly lower costs.

With more than 5.5 billion cheques and other banking vouchers and records in 1.8 million cartons in storage and with a legal requirement to retain the records for 7 years, and to be able to retrieve the documents, the Bank was faced with a massive traditional Records Management storage and retrieval task.

To ensure the success of this major outsourcing project, it required a carefully planned project for the assessment and evaluation of the outsourcing contractors and secondary storage providers.

This paper is a case study examination of the project from the viewpoint of the practical Records Manager. Because the evaluation process required the input and assistance of other professionals such as Lawyers and Engineers, the project has a special interest for Records Managers who may be required to work closely with members of other professional organisations to achieve a common goal.

Initially the project examined the size of the task and the details of the records life cycle of the documents. Consideration was also given to new and emerging technologies.

Why Outsource ?

Outsourcing, if done properly, can be an extremely effective way of reducing and controlling costs particularly as it enables your organisation to focus on the core aspects & functions of its business. Other reasons can, in my view, be clustered into three groupings:

• *Bad (unsatisfactory) reasons:*
   Flavour of the month syndrome.

• *Questionable (disputable) reasons:*
   Current organisation constraints and operational methodologies.

   Often this is caused by a separation of the policy maker (with head office responsibility) from the day to day line management.

- *Good (advantageous) reasons:*
  Facility ownership avoidance and improved utilisation by facility sale or acquisition avoidance, that is, reduced capital outlay and/or exposure; this can achieve:

  - Reduced running costs.

  - Lower overheads (management, staff, property, facilities and equipment use).

  - Economy of scale (facilities and equipment use, one computer system, communications, phone/fax and office /administration).

  - Taxation minimisation (cost against operating budget versus capital expenditure).

By concentrating on the key business areas, Banks are able to make more money using the capital than owning the building and equipment. Equipment fit out, shelving, security systems, communication and office areas are all very costly. If these costs can be shared with others, everyone benefits.

Staff specialisation; It is a necessitated requirement by most organisations to use all its training and personal development budget on its main core business franchise. Therefore, you can imagine how much would be spent on the specialised Records Management training requirement. Although I must add, the ANZ Bank has been very supportive of my development.

Unfortunately in the past, employees in records storage positions did not receive any co-ordinated training. Frequently a person who had failed in all other tasks was relegated to a position at the Records Centre.

A service provider specialising in Records Management would cover the provision of training relief personnel and provide employees with career paths.

Records Managers must keep in mind at all times that we are employed to make savings and provide services for our companies. For outsourcing and most other Information Management projects, the key is, "will the bottom line improve with no loss of customer service or efficiency."

Selection Considerations

Having made the decision to outsource or at least cost it further, a key part of my role was to assist in the selection of the contractor and then to provide the ongoing management of the provision of Secondary Storage Services to the Bank.

To give a complete story, I will now explain some of the deliberations I went through when choosing a Secondary Storage Provider for final decision.

In general, I use my 6 P's (13 but I group them into Peter's 6):

- People (including Powwow) & Perpetual.

- Product and Processes.

- Performance.

- Protection and Preservation.

- Property, Premises and Position.

- Price and Procedure.

People (including Powwow) and Perpetual

Management qualifications and experience of the proposed service providers both in general management and in the product you wish to use, should be reviewed to ensure the "people" and the company "perpetual" portfolio are what you want, at the price you are prepared to pay.

Communication skills are of prime importance. The ability to hear what has been said, the ability to interpret the requirements and the expertise to summarise the needs, are all prime requirements in the assessment. I call this the "Powwow" factor and it can make or break a working relationship.

A professional relationship of mutual understanding and respect must exist, otherwise the success of the system may be jeopardised. To achieve this, a healthy interchange of ideas to lower costs and enhance a service, applies to both the Bank and the service provider. A relationship between the users, (the employees of the Bank), and the service provider is also a key element of the success of secondary storage operations.

People characteristics such as personality, commitment, sincerity, appearance and of course punctuality and integrity are all important points for consideration but all have different meanings and levels of importance, depending upon the circumstances. Some of the factors which discriminate between average and above average managers or management potential can be summed up as follows:

- *Critical thinking* - this is an important means by which a person assimilates information and objectively utilises it in decision-making after viewing the whole picture.

- *Leadership* - being responsible for decisions, implementation of action and responsibility for their's and others productivity.

- *Assertiveness* - not afraid to test a point of view in public and to argue a consistent and logical case.

- *Planning* - ability to plan ahead to achieve set objectives broader than the immediate task.

- *Autonomy* - able to work indepen-dently from close supervision, will tend to set own work objectives with little guidance.

- *Competitiveness* - strong desire to have high but realistic personal standards and goals and willing to set a strategy to achieve them and interact effectively with others.

- *Decisiveness* - willingness to distinguish between a decision and recommendation and be responsible for outcomes.

- *Communication* - able to project a positive self image with individuals and groups and interact effectively with others.

An essential part of good management is that there are no surprises. Planning is sufficiently robust to cope with different outcomes, and operations are managed through a system of checks and controls which limit the extent to which things can go wrong before being recognised. You need to satisfy yourself that the proposed service provider has this skill. Also included under this heading, I consider the companies disaster preparedness and quality assurance programmes in place.

Product and Processes

The 'Record Management' services industry covers many aspects of Records Management including:

* Records/Product Management.

* Warehousing   - Open Self Managed.

                - Secondary Storage.

                - Active Management.

* Service Management.

* Secure Destruction.

* Media Storage/Management.

* Microform Management.

* Electronic/Image Services.

* Record Reconstruction/Recovery.

* Staff Assistance/Training.

* General Consulting.

Some providers of secondary storage facilities are competent at managing the last phase of the records life cycle, but often they are not Records Managers (in our understanding of the title). Many have not worked in the system methodology area, and as a result, they are not required to accept the final responsibility for failure of the system or service, as you and I do, as the Manager - Records Management.

All records systems are dependent on product and processes and, the secondary storage programme is no exception. Because this new system involved "change", close attention needed to be paid to the product and process issues of the system.

In the ANZ situation, I considered the following product and processes aspects:

* Keep those involved, informed of progress.

* Seek ideas and suggestions and encourage an interchange of ideas.

* No change for change sake.

* Plan training.

* Plan follow-up reviews.

* Provide clear, simple and complete written instructions.

The processes also were given close attention:

* Minimise change especially when no improvement is evident.

* Ensure retrieval is based upon the users' expected retrieval key (which, in the case of voucher records, is the date).

* Documentation to cover the complete operation.

* "Sell" the advantages of the new system to users and management.

Performance

A structure to enable the collection of comprehensive data on the service provider's performance, must be in place and agreed to by both parties. Performance data is critical to the contractual basis, payment terms and the regular performance reviews.

This is an area where, in my view, the Bank has not yet achieved an ideal situation, but is working on it. I will be making this side of service management a major issue in the coming months.

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Key service items that need to be looked at are:

* Quality and timeliness.

* Cost per item.

* Error rate.

* Level of items not found.

* Standards compliance.

Protection and Preservation

During the evaluation of proposals submitted by secondary storage providers, care should be exercised in the assessment of the provider's ability to protect and preserve the records.

Issues for consideration include:

* Maintenance of records filing integrity (a misfiled voucher is unlikely to be found).

* Security of voucher cartons.

* Disposal schedule implementation.

Security: It is essential that any provider of records storage services has a comprehensive and proactive security plan in place, providing a level of security commensurate with the risks presented by the stored material and the threats presented by the environment.

In the case of a Bank, it is unlikely that any documentation stored with a Secondary Storage Provider has significant intrinsic value. However, major costs may be incurred if it is not possible to locate and recover a record when required to meet business, legal or Government requirements.

There is also a possibility that a customer or client of the Bank may wish to obtain unauthorised access to a document, or prevent others gaining legitimate access to that document by either damaging the records themselves and the referencing system or through vandalism.

Management of the records storage facility should be committed to the effective implementation of security measures and the establishment and maintenance of an attitude amongst staff aimed at minimising risks. Management approach should also be sufficiently flexible to allow them to provide for appropriate reaction to altering risk conditions.

A security programme should provide good defence against theft or unauthorised access, yet still allow for normal operational activity without undue restriction. This is a necessary compromise; getting this mix wrong will cause operational difficulties and undermine security measures as staff deliberately flaunt requirements in order to get their job done.

It is important that a security programme is in place which will:

* Provide a high level of deterrence to criminal activity initiated by either staff or outsiders.

* Limit unauthorised access through provision and correct operation of physical controls and procedures.

* Ensure that unauthorised access is detected and signalled by an alarm system to an appropriate authority.

* Provide for an effective response.

Because response to an alarm event will invariably take significant time, the prevention of crime through good physical security and strong management commitment is fundamental.

We in Australia fortunately have not suffered from any major politically motivated violence or terrorist acts, nor do we experience regular destructive earthquakes. Therefore we are satisfied with this approach:

• A comprehensive security plan must be in place and fully documented and issued to the staff. The security provisions are required to be available for audit by the client from time to time.

• A security plan would include: control and issue of keys; responsibilities for security actions such as close of business lockup; details of alarms and alarm responses; details of security patrols; fire alarm responses; emergency contact names and telephone numbers; and rosters if appropriate.

Of course preservation and protection of authentic archival and historical records is a complete subject in itself and would be the topic of a paper on its own. A number of the protection issues for secondary storage are also covered under the heading of premises in this talk.

Property, Premises & Position

An evaluation of the service providers site and premises is a major part of assessing a proposal. At ANZ, we have prepared detailed specifications of our expectations of a Records & Active Voucher Management Service (AVMS) Centre and we evaluate proposals against these specifications.

Security and preservation of the voucher records are paramount concerns and any proposed Records Centre which falls short of the required specifications would not be considered. The ANZ specifi-cations for a Records Centre includes details of the following factors:

Site: The site should be sufficient for existing requirements & anticipated future expansion. Provision for trucks for loading & unloading, car parking, and clear access around the building for fire brigade and emergency services are needed. A position near a main arterial road or a freeway is desirable.

Flood prone and flat land should be avoided and adequate drainage, sewerage and water services are needed.

The site position is also important as it can affect delivery times and costs. If you plan to store material that you need to have quick physical access to, the site must be close by. However, if you are near to or in the city you do not want to pay city prices for off site storage. A compromise between time and cost must be reached.

Although not a major consideration in today's political climate in Australia, the siting of facilities is still a consideration as it relates to war or terrorist activities. As you know in the USA and other places, many of the service providers' key selling points is the use of underground facilities and even in an iron mountain.

Electricity and telephone services must also be available.

The site should be clear of trees which could create a fire hazard and should be fenced with a chain wire security fence of at least 1.8 metres (6 feet).

Buildings: If the administration section is part of or adjacent to the records storage area, normal fire protection standards should apply with a four hour fire rated separation.

Office layout should be adequate and appropriate for the expected level of staff & should include a reception area, a research office for use by government organisations, staff working areas and amenities.

We are required by law to provide adequate facilities such as tea and coffee making and photo-copying equipment for the Tax Office investigators.

The buildings and office facilities should comply with all relevant local, state and federal ordinances.

A receiving and processing area for receiving, despatching and checking is required and should be separate from the records storage area. For security purposes, the receiving and processing area should desirably be under visual surveillance and supervision of the manager of the office.

The records store shelving should have a maximum length of 15.3 metres (50 feet) to provide fire escape and fire control and the building should desirably be designed to suit the shelving layout. Ceiling height will depend upon stacking height but shelving must be clear of pipe ducts and sprinkler heads.

Fire control equipment, exits and other building features must comply with the local building regulations. Special attention should be given to the construction material which should be of non combustible construction with a minimum number of openings.

Smoke curtains, constructed of non combustible sheet, to prevent the spread of smoke and heat which can damage stored records should be included in the building design.

Power and plant needs must be isolated completely from other areas and suitably equipped for fire prevention & detection.

Attention to the provision of adequate lighting is important for employee comfort and safety. Skylights can provide an excellent sense of light with no power consumption.

Shelving layout should consider the requirements for fork lift access and movement. Shelf spacing should be arranged to suit the stored containers which, in the case of ANZ, is the voucher carton.

The Records Centre storage area flooring, should be constructed of reinforced concrete with a non-slip finish and sealed to prevent dusting. The strength of the floor

must be adequate for the proposed weight of the shelving & stored records.

Services: Water pressure must be adequate and an auxiliary pump installed if the pressure is too low. A fire sprinkler system and smoke detectors, complying with industry standards, are an essential feature of the building services. All areas of the Centre must be protected by the system.

Hose reels and hydrants, fire extinguishes & alarms are required & must meet the local regulatory requirements & industry standards.

A procedure for the regular checking and servicing of fire protection equipment must be in place and would be subject to audit from time to time by the client.

Ventilation: All administrative areas should be provided with appropriate air conditioning for cooling and heating. For the records storage area, air conditioning will only be necessary if the humidity range is likely to contribute to a deterioration of the stored paper.

Electrical: All electrical services must comply with local regulations & in addition:

- No transformers regardless of size, are permitted within Records storage area.

- No electrical control boxes or switches to be located on the shelving.

- Battery charging equipment must be well ventilated and should be located outside the records storage area.

The preferred lighting is fluorescent tube; incandescent and mercury vapour lamps should be avoided. To ensure the comfort and convenience of the staff, the lighting plan should ensure adequate illumination without glare or shadows.

Any furnaces or boilers must be separated from the records storage area by a four hour fire construction. No open flame should be permitted in the records storage area and smoking should not be permitted.

Communications: Adequate telephone facilities, a PA system and facsimile units are required. Data transfer lines for future technology utilisation would be desirable also.

Equipment: The records storage area should have an adequate supply of pulpit type ladders, moveable, counter high ladders with wheels, hand trucks and fork lift trucks (or equivalent functionality systems), fitted with copying and communications equipment.

For loading and unloading, a light weight flexible conveyor system is recommended. A scissor hoist may be provided, subject to local regulations, for providing a level platform at truck tray height.

Of course we are still to find the 100% perfect site, so some compromise has to be made occasionally; however we endeavour to minimising any variation to our standards or security.

Price and Procedure

The last, but certainly not the least consideration is price and the procedure to be followed to achieve the required end result.

Because the ANZ has approximately 1.8 million voucher cartons, the total cost of secondary storage and retrieval is a major expenditure item. The negotiation of a price, consistent with the required level of service, can be a major exercise of financial importance.

However, because the selection of a secondary storage provider is expected to be a long term commitment for both parties, negotiations must be targeted to achieve an efficient service at a fair price!

I am a great believer in a win-win situation, that is, we receive a quality & timely service at a fair price and the service provider does not go bankrupt in the first year. There are however a number of items for consideration in the negotiation phase for which I do have some ideas but do not know the best answers. These include:

- ANZ selected a fixed time duration for the agreement. However, I am now coming to the view that it would be more appropriate and advantageous to both parties to have a timeless, open ended working agreement. This would allow the service provider to have the comfort of knowing, that if the level and standard of service does not deteriorate, the business is theirs forever. It would also allow the Bank, the service user to withdraw with-out any long drawn out dispute in the event of major or repetitive service failures.

- Price review: the question here is whether it should be subject to the CPI (an inflation indicator in Australia) or to some other approach. The use of CPI with annual rises (adjustments) is appropriate for the

bottom line of the service provider but does not allow or encourage workplace productivity improvement.

In the ideal situation, when workplace improvements are made either through movement to World Best Practices, solely on the part of the service provider or by the service user and service provider as a joint working relationship, the cost benefits from such action should be received by both parties. Of course any mutually agreed productivity improvement programme should have the costs shared, as long as the service receiver can retain or obtain market leadership as a result of the cost outlay.

I also endeavour to establish the true costs incurred by the service supplier and to ensure that the Bank is not being excessively overcharged. An equitable price review mechanism is needed. As you know storage costs are, in the main, related to premises and shelving costs which can be reasonably stable with rental reviews two or more years apart. However, other labour intensive tasks with the fluctuation in people costs (as in Australia in 1980s) makes this side of the agreement establishment very difficult.

• Sole service provider: Here I have conflicting thoughts as to the desirability or otherwise to have a sole service provider or spread the work around. There are certain advantages in both scenarios. A sole service provider over a long time can give you product improvement and cost benefits, but on the negative side a sole service provider can become very complacent & presumptuous.

A possible two service provider split in the range 70% work to the major firm and with the other 30% to an other company could be considered.

Under the paragraph 'Price' I also include 'Procedure', for the central strategic issue is, achieving the best possible returns with what we have and building a viable commercial arrangement. A surprise free step-by-step proven methodology should be followed.

The key steps to follow are:[1]

• Establish your aims and requirements

• Generate an evaluation criteria:

- List the items which are mandatory and those which are optional but with a very high desirability.

- Sort out the detailed specification and agreement conditions.

- Cost the service levels required.

- Set out your conditions of tender in a request for proposal or tender.

- Assign the weighting you will give to each item.

• Establish an evaluation team: a small effective team with about four members with skills from the following areas:

- A user - in the case of a bank, a representative from branch banking.

- A technical skilled person - the Records Management specialist.

- A finance officer who can evaluate long & short term costs & benefits.

- An experienced contracting manager.

• Prepare and Issue either a 'Request for Proposal' (RFP) or 'Request for Tenders' (RFT). The first may lead to RFT or directly to contract depending upon the responses received. You may decide to go straight to an RFT.

In these documents I set out as much detail as possible, particularly mandatory items and conditions of tender. In the case of the ANZ, I set out a Request for Proposal, because I did not want to be too rigid and also because I was seeking innovating proposals.

Ensure the RFP (or RFT) and the evaluation criteria are synchronised and complementary to each other.

• Answer all questions received by the potential service providers to all parties, not just the corporation asking the questions. This will ensure complete openness and avoid any later misunderstanding.

• Evaluation is completed by each member of the team individually, then finalised through a consensus meeting. Each member should provide an evaluation report which is filed with the final recommendation.

The key evaluation steps being:

• Mandatory/optional.

• Weighting requirements.

• Development of weighted compliance model in a worksheet.

• Evaluation reports.

• Consensus & overall summary reports.

The Bank uses the Peer to Peer evaluation method to produce the weighting requirement both for the higher level scores and for the detailed specification, eg:

High Level Scores

1.	Conditions of Tender	5%
2.	Statement of Requirement	25%
3.	Specification	40%
4.	ANZ's Agreement	10%
5.	Cost	20%
		100%

Specification

3.1	Management and Company	5%
3.2	Facilities	30%
3.3	Service Levels	48%
3.4	Mandatory Features	*
3.5	Optional Requirements	17%
		100%

* Note, mandatory features are not scored, if a proposal or tender does not contain these items, it is not considered any further.

• Independent review of the quality of the recommendation and decision of the Evaluation team.

• Contract negotiation.

• Notify all tenders/system proposals.

• Implementation.

Conclusion

As can be seen, the role of a Records Manager need not only be for correspondence filing systems, but can also include that of a senior level corporate line Manager in Records Management, covering a considerably greater range of information access activities. Records Management in the Banking environment to me, is the provision of World Best Practices and cost effective and efficient service to my customers, which are the Bank's Business Units, and hence to the Bank's many customers.

Please feel free to contact me directly or though the RMAA if you would like to receive more information or discuss any Records Management matters.

1. Mr Geoff Hardes, Senior Manager - Major Contracting Services ANZ Bank.

Document Imaging Put to the Test

To improve the delivery of inform-ation services to students, the Open Reserve section of the University of New South Wales Libraries has implemented a document imaging pilot project, designed in collaboration with library staff and installed by Hermes Presica Australia.

UNSW examination papers were chosen as test data for the project because of the nature of the problems associated with their storage, maintenance and use. Past examination papers are in high demand and require constant reshelving. They are difficult to photocopy in their present bound format and are, therefore, subject to mutilation, both calculated and through heavy use.

Examination papers represent an ongoing cost of the Library in terms of annual binding and repair. They also occupy a great deal of space. Most frustratingly, they are not indexed and are thus difficult to access. These are problems commonly experienced by most university libraries.

By storing the examination papers as a database of scanned images, loss of papers through mutilation and theft will be avoided, access will be improved by the provision of cross linked indexes and the database will be updated each semester instead of yearly, as is currently the case with the bound volumes.

Bureau Scanning Services

Only examination papers released by the schools have been scanned. The initial database is made up of papers from 1989-1992. There are 2,259 exams, representing a total of 15,000 page images which were bureau scanned by HPA, then stored on a 1.3 gigabyte magnetic disk residing on a DEC 5000 UNIX server.

Access to the images is provided, initially, via two retrieval workstations housed in the Open Reserve section of the Library. These workstations are DEC 340DX PC's each with high resolution 21" monitors & HP Laser Jet IV printers. The Libraries' online public access catalogue (OPAC) is displayed on one side of the monitor and the exam paper image on the other.

All searching is done using the OPAC emulation and the images are retrieved & printed using function keys. A Charge of 10 cents per page is made for laser printed copies of the exams. This charge is equal to the charge for photocopying.

The aim of this project is to examine the feasibility, benefits and costs of using document imaging technology to improve the delivery of information services.

"We wanted a basic, robust, friendly system, accessible to the public with minimal training requirements," recalled Maryellen Leonard, Senior Library Technician.

"The thing I really appreciated was HPA's willingness to meet our needs, and tailor the system to our exact specifications.

System Benefits include:

- Document security through electronic storage.

- Faster access for document review and reproduction.

- Minimal retraining and disruption through familiar OPAC interface.

- Reduced costs through elimination of binding and storage charges.

- Improved service through faster document access.

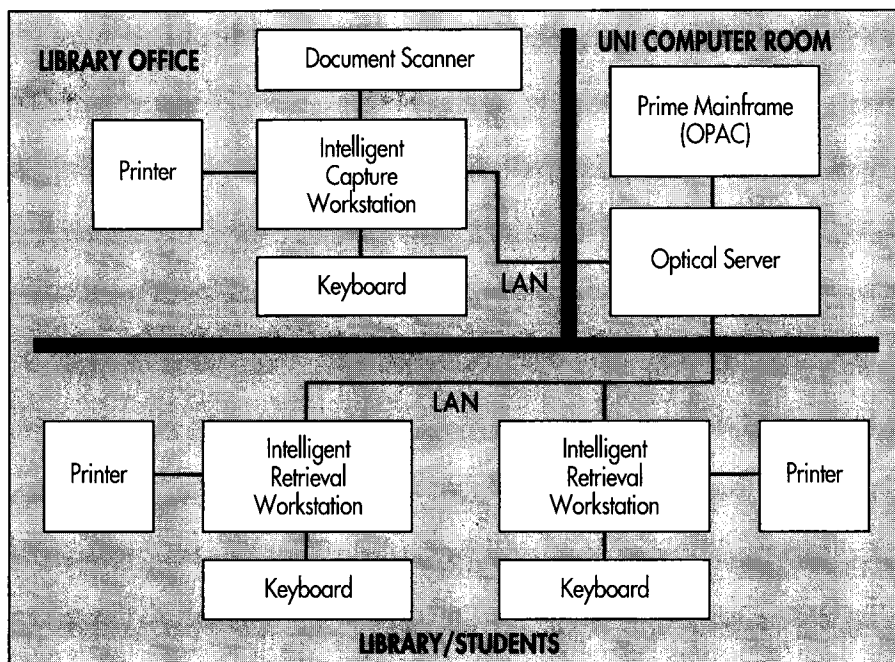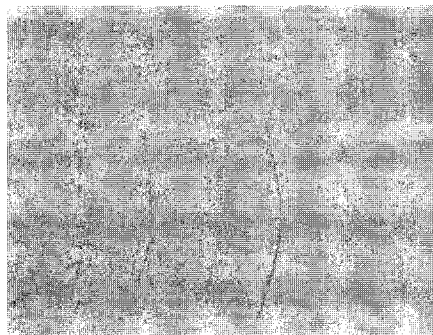- Productivity gains through easier filing and indexing of future exams.

Future examination papers will be scanned directly into the capture workstation system by library staff. Special software will read the unique OPAC reference number from a barcode, then pass this information and the image address to the optical server. An index for each examination will be created on the OPAC database. The new exam paper will then be available for students to review & print.

Consideration will be given to extending the systems' use to other appropriate collections held in the UNSW Libraries such as the ANZAAS papers, these and, possibly, reserve reading material.
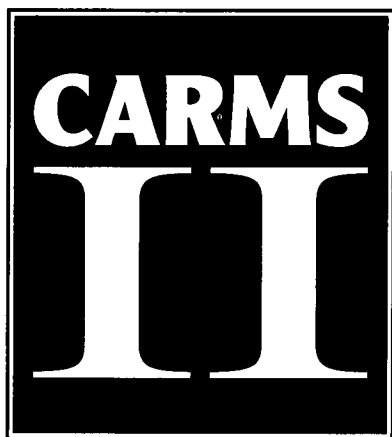
as the ANZAAS papers, these and, possibly, reserve reading material.

The pilot project was made possible by a grant from the Vincent Fairfax Family Foundation for the purchase of relevant equipment.

*Right: Diagram showing
           System Architecture*

LIBRARY OFFICE — Document Scanner, Printer, Intelligent Capture Workstation, Keyboard, LAN

UNI COMPUTER ROOM — Prime Mainframe (OPAC), Optical Server

LIBRARY/STUDENTS — LAN, Printer, Intelligent Retrieval Workstation, Keyboard, Intelligent Retrieval Workstation, Keyboard, Printer

Document Image Processing

Lloyd Parata
Mitsui Computer limited

Document Image Processing (DIP), to put it in its simplest form, is the replacement of paper based information with electronic images of the paper & its contents. Various names are given to the concept; Electronic Filing and Document Image Processing being the most common. Both are correct, but reflect both ends of the spectrum of the application of the technology.

Electronic Filing is the application of the technology whereby documents are fed into a scanner, digitised, and the resulting images stored on very high capacity storage devices such as optical disks. The main functions of such systems are the storage and retrieval of document images, and basically the replacement of the traditional and cumbersome paper filing cabinets. The major benefits of electronic filing systems are; elimination of lost or misplaced files, immediate retrieval of files, shared simultaneous access to files, and greater productivity, to name a few.

Document Image Processing systems are an extension of electronic filing systems in that they incorporate the ability to "process" the document images during their active life cycle. In other words the system automatically moves the images from one workstation to another for the next logical process, in much the same way as paper documents are passed from desk to file trolley to desk as they are processed through an organisation. Such systems are normally integrated with an organisation's other information processing systems eg. the host database and WP system.

Considering that approximately 95% of any organisation's information is still in some form of paper, it is no wonder that independent market analysts predict, that Document Imaging will be the growth area of the Information Technology market over the next few years, with annual growth rates of around 400%.

Up till now document imaging systems have tended to be large scale, proprietary and expensive systems often dedicated to that function. Recent offerings based on PCs have overcome the high entry cost, however, these systems have, in the main, been slow due to the enormous amount of data associated with a digitised document. Major benefits of the technology include the ability to process image information on standard PCs at very high speed, & the ability to implement document imaging on existing networks of compatible PC workstations, thereby achieving considerable cost savings.

Applications for Document Image Processing

Following are some application areas that are ideally suited to document image processing:

- Mortgage loan application & servicing.
- Consumer loan processing and management.
- International wire funds transfer investigations.
- Credit card application processing.
- Customer service for credit card operations including correspondence, phone enquiries, lost/stolen card reporting.
- Personal and corporate investment fund management.
- Signature verification.
- Corporate loan processing and management.
- Processing & maintenance of letters of credit.
- Trust management.
- Management and publishing of Patent and Trade Mark information.
- State, federal and military criminal file management.
- Management of census data forms.
- Legal deeds.
- Land titles.
- Immigration Records Management.
- Birth, death and marriage records.
- Health Insurance claims processing.
- Management of various tax return forms including income tax, sales tax, company tax, stamp duty.
- Administration of health, retirement

& death benefits under both private & government superannuation schemes.
- Management and distribution of public records under the Freedom of Information Act.
- Life insurance policy applications and underwriting.
- Life, vehicle and general insurance claims processing
- Worker's compensation claims processing.
- Insurance policy maintenance and customer service.
- Chemical and pharmaceutical drug research information maintenance and submission.
- Records management for temporary government commissions of enquiry.
- Management of internal and agency press clippings.
- Management of personnel records.
- Accounts payable documentation.
- University and college admission records management.
- Competitor product and corporate information file management.
- Cheque and credit card voucher processing.
- Freight consignment note management.
- Patient medical records management.
- Management of import/export documentation.
- General research information storage and print-on-demand.
- Storage and retrieval of aircraft maintenance documentation.
- Management of airline in-flight incident reports.
- Management of spare part and maintenance documentation for oil rigs.

As we move through the 90's, the topic of conversation among many business and political leaders is the economic recession. Opinions, however, seem divided. Some say the world has been in recession for some time, some that it has yet to arrive, others that it will not eventuate, and still others that this decade will see the greatest depression in modern times.

One thing that seems unarguable is that the world is experiencing difficult economic times and that they will continue for some time to come. And as the economies of the leading trading nations are so interdependent, few will escape unscathed.

In such difficult times simple survival will not be enough. Only sustained profit-ability will guarantee long-term viability of an organisation. However, whilst business is searching for increased profitability, the avenues today for gaining a competitive edge are limited. Higher productivity and better service appear to be the principal differentiators among strong competitors.

A little understood way to achieve higher productivity and better service is through more effective management & utilisation of one of a company's most strategic assets - its information.

Information, whether it be corporate, product, customer, or competitive, is one of an organisation's most important and valuable assets, & needs to be recognised as such and managed accordingly.

Information is the lifeblood of all corporate and institutional entities. In its most prevalent embodiment it takes the form of documents that are created, manipulated, processed, stored, printed, and duplicated on a grand scale in every business, small and large, every day, across the globe.

As a corporation or institution grows in size and its life extends, then so does its information base grow, in many cases at a much greater rate. Human nature being what it is, people are reluctant to dispose of paper-based information.

Thus, management becomes concerned with the increasing volume of paper records and the increasing number of clerical workers needed to handle them. However, management should be more concerned with the retrieval of that information, where & when it is needed.

The value of stored information is indeed in direct proportion to its accessibility!

So how does an organisation handle this growing mountain of paper & ensure the timely retrieval of the valuable information it contains that is so vital to its survival?

To answer this, we must first look at some of the characteristics of the medium itself.

Paper - Friend or Foe?

As a medium for containing information, paper has a number of *advantages*, including:-

• Portability - paper in the form of documents, files and books is easily moved from one place to another.

• Reproducibility - today's photocopier technology means that we can reproduce paper documents at the touch of a button.

• Familiarity - paper has been with mankind for over 3,000 years, so we are very familiar with it and have grown comfortable with it.

However, paper also has some *disadvantages* and they include: -

• Space consuming - as the information base grows, the space needed to store the paper records grows, and floor space today can be a costly commodity.

• Labour intensive - as the information base grows, it becomes more difficult and requires more resources to file & retrieve the information.

• Slow retrieval - likewise, the time taken to retrieve the information grows.

• Single user access - the nature of the medium is such that, without reproduction, paper records can be accessed only by one person at a time.

• Unnecessary duplication - in order to circumvent the disadvantage of single user access, paper records are duplicated unnecessarily many times.

• Losses in productivity - as the medium can be accessed by only one person at a time, the productivity of other individuals awaiting access to the information is impacted in that they are unable to complete their tasks. This is the typical scenario created by the out-of-file situation.

• Documents lost/misfiled - the nature of the medium and the filing/retrieval procedures associated with it are such that document losses and misfiles are a common occurrence further impacting overall productivity & creating additional costs as lengthy file searches are conducted.

• Document float - this is the situation that occurs when documents are between processes i.e. whilst they are awaiting refiling in the records area, or sitting on a file trolley, or in someone's out tray awaiting

collection and rerouting. This is one of the major causes of out-of-file conditions adding substantially to losses of productivity.

• Delayed customer response - in any environment servicing individuals, corporations or departments external to the work group, an occurrence of any of the foregoing circumstances will cause a delay in response and in most cases create the all-too-familiar situation of "...I'll get the file and call you back". This increases the cost of customer service, reduces the quality of customer service and hence competitiveness of the organisation.

• Unmanageable - the variety of formats, contents, sources, methods and timing of receipt of paper-based information, to predict bottlenecks, or to effectively plan or monitor the workload & performance of personnel dependent on paper-based information.

• High cost - whilst the cost of materials consumed in a paper-based information system can be substantial over its lifetime, it is but a fraction of the hidden costs involved. These include people costs, loss of productivity & loss of business.

Any logical comparison of the relative advantage and disadvantage of paper should point to the need for some urgent review and changes to current work practices.

But, how can organisations lessen the impact of this growing mountain of paper? Is it possible to dispose of paper completely?

With the large scale spread of computers in the worlds of commerce & government, predictions of the coming paperless office were commonplace. Unfortunately, the use of computers simply become another document to be filed.

And what of one of the great wonders of office automation, Electronic Mail, and its equally brash claims of finally bringing about the paperless office?

As we now know, electronic mail is very effective in reducing the amount of paper, documentation produced for internal consumption such as internal memoranda. However, it fails dismally in the creation of a paperless environment because it has no control over the creation or prevention of paper documents emanating from outside the organisation, department or work group. And it is this externally created paper that

poses the major document management problem. It comes in the form of orders, invoices, trade & government regulations, books, newspapers, applications for services, sales literature, enquiries, general correspondence, and a host of other forms containing information so vital to the conduct of the day life of any organisation.

So, if its creation cannot be prevented, then its handling must be managed in the most effective way possible, It must be computerised.

An analysis of the content of the paper-based records kept in a typical office will reveal that the information is predominantly of a reference nature, or is supporting data or narrative, or is information that is an aid to decision making. In general it is of a form that has not lent itself to automation by conventional methods. Until now!

Recent technological advances and enhancements have produced a number of significant components including the personal computer, the laser printer, facsimilie, document scanner, and not least of all, the optical disk, which, together with advanced software tools have enabled the formulation of a revolutionary new concept in Information Management - Electronic Document Management or Document Image Processing.

Whilst Document Image Processing does not herald the paperless office, it will certainly make it easier to scale the mountain, and is confidently predicted to do for paper documents what word processing did for the typed word.

Document Image Processing

The concept of people working without physical pieces of paper is revolutionary, & all revolutionary ideas inevitably create misunderstandings and misinterpretations. Because of this, a variety of definitions of Document Image Processing have emerged. Some of the valid ones include:

"... is an Information System designed to hold large volumes of documents on electronic form and make them available to anyone in the organisation who need them."

"...is method for converting document-based information to electronic digital form which allows document information to be managed with the same efficiency as computer data."

"...is the conversion of paper into computerised electronic images, the storage of those images for later retrieval, and the automation of the flow and processing of work that is image based."

Document Image Processing (DIP) combines a number of new technologies with some well proven technologies to produce a solution to an organisation's paper management problems capable of providing enormous benefits.

Whilst it has been stated that paper has a number of disadvantages, DIP solutions turn those disadvantages into their own distinct advantages. For example:-

• Space saving - a small Magneto Optical Disk (MOD) platter the size of a familiar audio CD can store the images of approximately 16,000 A4 pieces of paper, or, in other words, the contents of two 4-drawer filing cabinets.

• Non-labour intensive - as the filing and retrieval of the electronic images is automatic, the system removes the need for filing clerks. Documents are captured at their entry point to the organisation, department or work group and are retrieved electronically directly by the person requiring the information, or automatically under programme control.

• Almost instantaneous retrieval - the access speeds of optical disk storage are such that any random document within a document base numbering in the millions can be retrieved within a few seconds, and less in most instances.

• Multi-user access - any document image stored on the system can be viewed simultaneously by as many users as there are retrieval stations connected to the system, provided always that the individual has the appropriate authority to access such documents. In other words, it is now possible to put an organisation's entire information base on every desk.

• Elimination of duplication - as many users are able to simultaneously view any document image at any time, & the physical paper is no longer the medium of use, paper duplication is completely eliminated.

• Gains in productivity - as the document image is never actually "removed" from storage, out-of-file conditions are eliminat-

ed, hence personnel are no longer wasting valuable time waiting for files, but are able to make the most effective use of the available time.

• Elimination of lost files and misfiles - in the same way as out-of-file conditions are eliminated, so too are lost file and misfile conditions, resulting in a positive effect on overall productivity.

• Elimination of document float - images never need refiling, nor are they ever sitting in someone's out tray.

• Greater improved customer response - no longer is it necessary to call back a customer through lack of access to the file. Each customer's file is instantly available so the enquiry can be responded to while the customer is on the line, resulting in a better, more competitive service and a satisfied customer base.

• Controllable and manageable - the computerisation of the paper-based information file means that for the first time management can predict, plan and monitor previously unmanageable tasks. The flow, processing and time for completion can now be programmed into the system and performance of work groups and individuals monitored accordingly.

• Cost effective - whilst the initial cost of an electronic imaging system will exceed the cost of materials in a paper information system, the gains to be made through increasedproductivity, greater customer service and greater competitiveness will provide significant long term cost savings, in addition to the more tangible & immediate savings in labour and floor space costs.

Considering that approximately 95% of any organisation's information is still in some form of paper, the benefits to be gained from implementing document imaging solutions of one type or another are endless, and the concept is destined to revolutionise the work practices of all white-collar workers across all industries.

Just consider how many activities and applications in various organisations involve handling paper documents,and how they could be improved by the use of document imaging technology.

ENQUIRIES PHONE LLOYD PARATA
ON (02) 452 0452

Branch Reports

NSW Report

As another year comes to an end, it is time for us all to reflect on the past twelve months. Have you considered upgrading your status to Associate level? Are you interested in being on Branch Council? It is rewarding! Give me a call if you require further information.

I am happy to say our Branch is currently financially solid and very active within our profession. Many thanks to our hard working councillors of the NSW Branch. I have appreciated their enthusiastic approach and support over the last twelve months.

In brief, over the last year we have seen a lot of changes for the better.

September: The 9th National Convention was held in Sydney. This was very successful with one of the best trade displays seen for many years. Papers from the convention

are still available. They are available from me at a cost of only $40.

At the Federal Directors meeting, a Strategic Planning meeting was held to look at a new direction for the Association. This was followed up with one-and-a-half days of meetings of the Branch Council to look at strategies for the NSW Branch. These have been listed in Branch newsletters.

March: New membership kits were made up (NSW initiative). These consist of a membership folder, RMAA note pad, RMAA pen, brochure on the Association, Newsletters, Informaa and letter of introduction all enclosed in a RMAA showbag. These have been issued to all States for use around Australia.

The "Records and the Law", seminar was held at the Holroyd Centre at Merrylands, which was attended by 150 people. Seminar papers are available for those that

did not attend at a cost of $10. Please contact David Lilley, Secretary on 895 0029 if you require a set.

April: Another NSW Branch initiative was the production of the International Records Management (IRMC) Journal. This was co-ordinated by Peter Smith & distributed around the world.

May: Joy Siller took over from Heidi McArthur as the new editor of our newsletter & with this role takes on the responsibility as contributing editor for the Informaa Quarterly.

Just a brief reminder of our up coming National Convention, to be held in Hobart. September is closing in fast, so book now for September at Wrest Point. The convention has been well organised and is looking very positive. Come along and get the Tassie welcome.

Chris Fripp ARMA
NSW Branch President

South Australian Report

South Australia did not submit a report for the last IQ, but that does not mean to say that there has been any action in this fair State.

During May/June a number of Branch Meetings were arranged with a respectable attendance at all meetings. A demonstration of a new Records Management software programme was conducted at a joint meeting with the Dept of Mines & Energy and Information Dimensions and IT Solutions invited the Branch of the release of new software called Docworks.

The Branch welcomed a team from the ACT to a one day seminar titled, "Quality Information Management", held at the Hindley Parkroyal. The programme was thought provoking and as such has provided the forum for another one day workshop to be conducted later this year. The special highlight of the day was the presentation, by Arthur Langford-Smith, of the Kodak Grant to this year's recipient, Helen Onopko.

The Convention Committee has been working hard but well on schedule, for a presentation at the 10th National Convention in Hobart in September. A social gathering for SA delegates (members and potential members) is planned for August - an opportunity to meet for a little bit of conviviality, reminiscing and laughter before the hard work!

A positive contribution from the members, through a Branch Survey, has enabled the preparation of a Action Plan for 1993/94, directed at satisfying requests for a structured educational Branch programme. The desire for workshop, site visits and practical demonstrations have been included in the programme. The response to the Branch Survey has ensured a positive future for the Branch - an excellent achievement by the Members!

Helen Francis ARMA
SA Branch President

INFORMAA Quarterly

CALL FOR PAPERS

Readers are invited to submit articles for publication. They may be in the form of case studies, conference papers, book reviews, surveys or any report which may be of national interest.

Contributions should be typed and double spaced. Please include a short biography together with a black and white photograph.

Submissions may also be made in electronic format on a 3 1/2 inch diskette with Wordperfect 5.1 preferred or alternatively as a standard ASCII text file from MS WORD or other word processing software.

Send articles to

Ken Ridley, Chair Informaa Quarterly Editorial Committee,

PO Box 8213 Stirling St.

PERTH WA 6849

Branch Reports

Western Australian Report

The programme committee have been able to see all their hard work pay off with the last three meetings for members being an overwhelming success.

At the April meeting, Mr John Townsend of the Department of Land Administration provided the twenty five members who attended, with an educational insight into the Titles office and the Imaging System.

Over forty members attended the June meeting, which was a lunch time discussion on Electronic Records, facilitated by Janine Douglas. Many relevant issues were discussed, with members contributing their experiences & suggestions, whilst questions were asked leaving much food for thought.

The successful June meeting was an Education Forum presented by Professor Patricia Layzell-Ward of Curtin University, Ms Vicky Wilson of Edith Cowan University and Mr John Chater of TAFE.

The panel presented information and advice on all courses, relating to Records Management which are available and was followed by an open forum at which members questions were answered.

Our combined State seminar with Edith Cowan & Curtin Universities on Electronic Records was an unequivocal success.

Some 70 registrants had their Records Management thoughts shattered with futuristic vision of the technology world of RM in the 21st century.

This very relevant insight into the future, was given by David Bearman and Professor Robert Hayes from the USA, Mr Robert Barnett from the ACT and Mr Tony Mills from the Government Employees Superannuation Board.

To the organisers, SASTEK, Vicki Wilson of Edith Cowan University, Maggie Exon from Curtin University & Janine Douglas of the RMAA, many thanks are extended.

A one week follow up workshop will be held in April 1994. Further details will be published in the local newsletter.

The AGM was held on 20th July, 1993, and WA have experienced a turnover of Councillors for the 1993/94 year. We thank the retiring Councillors of the Branch for their support in the past & thank new volunteers for their interest shown in the Association by nominating for Council.

Neil Granland, Chairperson of the National Committee for the new National Finance and Registration Computing Software System and Committee members, have seen their hard work come to fruition with the introduction of the system to all States. Training for all State representatives was held in Sydney on the 4th June.

This system will streamline the Association's accounting and registration procedures & introduce an Australia wide national system to be known as AIMS.

Our sincere thanks to Ainslie & Roley Sharpe for designing & implementing this package.

Ken Ridley, is Chairperson of the Committee responsible for the introduction of a new look Informaa Quarterly and their hard work has paid off with the journal being presented in a more professional manner.

Norma Easthope ARMA
Secretary WA Branch

Northern Territory Report

I am pleased to report that the members of the NT Branch Council have re-grouped, have had their heads down and hard at it for the past few months. They have been busily attending regular meetings of Council and organising other activities for the membership.

Council has become more aware of their responsibilities to the membership of the Branch, particularly in the fields of education and training. Mention was made in the last edition of the IQ, that training courses were planned for May. These courses have been carried out and were very successful. More have been scheduled & hopefully our colleagues in Alice Springs will be on the receiving end also.

The NT is eagerly awaiting on advice regarding the introduction of the TAFE courses on Records and Information Management during 1994. Jacquie Brigden, NTU, has been representing the Territory on the National ATRAC Committee and snippets of the information have been filtering through.

Like most other Branches at this time of the year, the dust has settled after the AGM's and Branch Council elections. The NT is looking forward to continued success during 1993/94 and of course, greater participation by its members.

Ray Holswich ARMA
Branch President

Victorian Report

In the last three months, the Victorian Branch has been busy on a number of fronts. We held our Annual State Seminar at Bendigo on the 1st April, 1993. The seminar was a great success with around 100 participants. Papers of the proceedings are available from the Secretary for the small cost of $25.00. Papers can be obtained by writing to:

The Secretary
c/- GPO Box 2270U
MELBOURNE 3001.

Socially the seminar, once again, provided the avenue for networking. The seminar dinner was packed with surprises as both the State President David Moldrich and the Editor of Informaa, Robin Scaife celebrated their birthdays at the dinner.

Aside from the seminar, the Branch conducted a, 'Back to Basics', workshop at the Shire of Bulla offices. Although the workshop was not as well attended as expected, interest in the workshop has been expressed, with another workshop being planned in the CBD.

Education is continuing to grow with the introduction of Records Management principles into skillshare training. All other courses are proceeding with interest.

The proposed RMAA Product Handbook has been received with great enthusiasm. Entries for the Handbook are currently flooding the Secretary.

On the election front, the Local Government Chapter is holding its AGM at the City of Caulfield offices as this is being written. The State Branch will be holding an election as 17 nominations have been received for fourteen positions. Results of all elections will be published in the next Quarterly.

R Kaczynski ARMA
State Secretary

Branch Reports

ACT Report

A luncheon seminar was held in April at which Mr Bill Chisholm, Canberra Manager, Hermes Precisa Australia, gave a presentation focussed on imaging and optical disk technology.

The luncheon was well attended and Bill's presentation provided us with up-to-date information about these increasingly popular storage media. His presentation, ended with a demonstration of the technology which will allow each of us to have the joy of the home photography on CD.

We took the opportunity at this seminar to present Ms Tracey Beale, with her ACT Branch Council prize as the outstanding student in 1992 in, Information and Records Management, at the University of Canberra. Part of Tracey's prize was Ordinary Membership for one year. We are pleased to have her assistance as Minute Secretary of the Branch - a demonstration of her commitment to the Association & our profession.

The Branch held a very successful one-day seminar in June. The Topic, 'Quality Information Management - The Priority for Success', was clearly important to a wide range of people in our region. The presenters included Mr Robert Barnett, MRMA, whose excellent presentations, 'What is Information Quality?' and, 'Electronic Forms - Beware the Minefield!', prompted searching questions from the audience.

An interesting and pertinent project at the Australian Taxation Office on the development of participative work design workshops, was the subject of a two-part presentation by Mr Phil Fisher and Mr David Bruce-Smith. The third member of the team, Mr John Smithwick, joined the seminar panel at the end of the day's presentations.

Mr Robert Denize, Chief Engineer, Australian Centre for Remote Sensing, identified the enormity of the task of capturing, storing, retrieving and displaying spatially referenced data. The use of optical tape to house huge volumes of data, has reduced physical storage needs to manageable proportions.

A special part of an ACT Branch seminar is the formal luncheon. In Canberra, the seminar was held at the Hyatt Hotel where the meal attracted positive comments from the delegates. Our entertaining lunchtime speaker, Mr Eric Kenning, provided helpful hints about the importance of training people who will be trainers and presenters.

The ACT Branch has been innovative, with its' offer to hold a similar seminar in South Australia. Ms Helen Francis, ARMA, SA Branch President, welcomed the seminar team to Adelaide on 17 June. Feedback from delegates included comments about the timeliness of the seminar, its relevance and its professionalism.

We thank, Mr Arthur Langford-Smith, ARMA, ACT Branch Seminar and Workshops Co-ordinator, for successfully arranging these seminars.

Elaine Eccleston ARMA
ACT Branch President

Queensland Report

Queensland Branch Council has completed its involvement in the telecast to all Local Authorities in Queensland, on the topic titled, "Records Management", in conjunction with the Local Government Training Council QLD, for the 1992/93 Local Government Satellite programme. A similar exercise is being undertaken with other levels of government & private enterprise, for the production of a video on Records Management.

Michael Hanagan ARMA
President QLD Branch

Tasmanian Report

The Tasmanian Branch has been busy with the planning of the National Convention together with organising regular workshops and seminars for the professional development of the members.

A seminar, "Records Management and the Law", was held in May & was attended by both Members and Non-Members with some participants travelling down from the north-west coast. Speakers at the seminar included Stefan Petrow & Rick Snell, who will present papers at the Convention. The presentations of these two gentlemen, were rated as excellent by participants who are now looking forward to their papers to be presented at the Convention.

A Records Management forum entitled, "Imaging - Adding Value to Public & Private Sector Operations", held in July, was attended by a number of senior managers and records/registry staff. It was encouraging to have senior managers taking an interest in the issues involved in planning, for an electronic solution to Records and Information Management.

The TAFE, "Student of the Year" award, was presented to Jennifer Dobson at the annual Hobart Technical College presentation night. The Branch would like to thank Ian Rumney Office Equipment and Datafile for their sponsorship of this annual award. Congratulations Jennifer on your achievement.

Two students have now completed the "Certificate of Records Management" at the Hobart Technical College, which is a milestone for the Branch who worked for many years to have this course introduced into Colleges in Tasmania. These students were honoured at a special presentation at the AGM.

Based on expressions of interest and registrations to-date, together with the pleasing number of trade exhibitors, we are confident that the Convention will be a success with our target of 200 registrations being realised or exceeded.

Tina Howard ARMA
Branch President
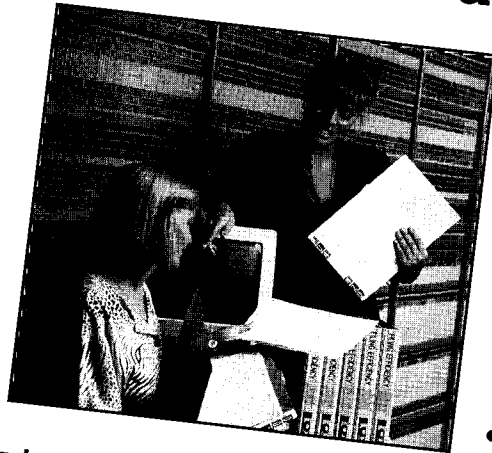
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PRODUCT INFORMATION GUIDE

Yes I would like to know more about the following products which appeared in INFORMAA Quarterly - Volume Nine Number Two

Please send or fax a copy to:

MARKETING ADVISERS FOR PROFESSIONALS

CNR SCOTT STREET AND PARNELL PLACE NEWCASTLE NSW 2300

TEL: (049) 29 7766
FAX: (049) 29 7827

☐ Page 5	gmb		☐ Page 30	Rack & File
☐ Page 10	Tower Software		☐ Page 31	Systemics
☐ Page 14	Dialog		☐ Page 32	Pickfords
☐ Page 15	Computron		☐ Page 33	Caylx Software
☐ Page 18	Atlantis		☐ Page 35	Monash University
☐ Page 23	Ortex		☐ Back Pg	Mitsui AFT

Name: .... Company: ....

Address: .... Postcode: ....

Type of Business: .... Position: ....

Phone: (........).................................... Facsimile: (........)....................................

NSW RMO Chooses TINTERM
TO MANAGE THEIR THESAURUSES

The NSW Records Management Office (RMO) offers consulting services, thesaurus development and the well known GADM and LOGOV thesauruses for use by Records Managers. After extensive evaluation of computer based thesaurus management products, they have chosen TINTERM to manage their thesauruses and for developing thesauruses for their clients.

TINTERM is a stand alone thesaurus builder developed from the thesaurus module of TINLIB, the integrated library system with the largest worldwide installed base (Library Journal, April 1992). TINTERM is supplied by Systematics Information Systems Pty Limited, Chatswood, and is being used by Alcoa, Attorney General's Department, Mount Isa Mines and Telecom for a range of thesaurus management activities.

Being a library thesaurus tool, it was not ideal for GADM and LOGOV but as David Roberts, RMO's Manager, explained, "One reason we chose TINTERM was that it was easily modified to suit our exact needs." He went on to say: "The main reason, however, was the productivity improvements it provides. We can have all our thesauruses in the same system and TINTERM does all of the tedious tasks so much more effectively than our previous method".

TINTERM has been installed on a 486 Windows PC in the RMO offices in Sydney and is Denise Bechert's responsibility. Denise, one of the RMO's Senior Consultants, who has not worked extensively on computers, says: "TINTERM was easy to learn. I can comfortably navigate around the thesaurus, a feature which will make assigning keywords and descriptors

so easy, and I have found adding terms to be very simple. It automatically creates the complementary term which will save hours as GADM develops. I am really looking forward to using it".

The RMO plans to use TINTERM to assist with the release of new products and with enhancements to their existing thesauruses. GADM and LOGOV are now available with TINTERM and existing users can incorporate their thesauruses into TINTERM. "We retain our independence, but we have been impressed with Systematics and are pleased to be working with them in this way", David said.

For further information contact Ms Denise Bechert at the RMO on (02) 237 0131 or Anthony Meggitt at Systematics on (02) 411 3255.

Pickfords Active File Outsourcing

Australia's largest life insurers, the AMP Society, recently appointed Pickfords Records Management to manage over 2 million active policy folders. The computer systems of both companies are now linked in support of thousands of daily AMP customer enquiries.

General Manager of Pickfords Records Management, Mr. Ian Hollow recalls, "Pickfords and AMP worked very closely to design the appropriate methods and interfaces. Retrieval of policy papers is now integrated with many other AMP computer network functions."

After considering various internal and external options, the AMP selected Pickfords Records Management to provide an outsourced management of their live policy documents. Importantly this had to be achieved without interruption to the AMP's customer service.

"Close cooperation between our Business Relocation and Records Management Division's enabled the policy files held in six capital cities to be relocated to Pickfords in Melbourne and Sydney " Hollow said. "A combination of air, road and sea was used to urgently perform these tasks over nominated weekends."

In excess of 2 million policy papers were individually barcoded by Pickfords and throughout this process all policies had to remain available for immediate retrieval to AMP.

"The highly active nature of the records required an innovative approach", Hollow said. "A number of other organisations have also shown interest in the integrated outsourcing of active records of this nature."

The AMP, with Pickfords assistance, has radically reduced its prime office needs, increased the efficiency of providing policy information to its customers and lowered the overall costs in the customer service division.

Key File: THE ULTIMATE DOCUMENT HANDLING SYSTEM

KeyFile is breakthrough software that eliminates the drudgery, frustration & labour of handling today's office because it is the first software that lets your PC network handle both paper and electronic documents. With KeyFile, all your office documents move effortlessly between people, desktops, file cabinets, printers & fax machines.

Scanned documents, incoming faxes and files (eg spreadsheet or word-processing files) are able to be accepted, filed, collated, redirected, marked for attention, annotated & much more. Your spread-sheet can be stored with your business plan &, kept up-to-date using DDE/OLE.
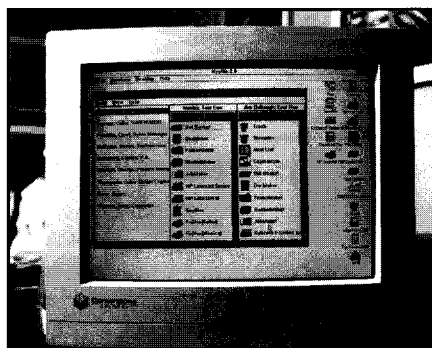
Security features can restrict access to documents, files and/or tasks at individual or work-group level. The front-end can be tailored to suit precise user requirements, and users can create their own ad-hoc work-flow procedures - a feature which is not provided in most of the larger, more expensive systems.

Operating under DOS-Windows or any NetBios LAN, KeyFile is available in Stand-Alone or Networked versions.

KeyFile is available from:

CAYLX Software (Pacific) Pty Ltd
394 Pacific Highway,
LANE COVE NSW 2066

Tel: (02) 418 8033
Fax: (02) 418 8256

Contain Costs & Conserve Computer Resources

Whenever there is a need to share computer resources between two or more users, managers are bombarded by dealers offering a variety of solutions that defy comparison on the basis of price or any other criteria.

The solutions become more complex and expensive when a user enquires on network management and gaining access to off site premises.

The technical jargon abounds with terms such as "Local Area Networks", "Unix" or "Xenix" adding confusion to the decision making maze.

More often than not there is a need to replace or buy faster newer and costlier equipment. For example a Local Area Network usually requires a computer to be dedicated to communicating with off site premises.

Unless dealers are software developers or really concerned about budgets, they will not even suggest Australian developed "System Manager" as a solution.

Why should a dealer suggest this solution? After all it does not move computer boxes or bring in the ongoing fees from training and support compared with the more complex systems.

When compared with other communication systems, "System Manager" has all of the benefits but can be installed and supported at a greatly reduced cost.

There is no need to replace existing or outdated computers. The emulation package converts most old PC's into a "System Manager" work station. Old PC's act as a 386 or 486 "System Manager" host, sharing its application or running applications as stand-alone PC's.

Michael Rich, Managing Director for top selling accounting software Attache, recommends "System Manager" for users seeking to share accounting information.

Mr Rich states: "We were so impressed with "System Manager" that we are using it internally. We have 23 terminals running off a powerful 486 with a high speed caching controller. For Attache training we have a 14-terminal "System Manager" installation running off a 386."

Martin Duursma, Peter Campbell and Jon Osborne

"System Manager" has been the operating system for the computer applications such as the Sydney developed PC based package, "Calldata Systems Management". This system collects information about telecommunications carrier services, charges and benefits to enable management to make informed decisions about their communications needs.

It has been used by distributors such as the hydraulic and pump distributor "Pacific Pumps", that has added "System Manager" to their Novell Netware made up of 100 users. As well as making their point of sales systems multi-tasking it has given Novell users remote access via a modem. "Datapac Australasia", the Sydney based company, has developed "System Manager" into a multi-tasking system that can operate and enhance Novell Netware.

When compared with PC LAN or UNIX/ZENIX networks, "System Manager" has all of the benefits but can be installed at a greatly reduced cost.

This cost advantage makes "System Manager" the ideal choice for departments of larger organisations wishing to downsize from mini computers.

The "System Manager" host machine is currently a DOS based 386 or 486. With the greatly increased computing power of the forthcoming 586 systems, "System Manager" will appeal to a wider market.

Each "System Manager" task, up to a maximum of 9, has its own virtual screen, allowing users to flick from one task to another using hot keys. The switching between tasks is almost instantaneous.

Included in the range of "System Manager" solutions is the low end Buffered System, with a 3 User, 13 User and 23 User Pack. The Buffered System uses monochrome serial terminals or coloured PC's as work stations.

In larger sites an intelligent serial card takes the I/O and screen refresh load off the host processor. This system is available in a 9 User, 17 User & up to 65 User configurations.

Using VGA Monitors and Terminals as work stations, the "System Manager" Graphic's Edition provides Multi User

graphics. A Multi User video card is added to the host computer and a graphic cable runs from the host to users up to 120 metres away. A single Host supports up to 16 VGA Users.

The "System Manager" security system interacts with its menu system so that the user's logon ID determines the menu presented. The security level attached determines which user is local or dial back. With its exacting security facilities "System Manager" meets the Australian Defence Signals Directorate specifications.

Print Manager is an add on product, offering print spooling, scheduling and management of up to 69 printers.

For remote and distant connections, "System Manager" connects directly to remote terminals via a Modem at either end of phone lines. It is this feature that gives users, including Novell users, remote access.

Communications applications are well suited to the "System Manager" environment. One site is using this operating system as a gateway to a Mainframe with 65 users, who have concurrent tasks on any combinations of DOS, UNIX and Mainframe Systems.

The majority of resellers agree that the System Manager's major asset is the high level of Australian based support. Commenting on Datapac's support, reseller, Robert Fraser of Fraser Systems states:

"Datapac is the most technically competent company in the computer industry".

Independent research of thirty two major "System Manager" resellers, confirmed the major strengths of Datapac to be:

- High quality of support 23%
- High level of technical support 23%
- Australian based support 17%
- Ease of personal contact 15%

- Solve all dealer problems 6%
- Accessible management 6%

For users seeking resource sharing and improved internal and external communications and increased productivity, this Australian developed system has definite advantages.

Inquires

Jonathon Osborne
Marketing Director
Datapac Australasia Pty Ltd
Suite 703, 495 Pennant Hills Road
PENNANT HILLS NSW 2120
Phone 61-02-980-6888
Fax 61-02-980-6763

Corporate Mainframe connectivity.

'System Manager' based PC running 'DOS' applications.

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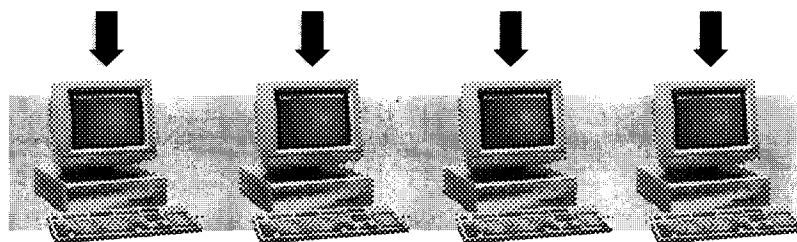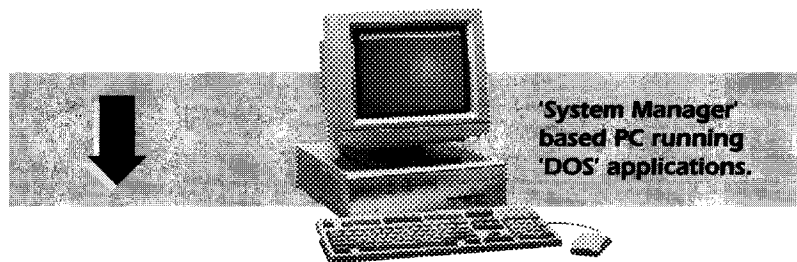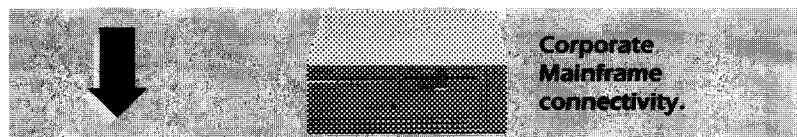
Up to 64 terminals, running 'DOS' applications and acting as terminals to the mainframe at the same time. Workstations can be either terminals, PC's or VGA monitors.
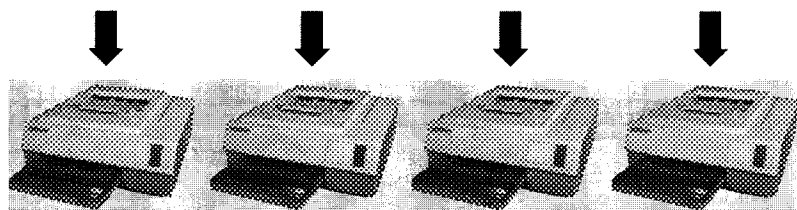
Comprehensive Printer spooling and scheduling system supporting multiple printers.
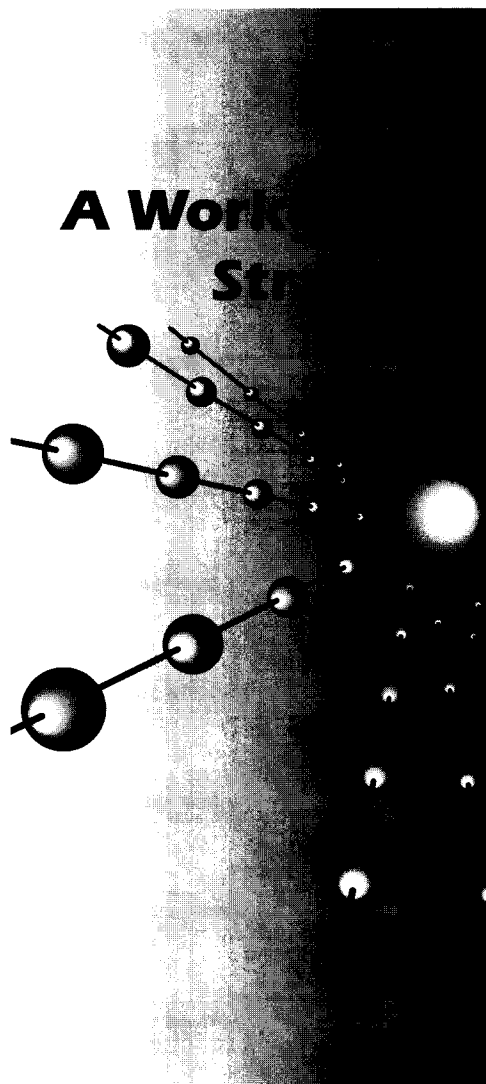
MEMBER -SHIP HAS ITS BENEFITS

- Professional development through Branch meetings, State Seminars and National Conventions

- Branch newsletters and Informaa Quarterly

- Reduced fees for conferences and seminars

- Networking opportunities with people who speak "your language"

- Opportunity for professional recognition as Associate (ARMA), Member (MRMA) and Fellow (FRMA)

...RMAA