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INFORMAA QUARTERLY

CONTRIBUTIONS

Contributions in the form of articles, case studies, letters, book reviews, are welcome. Please include brief biographical information e.g. position, place of work, previous experience and qualifications and a black and white photograph.

Submissions may be also 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.

CONTACTS

All contributions and editorial enquiries should be directed to:

THE EDITORS
Informaa Quarterly
PO Box 8213
Stirling St Perth 6849.

For advertising enquires contact:

Maria Charlton
Marketing Advisers for Professionals Pty Ltd
Cnr Scott Street & Parnell Place
Newcastle 2300
Phone: (049) 29 7766
Fax: (049) 29 7827

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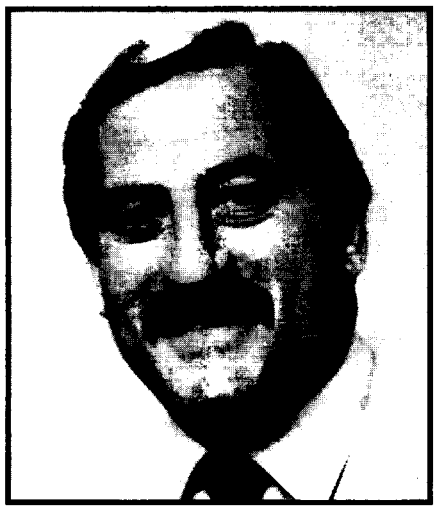
INFORMAA QUARTERLY

President's Message

You are correct in assuming that the INFORMAA Quarterly is heading down yet another trail, much time and effort has been put into ensuring that the future of the IQ is set firmly in concrete for the betterment of our members and indeed the Association. On your behalf, I would like to thank Ken Ridley WA, the Editorial Chairperson and his National Committee for their efforts during the past few months and at the same time welcome our new Publishers, Marketing Advisers for Professionals Pty Ltd on board.

I'm not sure that the membership of the Association is really aware of the difficulty in obtaining informative articles for the INFORMAA Quarterly and I appeal to you all to contribute to future editions. The Journal is our national mouthpiece and as part of the National Marketing Strategy it is planned to expand the distribution of the IQ during 1993/94.



Speaking of the National Marketing strategy, steady progress is being made with the implementation of the Marketing Plan adopted at the September '92 meeting of Federal Council. Exposure of the Association has been of concern for some considerable time and members have indicated from time to time that we have been an Association without an image and have lacked direction. I am pleased to report that, that situation no longer exists and forward plans have been put into place, for example the Association entered the market place in the Trade Exhibition during the AIIM '93 Conference in Sydney in March and we were able to promote the Association accordingly, we have also endorsed a two day Conference being conducted by AIC Conferences during May, 1993 and again promotional activities will benefit the Association.

For as long as I care to remember I don't recall the Association ever being invited to participate in or wave the flag at "other peoples" Conferences on a national basis, so perhaps the RMAA is being recognised at long last.

Cheers for now.

Ray Holswich ARMA
Federal President

Editorial

To better face the challenges of the nineties and beyond, the RMAA has recently held strategic planning sessions culminating in the formulation of a mission and vision for the future.

The INFORMAA QUARTERLY was identified as one key strategy to support our corporate objectives and accordingly, on behalf of myself and the contributing editors we welcome you to this new look edition. We hope to provide a journal that is both informative and stimulating recognising our industry is dynamic and must cope with the management of an explosion of recorded information held in a variety of formats.

It is regretable that an overwhelming majority of potential advertisers have chosen not to support this edition, most adopting a wait and see attitude. To the sceptics amongst the trade, we hope you are impressed, and we look forward to your future support.

RMAA members receive INFORMAA QUARTERLY as just one part of their

member benefits, but in recognition that some readers may want the journal only, a subscription service is now available as detailed on page one.

Two of the greatest challenges that many of us will have to contemplate sooner or later are the impact of electronic document imaging on records management and the question of our status in the organisations where we work. I am sure the articles by Janine Douglas on Image Processing from a Records Management perspective and Jim Coulson on Marketing Records Management to Senior Management will be of great interest.

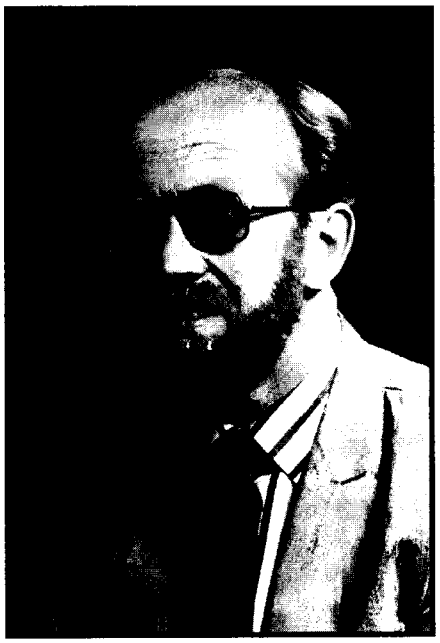
There is evidence that records management is beginning to develop a theory and research base but more contributions are essential and we encourage you to submit articles for future publication.

It has been suggested that the RMAA should offer a literary award on an annual basis as just one mechanism to encourage members to document their views. The editorial committee would be pleased to receive your comments on this or any other matter of national interest to our readers.

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

Directions In Intelligent Electronic Document Management

Richard L Jones
Director - Centre for Electronic Document Research



Dr Richard Jones is the Director of the Centre for the Electronic Document Research, (CEDR), based in Canberra, Australia. CEDR is part of the Australian Computing & Communications Institute. He is a graduate of the Trinity College Dublin, with a First Class Honours Degree in Mathematics and a Doctorate on the General Theory of Relativity. His long-term research interests are intelligent natural language text proceesing; he has been involved in developing the STATUS text retrieval software system since its inception in the 1970's. He has applied Artificial Intelligence techniques to this field, and this work has culminated in the IQ, AMR and AIDA technology set. His personal interests include choral singing and conversation, preferably over a glass of wine. He is married with four children.

Background and Introduction

This paper discusses current and likely future technology directions for what is often called Intelligent Electronic Document Management (IEDM). Within this, by way of illustration it describes some of the research work at CEDR, the Centre for Document Research whose major focus is directed towards research into IEDM.

IEDM is perhaps best defined by looking at its constituent words.

■ Electronic documents are seen as analogues of paper documents. In other words they are multi-media forms of information composed of text, numbers, images, figures: perhaps extended to include sound. The storage medium for the document does not necessarily have to be electronic, it may be optical or photographic for example. However the distribution and presentation medium will be electronic. Electronic documents may be completely representable on paper, but this will not always be the case. A key distinguishing feature of electronic documents compared with general multi-media is that text is the predominant medium, acting metaphorically as the glue holding the other media forms together. This may be in the form of intra or inter-document references.

■ The management component covers both the static form of documents, held in a repository of some sort, either temporarily or permanently & dynamic when they are undergoing electronic transfer.

■ The intelligent aspect derives from a group of approaches that seeks to do more than treat the information within the documents as merely character encoding or bit streams to be treated as amorphous objects. This is the case with most document image processing systems or office information systems.

CEDR (pronounced as the timber used for classical Australian furniture) is one of the research centres of ACCI, the Australian Computing & Communications Institute. ACCI is a Victorian co-operative research initiative, with a mission to promote co-operation between industry and research participants and to foster commercialisation of intellectual property outcomes from that research. It is made up of academic research members, such as Melbourne University and RMIT, with a number of commercial members, including IBM and the computer Power Group, (CPG). CEDR forms the major part of the CPG's contribution to ACCI. Its nucleus is CPG's multi-media research group, centred in Canberra. Under the direction of Richard Jones, the author of this paper, CEDR is embarking on a program of research outlined in a later section. It is also actively seeking collaborative projects with other Australian research groups.

The Time is Ripe for IEDM

There is no point in developing new technology if the market-place is not ready to take advantage of them, and other enabling technologies are not in place. The author believes that both prerequisites are now satisfied, as laid out below.

The enabling hardware technologies in the shape of large storage systems, especially optical storage now offer ever increasing capacity and decreasing storage costs. Work-station technology can provide significant processing power on all desks, allowing more sophisticated software tools to be deployed by the user, either to provide a simpler interface or to process the documentation to be examined to provide another view.

In the domain of the documents 'themselves, the steadily growing acceptance of the document standards provides an absolutely vital infrastructure. International standards such as SGML (standard Generalisation markup language) and ODA (Open Document Architecture) define a logical structure to documents (eg identifying titles paragraphs etc), rather than merely a presentational one (bold, centring etc), allowing programs to reason about the information much more accurately. They also pro-

vide a vehicle for document interchange in its electronic form, rather than forcing it back to an image for faxing (witness to the amazing acceptance of the CCITT fax formats) or worse on paper by 'snail-mail'! Once it is accepted that complex documentary information can be interchanged electronically then it will be possible to support documents that cannot be represented on paper without loss of information.

Enabling software technologies include:

■ Object-orientated technologies, a different way of considering computer processing where the world is full of objects, each deploying appropriate methods on its own behalf rather than being the passive data of some process. The effect is a richness of sophistication, especially in multi-media data bases, where the diversity of material demands an approach where in a sense the responsibility is devolved to the objects (such as images).

■ Knowledge based techniques, undoubtedly grossly over-sold, but nevertheless certainly have a role in the area as can be seen in the CEDR work.

■ Automated natural language understanding, (natural languages are those we humans speak) has long been a goal of artificial intelligence. In restricted domains such techniques are gaining ground.

The market recognises that with every increasing document volumes (45m new pages a day in Australia) something must be done to reduce the volume of information to be read, assimilated and stored.

The Document Lifestyle

A key to electronic document management is to be able to support such documents through their entire life-cycle. If this is not achieved then inevitably documents will be converted or reconverted into paper, and information (such as specific font sizes) lost. This loss therefore occurs because of the transformation itself.

As documents pass through an organisation, their role and value changes. This may occur as the result of the passage of time or from any additional process to which they have been subjected. This is true independently of the medium in which they are held, or whether the system in which they exist is manual or automated.

The Document Lifecycle model being used by CEDR to guide its research direction has been developed at CPG to represent the different stages in the life of a document. It also defines different processes that may be applied to a document at different stage in its life and which will influence its passage through the model.

There are two major phases in a document's life; its creation when it enters the system and its disposal as it works through the system. Taking each in turn:

■ *Creation:* documents may enter the system by:

- Authoring: they are prepared from scratch, usually by a human.

- Capturing: they are read into the system from another system, perhaps undergoing some transformation in the process.

- Modification: they are variants of a document already in the system.

■ *Disposal:* documents pass through the system by:

- Saving: they are held in the system rather than in an independent store. They are current working documents, perhaps being operated upon in a well defined way by a number of people.

- Storage: the documents are no longer current, but are held in a filing system. It is likely that they will be required again.

- Archival: on balance it is unlikely that the document will be used again, however it cannot be disposed of at this stage.

- Destruction: the document leaves the system irrevocably, perhaps into another system, e.g. to an incinerator.

The processes that can influence a document are grouped into three areas:

■ *Analysis*, where a more structured surrogate of the document is prepared. This is categorised as:

- Abstraction: a shorter description of the document content, perhaps setting it into context.

- Indexing: a set of words and phrases describing the document content. These may be selected from a fixed set.

■ *Presentation*, dealing with the form of the document:

- Format: the presentational form of the document, including bolding, font information etc.

- Structure: the logical form of the document, defining titles paragraphs etc.

■ *Dissemination:* dealing with the way the document is made available to its users:

- Retrieval: a user makes an ad-hoc enquire for a set of documents to meet a particular need.

- Distribution: a user has a long term interest in a topic and requests information on the topic be made available as soon as possible.

The significance of thinking of documents in lifecycle terms focuses attention on where technology can best be built to provide some intelligence to the management of the information.

Deploying Intelligence into Electronic Documents

The deployment of more intelligent processing has potential in three broad areas. These are:

■ Content recognition

■ Directing flows

■ Improving access to document repositories.

Each is described in turn.

■ Content recognition

The potential role of IEDM in content recognition comes from two major types of information transformation. The first is medium transformation. A major bottleneck in transforming textual information from the paper or image medium into machine-readable text has been the inadequacy of OCR (optical character recognition). OCR has promised much but has delivered disappointingly little until very recently. The reason is almost certainly that OCR has not made use of the fact that textual information is not a random string of characters, but is grouped into

words, phrases etc. The promise of some intelligence lies in some knowledge of language to forecast what characters could be or, some greater knowledge of the environment of the document (eg. is it a memo).

The second transformation type is to convert a document into more structured information. This has traditionally been the role of libraries and records managers; to produce structured surrogates of a document such as a set of key words or a summary. It is clear that some information will be lost in this process. The objective is to retain information having a high discriminating value. A good document discriminator effectively divides a universe of documents into two groups with respect to a request for information; those that are relevant and those that are not. A summarising capability such as that developed by the CPG technology AIDA allows for, amongst other desirable effects, more effective text retrieval systems, or even a merging of key word and full text retrieval technologies.

■ Directing flows

At early stages in the life-cycle of a document a major requirement is to route information most effectively. Such routing can be of two major forms. Unstructured routing sees information sent to those who have a need to know something about the content a given document which may not be known to the author, or to its original recipients. The prime requirement of such a system is to identify which documents seem to be relevant to a user. A second important need is to allow recipients to define their information need easily and in a form that is accessible to others.

In structured information flow (usually referred to as work-flow) the prime area of concern is somewhat different. It is to identify the next person who needs to process this document. Smart documents that recognise the need to obtain signatures and approvals seem to be a potential solution offering a more flexible work-flow than today's current inflexible work-flow management systems.

■ Improving access to repositories

As a document becomes more mature, it stops altering and settles down (perhaps into middle age). Nevertheless, information must be found from within an organisation's repository. To achieve this, the key requisite is to have the document or a surrogate in machine readable form. Electronic document management is a cradle to grave process, so in the future this will be less of a problem than it is today.

There are two ways of facilitating access.

- Ad-hoc queries are a long standing means of obtaining information. It is realised that the traditional Boolean query is not sophisticated enough, and is also difficult for a naive user to handle. What is needed is an easier query language preferably based on English, with a good means of establishing relevance and with a query by example mode of formulation. So the user can say, 'This is an interesting document what else have we on this topic'.

- Purposeful browsing has always been a major way for a reader to find information. In the electronic domain stronger navigation methods are both desirable and possible. The major need is to provide the user with a natural set of predefined links to other documents or part of the same one. The automated creation of such links is also important if they are to be widely used.

CEDR Projects and Directions

CEDR is charged with developing new technologies to support IEDM. The resulting tools will be targeted at the international marketplace. These tools will be designed to work together through conformance to a document technology architecture and handle documents that conform to international standards, as described above.

Though CEDR will maintain a close interest in the full range of media forms, it will concentrate on the textual component of documents since it is the area where intelligence can provide the greatest leverage. It is also the area of specialisation of the members of the centre.

The underlying set of techniques used by CEDR rest, not so much on a detail understanding of the document content, but more on a knowledge-based approach. This takes two related forms; knowledge of the way that technical or administrative documents are written, and an understanding of the environment within which the documents exist.

The document life-cycle has a key influence on projects undertaken by CEDR. It is vital to understand the nature of the requirement at each stage of the life-cycle and to address the problems that can deliver major productivity gains.

The developments rest upon the eight year program of research undertaken by CPG. This work has led to a number of very successful developments in the area of IEDM. (See CPG Report CPTR 9106) The projects include:

■ IQ: an intelligent document query system used commercially throughout the world in the STATUS product.

■ AMR: an automatic message router used for filtering text to identify those items that are relevant to a users interests.

■ ITR: an ideographic text retrieval system, the first commercial document retrieval system supporting both European and ideographic alphabets in the same database.

■ AIDA: the first document content analysis system, providing key words and summaries for a wide range of documents.

The projects under way at CEDR include:

■ GIMS: a system to markup a document intelligently, effectively moving it from a presentation form, into one where its logical structure is presented in SGML format. The software will rely on pattern-matching techniques to deduce the numbering convention, and other important features such as the front and back matter. This is clearly aimed at the very start of the life-cycle at the capture process.

■ ET: a system to take a document and identify a set of key words selected from a thesaurus. The software will take the AIDA output and use a range of mechanisms to transform those into thesaurus entries, making use of thesaurus structures such as broader term/narrower term relationships. This project aims at the current document stage in the life-cycle, when the document is saved but before it is stored in a repository.

Other projects involving collaboration

with other research partners are at planning stage. In particular, attention is being given to tools to implement an archival policy for a company, ensuring that the policy and strategy are being followed.

Relevance to Records Management

A logical question to be asked at a conference on Records Management is what the impact on records managers is likely to be. It is suggested that the impact will be quite profound, though beneficial, both to the organisation and the professional.

Electronic document management is very much an end to end process. It will become necessary for records management to become involved in whole of the document life-cycle, not just at perhaps the archival, or registry stages. As has been described the benefits cannot be obtained without retaining information in electronic form throughout.

The tools being developed in IEDM will provide for a much higher degree of control and flexibility to meet the needs of the organisation in an efficient way. This is especially important in the face of ever-increasing information volumns and without commensurate staff increases.

Conclusions

This paper has looked at areas where some added intelligence can assist in electronic document management, and has illustrated this by reference to the work of CEDR and CPG. It is clear (to the author at least) that before the paperless world can come anywhere near fruition, this type of development is essential.

The auguries are good; the need is better understood, the enabling technology is coming on-line, and document standards are taking root. Perhaps the 90's will be seen as the decade of electronic documents.

Reference

RL Jones

"Document Technology Research at Computer Power Group". 1991 CPG Report Series CPTR 9106.

As presented at the RMAA Victorian Branch State Seminar held at Lorne, February 1992.

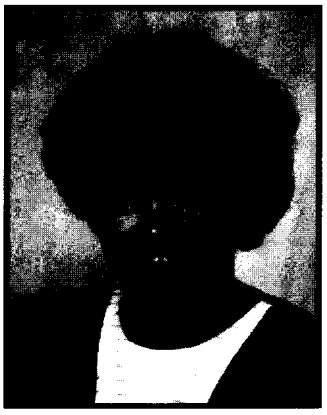
Federal Education Report

Written by Dennis G Wheeler
Chair
Federal Education Committee
RMAA

As reported in the November 1992 issue of this Quarterly, Kodak (Australia) has provided an annual grant to the Records Management Association of Australia to be used for an educationally related project. The grant is to provide members of the Association with the opportunity to travel, deliver a Paper, undertake research, study, or other similar activities which will result in some benefit to the profession and practice of records management.

The selection committee, comprising the Federal President of RMAA plus the Association's Federal Treasurer and Chair Federal Education, met in Canberra in February to review the applications received for the inaugural Grant. They made favourable comment on the entries received which included a research project, a research project and Presentation Paper and an educational marketing exercise. To those who applied, they thanked them for the time and effort put into the excellent presentations. Unfortunately there can only be one winner each year but those unsuccessful applicants are especially invited to apply again for the 1994 Award as are all other members of the Association who feel that they have a worthwhile proposal that fits the above guidelines.

The initial award of $3000 has been made to Helen Onopko who will be working on final completion of 'An Index to the Literature on Records Management". The Grant is to be used to complete research on literature in the English language which focuses on, or supports functions related to records management. It will facilitate travel to Canberra to search on line national and international databases and primary sources at the National Library. It will also permit the data to be imported to desktop publishing software via bureau services, to so produce a format for final editing. Editing will be followed by production of camera ready copy.



Helen Onopko

It is planned to launch the bibliography at the National Convention in Hobart, September 1993. A copy will be provided by Helen to each Branch for use by members and students alike.

Significance of the Work

Lists and compilations of serial and journal articles on Records Management have been available for some time. However, to Helen's knowledge, no definitive work has been compiled in the UK, USA, or Australia on the books and monographs on Records Management. Helen believes that it is significant to appreciate also that we Records Managers do not get swallowed by the larger nebulous of "Information Management", but retain and develop that area that is specifically Records Management. Her work will assist this quest, for it identifies Records Management within information work.

The selection committee agreed with Helen in that a bibliography on Records Management will be an invaluable source of information for students and practitioners for they will be able to extend their research in any required aspects.

It will:

- be invaluable for practitioners for reference purposes;
- prove to be an important source of knowledge for lecturers and teachers; and
- point to the existence of that elusive "body of knowledge" supporters and critics alike frequently refer to.

We will:

- be able to assess the value of our reference collections, or at least the degree to which our reference collections are catering for the Records Manager; and
- be able to identify those areas in Records Management about which little is written or recorded and can therefore encourage specialists to contribute to these areas. This alone can develop the profession in leaps and bounds.
- Finally, there is some status to be gained for the Records Management Association of Australia, for such an initiative to come from Australia, and be of reference for overseas countries.

Helen has already undertaken significant research in South Australia and the United Kingdom. It is intended that biennial supplements to update the bibliography will be released thus continuing the usefulness of the work as a reference text.

The selection committee believe that the potential impact on practices will be:

- to encourage the wider reading and research of practices by informing the Records Management community of the literature that exists;
- to apply some pressure upon institutions to acquire more texts;
- to encourage more contributions to the literature by existing professionals; and
- through a more widely read community, to focus towards standard practice, and knowledge in teaching, nationally and internationally.

Helen will be personally funding the reproduction and binding of the books in a first print run for sale and distribution. The provision of the award will be included as an acknowledgment in the final product.

From a personal perspective, Helen views the project as one that she has wanted to complete for a long time but one where funds required for the pre

publication phase have precluded the achievement. The Kodak Grant will facilitate this, and she has expressed gratitude for the opportunity and sees it as one of her proudest achievements.

Helen has the best wishes of the selection committee and I am sure the membership base. Our branches will look forward to receiving the final product and the members to viewing and putting it to use.

Actrac National Curriculum Project in Records Management

The project is now at the course subject writing stage. Expressions of interest have been called for and received and the Computing and Information Services Training Division (NSW) of TAFE have allocated contracts to writers. Writers are either undertaking the task individually or in groups. TAFE report that the quality of the contract writers is very high and that there was a large number of expressions of interest.

The course will be competency based and as these are normally designed using a modular approach, the next phase will be to instruct the writers in this form of writing to ensure that a consistent standard is adhered to across the teams and individuals. TAFE has related that a module is a specific learning segment, complete in itself, which deals with one or a number of aspects of vocational education at a given level of understanding or skill performance in accordance with stated aims and objectives. A module must be capable of being separately assessed and be capable of standing on its own or being linked to other modules in the same or related study areas.

Modules form part of a total course and are intended to build a comprehensive body of skills and knowledge. The course structure itself is very important and must, as has been very much the case in this project, be negotiated with industrial parties and/or community groups.

Furthermore, TAFE states that in a competency based training system, course modules focus on those competencies the students will be able to demonstrate upon completion. These competencies must be expressed in demonstrable and assessable terms.

It is important that modules incorporate criterion referenced assessment rather than norm-referenced assessment to ensure that all graduates achieve the required standard. Modular curriculum structures are preferred because they make the organisation of learning more flexible in order to meet the individual student's needs and abilities. One of the features of the module is that a precise time for learning delivery is not stated. However, a nominal duration will normally be included to assist both learners and providers in scheduling. The nominal time frame will depend on the content and the competencies to be achieved.

A further feature of the module system is that it enables the learner to achieve prescribed outcomes which can be linked to occupational competencies. As can be seen by the preceding, the writers have an important and exacting task to undertake and the final product will certainly be geared to provide competent and capable graduates.

The time frame for the writers is tight:

- 10 May 1993 for completed drafts of modules descriptor/assessment strategy and
- 30 June 1993 for production of revised module descriptor/assessment strategy.

Even with these time lines it will be very tight to complete all the necessary requirements of approval by State and National accrediting committees and be ready for the first semester in 1994. However, according to our TAFE spokesman Peter Smith, at this stage the progress is still well on track.

Course Recognition

A draft document in relation to Course Recognition has been drawn up and was circulated to all Branches of the Association for comment, particularly from State Education Committees. Responses were received and these have been forwarded back to the sub committee in Western Australia that is handling the very important and sensitive initial stages of this project. A final package will be available for release to institutions hopefully later, in 1993. It is interesting to note that two other similar associations have offered very constructive comments on the work that we are undertaking in this area.

COURSES ON OFFER

It has been standard practice for a number of years to publish in the February edition of this journal a list of courses in records management that are on offer around the nation. This has not been provided in 1993 as there has been a number of alterations plus claims that the information has not been correct at the time of publication. State Education Committees have been asked to prepare a list of courses that are available within their respective states for inclusion in a later edition of INFORMAA Quarterly, perhaps the last issue of 1993, ready for the 1994 academic year.

The Course Recognition project should also identify those courses that are on offer and these can then be checked back against the information provided by the States.

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

How to MARKET RECORDS MANAGEMENT TO SENIOR MANAGERS

JIM COULSON, CRM
RECORDS IMPROVEMENT INSTITUTE
6 STONE HILL ROAD
WESTBORO, MA 01581

Management Summary

Records Managers have an excellent product to market. The improvement of recorded information systems enhances the quality of service that their organizations can provide to their customers. It makes them more competitive. It assists them in safeguarding crucial organizational interests. It substantially lowers their administrative expenses. It directly increases profits.

THE THREE STEPS TO RECORDS IMPROVEMENT

Senior managers want to see a strategic records and information management plan which supports the goals and objectives of the organization. Department managers want to know exactly how the plan implementation will affect their specific operations. The easy part is designing and executing the tactical records improvement program to achieve the plan goals.

1. THE RECORDS IMPROVEMENT PLAN

The objective is to position information as an important resource of the organization, ensuring top quality, adequate security, and timely availability, at optimal cost. The focus is on the streamlining of the organizational flow of information. The Plan endorses the integration of the documents, files and other recorded information, with the data processing, communications, and management information systems. Records Managers can assist senior management to embrace this Plan by making a professional and concise management report and presentation profiling the strategic business opportunities of records improvement specific to the organization.

2. THE RECORDS IMPROVEMENT PROCESS

To develop and implement an effective and lasting recorded information system, the people who have to live with it must be involved. The department management and users can be motivated to eliminate waste in all areas of receiving, creating, processing, accessing, and storing recorded information, through the use of procedural flow analysis and project teams. During this improvement process, Records Managers work as project managers and assist their team to scrutinise both stand-alone and organizational opportunities for the cost-effective integration of technologies such as barcoding, automated classification and indexing, and imaging systems.

3. THE RECORDS IMPROVEMENT PROGRAM

The tactical improvement program is focused on high ratio cost/benefit solutions to improve information availability. It emphasises the protection of crucial organizational interests, by ensuring the admissibility of records into courts of law as documentary evidence, compliance with relevant legislation and regulation, and the protection of vital recorded information. Thorough training and orientation makes users comfortable and confident with their new systems, and as a complement to project team methods, it ensures the long term success and viability of the new systems by focusing on their taking program ownership.

The Opportunity

Too often records management programs have become isolated from and irrelevant to the principle objectives of the organization they serve. Yet many Records Managers are confused about why their programs are under-funded, limited in scope, and not well positioned within their parent organization. The problems are further intensified by the current recession. Increasingly, the problem is seen as poor recognition of a discipline and a profession that can offer so much more than senior management presently perceives it can. To some extent better marketing of the profession will help. But it will ultimately require new substance to propel the records management profession forward during the 1990's. We must position the profession to meet the challenges of the information technology innovations which are rapidly transforming the office into a dynamic multimedia environment.

Electronic document imaging, text management, EDI, and other technological developments, present opportunities to show the direct relationship of records management activities to bottom line profits and performance. To do so Records Managers must refocus their efforts from the control of just the paper records, to the management of any and all recorded information that supports business operations, regardless of format.

RECORDS MANAGEMENT ON THE MOVE

In the early stages, when a new technology is "hot", the key to success is to understand the technology. As a result, the quest for technical knowledge about imaging systems sparked a resurgence in the Association of Information and Image Management (AIIM) from a near demise as the National Micrographics Association (NMA) in the early eighties. The opportunity for Records Managers is not simply in the detailed understanding of how the new technologies work, but in being armed with the knowledge of how to address the operational issues created through the implementation of these technologies.

During the past year, the Boston Chapter Task Force on Electronic Records has studied the role of the Records Manager in developing and implementing records management policy and procedures relevant to growing volumes of electronic records. They have found that Records Managers are very uncomfortable with definitive answers. While many are CRM'S, creative Records Managers within their own organizations, and at least somewhat computer literate, there appears to be no precedent role model.

The result of this global dilemma has been a tentative, if not timid response, by Records Managers when asked to get involved with the meaty issues of technology innovation and implementation

or of business process redesign. There has been a feeling that they have a role somewhere in there, but they were not really sure what it was. It is no wonder that Records Managers are perceived, as referred to by one speaker at the recent AIIM Conference, as the "janitors of the Information Age". The good news is that much of the "old" knowledge still holds true in an electronic office. And by sharpening the definition of their role in the electronic office and by understanding how to market the value of this role to senior management, Records Manager's will secure one of the most exciting careers of the nineties and beyond!

Understanding the Opportunity

When addressing the issues of records management in today's office of multi-media, one of the fundamental issues continues to be substantiation of information. This particular fundamental is becoming even more important as recorded information becomes more fragmented in compound and hyper documents. New policies and procedures must be developed, not only to ensure accessibility, but to manage the risks of not having admissible recorded information as evidence in a dispute, of not complying with applicable statutes and regulations, or of not providing adequate security, protection or confidentiality. And time is of the essence as these technologies will dramatically reduce the amount of paper documents stored and retrieved for the purpose of information substantiation in the near future.

Paper documents have long served the business community with an accepted tradition of judging the verity of information. As this foundation dissolves to magnetic, optical, holographic, and as yet undefined records media, the business community will appear to be left without a foundation for information substantiation. The foundation however, was never paper documents. This foundation was the proper management of records. These records just historically happened to be captured on paper media. Over one hundred years of common business practice of relying on paper documents for substantiation of information yielded a perception that the two, paper media and records management, are inextricably linked. This is not the case.

The requirement for the substantiation of information still exists, and is growing, as it becomes harder and harder to identify and authenticate the sources of electronic information and image databases. To meet this growing need, the management science of records management is undergoing a metamorphosis, not a death. However, the new techniques, policies, procedures, and standards for the new media will take time to be developed and will require the focus of an organization-wide brain-trust to become as comfortable as the old paper ways. The very life of most organizations will depend on their continued investment in facilitating this metamorphosis, as information technology brings about an impending revolution in business administration.

The role of designing and policing new records policy and procedures cannot be filled by one individual any longer. It needs a component of legal understanding, a component of information technology understanding, a component of management and operational understanding, and a component of understanding the intricacies of recording information for substantiation. This usually means designating a task force made up of the legal counsel, internal audit, the relevant department heads, the MIS director, and the Records Manager. It is only from these varied perspectives and responsibilities within an organization that all of the issues in the substantiation of information can be addressed.

The lack of a well-defined strategy for the substantiation of business information within an organization will prove to be a fatal barrier of entry to the new information technologies which will soon be critical to the competitive positions of North American companies. The time to put an effective strategy in place is now.

The Records Improvement Plan

INTRODUCTION

As we have discussed, many Records Managers feel that their programs are under-funded, limited in scope, and not well positioned within their parent organization. The problems are being further intensified by the current recession. Most Records Managers would argue, on the other hand, that the value of their programs should heighten in times of cutbacks and tight budgets. Increasingly, the problem is being seen as poor recognition for a profession that can offer so much more than senior management presently perceives it can.

ARMA International is fully aware of the problem and the urgency of changing the poor perception. In fact, in their recently published strategic business plan, the number one priority for their resources

was identified as marketing records management to senior management. Their focus is to enhance the perception of records management through a major marketing effort of advertising, editorial, task forces and committee work, all aimed at the senior executive. However, changing ingrained attitudes at this level will take more than their limited resources. In conjunction with their work, much needs to be done at the ARMA Chapter levels and ARMA IAC levels. But it will all come down to how well individual Records Managers not just adjust to the change but strive to be part of the opportunity. It will require a full marketing program at all levels.

THE RECORDS MANAGER AS THE ENTREPRENEUR

Marketing has always been thought of as the pastime of entrepreneurs, not of administrative management types, who are secure in their mandate to ply their trade on the "captured" audience within the walls of their organization. Somewhere along the line, however, the walls have become very insecure for most, forcing all "organization persons" to rethink how they execute their jobs.

The scope of the Records Managers' job has always floated between a systems analyst, an accountant, a lawyer, a technician, a business manager, and a trainer. But in the new order of business, this wide range of activities means that Records Managers must manage the records management function like a whole business within the business of the organization. And they are finding that no business can survive without the one activity that Records Managers have been least exposed to and trained in - marketing. The Records Manager of the future will have to start thinking and acting more like an entrepreneur.

The first hurdle is to understand the problem. What is the perception of the Records Manager that results in the impoverishment or elimination of so many programs? If our work is as important as we believe it is, why have so many organizations never had any records and information management program at all? The answer to these questions will be the foundation of our marketing program.

Perceptions of Records Managers

The Boston Chapter of ARMA, while preparing a recent White Paper on their future, found that many existing programs have become largely isolated from and irrelevant to the principal objectives of the organizations they serve because of:

1. A Program focus on the inactive records of the organization.

Too many records management programs deal only with records at the end of the life cycle: a point at which the records have long since served the primary purpose for which they were created. Unfortunately, other than fleeting space gains and perhaps a feeling of being temporarily "cleaned up" or "organised", the management of these records does little to assist the organization meet either its marketing or financial objectives.

2. A correlation of records managers with paper records ONLY.

Not only are Records Managers associated with inactive records, but with inactive paper records. This should not be surprising given that over 90% of all records are still maintained on paper. To deal with the tedious and time-consuming job of working with these paper records, however, interest in automating the document storage and retrieval process (eg optical disk systems, records management software) is accelerating. However, Records Managers often lack the needed skills in strategic planning, project management, cost-benefit analysis and other areas to contribute to application development, product selection and implementation. As the cost of automation increases so will the likelihood of direct senior management participation in purchase decisions. Will the Records Manager be there too?

3. A lack of well-defined, consistent set of professional skills and experience.

What is the job of "Records Manager"? The title of the position (if it even exists) is different from organization to organization The exact responsibilities and benefits of the discipline confuse most organizations so much that the position is known to report to Administration, MIS, Legal, Finance, or directly to an operating section, and then change this report several times in as many years. Even Records Managers themselves are confused, as witnessed by the habitual move afoot to change the name of ARMA by dropping the "records" connotation (although most disagree on what a new name should be). In practice, the duties, responsibilities and authorities of any given Records Manager vary greatly.

Many Records Managers came to their current position through a lateral move from within the organization, and usually without prior training and experience. Only a handful of colleges offer a degree in records management, and their quality varies widely in the absence of professional standards for accreditation. The Certified Records Manager (CRM) program addresses some of these concerns but, after more than fifteen years, totals only about 5% of current ARMA membership.

A Matrix View of the Organization

If records management continues to be viewed as a relatively low-level administrative function focused largely on inactive paper records, the perception of its value will continue to be limited accordingly. Breaking out of this mould will require a solid understanding of the way a records management program relates to the different levels of the parent organization.

MOTIVATING SENIOR MANAGEMENT

As we have discussed, the traditional problem at this level for a Records Manager is convincing top management that a records management program is profit-enhancing and not an expense. This difficulty is usually a result of a misconception by senior managers of the role and value of records in the organization. This is understandable since the information needs of top management are, by definition, a summary of the status of the organization and hence, very data-oriented. Usually then, they have little trouble approving expenditures for tools and programs that will facilitate getting this data into their hands when they need it. This speaks to the strength of MIS in most organizations.

The importance of records, on the other hand, is often an invisible issue because records are administered at a lower management level or even relegated to a clerical level. In the unusual event that someone in senior management needs records, they are often unaware that the whole organization is standing on its head trying to find the records quickly for them.

Tax audits, court cases, and legislative compliance issues, present the corporate executive with a crisis, which turns into a major crisis when they do not have accurate records available. Unfortunately, it is often too late to implement a records management program when one of these crises arises. When everything dies down after the crisis (assuming the organization survived the inspection of its records), the tremendous cost of not being able to quickly retrieve required records is forgotten. The records management program often again becomes a low priority. Of course, the astute Records Manager makes sure that the cost of retrieving records for such major crises is documented and used to quantitatively justify an organizational records improvement program.

But how does the Records Manager go about advocating a records improvement program in an organization which has no program in place, and has yet to be threatened by such a crisis? There is always active competition for an organization's resources, especially cash. Senior managers are responsible to minimize the opportunity cost of any investments (the opportunity cost of an investment is the extra income which could have been obtained by a more advantageous alternative use of the resources). One must prove that a proposed initiative provides the best investment return and that most of these benefits can't be achieved with only a small portion of the requested expenditure. A major step in the solution is to get Records Mangers to start thinking and acting like the "executives" they need to be in this Information Age and not like "janitors".

Thinking Like an Executive

The detail orientation, required by such activities as developing effective filing systems or retention schedules, sometimes makes a Records Manager overly focused on specific problems and less concerned with the overall organizational impact of innovations. Senior management, however, is oriented in this type of overall thinking and planning, called strategic planning. This does not advocate just sticking your head in the clouds. The complexity of successful records management is the simultaneous formulation of a strategic plan, its implementation process, and a tactical program to achieve the strategic objectives.

CORPORATE STRATEGIC PLANNING

Strategic planning deals with an organization's statement of mission and its long-term goals. Strategic plans are derived from an analysis of how senior management views the business environment in which it anticipates it will be working in the future and how it can evolve to achieve the corporate goals in such an environment. The strategic plan thereby provides guidance for the actions taken at the operational levels of an organization.

Senior managers know that saving administrative dollars has a direct impact on the bottom line. That is why programs that have no proven or perceived benefit are so hastily cut. But they also know that productivity increases in the office can stretch scarce budget dollars. However, a productivity gain is often driven by capital investment. With the cash crunch likely to continue past 1992, the availability of funds for this investment is meager. When funds are scarce, senior executives concentrate spending on the priority programs and projects that they feel will best help the organization meet its goals and objectives as defined in the Corporate Strategic Plan. The prevailing emphasis in these plans is on increasing the quality of the organization's work and on increasing the quality of service to its customers. This emphasis is almost always in the context of streamlining the business operation and of lowering the cost of doing business.

It is up to the Records Manger to be familiar with the strategic emphasis in their organization and to determine how the records management program can facilitate the achievement of these organizational goals. The Records Manager must also consider the impact that strategic decisions will have on operations and to adjust records management operations to concur. In short, the Records Manger must have a Strategic Plan for how the records management program should evolve in order to fulfill the information access requirements and to safeguard the records-related interests of the future organization.

THE STRATEGIC RECORDS IMPROVEMENT PLAN

The Strategic Records Improvement plan, as the blueprint for records management, clarifies corporate philosophy and policy on records administration. In addition, it is synchronized with the goals, objectives and activities of the rest of the organization. Each new request for expenditure is then in a context of an over-all corporate strategy with clearly defined objectives. Then, instead of a Records Manager's regular pattern of motherhood statements about the importance of properly managing records, there are distinct milestones and measurements for the success of the program and its component projects.

Most successful strategic records improvement plans have the following elements:

■ *A strategy to integrate the management of the documents, files and records of the organization with the management of data processing and management information systems.*

Documents and data are effectively managed as two complementary building blocks in the information structure of an organization, not as islands onto themselves. A co-ordinated Information Strategy that defines the character and role of each of these information types is critical to take strategic business advantage of new technologies such as imaging. Without an integration of information disciplines, an organization cannot hope to meet its responsibilities for the substantiation of its information holdings.

■ *A strategy to address the flow of information in the organization.*

This flow occurs as information, processed by multiple departments, is handed off to the next department, to continue its part of the transaction (the inter-relationship of inventory control, purchasing, receiving, and accounts

payable, is a classic example). An emphasis on streamlining this information flow produces the productivity gains, not the classic cycle of throwing isolated vendor solutions at departmental filing symptoms.

■ *A strategy to empower all employees to seek "continuous improvement" in the way they create, index, handle, store, and maintain recorded information.*

The emphasis must daily be on the elimination of any waste of space, supplies, equipment, and time, in all areas of creating, processing and storing information. This culture and the resulting attitude and actions, contribute directly to increasing the quality of work and to lowering the cost of doing business. It is a critical component of the movement to enhance the competitiveness of North American enterprises through the implementation of World Class Administration.

THE STRATEGIC PLAN IMPLEMENTATION PROCESS

A Strategic Records Improvement Plan, then, positions information as an important resource of the organization, ensuring top quality, adequate security, and timely availability, at the optimal cost. It provides for the integration of the documents, files and other recorded information, with the data processing, communications, and management information systems. It focuses attention on the organizational streamlining of the flow of information. And it encourages a records management culture in the organization.

The only way to develop and implement an effective and lasting recorded information strategy is to involve the people who have to live with it. This means working with the department management, as a team, to eliminate waste in all areas of receiving, creating, processing, accessing, and storing recorded information. This involvement with the upper middle managers is key to marketing records management to senior management. In fact, the degree of success of the senior management marketing program is usually in direct proportion to the effectiveness of the program to market it to upper middle management.

Marketing The Profession to Upper Middle Management

Obtaining support from any constituency for records management requires that its benefits be communicated in their terms. For upper middle-level and operations managers, articulating the benefits of a records management initiative to the overall organization is less compelling than demonstrating how it will support their specific departmental objectives. The greater the number of their people affected by a new program or project, the greater the risk of upsetting department goals and, therefore, the more difficult it is to convince these managers that the benefits exceed the costs. However, a coherent information strategy cannot be developed or implemented without their involvement and support.

Senior and upper middle managers place a great deal of emphasis in their decision on whether to support a particular program on their confidence in the skills and abilities of the person heading it up. This has often meant that a Records Manager has had to rely on personality because there hasn't been a recognisable and consistent in-depth set of managerial and scientific skills for records professionals. The ARMA Boston Chapter identified the following skills, deemed crucial for this job, as consistently lacking:

1. Mastering managerial relationships and responsibilities

including understanding and influencing organizational practices and decisions; alternative leadership styles; building a culture that encourages commitment.

2. Planning processes for Records Managers

including rationale for planning and the value of anticipating and shaping change; defining key result parameters; relating plans for records management program to organizational interests and aspirations.

3. Problem-solving and decision-making techniques for Records Managers

including how organizations surface issues, make choices, introduce and manage change.

4. Cost-benefit analysis

including the concepts of opportunity cost when competing for diminishing resources; using it as a formal tool in advocating any records management initiative.

5. Process flow-charting

including how it "freezes the action", so that everyone can understand and agree on what is being done and how it can be improved, ultimately bridging the management of records with the management of the organization, enhancing both.

The official definition by ARMA International of records management begins by describing it as a "management science". It is ironic that all of the above skills, found lacking in Records Managers, are either management skills or part of the scientific approach to records management. It seems that the "janitor" perception and the practicing reality of records management are very much in step. This would suggest shifting efforts from merely changing the perception of records management by senior management to more fundamentally changing records management in practice to what it really should be. In fact, in order to survive the next wave of technological advance in information management, we must attempt to change both perception and reality simultaneously.

The Role of The Records Manager in the Future

If this simultaneous change seems somewhat intimidating, consider the consequences. What value will Records Managers bring to Information Strategy in the near future as organizations move toward less dependence on paper media? Most are comfortable with their knowledge of how an organization traditionally documents its transactions, who in the organization is responsible to document what, and how long the documents must be kept to satisfy legislative, regulatory or fiscal requirements. But, as technology plays an increasing role in automated indexing and optical storage and retrieval systems, there is a real concern that the IS Department will eventually usurp the Records Management function.

New technologies have brought many

new tools to help organizations cope with the onerous duty of managing records. And, of course, it is in the best interest of the Record Manager so stay as informed about the capabilities of as many of these tools as they can. However, it is the responsibility of the IS Department to be the ultimate technical advisor on these tools, when and where they are indicated. Wrangling between Departments over who is the final technical authority is not a winning position for a Records Manager. How then can a Records Manager be valuable in the planning and implementing of new technology.

THE COMBINATION IS THE KEY

Traditional records management strategy is to react to inactive records sent for storage by the departments in the organization. At best, the prevailing pro-active strategy is to concentrate on understanding what information resides in each department by doing an inventory of their file series. These methods work well for inactive files, and even semi-active files housed in a central file system, because these records are no longer constantly updated or moved throughout the organization.

The success of most new automated systems, however, hinges on dealing with the records from their creation or receipt. In these early stages of a record's life cycle, the management of the information has traditionally been left to the individual worker's discretion (or to the discretion of their immediate supervisor). And, because the use of these records is so integrated with their daily work, any attempt to help them manage these records is often viewed as interfering or, in effect, telling them how to do their jobs.

To add value here, Records Managers must develop recognisable skills with tools like project team management, procedural flow-charting, and cost benefit analysis. The competent use of these tools, combined with their detailed knowledge of the records, people, and processes of the organization, put Records Managers in a unique position. They suddenly become an important asset in facilitating the complex needs of users for information, while ensuring the organization's accountability for the substantiation of its information holdings. Some Records Managers have avoided applying or even learning these techniques. They just cannot untangle the detailed daily procedures from the handling of records, so they stay within their comfortable cubicle of traditional practice. The future of our profession depends on our collective mastering these techniques to show that Records Management practice is an essential constituent part of imaging, LAN's, E-Mail, EDI & other electronic records keeping.

The Records Improvement Process

PUTTING BACK THE "MANAGEMENT SCIENCE"

While there are a number of reasons organizations turn to modern technological advances, the decision to adopt and implement them requires careful attention. Tools

such as work simplification are brought to bear on decisions when it is obvious that something is wrong (or at least that things could be significantly improved), but no one seems quite yet sure of what to do. Such tools are part of an overall approach to management referred to as the scientific approach. This approach, based upon the method used by scientists in other fields of inquiry, attempts to bring the rigor associated with the physical sciences to the management of activities and decision-making within an organization. The scientific tools that a Records Manager should master in order to reinforce their value with senior management are Project Team Management, Procedural Flow Analysis, and Cost Benefit Analysis.

PROJECT TEAMS AND PROCEDURAL FLOW ANALYSIS

A Records Manager's dream is to proceed with a records improvement initiative with the enthusiasm, the respect, and the willingness to change, of the people involved. Many have experienced the other side of this dream - the nightmare. Hard lessons have been learned that no matter how effective new technology looks in a test environment, it is only as effective as it is when being used by the people doing the work in the daily activities of the organization.

With the combined use of project teams and procedural flow-charting Records Managers can be the best equipped of all administrative and systems managers to deal with the frustrating resistance that often imperils the success of any active records improvement. Project teams, made up primarily of records users and representatives of the various information groups such as MIS, Communications, PC support, etc, are effective in understanding and solving the issues standing in the way of an improvement.

As the project unfolds, charts which show the flow of the records through an organization "stop the action as it now is" and clearly reveal the complementary relationship of the data and the document elements of the organization's information resources. This allows the team members (and eventually all records users) to agree on how things are actually done now. This, of course, includes how records are created, who uses them, and how they are managed and controlled. Once the team comes up with their recommendations for improvement and presents them to management, their ownership of the ideas is not only convincing to management but ensures the success of the implementation.

In order to stay firmly in control of the project, the Records Manager's job should be the team facilitator. In highly technical projects, this may not be practical. However, it works well whenever there is a great deal of end user involvement because they are not usually technically-oriented, and feel more comfortable with a methods-oriented leader. Michael Hammer, recent author of an influential article in the Harvard Business Review on business re-engineering, said that, "IS tends to be logical - Mr Spock is the model. They fail to realise that feelings, politics, and resistance can torpedo the finest process design."

COST BENEFIT ANALYSIS

A recognised organizational program requires an operations budget. The establishment of an operations budget requires the determination of two aspects - operational expenses and capital expenses. Operational expenses are expenditures made in an organization's fiscal period for consumable items, such as supplies, office space, telephone and the salaries and wages earned by workers. Capital expenses are those incurred in the purchasing of equipment or systems that have an ongoing life beyond the fiscal year. A request for capital expense or capital investment in new equipment or systems, particularly if the amount is over $50,000, will have to endure a rigorous cost benefit analysis.

Senior management in most organizations, set aside a general reserve earmarked for capital investment that is appropriated to the best investment alternatives (contingent on the continued health of the finances of the organization). They understand that the short term return on expenditures for business streamlining can sometimes outstrip the return on investments that they make in increasing their sales. This is because administrative savings go directly to the corporate "profit before taxes" or the so-called "bottom line", whereas usually only 10-30% of the dollar amount of increased sales does.

During a cash crunch, like we are now experiencing, it is often difficult to obtain approval to acquire new filing equipment or to develop a new records management system, even when the value of the benefits is clearly greater than the cost. This merely reflects another business fact of life. There is always active competition for an organization's resources, especially cash. One must prove that a proposed initiative provides the best investment return and that most of these benefits can't be achieved with only a portion of the requested expenditure. Senior managers are responsible to minimise the opportunity cost of any investments. The opportunity cost of an investment is the income which would be obtained by the most advantageous alternative use of the resources devoted to it. The key, then, is positioning records improvement as a viable opportunity for investment when compared with all of the other alternatives presented to senior management.

Most organizations have a formal method of preparing a project review for investment called a feasibility study. There are many different types of records improvement feasibility studies, including those for new technology, facilities, programs, projects and procedures. However, in all cases, symptoms must be separated from the problems, to better identify opportunities. This can be accomplished by organising the gathering of data for any study around the basic principles of records improvement:

1. Utilise the common sense of people who are involved in and affected by the procedures under examination (the users).

2. Organise the facts of the work for examination with analytical techniques, charts, and diagrams.

3. Carefully review the existing system step-by-step and eliminate waste of any kind, such as of time, energy, space, material and equipment.

4. Develop the improvement, reflecting the best judgement of the involved users and participating specialists.

Summary

An organization's records belong to the organization and not to any one individual or group of individuals within the organization. In fact, Senior Management is charged by law to maintain certain records, and in certain forms, which document the organization's legal operation. (Recently, Senior Executives have been tried and sentenced to jail terms for record-keeping impropriety in their organizations.) File users at all levels in an organization tend to feel that the files they create or use are their property. Management support in the form of a definitive policy statement or specific intervention in serious cases is invaluable to the Records Manager in the co-operation of fellow employees toward the goal of establishing an effective records system. Records are the memory of the organization. Each constituent of the organization must feel compelled to manage it as an important resource.

RECORDS IMPROVEMENT AS A STRATEGIC BUSINESS OPPORTUNITY

Each organization has a different style of leadership and management that impacts the way it does business. However, the intensity of competition in virtually every market has necessitated the redoubling of efforts to increase the quality of customer service and to streamline the way business is done in all organizations. World Class Manufacturing and Quality Improvement Programs are two examples of popular management theory that reflect this new direction. Records Improvement embodies all the elements of these theories applied to administrative management. And, recorded information management is such a pervasive activity in the modern office that the formalisation of a corporate records improvement plan, process, and program are critical components of World Class Administration.

TAKING CARE OF BUSINESS

It is not enough, however, to simply present requests for expenditures to management in a long term context. Senior managers want to know how these expenditures will affect the daily routine of the organization. This requires the support of the department managers, whose direct responsibility is getting the work of the organization done. In most organizations, staff reductions have already stretched most people near the limit with increased daily responsibilities. As a result, there is usually legitimate reservations about having enough time to participate in new programs for improvement. Further, few department managers are willing to rearrange priorities, or hire temporary staff, to ensure that project staff resources are available. They feel that it is clearly a direct cost of the project and as such insist that this issue is appropriately addressed in the cost benefit analysis. In fact, most will be unwilling to experience any departmental time diversion unless they see how the initiative will achieve their particular departmental objectives.

A Records Manager's peers in other administrative management entities in the organization also need a clear framework for how the records improvement initiative will relate to their programs. A records management program is viewed in a much stronger light if the managers of data processing, facilities, purchasing, personnel, legal, and finance management operations are convinced that the records improvement initiative is consistent with and complementary to their plans.

WADING INTO THE FRAY

The greater the number of people affected by a program or project, the more convinced senior managers need to be before they will commit any resources to it. For example, because imaging enables major changes in the way business is done, all decisions about imaging applications have been raised to the level of senior management. In the face of these decisions, management has balked not only at the large expenditures involved, but at the organization upheaval that accompanies a successful imaging initiative.

The traditional way of dealing with this stall is to scale down the scope of the project to a more manageable size of "pilot project". However, often the results of a small scale implementation are not representative of a major commitment and many projects are stalled after a pilot. A new model for handling this down-scaling is to include the need for multi-year funding in the initial requirements, and then to show how a manageable first phase of implementation can be structured and measured for results. If fiscal restraint is an over-riding factor, the first phase needs to be structured with very little initial expenditure, but still capable of showing results. This approach prepares senior management for further requests for expenditure as part of a continuing strategic records improvement program.

THE RECORDS PROFESSIONAL

Marketing records management to senior managers is not a lot different from marketing any other product. Slick presentations may have some temporary effect on the acceptance of a product, but ultimately it is the value of the product to a specific buyer that matters. Records management does appeal to common sense and during the eighties this was sometimes all it took to have a program survive. The competitive global marketplace of the nineties, however, will continue to make every program earn its place with results. A Records Manager must communicate the specific value of their plan and program in terms of achieving the strategy of the organization and in terms of getting the daily work done in a more efficient fashion. And they must convey a confidence in their ability to carry out the plan and program. The key to an exciting career is that simple....

The author wishes to acknowledge and thank the many active and creative Records Managers who are members of the Boston Chapter of ARMA for the frank and open discussions that made this paper possible.

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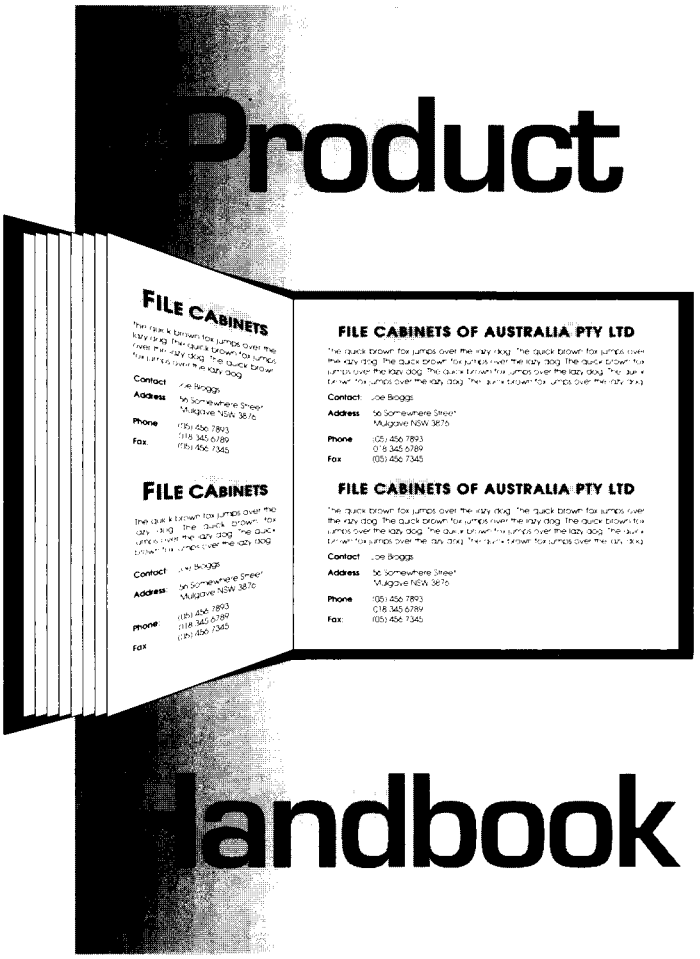
Request For Expressions Of Interest



Expressions of interest are sought from parties wishing to become involved with the RMAA's Product Handbook. It is proposed that this handbook shall represent the most comprehensive directory to Records Management products, consultancies, and services ever published in Australia. Companies interested in participating in this project should register with the:-

Secretary
Victorian Branch RMAA
GPO Box 2270U
MELBOURNE VIC 3001

Further queries can be directed to
Telephone: (03) 417 3738

RMAA Product Handbook

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Back to Basics IMAGE PROCESSING

IMAGE PROCESSING FROM A RECORDS MANAGEMENT PERSPECTIVE

JANINE DOUGLAS
B. App Sci., ARMAA, AALIA, AIMM.

Janine Douglas is the Manager : Records Management Office of the State Archives of Western Australia, a Directorate of the Library and Information Service of Western Australia. As such she is responsible for the establishment of records management policies and standards and the provision of training and consultancy services for both State and Local Government agencies in Western Australia. The Records Management Office also undertakes research into and development of strategic directions for records management in the public sector. Important and significant areas of recent research have been the management of current electronic records and the application of document imaging systems.

She has a Bachelor of Applied Science in Information and Library Studies from Curtin University, and is an active member of the RMAA currently serving as Vice President of the WA Branch Council. Janine is a guest lecturer for a number of records management courses and is a member of both Edith Cowan University and Curtin University Advisory Committees for records management courses.

Introduction

Image processing apparently offers organisations of all shapes and sizes a wealth of advantages and benefits including increased productivity, efficient use of space and storage facilities, improved document retrieval and the promise of no more missing files! There is no denying that imaging systems are packed with features and that the optical disks on which these systems are based can store incredible amounts of data. However, we must be aware of the danger allowing ourselves to be dazzled by the technology. We need to look beyond the bells and whistles and determine whether or not this technology is in fact enabling us to organise our information more efficiently and effectively.

The key to successful imaging systems lies, not so much in the technology itself, but the organisation of information stored using the technology. This organisation must form a solid foundation which can support and exploit the technology to its fullest extent. The key is a return to basics; a return to records management principles and practices.

This article presents a number of proven principles and practices that can and should be introduced to image processing to ensure that the information management problems which may be associated with this technology are minimised. Significantly, their application should not only improve document management but also improve business processes.

Image Processing and Records Management

Image Processing is really a tool which can enable an organisation to better manage its corporate memory. It is just one of the many tools which have been employed over time in an effort to manage and manipulate the flow of information. We have run the gamut from the simplest manual system to computerised correspondence control systems, and now image processing, in an attempt to implement better records management.

All of the systems developed and implemented in the past had at least one thing in common. They were employed to manage a paper-based records system. In image processing we now have a records management tool which is taking us away from traditional paper records into the realms of electronic and optical records. Nonetheless, image processing is records management. Too many of us fail to make that connection and too many fail to see records management as an integral business process. In doing so we run the risk of undermining the potential benefits of a records management system based on image processing. Image processing cannot exist as an integral part of the organisation without records management. Imaging is synonymous with records management.

You cannot image a bad or non existent records management system. Many have tried & many have failed. Fundamentally they have failed because they were using imaging technology to overcome the problems associated with a poorly managed paper-based system by ignoring the problems. They simply wanted to make the paper and the problems just disappear. The seemingly unmanageable volume of paper is not the real problem. There are more fundamental problems which must be addressed first. The real power of imaging technology is seen when it stands on a firm foundation of appropriate records management processes. There is no escaping the fact that before organisations move into the realms of sophisticated technology they must first learn to control the paper-based corporate memory.

If the records management function in an organisation is operating well, the whole organisation is functioning well. Records management goes unnoticed. The moment that the records system flounders the whole organisation notices. But what to do if this does happen? Implement an imaging system? That may just compound the problems rather than overcome them. The problems associated with a records management system

must first be identified, addressed and solved so as not to be inherited and magnified by the imaging system.

For a records management system to work and work effectively, it must be part of every day business activities. It must be there in support of corporate objectives. Basically, a productive and supportive records management system is one that ensures that the records management lifecycle concept is applied to the flow of information through an organisation regardless of the various formats it might take.

The lifecycle concept may be easily understood. The theory is that recorded information has a "life" similar to that of a biological organism in that it is born (creation phase), it lives (maintenance and use phase), and it dies (disposition phase). Each of the phases has various elements associated with it and functional activities are performed within each element.

Within the creation phase, there are elements such as forms, reports, directives and correspondence; during maintenance and use there are elements such as files, mail, communications, active storage, security and vital records. Within the disposition phase there are elements such as scheduling, appraisal, storage, archives and ultimate destruction.

(Penn:1989)

Information, be it image or paper-based will more than satisfactorily support corporate objectives and organisational activities if the following functional activities and processes are applied to it as it passes through the lifecycle:

- Appropriate retention and disposal activities.
- Vocabulary control via a thesaurus consistent with preferred organisational terminology.
- Indexing systems based on the above at both file and folio level.
- Structured file titling.
- Classification by subject.
- Form design consistent with organisational requirements.
- Documented procedures.
- Endorsed and implemented records management policy statements and manuals.

All of these concepts are well documented, reasoned and justified in modern records management textbooks. If the theory is applied in practice, the result will be a system that more than adequately supports mission achievement, and one that will form a useful & productive foundation for any imaging application.

Workflow Patterns

Even though the application of these principles will undoubtedly result in a better records management system, it may not be appropriate just to place the imaging system over the existing well-functioning system. Why not?

Imaging represents a new way of doing business. Imaging is not just doing things faster but doing them better. It is not simply the application of imaging technology to old manual or traditionally computerised systems. It is, rather, a change in the way business is conducted as a result of changing the way information is collected, aggregated, stored and retrieved. It is an application that causes wide-spread change to functions and workflows. It changes the way in which people work.

For example, if you work in a financial environment you may be responsible for initiating loan application packages. With imaging this means that the process will now start with an electronic rather than paper form. That process is now screen-based and everyone involved with the processes and transactions relative to that form, from the clerical assistant to the Manager, must work with an image. In this process we must now deal with issues associated with working with symbols rather than tangible objects and we must address how this has altered the way in which people in the process chain interact with each other.

The workflow and behavioural implications of image information systems is a major hurdle faced by vendors and clients alike. Without proper planning the system will suffer and so too the organisation. A managerial infrastructure comprised of clients and technical experts should be established to accommodate analysis, planning, testing and full implementation.

(Jeane:1992)

A strategy to avoid is one that simply automates existing processes. To impose this technology onto existing systems and processes is to minimise the impact and effectiveness as well as the investment. Most workflow processes derive from working procedures developed following the introduction of data processing systems of the 1960's and early 1970's. Those patterns of work are not the most appropriate foundations to support image processing systems that are now becoming available. It is essential to completely reorganise both work practices and the organisation to obtain benefits (Cowan 1992).

The Lifecycle Concept and Image Processing

This paper earlier addressed the concept of the records management lifecycle, and briefly discussed the benefits of its application to corporate information. To take this concept one step further, if the records management lifecycle is integrated into and not independent of an image processing system, it will lead to the transformation of data into information, and subsequently the emergence of corporate intelligence in support of mission achievement.

The lifecycle concept, like most theories, is relatively valueless unless it is put to use. If we accept three concepts:

- the lifecycle is the basis for a total records management program.
- it offers great potential for the effective and efficient management of recorded information
- image processing equals records management,

then the application of the lifecycle to image processing should result in the effective and efficient management of the information contained in the system.

The lifecycle concept is based on interdependencies and interrelationships, and for it to be beneficially applied, all phases

and dependencies must be managed in a uniform, consistent & co-ordinated way.

Creation Phase

Seventy percent of the cost of information is in records creation, yet superfluous records are created on an almost daily basis in most organisations. Little consideration is given to the most fundamental question: "Is it necessary to capture the information in reproducible form?" (Penn:1989).

This question is still pertinent in an imaging environment even though the storage capacity of optical disks is enormous. Why store irrelevant records just because you have the space?

The creation phase in imaging will also need to question such things as;

- how is a record to be created?
- is all information to be presented, created and captured in a consistent format i.e. do we need forms?
- how do we communicate the various requirements of records creation to those responsible for creating them?

The immense storage capacity of imaging systems could lead to information proliferation rather than information creation.

This then has significant impact on the maintenance, use and disposition phases of the lifecycle. The objective of a records management program, and hence an imaging program, is to establish at the creation phase a methodology for evaluating and assessing creation situations so that for each record created the most appropriate course of action can be taken in accordance with accepted policies and standards.

It is most important to remember that the creation process does influence the future life of information.

Maintenance and Use Phase

One of the crucial functions in this phase is information retrieval. Most organisations are attracted to imaging because it offers cost-effective storage as well as the ability to access information quickly and simultaneously. However, if the system is to reach its full retrieval potential it needs to incorporate some advanced records management techniques which enable retrieval to also be precise and relevant. What is the advantage of immediate retrieval if the items retrieved are not relevant?

With simple text search programs established for small amounts of data, it may be adequate to search for a word by making a complete scan of the stored text because there is relatively little text to search. When, on the other hand, an imaging system is used and hundreds or thousands of documents are stored, this method of retrieval could take some hours to complete. Even when completed there is no guarantee that the result is adequate or relevant. Too much information is as useless as too little information, particularly if it is irrelevant.

To optimise the efficiency and effectiveness of its access and retrieval capabilities, and to ensure the full benefits of lifecycle management are received, it would be appropriate for an imaging system to incorporate a number of key records management functions, some of which have been mentioned previously:

- Vocabulary Control
- Indexing Systems
- Structured File Titling
- Appropriate File Covers
- Effective File Housings.

System designers have concentrated on replicating and replacing the traditional storage modes of file covers and file housings. But to what end? This will not enhance information access and retrieval. Information access and retrieval is totally dependent on the first three standards mentioned.

Existing imaging, in most cases, sufficiently replaces or replicates file covers and housings, and thus reduces staff, stationery and storage requirements. What has to be clearly remembered, however, is that all these systems will achieve is the miniaturisation of the old system unless full professional consideration is given to these three standards of titling, indexing and classification. (McDonald:1991). Without them, relevant and improved access will not result and productivity gains and financial benefits will not accrue.

These three standards are critical components of an effective system. The eventual success or failure of an imaging system will depend on the strength of these information management foundation stones. Common standards for indexing and vocabulary control are essential.

The system does not have to be complex or cumbersome, it in fact should be simple. To be effective, the indexing and classification systems used must be comprehensible to every member of the organisation. There must be at least a basic understanding of the logic behind the system. Uncomplicated and logical indexing systems when applied to computer systems result in a much speedier rate of access and retrieval, greater precision, relevance and recall and increased confidence in a negative search result.

The hierarchical qualities and cross references in the system can identify related concepts. Search time is reduced because more accurate and precise search strategies can be executed. The use of a controlled vocabulary linked to a simple indexing system further cements document management as an integral organisational process by solving the problems of communication and understanding between the indexers and users. They are all speaking the same language.

We have all seen the disastrous results which accrue from trying to retrieve items from a system that has been titled and indexed according to any passing whim. A major element in transforming your corporate data into corporate intelligence, if you are using advanced technology as the transformer, is to establish a simple and straightforward indexing system. Integrate a uniform, controlled indexing system with the power of the computer.

It is critical that these standards and functions are introduced at the design phase and not artificially imposed on an already implemented system.

Disposition Phase

The disposition that is assigned to a record will depend on the value of the information that it contains. If information is considered to be of permanent value, it must be captured in such a way as to ensure its permanence.

If information is not determined to be archival its "life expectancy" and its destruction must be planned. In a records management lifecycle context these activities are most appropriately planned in the creation phase and executed in the disposition phase.

Just as imaging systems have increased capacity and ability to store and retrieve information they also have the increased opportunity to dispose of information appropriately or otherwise. This increased capacity and the attendant-problems can, once again, be minimised by the judicious application of records management practices.

Both the public and private sectors are subject to records retention mandates stipulated in legislation. The particular legislation pertaining to the management of public records also states that the destruction or disposal of a record may only occur if it is in accordance with an approved disposal authority. Disposal is not to be the product of mere whim or fancy. This applies to records in all formats including those captured in an image processing system.

Systems and procedures must be established and maintained to ensure that when a record has reached the end of its administrative, operational and/or legal life, it is removed from the system and destroyed, or removed from the system and retained permanently, depending on its ultimate value. System developers and users alike have a responsibility to ensure that archival records are preserved and that only the semi-permanent, ephemeral records are destroyed. This process will be made all the more effective and economical by the formulation and application of an approved Retention and Disposal Schedule.

Retention and disposal is a complex issue in an imaging environment. On the one hand, there is a complex set of backup procedures (often erroneously referred to as archiving), to protect your records. On the other hand, there is the capability to erase vast amounts of information at the push of a button.

Rewritable optical disk technology is said to offer the user flexibility. Rather it offers the opportunity to alter or delete stored data, appropriately or otherwise. A recent Computerworld article drew attention to the fact that WORM technology can also be manipulated. Users who want to tamper with data stored on many write-once systems can write over the data, then direct a drive to access replacement data instead. WORM drives aren't foolproof. Rewritable, and now even WORM disks, call into question the reliability, authenticity and legality of information.

One way of ensuring legal and appropriate retention and disposal is to allocate images to optical disks dependent on retention periods. For instance, documents which are to be retained for ten years are all stored on one optical disk. This procedure could be system-controlled or could be within the mandate of the records manager. Then, ten years down the line, the entire optical disk can be destroyed (Attinger:1990)

Whatever mechanisms are chosen to control the disposition of records, they must be incorporated into the imaging system at the design phase. To impose it after implementation is to invite inappropriate and often illegal destruction of records. It must also be remembered that "archiving" in the records management sense refers to the permanent retention and storage of records, and not the temporary transfer to facilitate economy of disk space.

Conclusion

Given that most imaging installations thus far have been used to production functions such as processing insurance forms, bank cheques, land titles and birth certificates, it would be easy to scoff at the records management standards and practices suggested here. These applications do not require a great deal of interaction between "live" records and users with complex retrieval needs. However, as imaging systems gain in popularity and decrease in price, they will increasingly be applied to active records management situations which feature ad hoc queries in multiple image databases. Of course when this occurs, system developers and users alike are going to be faced with the prospect of having to manage vast amounts of data so as to ensure that it becomes retrievable and useable information. So as to pre-empt many of the problems which will accompany this process it would be advisable to ensure that some basic records management standards and principles are enacted in the initial phases of image processing.

Australia leads the world in the continued development of automated records management packages. Astute developers and vendors have been prepared to seek and accept the advice of records managers, and as a result have produced successful and sophisticated products based on sound and proven records management practices. Most importantly they have chosen to incorporate the ideals of vocabulary control via keyword thesaurus and indexing.

Together we now have the opportunity to ensure that Australia, and particularly, Western Australia, is once again at the leading edge - this time with image processing.

This paper was presented at the AIIM seminar "Information & Image Innovation" held in Perth on October 20, 1992.

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Secondary Storage Innovation

Peter W. McDonald ED MRMA

Peter has more than 31 years experience in Records and Information Management. This extensive experience has covered all fields of records management, micrographics, organisation and method work and he has specialised in the development of comprehensive records managment programs and assosiated policies.

He has worked both in Government and private enterprise. McDonald is currently the Manager -Records Managment at the ANZ Bank.

Peter has been an active member of RMAA, a former Branch President and Federal Director and a lecturer to many of the Records Management Courses in Victoria.

He was the Executive Director for the RMAA Forth National Convention 'The State of the Art' held in Melbourne 1987. "This paper is in the main based on the presentation I gave at the Victorian Branch Seminar, Lorne, 1992. The second part of the paper "Choosing a Secondary Storage Provider: Some Issues", comprises my own thoughts on the subject, as a professional in the Records Management arena and not necessarily those of my current management, employer or that of the Records Management Association of Australia.

This paper was presented before the just recently concluded Bank's Secondary Storage Agreement with a service provider. The final selection of the service provider does not mean that they met with the full criteria looked for, nor does it mean they didn't. In a number of areas a higher standard was offered, therefore no comment or recommendatio either way is given.

I am in the process of revamping my thoughts in three key areas, these being people, site protection and price consideration. When completed I will provide an update summation for the Quarterly Informaa. In the meantime I would like to receive the views of my colleagues, please send them to me through the Victorian Branch RMAA.

An Innovative Approach to Secondary Storage

The ANZ now relocates over 80% of its voucher records to low cost secondary storage facilities by using a combination of conventional and innovative techniques & modern technologies.

Introduction: The Record Life Cycle

In any discussion on records storage, it is always worth reminding ourselves of the principle of the record life cycle:

Creation: The start of the cycle when we, as Records Managers, must question the very need for the existence of the record as well as the form it will take.

Active Use: This is where most Records Managers get involved: receipt, classification, indexing and file titling and maintenance. Traditionally, methods or work review practitioners are involved in bulk item processing, but now this function can be considered to be a major part of the Records Managers' role.

Inactive Use: Some Records Managers do not consider this to be a separate phase of the cycle and put it into "Active Use" or "Disposition". However, as you may gather, I am strongly in favour of its separation because processing rules and operating principles are applied differently.

Disposition: This is always a problem area with two views prevailing: full destruction or full permanent retention. Additionally, society now requires that we should give consideration to the environmental issues and the recycling of materials, which then brings us back to Creation.

My presentation today is focused on the areas of "Active Use" and "Inactive Use" of bulk item processing where, in the ANZ, the Records Management team is very heavily involved.

For the ANZ, the storage of vouchers (cheques, deposits, etc) and records for active and inactive use has been a major issue for some time. The ready availability of these records represents an important part of the Bank's commitment to maintain a high level of customer service and satisfaction. But the significant cost of highly trained Bank staff, real estate and facilities at branches means that storage in the branches is not a cost effective option.

The task is also seen, all too frequently unfortunately, as an end of the day activity and is sometimes poorly performed or delayed.

Size of the Problem

About 1.5 million vouchers are processed each day in Australia by the ANZ and most are sorted into owning branch bundles with about 20% remaining with the item negotiating branch. These branch bundles, after fine sorting, are transported around the country in the early hours of each working day back to the owning Branch or Branch Back Office Support Centre.

Previously vouchers were processed and cartoned by branch staff and stored for 7 years. A total of over 1.7 billion vouchers contained in more than 1.5 million cartons are required to be stored by the ANZ with each voucher being subject to a potential retrieval request.

As a Records Manager, this presented me with an interesting professional challenge with the potential to make significant savings for the ANZ.

Best Practice

The Bank is continually reviewing its operations and methods to improve customer service and gain cost efficiencies; we constantly strive for "Best Practice".

ANZ Records Management mirrors the Bank's policy for Best Practice and in fact we try to be ahead. With this aim in mind, we reviewed the method of handling vouchers after the key "banking type" (account correction) actions had been taken. This review also led us to examine many key Banking type activities.

In this project, we considered every activity within the life cycle of the voucher from the time it is processed by DP proof centres (where most of the vouchers details are captured electronically via the MICR codes on the cheques & the cheque value is keyed in) to final repository.

We even applied MODDAPS and other time standards techniques to ensure that "Best Practice" was achieved, particularly in the design of the Voucher Valise and Transfer Trolleys: more on these later.

Applying the 80/20 Rule

By applying Pareto's useful 80/20 rule to this problem, I expected 80% of the information requests to be serviced by 20% of the information holdings and that this 20% would probably represent the most recent additions to the information holding.

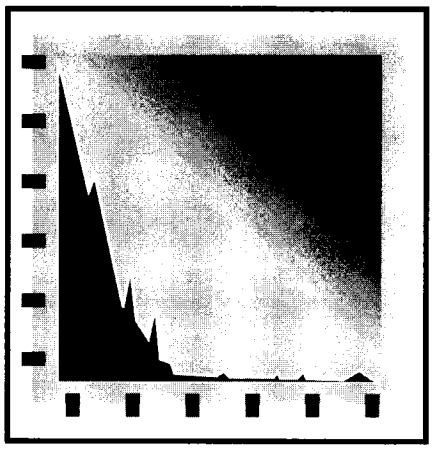
You would be aware that organisations like Repco can meet 80% of their customers needs by holding only 20% of all required car parts and that they meet the other 20% of customers needs by ordering-in the items when needed of the 80% range.

At ANZ, we have attempted to do the same, however with only limited success, due to our inability to completely identify which 20% will be needed.

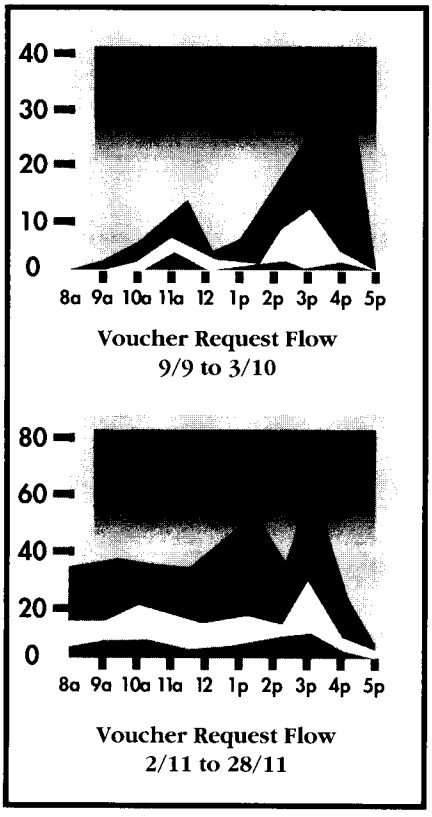
We therefore have had to use off-site storage technology and develop an efficient procedure, to achieve a cost effective solution which eliminates delays in access to both the 20% & 80% of our customer voucher information requirements.

More on the Life Cycle of a Voucher

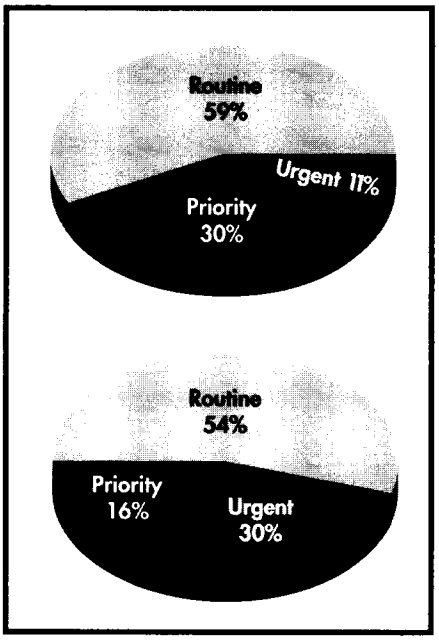
Based upon empirical data collected on voucher access requests, we were aware that most access requirements are within the first 3 months of the vouchers life. The following graph shows clearly this situation:



Also we have observed that the access requirements of the branches for vouchers is not constant throughout the day, but appears to have two peaks: one at about 11 am and the other at 3 pm. The second peak at 3 pm is consistently higher than the 11 am peak.



Another key problem we needed to address was the customer's and our staff's interpretation of the genuine purpose of the words "Urgent", "Priority" and "Routine". It is my view that when we have more that 10% urgent requests the word is being mistreated



AVMS

In the planning of secondary storage facilities, I identified the records management principles which needed to be considered to ensure that this project was not only a financial success but also an operational and management success.

Because what I had conceived was so advanced, I decided to give it a new name to both distinguish it from the traditional Records Centre operations & place it ahead of other services we operate.

I named the service:

AVMS = Active Voucher Management Service

The Active Voucher Management Service is a rapid response voucher retrieval service to the Enquiry Centres of the ANZ's Australian Retail Service Zones.

A Zone Enquiry Centre is a place that carries out all of the back office work that needs to be completed to keep customers accounts in order and to provide the very important service of answering customers enquires.

AVMS involves providing the Records Management function of managing, storing and gaining rapid access through the first 60 day life of a voucher, after which it moves into long term secondary storage (the Records Centre).

The AVMS voucher work flow is along these lines:

- The vouchers after data capture are fine sorted into Branch, account type, account number and/or amount groups, and then secured with rubber bands and placed into the prepared (named and numbered) Voucher Valises.
- The Voucher Valise is held in order in Voucher Valise Transfer Trolleys, which are picked up, delivered to and placed in order at the Enquiry Centre prior to 7.30 am each bank working day.
- The Enquiry Centre staff use and look after the vouchers in the "Valise" in the transfer trolleys for the next 10 bank working days.
- On the morning of the 11th day the full Valises in the Transfer Trolleys are picked up and delivered to the AVMS Centre (usually located at one of the Records Centres) as close to 8 am as traffic will allow.
- The AVMS Centre staff relocate the Voucher Valise from the Transfer Trolleys to purpose designed shelving and manage the vouchers for the next 60 bank working days.
- In this 60 day period the AVMS provides a rapid retrieval service within very narrow time frames; more on this later.
- At the end of the AVMS voucher "Active Use" life, the vouchers are repacked into standard Bank cardboard cartons for long term secondary storage. The AVMS Centre provides the staff resources to carry out this task and complete all required paper work.
- The AVMS also relabels the Voucher Valises, loads and prepares the Transfer Trolleys to start the cycle again.

Key Design Factors

To ensure that this new service worked and was cost effective, as indicated to earlier, a number of principles were needed to be applied to achieve the requirement to minimise any additional handling of the voucher record.

In summary, I wanted to achieve:

- Consistency in the method of filing voucher records.
- Standard order for sorting which is simple and based upon the users' expected retrieval keys.
- No resorting after initial filing.
- A container design which was:
  - light weight
  - no folding construction
  - hinged lid
  - when full, can be easily lifted & moved
  - takes all sizes of vouchers used
  - easily labelled
  - secure

For storage, I required:

- Custom designed trolleys to hold vouchers and/or the containers.
- Control of movement of vouchers.
- Minimum movement to retrieve vouchers
  - not too low
  - not too high
  - within short walking distance (max 12m)
- Dedicated office equipment for staff involved with voucher retrieval
  - photocopiers
  - facsimile machines
  - telephones
  - purpose designed shelving
- Change carton identification for access from branch identification number (BSB) to voucher process/posted date.
- Storage in voucher process date order which eliminates the need to look up the carton ID number at the Branch/Enquiry Centre and at the Records Centre.
- Complete elimination or maximum reduction of paper work.
- Flat fee access costing/rates.

Voucher Valise (VV)

The design of the Voucher Valise included the following functional requirements:

- To hold the same volume of vouchers as the current Voucher Carton, this was to facilitate any transfer of the voucher after 60 days AVMS storage.
- To be self supporting of easy storage and transport with a nesting capacity when not in use. Storage, handling and transport costs can be very high.
- In line with the ANZ's preferred requirements, final manufactured material had to be recyclable.

The valise had to be economical to manufacture and easy to handle prior to day-to-day use. To achieve this we decided that the valise need to be made in one piece of material that was recyclable and environmentally friendly.

Voucher Valise Transfer Trolley (VVTT)

The VVTT's design required that the trolley be light in weight with suitable wheels to enable staff at the Enquiry Centres to easily move it around & position it without any health or safety risk.

Additionally, the trolley needed to be very strong to take the movement and transportation from the DP Centre to the Enquiry Centre & then finally to the AVMS Centre. This phase of the VVTT's movement is always carried out by very large truckies.

Height, length and width were also very important as mentioned before. Staff needed to be able to move and position them easily, they had to fit into existing lifts and make efficient use of the transport vehicles.

The final foot print (floor space used) was a key consideration as was the ease and accessibility of the Voucher Valise.

This is the design which meets these criteria:

A light weight steel frame trolley with direction lockable wheels, right angle slides without shelves which tend to be used as a resting place for unwanted items.

I also designed a cover for use during transportation that held the Voucher Valises in place and provide security and all-weather protection.

User Access Requirements (target times)

For secondary storage of inactive records, generally we required enquiry turn around on the same

day the request was received in the Records Centre. This is now achieved in most sites most of the time. There are always the exceptions of course, such as when we received a Government Agency request for thousands of vouchers. We have had one case of a requirement to retrieve and copy 47,000 vouchers. This is a huge task, especially when we do not allow service to other areas of the Bank's customer base to be reduced.

Because of the relatively heavy requirement of users for access to information within the first 3 months of the life of the vouchers, I decided to separate the storage & management of the records/vouchers into two categories:

- Active Voucher Management Service (AVMS) for active use records (up to 3 mnths)
- Secondary storage for inactive records (over 3 months to 7 years).

The AVMS is a rapid response voucher retrieval service for active use records with planned response target times of:

Urgent Request (Telephone)
- For verbal information only to be provided in less than 4 minutes.

Urgent Request (Facsimile)
- Facsimile return of a copy of voucher in less than 10 minutes.

Priority Request (Facsimile)
- Facsimile return of a copy of voucher in less than 30 minutes.

Routine Request (Facsimile)
- Facsimile return of a copy of voucher in less than 1 hour.

To take account of the peaks for voucher requests, the service provider needs to increase the human resource levels to cover these times and/or rearrange other support and clerical functions such as construction of voucher cartons, completion of support documentation etc, to allow for this requirement. This aspect of the management of the facility is a very crucial part of the service and can mean the success or failure of the Records Management site.

The System In Action

Let's imagine a customer needs information contained on a cheque, to finalise a tax return. The Customer calls their Branch with the request which is answered and processed by the Zone Enquiry Centre.

The Zone Enquiry Centre will endeavour to satisfy the request from online computer records or call back after accessing the original voucher which is retained by the Records Management team at the Enquiry Centre for the first 10 days of the voucher's life.

If the voucher is over 10 days old but less than 60 days, an access form is completed (Note: to save time and effort this form is in reality the bottom part of the original customer's enquiry form) and sent to the AVMS Centre that is providing the service to that Zone by fax.

The request is then faxed to the AVMS by dedicated fax equipment for processing.

The AVMS Centre staff retrieve the voucher from the Voucher Valise which is kept in date then BSB (branch number) order.

A copy (front and back) of the voucher is returned also by dedicated fax equipment to the area of the Bank requiring the information without the need to go through any central distribution units.

With a copy of the voucher in hand, the customers enquiry is answered within acceptable times and at minimum cost.

This process has been so successful that in the case of one unit of the Bank, all hard copy voucher information is sent to secondary storage on day one of the voucher's "Active Use" life.

We have achieved the benefits, both cost reduction & customer service, of off site storage & by using technology & efficient methods eliminated any delays in the access to this 80% of the information holding.

The second part of this article **Secondary Storage Providers: Some Issues** will appear in the August Edition of INFORMAA QUARTERLY.

Complete Mainstream Office System

Fujitsu Introduces First Plug-And-Play Scanner System For Desktop Document Imaging

Fujitsu Australia Limited, a leader in document imaging products, has introduced the industry's first complete plug- and-play desktop document imaging system for personal computer, Sun workstation & Apple Macintosh users.

ScanPartner10TM, incorporating document imaging hardware and software in a single unit, is designed to introduce users in corporate departments and small businesses to an entry-level, low-cost, full-function, easy-to-use document imaging system. ScanPartner10TM reduces the cost of document image management systems dramatically and eliminates the need to buy separate components to configure a complete scanning system.

The new product is the result of a collaborative effort by Fujitsu and three leading software manufacturers — Xerox Imaging Systems (XIS), Compulink and Blueridge. ScanPartner10TM with XIS's ScanWorX software supports Sun workstations, while Compulink's LaserFiche supports DOS/Windows PC's; & Blueridge's Optix, supports the Apple Macintosh.

"Our research shows there's an emerging market for lower-cost document imaging," said Kristy Holch, director of the Scanner Market Strategies Service at BIS Strategic Decisions. "This type of bundle is what is required to make desktop document imaging mainstream in the general office."

"With our comprehensive scanning system, we're making great strides in giving more offices a way to easily afford and automate document storage, retrieval and distribution, and make the process more efficient," said Dirk Konetzny, Marketing Manager of Fujitsu's Volume Products Group. "Our one-product solution reduces the pains of implementing and budgeting a new technology."

Desktop Document Imaging Management

Unlike desktop publishing scanning systems, the ScanPartner10TM offers capabilities that stretch far beyond the tasks associated with the inputting and manipulating graphics. ScanPartner10TM addresses problems universal to every business environment - the acquisition, storage and distribution of information - by automating the process. With ScanPartner10TM in place, companies can begin to realise the productivity benefits and cost savings associated with rapid electronic filing and information retrieval.

The ScanPartner10TM is a flexible system that can be used by a single user or be upgraded to support enterprise-wide computing environments. Users can distribute information throughout their office by placing the ScanPartner10TM on their local area network.

Leading Imaging Software Components Included with Separate Models

The three software packages available with ScanPartner10TM were custom developed so firms can grow from a single-user operation to an enterprise-wide document imaging system with a simple software upgrade.

ScanPartner10TM also works equally well with other popular industry standard packages including the OCR and desktop publishing disciplines.

The ScanPartner10TM for DOS/Windows combines the capabilities of Fujitsu's ScanPartner10TM with those of Compulink's LaserFiche software to offer a powerful, yet easy-to-use, entry-level desktop document management solution. ACA Pacific Pty Ltd's Advanced Products Division specialise in Document Management and OCR solutions and have been appointed to distribute the ScanPartner10TM for DOS/Windows and other platforms.

ScanPartner10TM for Sun workstations bundles the Fujitsu ScanPartner10TM with XIS's ScanWorX software. Together with XIS, the ScanPartner10TM forms the basis of a powerful document recognition system that can quickly and accurately "read" documents and convert them into formatted text files.

These files can then be easily edited and reformatted for use in other applications, such as publishing, database and word processing. With ScanWorX Optical Character Recognition, complex pages, as well as faxes and documents with mixed typefaces, multi-column formats, and degraded text can be accurately converted to "editable" text files on Sun workstations. Queensland based Network Imports has been appointed as the Distributor of ScanWorX for the Sun workstation platform.

Blueridge's Optix software brings electronic document management system to Macintosh users. It lets users scan documents and archive and retrieve all types of computer files, such as images, spreadsheets and databases, as well as word processing and graphics files on Macintosh. The Optix software includes powerful features such as CCITT Group 4 compression, grayscale compression, image enhancement and the ability to easily customise index screens with pop-up fields, buttons, checkboxes and graphics. An Australia wide distributor for the OPTIX imaging solution will be appointed soon.

ScanPartner Means Business

The ScanPartner scanner features high-performance capabilities with its 50-sheet automatic document feeder (ADF) which lets it generate scanned images in five seconds. It also features an industry-leading 10 page-per-minute high-quality throughput, 300d dpi resolution and flatbed capabilities for fragile and off-sized documents.

It includes a SCSI interface and its dimensions are 13.6- inches deep by 6.3 inches high by 22-inches wide. The ScanPartner10TM operates with paper 8.5-inches by 11-inches (flatbed) or 11-inches by 14-inches (ADF) in size, and has a selection of resolution modes of either 200 by 200 or 300 by 300.

Availability

The ScanPartner10TM is available now through Fujitsu appointed Distributors Australia wide. ScanPartner10TM has a one-year warranty.

Initial Contact:
Dirk Konetzny, Marketing Manager,
Fujitsu Australia Limited's Volume Production Group.

Phone: (02) 887 9758 *Fax:* (02) 878 4782

Branch Reports

NSW Report

As stated previously in our local INFORMAA Newsletter (February/March edition), the NSW Branch is working towards 3 objectives which were set as part of the overall Strategic Plan for the Association. Part of this process was that each Branch Councillor fill in a SWOT analysis. (Strengths, Weaknesses, Opportunities and Threats). A letter and SWOT form was then sent to each Professional member of the NSW Branch, asking them to complete and return. A good number took the time to fill out the forms and to give their opinion on the Association.

There is a lot of positive vibes coming from Federal Directors, with the concept of improving the image of the Association and each State working together as one, rather than 8 separate States. We are looking at implementing a standard membership and accounting package Australia wide by August 1993 which should reduce the workload of our volunteer councillors.

As part of making the Association more known, the RMAA had a trade stand at the AIIM conference held in Sydney. RMAA Show bags, Membership kits, pens and pads, plus all the latest from Tasmania were distributed to 200 delegates at the conference, plus another 250 to people who came only to see the exhibition. A special thanks to Beryl Lewis NSW, Elizabeth Burns NSW, Penny Archer TAS, Kathy Holland TAS, who looked after the stand over the 3 days. Kay Lewis VIC and Ray Holswich NT, also assisted when not at lectures.

This years seminar, 'Records and the Law' was held on 31 March and was quite successful with over 160 people in attendance. We have not held a state seminar for 3 years, but after this conference it has shown us that there is a need for more back to basics, low cost seminars.

Chris Fripp ARMA
NSW Branch President

ACT Report

The Branch's final function for 1992 took form of a breakfast meeting. Mr Dennis Wheeler, Chair Federal Education Committee was in Canberra for the discussions between our Association, the Australian Library and Information Association, the Australian Society of Archivists Inc. and the Australian Council of Archives Inc. Mr Wheeler spoke at our breakfast meeting about the need for training and education in records management and of the work being done to establish the national TAFE program.

Our 1993 calendar began with the Records & Image Management Conference on 24-25 February, held in conjunction with the National Technology in Government Event. The Conference was well-attended and we were pleased to have our Federal President chair proceedings on the Thursday.

Branch Councillors were invited to join our Federal Directors for lunch on Friday, 26 February, during their series of meetings in Canberra. After lunch, the Federal President presented Associate membership certificates to Ms Patricia Looker and Mr Bill Palmer. Mr Holswich also publicly recognised the importance of the Kodak Fund in fostering the goals of records and information management, and paid tribute to the work of the Mr Arthur Langford-Smith.

The resignation was accepted recently of Mrs Valerie Parker, a valued and dedicated member of the ACT Branch Council. We wish Valerie every happiness and success in the future.

It was announced in March that Ms Tracey Beale is the first recipient of the ACT Branch Council prize to an outstanding student in Information and Records Management at the University of Canberra. We offer our congratulations and best wishes to Tracey who is already actively involved in records management projects in Canberra.

Elaine Eccleston ARMA
ACT Branch President

Queensland Report

New Queensland State Archives Building.

In January 1993, the Queensland Premier, Mr Wayne Goss, officially opened the new $18 million dollar Queensland State Archives. Located at Runcorn 12km South of Brisbane the specially built complex has provided Queensland with one of the most modern archival facilities in the world. Equipped with state of the art technology the new building is in stark contrast to the previous cramped premises occupied for many years.

The new facility has extensive reference and research areas including modern microfiche readers and printers. Staff facilities include office areas, library and an impressive conservation area. The archive currently has 18 000 shelf metres of records with provision for 41 000 metres when shelving is completed.

Archives Act Review Report

The most recent in a series of reports regarding the future redrafting of the Queensland Archives legislation was presented to the Queensland Parliament in December 1992. The report by the Queensland Parliamentary Electoral and Administrative Review Committee substantially supported the earlier report of the Electoral and Administrative Review Commission which amongst its recommendations had recommended separate Archives legislation, establishment of an Archival Authority with a consultative Committee and expanded powers to control public records. The government is presently considering the report.

Local Government Training Council Video

Work is progressing towards the 19 May 1993 Telecast on Records Management for Local Authorities.

Michael Hangan ARMA
President

Branch Reports

Northern Territory Report

Out with the old and in with the new - Sadly, Judy Watta ARMA has tendered her resignation as the President of the NT Branch and from the NT Branch Council, those who know Judy will be aware that her time and energies towad the Association have been outstanding since 1986, and like several other members the syndrome of added work pressures and time have caused her to resign. I'm sure that all members of the Association will join the NT Branch Councillors in wishing Judy well for the future.

The following Concillors have been elected to positions for the interim period February through July 1993 -

President:	Ray Holswich
Vice President:	Don Brech
Federal Director:	Greg Coleman

Greg suffered his indoctrination into Federal Council at the February meeting held in Canberra, as part of his indoctrination he was forced to room with a particular colleague from the West who has a rather bad habit of wanting to prattle on when others want to sleep. There are no prizes for guessing who the other Director was.

The NT Branch is currently planning several training courses for May/June/July and will be engaging the services of a Consultant from the NSW Records Management Office to conduct the courses, we are also looking at the possibility of holding a "Law and the Record" seminar during October/November 1993.

Ray Holswich ARMA
Branch President

Victorian Report

It has been a while since the Victorian Branch has had a chance to inform readers of our activities. Since my last report, things have really been moving. On the social scene, our Christmas function was held at the St Kilda Road Travel Lodge. It must be a sign of the deep recession in Victoria, but very few members attended this purely social event. Social events benefit members by providing a casual and relaxed forum from which valuable networking can emerge.

Education is still strong in Victoria, however enrolments to the Certificate Course are down on previous years. It is thought that members may be waiting to see what the new core curriculum will provide at Certificate level before they enrol.

Once again our commitment to training is being demonstrated. The 1993 State Seminar will be held at Bendigo on April 1 and 2, 1993. Registrations are steadily coming in. The seminar will also feature a casual environment for members to chat with some industry suppliers.

The Local Government Chapter has also been busy on the training arena. The Chapter recently held a workshop which discussed an action plan for Local Government training. It is envisaged that this plan will be realised in the not to distant future.

The Victorian Branch is currently in the process of collecting and collating information from Industry suppliers and service providers. This information will be entered into an Association Product Handbook. The Handbook will be available nationally. If anyone is interested in having an entry in the Handbook, enquiries can be directed to:-

State Secretary
GPO Box 2270U
MELBOURNE VIC 3001
Tel: (03) 417 3738

R Kaczynski ARMA
State Secretary VIC Branch

Western Australia Report

Neil Granland, President of the WA Branch had the pleasure of presenting Laurel Tate, student in Records Management at Curtin University with a cheque for $100.00 as the inaugural winner of the RMAA prize for the best student essay. All students of the Records Management course were eligible for the prize which was awarded for the best easy written during the year. Congratulations Laurel. The WA Branch is currently evaluating Records Management graduands for the inaugural RMAA (WA Branch) Medal.

The programme committee have been working very hard to provide a variety of different meetings for members. The December meeting was the annual Branch Christmas. Breakfast which was held at the Forrest Centre Tavern. Members not only enjoyed good food but heard an interesting talk given by Professor Leslie Marchant on the Management of Records especially the State's historic records.

Loretta Winstanley from the ACFIETC (Administration, Clerical, Finance Industry Education Training Council) was the speaker for the March meeting and she spoke on the role, functions and responsibility of the ACFIETC to Records Management studies. Congratulations are extended to Shane Culbertson and Brian Braysher on their upgrade to associate status.

After 10 years the WA Branch has acquired some assets. These consist of a laptop computer , printer & fax machine. Nationally the RMAA will be implementing a new computer software system for Finance and Registration procedures.

A federal Director's meeting was held in February in Canberra and the WA representatives, Neil Granland and Ken Ridley were actively involved by chairing the committee on the National Finance and Registration Computing Software System and the INFORMAA Quarterly committee.

Norma Easthope ARMA
Secretary

Branch Reports

Tasmanian Report

Preparation for the 1993 National Convention is progressing well with the convention program now finalised. The completed registration form will be distributed to all members by the first week in April.

Members of the Education Committee have been active in organising training across the state. A good response was received from participants on a Basic Records management Course held in Launceston, with representatives from the North and North-West of the State. Training courses held in Hobart included a visit to view Office Automation at the Hydro Electric Commission. The Education Committee has also been active in successfully bidding for the writing of modules for the National Records Management TAFE Project.

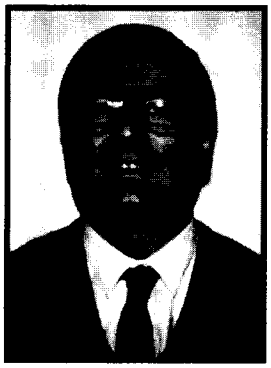
The TAFE Certificate in Records Management Course at Hobart has been well supported with twenty-six participants. The course has now commenced at Burnie TAFE and approaches have been made for the course to be introduced in Launceston.

Susan Hill ARMA
Secretary

User-Groups WHAT'S IN THEM FOR YOU?

Murray Dri, Records Manager, City of Whittlesea and Margaret Pember, Records Manager, City of Perth.

Murray Dri VIC ARMA



Murray is the National "Dossier" User-Group Chairman and member of Local Government Chapter and NWRRMG. He is now employed with the city of Whittlesea as a Records Manager: was formerly employed with the Australian Taxation Office (16 years); the Victorian Dairy Industry Authority (3 years) and has been in Records Management for 23 years.

Margaret Pember ARMA, AALIA, ASA

Bachelor of Education: Graduate Diploma Library and Information Studies

Margaret comes to the field of Records Management after 15 years experience as a high school teacher. An interest in archives motivated a return to university in the 1980's. Since then Margaret has worked in the information environment in the UK, and the Western Australian Royal Commission, before taking up her current position as Records Manager at the City of Perth, where she is introducing an automated records system.

Margaret is active in Retention & Disposal & Thesaurus Sub-committees, and the implementation of FOI. The focus of her Master's thesis, which she hopes to complete this year, is Information Disaster Planning.

Well, now we have your attention, when was the last time you actually went to a user-group meeting?

The question is promoted by a recent successful two day DOSSIER user-group meeting in Brisbane. Participants travelled from all over Australia to attend.

DOSSIER is a relatively new arrival on the records management scene and has been implemented by about twenty users, mostly state and local government, with varying degrees of success. Most users have not yet implemented all available modules, but all are keen to get the most out of their systems.

User-groups are one of the best vehicles for providing knowledge of the product, and for influencing or initiating future direction and development.

The DOSSIER user-group was originally established by the vendor, Datamation Software Systems. The product was first released in 1989, and has evolved considerably since then, through major enhancements released at least once a year. Many of these improvements have been the end result of user-group involvement.

The user-group organises forums so software users can get together to share information and exchange ideas and in turn gain better understanding and practical experience in solving mutual problems. Knowledge gained from experience involved with establishing and using records management systems is pooled for the benefit of all.

The purpose of the meeting held in Brisbane was to discuss specific DOSSIER features, enhancements, and modifications, and to explain the concepts and logic behind some of the newer options available on the system. It also gave users an opportunity to visit major sites and study the way in which the system is used, and also to gain new ideas for information management practices, a factor that is vital to us all. A particularly interesting new development demonstrated

was the use of an on-line thesaurus for language control in file titling.

As good as a product is, as good as a manual is, there is nothing like a personal experience of another user product, and this is where the user-group comes into its own. The underlying ethos of the user-group is to provide practical knowledge and mutual support.

Records management has come a long way since the introduction of computerised records management systems. However, amongst new users of such systems, many of whom leave their old manual systems with regret, there may remain a lingering doubt about the abilities of computerised systems. There is nothing better than interaction with, and feedback from, actual users of your particular system for first hand knowledge. No one else is going to be as brutally honest with you about the capabilities and performance of the system.

There is a need to know whether the system actually "works!" Does it do what you want it to do? Does it do what you expect of a computerized package? Is it actually going to save you and your staff work? Does it do it better? If not, why are you using it? All very simple in theory, but not so in practice. So, if you have a user-group, use it!

There are many records management software packages on the market today, and it is often difficult to choose a system that will meet all needs, both now and in the future. Choose a product that will grow and evolve - do your homework before you buy, check the track record! A package that cannot meet changing needs is not a wise option. Plan at least five years ahead. Do the developers of the product have the same vision of the product development you have?

Some vendors forget (or have never heard of!) the KISS Principle and seem to think that complexity is a desirable feature. Avoid products that suffer from the "C" syndrome - ie. those that are complex, complicated, convoluted, circuitous, clumsy, confusing, confounding, etc! We've all seen them! If your product is like this, again, use you user- group to facilitate change.

There is a need for all of us in the industry to contribute towards the future development of the records management software systems. The user-group is the ideal mechanism for doing so, in fact, it can be a very powerful tool for change, provided one keeps in mind all ethical considerations.

Finally, as professionals it is important that we unite our efforts to improve the quality of the service we provide. The user-group is one avenue we can use to streamline service through better and more efficient records management packages. We, the professional users, should be having significant input into the future direction of our packages. Is now an opportune time for national user-groups to exchange ideas and information?

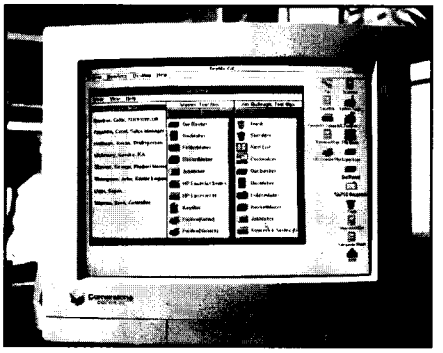
QUARTERLY

NEW PRODUCTS

Key File: THE ULTIMATE DOCUMENT HANDLING SYSTEM

KeyFile is breakthrough software that eliminates the drudgery, frustration and 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 spreadsheet 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.

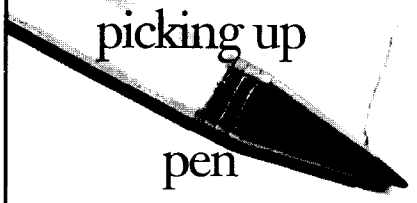
Operating under DOS-Windows or any NetBios LAN, KeyFile is available in Stand-Alone or Networked versions.

KeyFile is available from:

CAYLX Software (Pacific) Pty Ltd
394 Pacific Highway,
LANE COVE NSW 2066
Tel: (02) 418 8033
Fax: (02) 418 8256

Everything you ever wanted to do with a document -

Without picking up



pen or paper!

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The Ultimate Document Handling Software

KeyFile simplifies & automates the flow of information & paperwork through your business through:
- Scanning
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- Work-Flow
- Document Sharing
- Fax In/Fax Out
- Mail Gateway

Scanned documents, incoming faxes & DOS files are accepted & can be catalogued, filed, grouped, marked for action, annotated, faxed...the list goes on.

And, you can send DOS files or documents to individual desktops or designated work-groups, without accessing the original document or the application that created it.

LaserCOM C.O.L.D.

The Document Storage Alternative

What do you do with the masses of paper generated by your computer system?

- Do you have stored paper records that are inconvenient, messy & sometimes go missing & can only be accessed by one person at a time?
- Do you have microfiche records that are inconvenient, messy, sometimes go missing, can only be accessed by one person at a time? - & which incur an on-going third party cost?
- **You should have LaserCOM** which solves storage & access problems by accepting & automatically indexing spooled reports - from ANY computer - into a PC.

Telephone: (02) 418 8033

QUARTERLY NEW PRODUCTS

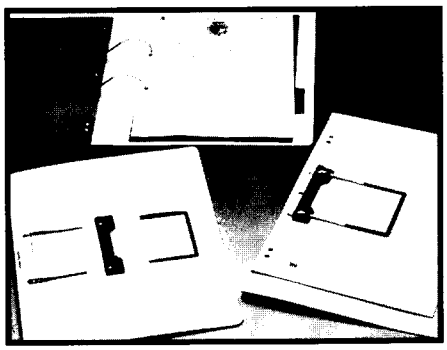
Tubeclip: MASTER FILE FASTENER

Professionals who deal with paper are finding Unistat's Tubeclip an absolute must for filing documents in folders.

Tubeclip is an expandable, self adhesive plastic file fastener, that makes it easy to file and retrieve documents in an orderly, logical way.

Among the many organisations now depending on Tubeclip are Australia's major hospitals, financial institutions and professional offices.

Available from stationery retail suppliers, Tubeclip is self adhesive, so can be applied to existing files. There is also a non self-adhesive version for gussetted files. It is tough & flexible - it can secure a single sheet of paper or up to a 3cm wad of documents, by expanding with the paper volume.

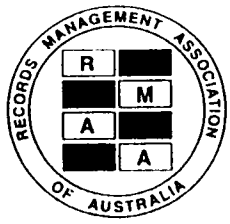


Tubeclip also:

- ENABLES the file to expand yet still be stored flat
- MAKES adding, retrieving, transferring and photocopying papers easy - no need to worry about keeping the punch holes in line ready for returning to the file, individual papers can be removed without having to take everything out. You can remove bottom pages without taking all the top pages out.
- ALLOWS you to read papers edge to edge, because its construction is unobtrusive.

Unistat will supply files with Tubeclip factory-fitted.

WELCOME FROM THE TASMANIAN CHAIRPERSON



On behalf of the 1993 Convention Committee, I extend an invitation to delegates and trade exhibitors to attend the Records Management Association of Australia National Convention.

The theme of the Convention, "Records - The Heart of Management", reflects our profession's recognition that information and evidence are the life-blood of any organisation. Our speakers and sessions have been chosen to reflect an organisational view of Records Management.

Wrest Point Convention Centre, Tasmania's international standard venue, has been chosen for the Convention. The Convention Centre offers first class facilities for delegates and trade exhibitors.

The first day of the Convention will be Sunday 5th September which is dedicated to the Trade Exhibition. This will be an open day with the Trade Exhibition expanded to include local businesses. We urge all delegates to take advantage of our travel and accommodation packages and include Sunday in their itinerary.

We look forward to seeing you in Hobart in September this year and hope you are able to take the time to enjoy the natural beauty of our island and the hospitality of its people.

Kathy Holland
Chairperson
10th National Records
Management Association Convention

HOBART, TASMANIA

Hobart combines the charming old and the exciting new against a spectacular backdrop of mountain and sea.

Hobart is the site of Australia's second oldest settlement and because of this, history is high among the attractions of this diverse city.

Because of the size of Hobart, it is very easy to gain access to wilderness areas, shopping, bush walking, arts and crafts, National Trust restored properties and many other activities.

Accommodation offered varies from international standard to colonial cottages.

Each Saturday is market day in Salamanca Place – the market is crowded with stalls many of which specialise in locally made crafts.

If at all possible consider spending additional time in Tasmania so that you can experience our lovely island State.

THE CONVENTION VENUE

The Wrest Point Casino Convention Centre has been chosen as the venue for the Convention. It is set in acres of garden right to the water's edge with magnificent views of the harbour, yachts, historic Battery Point and Hobart City.

PROGRAMME

SUNDAY	MONDAY	TUESDAY		WEDNESDAY	
Registration Trade Exhibition	Registration Official Opening Keynote Address (P)	Registration Annual General Meeting Session G	Workshop 1 (C) Workshop 2 (C)	Registration Session K (C) Session L (C)	Workshop 3 (C)
	Morning Tea	**Morning Tea**		**Morning Tea**	
	Session A (C) Session B (C)	Session H (P) Session I (P)	Workshop 1 (C) Workshop 2 (C)	Session M (C)	Workshop 3 (C)
	Lunch	**Lunch**		**Lunch**	
	Session C (P) Session D (C) Session E (C)	Session J (P) Trade Display Show and Tell		Session N (C) Session O (C) Session P (P)	
	Afternoon Tea	Official Opening Trade Display		**Afternoon Tea**	
	Session F (P)	Trade Exhibitors' Happy Hour		President's Address	
Welcome Reception	**Moorilla Estate Dinner**	**Convention Dinner**		**Welcome 1994 Convention Farewell Drinks**	

P = Plenary
C = Concurrent

PROGRAMME

SUNDAY 5th SEPTEMBER

10.00 - 4.00 Trade Exhibition Open Day
6.00 - 8.00 ***Welcome Reception***

MONDAY 6th SEPTEMBER

8.00 - 9.30 Registration
9.30 - 10.00 Official Opening
- Chairperson, **Kathy Holland**
- R.M.A.A. Federal President
- Manager, Trust Bank
Paul Kemp

10.00 - 11.00 Keynote Address -
Records - the Heart of Management
Prof. Y. T. Kee

11.00 - 11.30 Morning Tea

11.30 - 12.30 A - *From the Top Down*
Information from a senior manager's perspective.
David Moldrich
B - *Transactional Mapping*
An exploration of emerging practices in the documentation of records and their context.
Frank Upward

12.30 - 1.30 Lunch

1.30 - 2.30 C - *On the Public Record*
Records accountability and the Royal Commission into WA Inc.
Janine Douglas

2.30 - 3.30 D - *Challenges of Decentralisation*
Decentralising a large-scale records and information system - a case study.
John Behrens
E - *Future Shock*
Information management in the changing corporate structure.
Lyndall Scott

3.30 - 4.00 Afternoon Tea

4.00 - 5.00 F - *Evidence in the Machine*
The long-term management of electronic records.
George Nichols

7.30 ***Social Function - Moorilla Estate***
(Optional dinner)

TUESDAY 7th SEPTEMBER

8.00 Day Registration

8.00 - 9.15 Annual General Meeting

9.30 - 12.30 WORKSHOPS
Workshop 1 - Local Government
Workshop 2 - Education

9.30 - 10.15 G - *Software Shopping*
A comparsion of records management software packages.
Fiona Balfour

10.15 - 10.45 Morning Tea

10.45 - 11.30 H - *Student Paper*

11.30 - 12.30 I - *New Horizons*
Establishment of a records disposal schedule in the corporate environment.
Peter MacDonald

12.30 - 1.30 Lunch

1.30 - 2.30 J - *What Next?*
A discussion of the various methods for integrating imaging and other digital files to records management packages.
Anthony Poynton

2.30 - 4.00 Trade Display and Exhibitor Show and Tell

4.00 - 4.30 Official Opening Trade Display

4.30 - 5.30 ***Trade Exhibitors' Happy Hour***

7.30 ***Convention Dinner***

WEDNESDAY 8th SEPTEMBER

8.00 - 8.30 Day Registration

8.30 - 9.30 K - *Capturing Communications*
The management of information and records transmitted in communication systems.
Sandra Hinchey

9.30 - 12.30 WORKSHOP
Workshop 3 - Office Automation

9.30 - 10.30 L - *The Effect of Freedom*
The analysis of long-term impact of FOI on the effectiveness and efficiency of records systems.
Rick Snell

10.30 - 11.00 Morning Tea

11.00 - 12.00 M - *Control Your Language*
Achieving quality information and retrieval: a survey of indexing theory as applied to records management.
Maggie Exon

12.30 - 1.30 Lunch

1.30 - 2.30 N - *Future Directions*
The future of the records management profession.
Elaine Eccleston
O - *The Burden of Proof*
An assessment of recent developments in legislation effecting the creation and retention of records.
Stefan Petrow

2.30 - 3.30 P - *A Blind Man on a Galloping Horse* - The records manager in a shrinking corporate structure - a motivational address.
Winston Marsh

3.30 - 4.00 President's Address and Welcome to South Australia

4.00 - 5.00 ***Farewell Drinks***

Details correct at time of printing. Alteration to Programme may occur.

PRE & POST CONVENTION TOURING TASMANIA

As a licensed travel agent, Conference Design is able to organise individual itineraries to include accommodation reservations, car rental bookings and general travelling ideas.

If you would prefer to travel in a group, four wheel drive or mini coach, please contact Conference Design and arrangements will be made for you.
Tours included are:

- **3 day/2 night Cradle Mountain/Gordon River Wilderness Experience.**
  Min. No. 4. $570.00 twin share
  $630.00 single.
- **3 day D' Entrecasteaux Waterways Cruise.**
  Min. No. 4.
  Cost per person $170.00
- **2 day Gourmet " Taste of Tasmania" Tour**
  Min. No. 6.
  Cost per person $400.00
- **2 day East Coast Tour (Escorted or Individual)**
  Min. No. 4.
  Cost per person $250.00

SPECIAL INTEREST ACTIVITIES

Ask us about the Special Interest Tours:

- Wilderness Flights
- City sights/Mt. Wellington Tour
- Mt. Wellington Down Hill Cycling
- Bush walking

CONFERENCE SECRETARIAT

Conference Design Pty Ltd
GPO Box 844J Hobart TAS 7001
55 Patrick Street, Hobart Tas 7000
Telephone (002) 31 3223
Facsimile (002) 31 3224

CONFERENCE DESIGN PTY. LTD.
A.C.N. 050 482 507

AIR & ACCOMMODATION PACKAGES

AUSTRALIAN AIRLINES

Official Convention Carrier - Australian Airlines.
All travel will be arranged with Australian Airlines.
1. Packages are based on a TWIN SHARE basis.
2. These packages are for THREE and FOUR nights.
3. Additional nights can be arranged by contacting the Conference Secretariat. 4. Travel is from departure city and return - variations can be made by contacting the Secretariat. 5. Package must be paid for six weeks prior to Conference start. 6. An amendment fee of $15.00 is charged for each alteration after one alteration to travel arrangements.7. Travel is subject to availability.

3 NIGHT PACKAGES BASED ON TWIN SHARE PER PERSON COST

	Salamanca	Blue Hills	Wrest Point	Sandy Bay Motor Inn
Melbourne	524	393	487	417
Sydney	628	497	591	521
Canberra	640	509	603	533
Brisbane	784	653	747	677
Adelaide	676	545	639	569
Perth	1018	887	981	911
Darwin	1104	973	1067	997
S/Supplement	240	109	203	133
Extra Night p.p.	80	36	68	44

4 NIGHT PACKAGES BASED ON TWIN SHARE PER PERSON

	Salamanca	Blue Hills	Wrest Point	Sandy Bay Motor Inn
Melbourne	604	429	554	462
Sydney	708	533	658	566
Canberra	720	545	670	578
Brisbane	864	689	814	722
Adelaide	756	581	706	614
Perth	1098	923	1048	956
Darwin	1184	1009	1134	1042
S/Supplement	320	145	270	178
Extra Night p.p.	80	36	68	44

Example based on a return air fare from Melbourne to Hobart and three nights at Wrest Point Casino - international standard.

Ex Melbourne 3 Night Package	WP Tower	Single Supplement	Additional Night	Total
Twin share (per person)	487			487
Single	487	203		690
ADDITIONAL NIGHT				
Twin share (per person)	487		68	555
Single	487	203	136	826

ACCOMMODATION

CONVENTION VENUE AREA

Wrest Point Hotel
Tower $135.00 per room per night
Motor Inn $80.00 per room per night
Suites $220.00 per suite per night

Sandy Bay Motor Inn
(opposite the Convention Venue)
Single $85.00 per room per night
Double/Twin $85.00 per room per night

Blue Hills
Single, Twin or double $70.00 per room per night
$10.00 each additional per person per night

The Lodge on Elizabeth Street
Approximately ten minute taxi fare from Convention Centre.
Private facilities $95.00 (two persons) per night
$80.00 (one person) per night
Shared facilities $55.00 (two persons) per night
Continental breakfast included.

BATTERY POINT

Battery Point Colonial Manor
Luxury serviced apartments -
five star colonial accommodation
with cooked breakfast included.
Twin or double $115.00 per room per night

Salamanca Inn
20 minute walk or 5 minute taxi fare to Convention Centre.
One bedroom (2 persons) $154.00 per night
Two bedroom (4 persons) $163.00 per night
Additional person - $20.00 per person per night
Fully self contained apartments - complex includes swimming pool and restaurant - right in the heart of historic Salamanca Place.

HIRE CARS

COLONIAL CAR RENTALS

Vehicle	Med.. Lge., Aircon.	Daily Rate inc. ins.
Corolla/Pulsar	Manual	60
Corolla/Vector	Auto	65
Camry/Pintara	Auto	72
Commodore/Magna	Auto	82
Station Wagon	Auto	92
Nissan Nomad	8 Seater	100

REGISTRATION FORM

10TH NATIONAL CONVENTION
RECORDS MANAGEMENT ASSOCIATION
OF AUSTRALIA

Surname _____

First Name _____

Organisation/Company _____

Name for Badge _____

Address _____

_____ Post code _____

Telephone (W)( ) _____ (H)( ) _____

Facsimile( ) _____

DELEGATE REGISTRATION FEES $

(1) Member - reg prior to 30.6.93 $500.00 _____

(2) reg after the 30.6.93 $560.00

(3) Non Member - reg prior to 30.6.93 $550.00 _____

(4) reg after 30.6.93 $610.00 _____

Day registration $190.00

Please nominate day/s (5) Mon ☐ (6) Tues ☐ (7) Wed ☐

WORKSHOPS -Please indicate (1)+(2) preference for Tuesday

(8) Local Government - Tuesday ☐

(9) Education - Tuesday ☐

(10) Office Automation - Wednesday ☐

I will be attending the following social functions included in the full registration fee -

(11) Sunday Welcome Reception YES ☐ NO ☐

(12) Tues - Trade Exhibition Happy Hour YES ☐ NO ☐

(13) Tuesday Convention Dinner YES ☐ NO ☐

(14) Wednesday Farewell function YES ☐ NO ☐

OPTION

Moorilla Estate Dinner @ $ 65 per person $ _____

PARTNERS/DAY REGISTATIONS - SOCIAL REQUIREMENTS

(11) Sunday Welcome Reception
@ $35.00 per person $ _____

(15) Monday Moorilla Estate Dinner
@ $65.00 per person $ _____

(12) Tuesday Trade Exhibition Happy Hour
@ $15.00 per person $ _____

(13) Tuesday Convention Dinner
@ $65.00 per person $ _____

(14) Wednesday Farewell Function
@ $15.00 per person $

ACCOMMODATION Single ☐ Twin ☐ Double ☐

Do you wish to have accommodation arranged for you? YES ☐ NO ☐

Package YES ☐ NO ☐

(100) Wrest Point Tower ☐

(101) Wrest Point Motor Inn ☐ (107) Salamanca Inn ☐

(113) Sandy Bay Motor Inn ☐ (126) Blue Hills ☐

(161) Battery Point Colonial Manor ☐

(146) The Lodge on Elizabeth ☐

Date of arrival _____ Date of departure _____

Number of nights _____ Number of persons _____

Do you wish to share with a particular person? If so please supply name _____

Number of nights _____ @ $_____ total $_____

Accommodation must be paid in full by 1st August 1993.

TRAVEL

Do you wish to have travel arranged for you? YES ☐ NO ☐

Date of departure _____ from _____

to Hobart/Lton. Preferred time _____

Date of departure from Hobart/Lton _____ to _____

Preferred time _____

Please tick ✓ Air & accommodation package ☐

Business class ☐

Best available discount at time of booking ☐

Economy ☐ First class ☐

Number of adults _____ children _____

Do you require Travel Insurance? YES ☐ NO ☐

HIRE CAR RENTAL

Delegates pay for rental at time of collection.

(307) small automatic ☐ (308) small manual ☐

(309) medium ☐ (310) large ☐

Number of days required _____

Collection point: (120) Hobart airport ☐

(121) Accommodation venue _____ time _____

(122) Launceston _____ flight _____ time _____

PARTNERS DAY & HALF DAY TOURS		No.	$
Port Arthur Sunday 5th	$75.00		
Richmond/Moorilla Mon 6th	$65.00		
Runnymede/Mt Nelson Mon 5th	$65.00		
Bonorong Wildlife Park Tues 7th	$50.00		
Deepings Woodturner Tues 7th	$50.00		
Historic Richmond Wed 8th	$65.00		
Cadburys Chocolate Wed 8th	$25.00		
Port Arthur Thurs 9th	$75.00		

PLEASE TOTAL ALL SECTIONS HERE $_____

SPECIAL DIETARY REQUIREMENTS

(70) Vegetarian _____ (71) Other _____

PRE/POST CONVENTION TOURS & SPECIAL ACTIVITIES

If you would like further information on the listed activities contact the Secretariat.

Please make your cheque payable to Conference Design RMAA Convention or

Mastercard ☐ Bankcard ☐ Visa ☐

| | | | | | | | | | | | | | | | | |

Expiry date _____

Signature _____

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