

# INFORMAAAAA QUARTERLY

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- Release 2 -  
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VOLUME ELEVEN NUMBER 1 FEBRUARY 1995

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# President's Message

Following the meeting of Federal Directors in Adelaide, September 1994, it was agreed that the Federal Executive hold a follow-up meeting on 7th November 1994 to review progress with the outcomes from the September meeting. The Federal Executive was also required to deal with a number of administrative matters which required attention prior to the second meeting of Federal Directors in February 1995.

The meeting of the Federal Executive was notable in that it dealt with a number of issues affecting accountability, ratification of our Memorandum and Articles of Association and the Regulations and the initiation of new policies and procedures that will improve the way our finances are managed.

I would like to reiterate the view, that all Federal Directors have a primary responsibility to ensure that we properly represent the views of our members and as Federal Directors, we are accountable to the membership for decisions made on their behalf. Furthermore, we are responsible for ensuring that we use Federal funds in the most effective manner possible.

The major issues the Federal Executive looked at, included:

- The authority to conduct a referendum to change the name and logo of the Association.
- The introduction of a uniform scale of payments for Directors who attend Federally sponsored meetings.
- The requirement for the Federal and State Treasurers to meet once a year to discuss forward estimates, budgets and related financial matters.
- The re-issuing of the Memorandum and Articles of Association and the Regulations governing the Association.



Firstly, to the proposal for a name change and a change of logo. The rationale behind the name change was that it was seen by some as a way of providing better recognition of the role of the Association and that it would "fit" into contemporary perceptions of Information Resource Management. The matter of a name change was debated by Federal Council in September and it was decided to examine the possibility of conducting a referendum [in accordance with our Memorandum of Articles] to determine whether a change of name would be supported by the majority of members.

A legal opinion was subsequently sought to ensure that we follow correct procedures in the event of a referendum. This matter will subsequently be tabled at the February 1995 meeting of Federal Directors.

At the Federal Directors' meeting in September 1994 it was agreed that a Schedule of Payments to Directors engaged on Federal business, should be prepared. This matter was raised by Joy Siller, Federal Director, NSW who recommended that all

payments to Directors, should be properly documented and subsequently approved in accordance with a uniform scale of fees and expenses that would be met by the Association.

At the September 1994 Meeting, Ray Holswich, Vice President, agreed to undertake this task and he subsequently tabled his 'draft' submission at the meeting of the Federal Executive. His report on the Schedule of Payments will be tabled at our February 1995 Meeting of Federal Directors for discussion and approval.

I have also taken the responsibility of recommending to our Federal Treasurer, Alan Kavanagh and members of Federal Executive, that we conduct a meeting of State Treasurers to shape Federal and Branch budget forecasts, discuss issues related to the central accounting systems AIMS and to talk over the matter of the financial administration of the Association. This proposal was accepted by the Federal Executive and the meeting is scheduled to take place prior to the next meeting of the Federal Directors.

The reasoning behind the proposal is based on the premise that the financial operations of the Association must be better coordinated and managed and that even with the best will in the world, it is physically impossible to effectively coordinate our financial activities via telephone and fax systems. By dealing with financial issues early in the year it is possible to significantly reduce the amount of time that is normally spent in debating finances at the September meetings of Federal Directors.

The Federal Executive also discussed the need to re-issue our Memorandum



and Articles of Association and the Regulations. As many of you would be aware, numerous copies of these documents have been distributed over the years and there seems to be some anomalies over which is the correct version. Some years ago the Association issued numbered copies of the Memorandum and Articles of Association and the Regulations but there still appears to be some doubts over which is the correct version.

To correct this anomaly, our Public Officer, Kate McCarthy has undertaken to recover the version

lodged with the Companies Office, Canberra and our Secretary, Michael Hangan will be making arrangements to distribute numbered copies to all Federal Directors and all Branch Secretaries. In addition, all previous documents will be recalled and destroyed.

It is expected that these reforms will improve the effectiveness and accountability of the Association. It is also my intention to ensure that the Federal Executive and Federal Directors introduce administrative and financial reforms and once these

are achieved, we can as an Association, get on with the business of developing our profession and of making significant contributions to the science of Records Management.

On behalf of all Federal Directors, I would like to wish all Members a happy and prosperous New Year and hope that we can continue to provide a stable and forward thinking platform on which to develop your professional interest and commitment to Records Management.

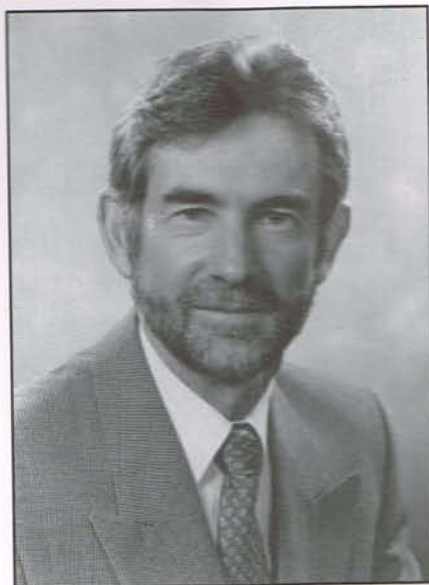
**Denis Comber ARMA**  
**Federal President**

## Editorial

Contracting out services, competitive tendering and outsourcing are not new concepts, but they have become popular business strategies pursued with a great deal of vigour by many government agencies Australia wide. Do you really believe or accept that records management (and the records manager) can be successfully provided by a third party especially over the medium to long term? Is this just a fad or a flirtation with a "different" management philosophy? In this edition Alison Croft raises some interesting issues both for and against outsourcing.

Stephen York reminds us about ethics and the records manager, via a fictitious case study. If we are going to pursue professional status in the community, our code of ethics will need to be reviewed and I hope this matter will be actively addressed by the Association in 1995.

One significant paper that emerged at the Adelaide convention last year, related to document imaging technology and evidentiary issues.



an employment vacancy for a national records management coordinator within the Civil Aviation Authority, noting the upper salary limit being in the vicinity of \$60 000. Surely this is recognition of the value and strategic importance of our industry sector and the practitioners who work in it!

**Ken Ridley ARMA**  
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Having to retain paper originals of scanned images as a risk strategy to rebut possible litigation appears to have retarded expansion of imaging in Australia. As noted in the abstract, information management practitioners will be required to deal with these issues during the 1990's and we publish this article for all those who could not attend the convention.

Recently, I was very pleased to read





# Is Records Management a Candidate for Outsourcing?

*Winner of the Inaugural  
RMAA Literary Award*

*by Alison Croft ARMA*



**A**lison Croft is the general manager of Perth Image & Document Management Services Pty Ltd (IDMS). IDMS was established in 1991 to provide consultancy services in the design, development and implementation of library, records and document management and imaging systems. Alison has twenty years experience in information management gained through working in Australia, Hong Kong, Indonesia, UK, Norway, Sweden, Belgium and USA. She is a qualified librarian, an Associate of the RMAA and a Member of the UK Institute of Information Scientists.

## Abstract

Industry and government are using outsourcing of information technology services to achieve a more competitive business, improve

services and obtain cost savings. As the effective management of records and information becomes increasingly dependent on information technology and organisations struggle to find the resources to manage the information explosion, outsourcing is an option which should not be ignored. This paper examines the arguments for and against outsourcing and the impact on industry, government and the records management profession.

## Introduction

Outsourcing is a means by which organisations can reduce operating costs and overheads, and increase productivity in order to achieve either stronger competitive positions or more cost-effective services. It is a means by which organisations can focus their resources more efficiently on strategic operations or core business and contract out non-strategic functions.

A prime target for outsourcing in industry and government is Information Technology (IT) services. Organisations planning to outsource IT services expect to obtain benefits such as cost savings, more consistent and reliable services, skills not available or affordable within the organisation and the opportunity to implement new applications.

A summary of the results of recent surveys by two consultancy firms, PA Consulting and Ernst & Young, documented in the Australian in March 1994, identified that improved service is the main benefit of outsourcing and that only a small

number of companies obtained cost reductions.

As the need for timely accurate information becomes of paramount importance to organisations in a competitive market and the volume of available information grows incrementally, the effective management and control of records and documents becomes more reliant on IT solutions.

Is records management, therefore, a suitable candidate for outsourcing? This paper explores the arguments for and against and the impact on industry, government and the records management profession.

## The Practicalities of Outsourcing Records Management

In order to ensure that outsourced records management services are practical in Australia, there must be an existing national business infrastructure. This should comprise stable records management businesses, professional records and information management expertise, new and proven technology solutions.

This infrastructure is established in Australia. Australian companies are world leaders in developing records, document and image management technology. Records management businesses have the expertise to assist an organisation to specify requirements for service levels, technical, personnel and budget resources, performance measures and benchmarking.



Within this scenario, the arguments for and against outsourcing records management services can be addressed.

## Impact on Industry and Government

The key to identifying candidates for outsourcing is to determine which operations are "core business" and which are service functions. The management of information and records has usually been viewed as a service in government and industry.

### Arguments For

1. Organisations will have access to a range of professional and specialist expertise when and if required without funding ongoing overheads.
2. Organisations will be provided with more effective records management services resulting in increased business productivity and competitiveness.
3. Artificial ownership boundaries, restricting the accessibility of information resources within an organisation, can be overcome by establishing a single information source and improved availability of information.
4. Organisations can purchase different levels of service and have access to a range of technological solutions for managing and storing records without the system development and implementation problems.
5. Businesses involved in outsourcing can provide skills transfer and training in new technological applications.

### Arguments Against

1. Paper files and electronic documents are retained in organisations because they are perceived as crucial proof of workload and supporting evidence

for actions and decisions.

2. Records management businesses may not have the assets or financial backing to support long-term outsourcing contracts.
3. Records containing confidential and secret information must be managed by the owner organisation.
4. The perception that access security levels may not be sufficiently stringent for records to be managed and stored by third party agencies.
5. Outsourcing would involve staff retrenchment which is a particularly sensitive issue for government.
6. Non-profitable aspects of records and information management services will disappear and the services will become more focussed.

## Impact on the Records Management Profession

Records management professionals around the world are recommending that records managers take a more "proactive" or "aggressive" role in managing information and providing services. Outsourcing could provide the catalyst by encouraging records managers to take a more competitive stance which is more in line with industry requirements and market trends.

### Arguments For

1. A stronger business sector could result in a more powerful lobbying force to develop and enforce records management standards.
2. Business competition will result in an increased requirement for recognisable evidence of qualifications and professional competence.
3. Professional education will need to focus more closely on the practical application of the principles and technology of records management relevant to business needs and objectives.

4. Business and professional opportunities, for the self-employed or small business, will increase considerably.

5. Records management will be viewed as a profession rather than a clerical or secretarial activity.
6. Compliance with professional and quality assurance standards will be an essential component in tendering for and obtaining outsourcing contracts.
7. Benchmarking can be applied to records management services more easily to achieve "best practice" results.
8. As there is a trend towards "virtual banking" and "virtual shopping", should we in the profession support a requirement for "virtual records management" services?

### Arguments Against

1. There will be fewer records management employees at all levels and a more limited career structure in both industry and government.
2. There will be a decrease in the availability of unskilled records management jobs.
3. Records management services may become increasingly specialised and narrower in scope and more dependent on technology.

## Lifecycle Management

What actions are required to ensure that organisations planning to outsource their records and electronic document management services receive a satisfactory service? Firstly, the organisation should determine who are the owners and users or "participants" in the lifecycle management of their information. This action will identify the "creators, users, deliverers and preservers" of paper and electronic records. The outsourcing services can take over the responsibilities of delivery, storage and preservation of records, and in some cases, the creation of records.



Secondly, the organisation should decide their specific requirements for record classification and indexing. This is particularly important in the management of electronic records which require greater intellectual control and organisation than physically managed paper files. The options for organisations include indexing by person or machine, storage and delivery in a range of media and systems, electronic or manual scheduling and document disposition management.

Thirdly, the organisation should determine their preference for delivery of information from the outsourcing contractor to the user. Options include facsimile, courier, electronic data interchange, modems and networks.

## Potential Industry Candidates

Some organisations are already positioned to outsource their records

and information management services. Mining, petrochemical, engineering, construction, utility and transport companies and defence agencies have consistently contracted individuals and companies with specialist expertise to either manage and/or provide resources for a range of projects.

Outsourcing their information management or "document control" services would be of considerable benefit to these organisations. It would relieve them of the need to provide trained staff, suitable storage space and equipment, computer systems and procedures for relatively short periods. The outsourcing contractor can provide and set up these resources at site and project head offices.

Other candidates are government agencies which, through staff retrenchment and economic limitations, must reduce their traditional records management services. An outsourcing contractor can remove, sort, store

and manage the large volume of paper files at competitive cost.

## Conclusions

While outsourcing can be a contentious issue for government, business and the information technology industry, every organisation is faced with managing the "information explosion". The real cost of mis-managing information is often not recognised by organisations. A valuable benefit of outsourcing records management services will be to identify and reduce the costs and related risks of information mis-management. Outsourcing ensures that records management is in the hands of experts.

Outsourcing may also solve the perceived "identity crisis" for records management personnel by providing a catalyst in identifying the real value of their expertise and welding it to a real market need for information to be managed as an asset and available as a "single integrated resource".



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# Emerging Technology - Evidentiary Issues - the South Australian Approach

Graham Pratt

*Dr Pratt is the Managing Director of Opticon-Australia Pty Ltd. an independent consultancy that specialises in the fields of business process re-engineering, document imaging, workflow systems and records management. Prior to establishing Opticon in late 1987, Dr Pratt was responsible for the implementation of the imaging system at the Central Army Records Office (now referred to as the Soldier Career Management Agency). He has undertaken a number of major consulting assignments in the public and private sectors including the work in South Australia on the certification of image systems that is being discussed in his conference paper. Dr Pratt regularly speaks at conferences and conducts workshops on a range of information management subjects. He began his working life in a central registry for a federal government agency.*

## Abstract

During the 1990s the use of computer based technologies as a means of conducting business activity is expected to grow rapidly. The proliferation of electronic mail, electronic data interchange, document imaging, groupware, automated data capture, multi-media and related technologies will create a range of issues and challenges for information management professionals. Apart from matters of specific interest to records managers, the electronic environment will pose a number of interesting dilemmas for governments and the legal profession particularly in relation to matters of evidence.

The importance of the legal and evidentiary issues arising from the

rapid expansion of electronic technologies is highlighted by the inclusion of this subject area at just about every conference in the field of information management. This paper canvasses some of the practical (non-legal) issues that arise from the use of electronic technology that are of interest to users in meeting their legal obligations. As an illustrative example the recent initiatives undertaken in South Australia are outlined and discussed. In this context, reference is made to the amendments to the Evidence Act and the practical steps that have been taken to establish a system of certification for document imaging systems. The discussion will cover the development of the compliance criteria and recent experience arising from the certification process that provides for endorsed systems to be gazetted in regulations. The purpose of this discussion is to highlight some of the technical and legal issues that information management professionals will be required to deal with during the 1990s.

## Introduction

### - The Electronic Trend

Business by electronic means is becoming the *modus operandi* of the 1990s. I would be extremely surprised if there is an attendee at this conference whose organisation is unaffected by the growth of computer based technologies. If there is one such organisation please let me know and steps can be taken to have it preserved by the National Trust!

At present, we are seeing strong growth in the installation of local area networks with PC workstations processing a range of office systems applications. The introduction of

this computing infrastructure provides a capability to implement electronic mail, integrated document management systems, groupware, workflow, document imaging (including facsimile gateways) and multi-media systems.

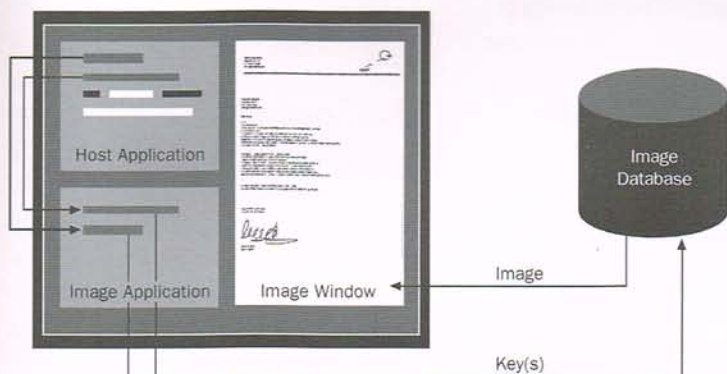
The adoption of these technologies represents a different way of working. It is - to use the current vernacular - a paradigm shift where a fundamental change is taking place in the way that information technology is used to achieve business outcomes (Tapscott and Caston, 1993). It has led to the idea of the knowledge worker - a multi-skilled user of information from a variety of sources available at the desktop or the information workbench.

As organisations progressively adopt the new technologies, a greater proportion of business records will be created and stored electronically. In the future many business records will be created as compound documents compiled from a number of sources such as mainframe data, word processing text, spreadsheet data, desktop publishing templates and graphics. In the next few years it is expected that office systems products will move to a singular document centric focus instead of the separate applications that exist at present. This approach to the creation of business documents and their subsequent storage raises many questions about the concept of a business record and its status as evidence in a court of law. The debate concerning legal acceptance is readily found in discussions relating to electronic document imaging.



## What is Imaging?

Imaging provides the capability to transform hard copy documents (e.g. letters, insurance claims, plans, sketches) into raster (unintelligent or "dumb") electronic images that can be managed by a computer system and displayed on a monitor. Images of documents can be viewed simultaneously on a screen with normal data processing information as shown in the following diagram.



Images are normally created by passing documents through a scanner. The images are indexed and stored in electronic form on magnetic or optical media.

It is important to identify imaging as an extension of an organisation's information technology environment. Imaging is not a separate technology that stands apart from mainstream computing. The systems offered by vendors today

can be very tightly integrated with line of business applications.

Imaging can be used to electronically manage a wide variety of existing hard copy documents. This can include vouchers, cheques, correspondence, files, manuals, plans, drawings, diagrams, forms and maps. Nearly all film based microforms such as aperture cards, roll film and microfiche can be converted to electronic format.

Imaging systems have been installed in Australia since 1986 with millions of documents now stored as scanned images including important public records such as corporate returns, criminal records and land titles. Strong growth is expected in the installation of imaging systems particularly in the areas of government services, banking, legal documents, financial services and insurance.

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products are now offered in the market ranging from high volume transaction processing systems (eg credit card vouchers) to lower end office systems applications. The latter example provides a capability to "image enable" existing office applications. Given the much more competitive pricing of these products, it is expected that many organisations will add imaging to their office systems in order to provide a complete electronic record of relevant information sources.

## Imaging - Legal Issues

One of the major drivers to adopt imaging is to eliminate the inconvenience and costs associated with the management and storage of paper documents. Imaging provides a capability to rapidly identify and retrieve any document stored in the system. The use of mass storage devices such as optical disks held in robotic storage cabinets mean that millions of documents are stored in an area measuring a few square metres.<sup>1</sup>

Once a document is scanned, indexed and committed to storage it should be the end of the matter as far as the paper originals are concerned for the majority of routine business documents. Some potential users reflect this idea in a vision of "Scan and Shred!". The most popular question raised in this context is:

**If we destroy the original paper records, will the output from our image system be acceptable as evidence in a court of law?**

The answers to this question given by legal professionals generally support the view that retention of the originals is probably a wise course of action until the matter is dealt with by parliament and the courts. One of the difficulties facing the legal acceptance of imaging is that it represents a convergence of

data processing and document reproduction. As Reynolds (1994) points out, the courts, tribunals and parliaments have generally taken a different approach to the evidentiary status of computer records and source documents.

It is worth noting that the issue of the acceptance of images is not merely one of legal conservatism. An American authority on this issue describes a case where scanned images were available on screen in a Californian court. The judge and attorneys were comfortable with the legal status of the records but the difficulty arose because witnesses were reluctant to endorse the screen images as originals. In this case the problem was a psychological one rather than a legal one (Skupsky, 1991).

The importance of the legal issues surrounding the evidentiary status of image documents is reflected by the popularity of the subject at conferences. Some examples are Argy (1990), Mason (1991), Sharpe (1994) and Reynolds (1994). It is also confirmed by formal market research (Reark, 1990).

A recent overview of initiatives to reform the Evidence Acts in both the Commonwealth and NSW jurisdictions is given by Mason (1993). He outlines some of the proposed measures that include a wide definition of "document" to cover all forms of storage media including floppy discs, CD ROMs and electronic documents in general. This draft legislation has not yet been debated in the Federal Parliament (as at September 1994).

In reviewing the literature on the legal status of imaged documents the following issues emerge for consideration:

- An imaged document must be an *accurate reproduction* of the original. It is important to note that

the distinction between "an accurate reproduction" and an "exact reproduction". The test for accuracy is based on the integrity of the essential business information being unaltered.

- The management of documents is seen to be *part of the normal course of business* activity.
- *The system is seen to be "trustworthy"* due to the maintenance of procedures that emphasise reliability, compliance and records of satisfactory audit trails.

## The South Australian Legislation<sup>2</sup>

Against a background of doubt regarding the legal acceptance of imaged documents under existing law, the South Australian Parliament passed the Evidence Amendment Act in 1990. This Act, inter alia, provides for a document being admissible, as evidence in a court providing that it "accurately reproduces" the contents of the original. In determining whether a document is an accurate reproduction a court is not bound by the rule of evidence and it may ..... *"make findings based on the certificate of a person with knowledge and experience of the processes by which the reproduction was made."*

The Act also provides for an approved process (e.g. imaging) to be prescribed in regulations. An approved process will be presumed to accurately reproduce an original unless the contrary is established. The onus clearly lies with a complaining party to establish reasonable doubt on the validity of an approved process.

In order to minimise the risk of legal complications relating to imaged documents, the South Australian authorities have produced a set of Image System Compliance Criteria



(Attorney General's Department, 1991) that provide for an approved authority to certify the status of image systems on a regular basis.

The Compliance Criteria cover two fundamental issues:

- The ability of an image system, in the normal course of business, to provide an *accurate representation* of original documents.
- The *integrity of the physical processes* surrounding the capture, committal and output of images.

It is important to note that .... "the requirement to accurately represent the contents of a document is limited to the representation of the information contained in the document. The image system is not required to accurately represent the information that can be intrinsically conveyed by a physical document medium (e.g. forensic information)." (Compliance Criteria, 1991:4).

The criteria upon which compliance tests are based cover the following:

- Document Capture
- Document Storage & Management
- Document Output
- Computer Applications

The process of image system certification comprises both Initial and Periodic Certification. The periodic requirements are yearly certification for the first three years and then every two years thereafter. The organisations concerned are also required to notify the certifying authority of any system changes that have implications for current certification status.

The process of initial certification involves a comprehensive audit of the system and associated procedures and must include the following:

- **a.** a detailed examination of the physical procedures surrounding document capture and output,

- b.** the conduct of tests that include both American National Standards Institute (ANSI) standard test targets (or other standard targets as may be deemed acceptable from time to time) and a representative cross section of business documents to be managed by the system, to validate the technical capability of the system to accurately reproduce the contents of documents,
- c.** an audit of the software capabilities of the system,
- d.** a review of system audit trails,
- e.** a security, back-up and recovery assessment of the system,
- f.** a review of the hardware capabilities of the system, and
- g.** any other procedures of tests that may be necessary to verify the system's ability to meet the compliance criteria."

(Compliance Criteria, 1991:7).

It is also important to mention that in developing the Compliance Criteria consideration was given to the following factors:

- The need to ensure that control procedures designed to protect the central requirement of "accurate representation" do not in themselves impose unreasonable commercial overheads and reduce the cost effectiveness of image systems. (For example, the 100% quality assurance validation of scanned images against original documents may be viable in the case of a departmental image system, capturing several hundred new images per day. However, in a high volume item processing application - such as a bank scanning up to several hundred thousand cheques per day - a requirement for 100% validation against the original would likely render the system commercially unviable).
- The need to avoid direct

references to storage media (as has occurred in some overseas legislation) due to rapid advances in technology.

## Recent Compliance Tests

For the conduct of compliance tests the testing authority has developed a methodology based on the following:

- **Technical Discussions and Presentations** - obtain detailed information on the functional design and operation of the system.
- **Observation and Interviews** - with major emphasis on document preparation, scanning and updating, and computer operations.
- **Review of Documentation** - including user and operational procedures and technical documentation.
- **Audit of Document Images** - a random sample to evaluate both document indexing and image quality and accuracy.
- **Review of Production Libraries** - the listing, description and selected execution of relevant modules.
- **Analysis of Findings** - the issue of a preliminary report for corrective action prior to a final compliance report.

The consideration of the legal acceptance of image system output is, for those systems already implemented, occurring *post factum*. In addition, the majority of these systems tend to be "non-financial" (i.e. even though the documents that they manage may form the basis for financial transactions, the responsibility for the integrity of those transactions rests (typically) with other systems.)

The implication, here, is that existing image systems may not have been designed and implemented "from the ground up" with legal compliance issues in mind. The





argument that "this is infinitely better and more accurate than our old manual system - so what's the problem?" is a pervasive one. The difficulty is that our general expectations of the accuracy and reliability of "computer systems" are also significantly higher than those of manual systems.

The issues that have arisen from recent case examples are briefly discussed below.

Some results from the testing of scanning processes are as follows:

- The use of highlighters that "black out" the original words on a screen.
- The use of scanner threshold settings which can degrade the contents of a document.
- Some variation in the reliability of the grouping of separate images into document entities, particularly in the case of a mixture of single and double-sided pages.
- The need to include sample checks on indexing accuracy and image quality in internal audit checks.
- The scanning of non-standard documents where operations did not scan complete documents.

Other matters that have come to light are listed below:

- The requirement to control access rights particularly in relation to password procedures.
- The importance of the separation of staff members and the duties associated with the roles of system development and system administration.
- The lack of well developed recovery procedures and the associated testing of the procedures.
- The need to ensure that all changes to indexing data are properly documented.

- The value of natural validation of image documents by users of images for operational purposes. (In short, if image quality is not good enough users complain!)

It is interesting to note that in sites that have been the subject of several compliance tests the largest amount of corrective action occurs with the first visit. However, a number of new issues usually arise on subsequent compliance checks due to such factors as system expansion, software upgrades and staff changes.

At this stage, we have not encountered major issues arising from the integration of imaging with existing line of business applications. Whilst the technical issues surrounding such levels of application integration are progressively being addressed by the industry, the organisational aspects of such integration raise some interesting questions for compliance procedures and legal acceptance, such as:

- In the case of multiple databases (e.g. separate document index database and corporate application database) what measures ensure that the databases are synchronised (particularly where redundant data is retained for performance reasons)?
- Where document related applications are spread across the image platform and the existing "host" environment, which system now represents the "authority" for certain conditions, such as the receipt of a document or the initiation of a financial transaction?

These issues are clearly not insurmountable, but require careful consideration so that reasonable "checks and balances" are implemented.

## Conclusion

The changes introduced in South Australia with respect to the

Evidence Act and the compliance certification process represent the first initiative of this type in Australia. Those responsible are to be complimented for providing a conceptually sound and comprehensive approach that brings the law into line with contemporary business practice. Whether the process will stand the test of legal challenge is something that can only be decided in the courts. As yet this has not occurred. While it is difficult to predict the outcomes of a legal test case, the documented and procedural nature of the compliance process should significantly improve the chances of a favourable outcome.

On this basis, can we destroy the paper? My answer is that the probability of your legal advisers of saying yes, at least in South Australia, has increased but in the absence of a test case many will still adopt a conservative approach and advise you to keep the paper.

In regard to legal issues and image systems, the following observations are made:

- Image systems are still relatively new. The removal of the paper medium can represent the disturbance of a fundamental basis for doing business (probably much in the same way as when the first manual accounting systems were being automated some 20 to 30 years ago). Therefore, it is likely that constraints may be placed on these systems, that would not normally be considered for purely data based applications, in an effort to compensate for the removal of the "security" delivered by a familiar medium.
- It is true that the information intrinsically conveyed by the paper medium (pressure points, forensic information etc.) is lost in an electronic image based



representation. The establishment of what represents "business information" and the ability of the system to accurately capture and deliver that information, therefore becomes a critical issue.

- Whilst application and database integration is not new, integration is a regular feature of the imaging landscape. Careful attention needs to be placed on the automated and procedural aspects of the integration of image based applications with existing systems to ensure that the concepts of the segregation of duties (particularly where imaging forms the basis for multi-skilling and "one-stop-processing"), security and consistency of data are not comprised.

However, as imaging becomes a commonplace element of general computer systems (particularly where, as a part of systems redevelopment, the management of image objects is included from the initial design stage) the current emphasis on the distinctiveness of imaging will largely disappear.

As a final point, it is perhaps no mere coincidence that the first major initiative to resolve the legal impasse relating to electronic document reproduction occurred in South Australia. We should remind ourselves that this state has achieved many legislative "firsts" going back to voting rights for women a century ago.

While I am not suggesting that the matter of legal acceptance of electronic records is of the same significance, it is still worth noting the pioneering nature of the initiatives taken. Well done South Australia!

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Note: This paper was presented at the 11th National Convention in Adelaide by Russ James.

1. *One storage product now in use in Australia is optical tape with a storage capacity of 20 million images of A4 pages!*

2. *Some of the comment that follows is based on Pratt and Dymet (1992).*



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# Proposed Australian Standards on Records Management

**D**rafts of a group of proposed Australian Standards on records management are expected to be released for public comment in April.

An initiative of the Records Management Association of Australia, the drafts are the product of more than two years' work by a Standards Australia technical committee and its subcommittees with board representation from professional bodies, government authorities, educators and the private sector. The committee and subcommittee have drawn extensively on the skills and experience available in the recordkeeping communities.

The proposed standards are designed as a voluntary code of practice and will provide guidance for the implementation of records management strategies, procedures and practices in any organisation which needs to control and manage its records to meet business, legal and fiscal requirements as well as quality systems. They will also be able to be used to measure the effectiveness of records management systems and programs. Compliance with these standards will ensure quality records compliance as

prescribed in the AS9000 - AS9004 Quality System Standards.

The drafts to be released for comment are expected to comprise a main standard and a number of related standards on major aspects of records management processes and practices. With little available in the way of international standards in this area, the drafts have drawn on current and progressive approaches from around Australia to represent national best practice.

Public comment will be accepted for a period of two months following the release of the drafts. People interested in commenting should contact Standards Australia in April to obtain a copy.

Committee IT/21 Records Management

Chairperson:  
Mr David Moldrich

Projects Manager:  
Mr Peter Treseder  
Information & Communication Group

STANDARDS AUSTRALIA  
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## Optical Technology Special Interest Group (APS Applications)

The main purpose of the OTISIG is to provide an open forum for discussions concerning Australian federal agencies' experiences with optical technologies, as well as providing a continuing opportunity to invite relevant industry representatives to

stage presentations on a range of relevant topics. All persons with an interest in the use of optical technologies in the Australian Public Service are welcome to attend. There is no attendance fee.

In 1995 it is expected that the group

will meet at 10.30 am on the first Wednesday in even months in the Community Room, Belconnen Library, 12 Chandler Street, Belconnen, ACT.

For further details contact Andrew Freeman on (06) 264 3968.

## Australian Society of Archivists 1995 Conference

The next Conference and Annual General Meeting of the Australian Society of Archivists Inc. is to be held in Canberra from 27-29 July 1995. The theme of the Conference is *Archivists: the image and future of the profession*.

The Conference will mark 20 years since the foundation of the ASA.

The Conference will explore issues connected with the perceived image of the archivist and their role generally, just how archivists have responded to change, what is believed to be the role of the archivist, and what will be the role of the archivist in the foreseeable future?

The Keynote Speaker at the Conference will be Dr Richard J.

Cox from the University of Pittsburgh, USA. He is among the leading writers and educators on archives in the English-speaking world and is the current editor of *American Archivist*. Dr Cox is the most significant writer on the topic of professionalism for archivists. His two most recent publications are *Managing Institutional Archives* and *American Archival Analysis*.



# Ethics and the Records Manager: is there any relationship?

*Stephen Yorke, Australian Archives.*

*The writer commenced employment as a filing clerk with the then Electricity Commission of New South Wales.*

*He has been with Australian Archives since 1978 working in the areas of records disposal policy and systems analysis. Currently, he is a project officer with the Custody and Preservation Program dealing with issues connected with disaster preparedness, electronic records, and performance indicators.*

Issues concerning professional ethics are, for the most part, perhaps generally seen as being linked with professions such as law, medicine, and journalism - at least this is where we hear the most mention of them in the media. Most often such a mention is in connection with some controversial issue. Sometimes it is by a recourse to ethics that a successful defence can be mounted or a particular course of action can be justified. But ethics, of course, could help determine action in everyday situations, rather than in just controversial or unpleasant ones.

Just what do we mean by 'ethics'? The Shorter Oxford Dictionary gives one definition as being: 'the rules of conduct recognised in certain limited departments of human life.' Whole books are written about the definition of ethics, how they should be applied, and about how they relate to particular professions.

To what extent records management can be defined as a 'profession' is

certainly open to debate. But for the sake of argument, assume for the moment that records management can properly be called a profession. Cogan<sup>1</sup> states that: 'The Profession, serving the vital needs of man, considers its first ethical imperative to be altruistic service to the client.' Reaching for the Shorter Oxford Dictionary again, we find altruism defined as: 'regard for others as a principle of action; .. (as opposed to) .. selfishness.'

I am sure we are all aware of instances where professionals have been less than professional and certainly unethical. But maybe it is no co-incidence that professions which are in the public eye such as those mentioned have formulated Codes of Ethics. The contents, interpretation, or coverage of such Codes are constantly questioned either by members in the particular profession or members of the public who feel their interests are disadvantaged by them.

The RMAA does itself have a short Code of Ethics. The Code is based on the ARMA Code of 1989. Whether or not such a short code is useful is open to question: the Code's structure and coverage is very much in terms of stating that a records manager has an 'obligation' to employer, country, Association, and so forth. But it does not state just what are these obligations. If we couch ethical codes in terms of unspecified obligations then I think they are insufficient to provide any real guidance in practical situations. The 1989 ARMA Code is itself described by Pemberton and Pendergraft as being 'In its present

state ... the written code of ethics for the field of information and records management seems more like a loyalty oath for a trade union member than a code of ethics for a profession.'<sup>2</sup>

The question of just what in fact is an ethical issue in the workplace can be a difficult one to determine, particularly in the absence of a detailed Code or other guide. Records managers who, for example, have to juggle staff resources, put up with unreasonable demands for services, and suffer poor storage facilities, and so forth, do not automatically give problems consideration in terms of whether or not ethical issues are involved. In other words, ethics and codes of ethics could be seen by many as a luxury rather than a necessity for the day-to-day conduct of the job.

My answer to the practical question of what is the place of ethics in the work place is: ethics are concerned with doing the 'right thing.' To put the matter another way: an ethical issue can be seen as a situation or problem which cannot in good conscience be resolved by application of normal managerial practices or procedures which may have been formulated or condoned by an employer. The basic problem follows then of deciding just what is 'right' and, following on from that, what is the 'proper' thing to do in such a situation.

But instead of getting bogged down in theory and, for example, trying to construct a complex code, why not consider what would be the right course of action in a practical situation?



For example, the records manager deals with the creations or products of other people: their records. Thus, to an extent, the records manager can hide behind the actions of others or to see and treat records merely as objects without taking any real responsibility for their potential value:

'Of course those records were destroyed. The schedule you agreed with said the records were to be destroyed so they were. I advised you on the matter but you as departmental head decided how long they should be retained'.

Does this sort of conversation sound familiar? The question for ethics in this situation is perhaps: to what extent we know about what is in the records and how that should influence our advice about their retention. For instance, if we believe the departmental head was mistaken about their value in the first place then how strongly should we put the opposing case to him or her?

There are also other aspects to such an issue. The definition of the duties of the professional given previously also makes mention of 'clients'. Assume that the client is the person or object to which we provide services. However, if there are in fact various different clients, what are their respective rights? What if the clients have conflicting interests? For example, while we certainly owe our employers a duty - after all they are paying us - should the records and the potential use of records for other purposes be a consideration? These purposes may well be in conflict with our employer's desires.

The issue then is should records managers take such interests into account? A major question could be whether records managers have an obligation to consider such other interests and to what extent should they act as a consequence of such a consideration.

Consider the following scenario:

*Mr Schwartz is the Records Manager for the Gelber Corporation and has been employed by it for some twenty years. He is probably its longest standing employee and has never worked for any other employer.*

*When Mr Schwartz joined Gelber Engineering, it was a company based in the suburbs with about 200 employees at any given time. Next door to the factory was the site of Acme Products which was one of Australia's largest manufacturers of products containing asbestos. Acme was at that time a part-owner of Gelber.*

*The now Gelber Corporation is a public company which is listed on the stock exchange. Over the years, Gelber has changed from being a manufacturing company to one primarily devoted to property development and related activities.*

*Gelber is no longer involved in manufacturing but still owns the original factory. Ownership or control of Gelber has changed several times and has usually involved a takeover battle. Recently, the company has been significantly down-sizing. Its personnel practices are poor: dismissal has been known to take the form of summary removal from the premises.*

*Several years previously the records management section was moved from the suburbs to occupy vacant space in an unsuccessful CBD development of Gelber. Most of the inactive records including personnel records were left behind in secure storage.*

*Records have never been a priority with Gelber. Usually, Schwartz does not have sufficient staff to perform properly all the duties required. But (for the most part) the records have been sentenced in accordance with a records disposal schedule. The schedule took into account all legal retention requirements. However, very little destruction of scheduled records has occurred. The reasons for this situation are complex but they are*

*basically due to a lack of resources, no storage space problems, and a personal disinclination to do so on the part of Mr Schwartz. The records represent Schwartz's entire working life.*

*The current problems of Gelber Corporation have been extensively covered in the financial press: it is believed there is a significant cash-flow problem, a shareholder group is accusing management of improper or illegal activities and is taking the matter to Court, and the Australian Securities Commission is rumoured also to be taking an interest in the activities of the Corporation.*

*Schwartz is also aware of such matters but does not know the details: most of the people he knew in management have long gone. He has also read in the newspaper reports of contamination on the Acme site and of health problems of various ex-employees of Acme who claim they are linked to the asbestos.*

*One day, completely unexpected, Mr White the Services Manager came to see Schwartz. White is Schwartz's supervisor. He has not been with the Corporation for very long and it is not entirely clear just what are his responsibilities.*

*Schwartz had only met White a few times and it had been rumoured that he is not to be trusted. White asked to see the records storage area and was shown around by Schwartz. The corporate records were all properly stored on shelving or in filing cabinets which had belonged to departed employees. He expressed surprise at the size of the holdings. After the inspection they returned to Schwartz's office and White closed the door.*

*'I want you to get rid of them' said White.*

*'Get rid of them?'*

*'The records. All those filing cabinets. All of them'*

*'But we have to keep them. For company reasons and legal purposes.*



*They protect the assets of the Corporation.'*

*Schwartz tried to explain why a company is required to keep records but White was not interested; he just looked out of the window. White eventually cut in on Schwartz and stated the Corporation was facing problems but would not say what these are. He would not discuss the matter any further.*

*Schwartz in desperation said: 'But if there are these problems, then wouldn't just getting rid of everything look suspicious. What if the lawyers found out? I mean what would they make of it?'*

*'You're right' responded White nodding. 'There are such requirements such as legal obligations. You know, this is prime office space and we should be trying harder to rent it out. Get rid of everything that we are not legally obliged to keep on the basis of what we know now. All the rest, and I'll check it personally, had better be out of here by Friday. I'll let you know where to send them. In fact, I want this entire floor cleared by Friday.'*

*'But ...'*

*'Just do as I tell you. Don't worry about the money.'*

*White walked to the door, then paused. He turned and asked: 'We don't have records stored anywhere else?'*

*'No.'*

In the scenario, Schwartz faces various problems. Some are managerial and some are arguably ethical in nature. And what about self-interest - does not Schwartz owe something to himself and family? What about his staff - what does he owe them? As with ethical matters generally, it is possible that no two readers would see the major problems as being exactly the same or give them the same emphasis or priority.

Just what are the problems being faced by Schwartz and what are the

appropriate courses of action will be discussed by several records managers in the next issue of *Informaa Quarterly*.

If any reader has an opinion on the scenario, or believes there is no connection between records management and ethics, or wishes to raise readers a real-life ethical problem, please forward them to the Editor of *Informaa Quarterly*.

*All contributions will be treated confidentially and will be printed anonymously if so requested.*

Lastly, there are few specialist studies of ethics and records management. A literature search reveals little in the way of journal articles. However, there are some in *Records Management Quarterly*.

There have been some studies done in relation to archives and ethical matters. The most recent in Australia is *Ethics, Lies, and Archives* (3). This is the Proceedings of a seminar examining in detail aspects of various case studies of problems involving archives and other records related issues. It is only ethical to mention the writer of this article is a joint editor of *Ethics, Lies, and Archives*.

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# Branch Reports

## Tasmanian Branch Report

The past few months have seen a great deal of activity by the Branch in its endeavours to provide interesting and informative workshops and training sessions to its members. A third keyword classification workshop was held and once again was oversubscribed. Looks like more this year!

Our Christmas party was well attended with the "Go for Gold" records management olympics attracting six teams which vied for a very impressive perpetual trophy, individual medals and a bottle of champagne. This year's winners

were a composite team from the Tasmania Development & Resources and Education & the Arts, closely followed by the Department of Community & Health Services No2 team. Congratulations to the winners and look out next Christmas - there are others after your trophy.

The Branch has been closely following the Government's moves to water down Freedom of Information legislation in the State. One of our regular guest speakers, Dr Rick Snell of the University of Tasmania, has been very outspoken about the implications of what is being attempted and we fully support him.

National Records Management modules will be introduced at the Colleges of TAFE in February 1995. Well done to those who have worked so hard to ensure their introduction.

Tasmania's Local Government Chapter has had a few setbacks during the year but they are battling on regardless and doing a great job raising awareness and promoting good records management practice in Local Government.

On behalf of the Branch I would like to wish all members well for 1995 and hope you have a safe, happy and prosperous New Year.

**Trish Wichmann ARMA**  
President

## Victorian Branch Report

The Victorian Branch has again been busy, (as usual the State Secretary is flat out!). We have been organising events, putting together the 1995 Product Directory, running Local Government Training sessions, and organising the 1995 Annual Convention. Wow!

The Local Government Chapter Victorian Branch successfully completed the second series of workshops based on the Training Manual they produced. You can still purchase a copy of the Training Manual for the cost of \$150.00, through the Secretary of the State Branch c/- GPO Box 2270U MELBOURNE 3001. More events are planned for Local Government including an Amalgamation Workshop in Ballarat in February.

State Seminar papers are still available from the State Secretary for

the amazing low price of \$25.00. Copies of previous years papers are also available for the cost of \$10.00.

The State conducted a workgroup session. This session consisted of a panel discussion on workgroup theory. Presenters included Tony Poynton from Canon Australia, Peter Chomoly from IBM, and David Moldrich from BHPIT. Those who attended were treated to an array of opinions on workgroup theory. Attendees had the opportunity to question the speakers on their particular theory. It was an informative afternoon for those who attended.

The 1995 Product Directory is currently in the process of being updated. Expect your new copy in the near future.

Our Christmas function was held on the Observation Deck of the Rialto. Together with the ASA, RMAA members not only got the opportunity to exchange views and

discuss the industry, but we also got to enjoy a panoramic view of Melbourne. A fantastic time was had by all. Some members even managed to continue with the festivities long after the main function had finished.

In terms of the National Convention, the Victorian Branch is well and truly working towards providing something new. The official program will be released shortly. The event will incorporate a multitude of both educational and social functions, all specifically designed to ensure Delegates get the most out of the event. Keep your eyes open for registration details.

In terms of education, the Victorian Branch has begun the long and involved process of accrediting the ACTRAC course. At this stage the course will be available in 1996.

**R Kaczynski MRMA**  
State Secretary



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# Branch Reports

## NSW Branch Report

What an incredible year our Branch has had. I believe that it would have been virtually impossible for anyone to have foreseen the level of commitment and support we experienced in 1994.

Some significant milestones included:

- An increased attendance at our monthly Branch meetings.
- Our meeting room catching fire and the subsequent disruption to a number of our activities.
- A dinner at Darling Harbour which celebrated 25 years of records management in Australia.

• Seminars and breakfast meetings which attracted large attendances.

• Major support from our vendor members.

• A membership which now exceeds 500 members.

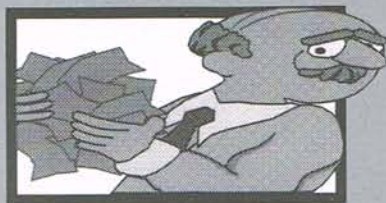
• Significant changes to the way we administered the Branch.

Special thanks must be given to the fine efforts of our various committees, plus the welcome assistance of a few volunteers, who toiled away throughout the year to ensure that we could organise and arrange our meetings, newsletters, and special events. As you will appreciate, most of this work tends to go unnoticed unless you are personally involved, and all credit must be paid to those individuals, vendors

and agencies who generously helped the Branch throughout 1994.

I would also like to thank those members of the Association, who actively supported our functions by their attendance at meetings and seminars. Also it is important to recognise that many of our successes were due to the commitment of agencies supporting the Association who allowed their staff time off from work to attend our activities. Without their support, attendances at our seminars and breakfast meetings would have suffered. Lastly, our vendors once again, gave us overwhelming support and their contributions are greatly appreciated.

In keeping with our previously established high standards, Branch



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Council has embarked on a forward looking program to take us well into 1995 and it is significant to note, that we have been able to secure quality speakers and obtain good venues for our meetings and seminars.

As a major stakeholder in the information industry, the Branch is seeking to develop professional working relationships with groups which share a common interest with our aims and objectives whether they be professional associations, vendors or teaching institutions. The primary aim of these relationships is to ensure that we can continue to maintain our high standards.

I would like to emphasise the need for you as members, to actively support the Branch and to contribute in the best way possible in furthering records management in NSW. It is also important that you have a say in how the Branch is promoting records management and to that end, Branch Council is happy to receive your views for improving our services.

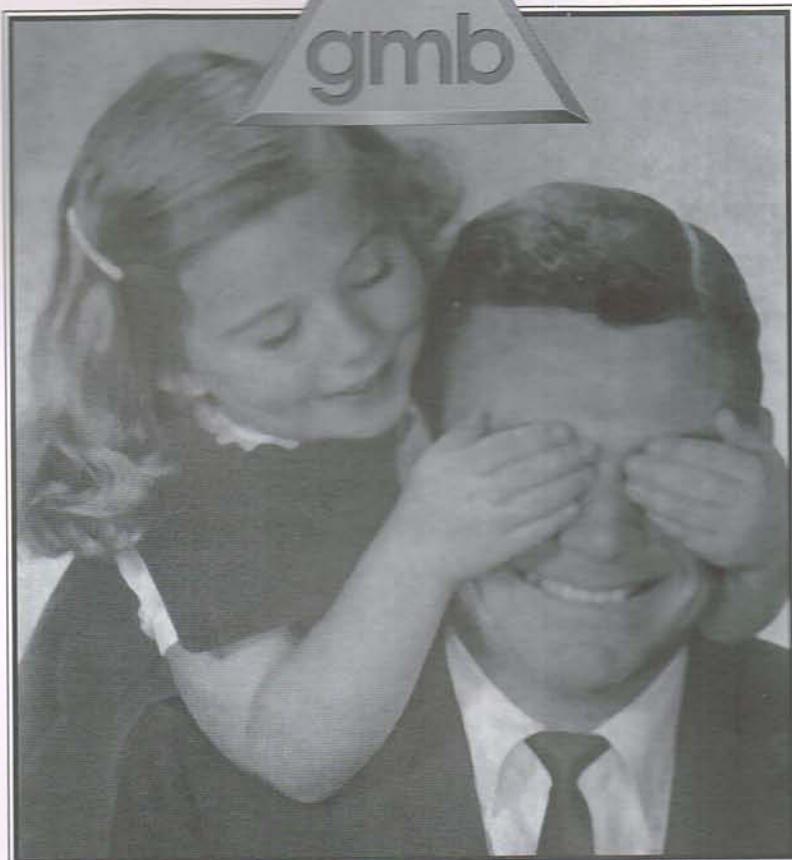
Furthermore, it is important for those members with Associate status and above, to recognise that you have a voice in the affairs of the Association, and as voting members, that you are aware of your rights and opportunities to express your views. Your Branch Federal Directors are also available to discuss any matters concerning Federal issues that you may wish to raise. Lastly, I would particularly like to see any members seeking an upgrade to Associate status do so as soon as possible as it is important for you to have a voice in the decision making process and the direction of the Association generally.

I would like to wish you, on behalf of Branch Council, the very best for 1995 and to hope that you can build on the level of support that you gave the Branch in 1994.

Denis Comber ARMA  
President, NSW Branch Council

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# Branch Reports

## Queensland Branch Report

A new course in Records Management, the Certificate of Records Management, will be introduced in 1995 through Queensland TAFE. The course incorporates a range of compulsory and elective subjects in the records management field which were developed from the National Records Management Project. The course consists of 490 hours and can be completed in 2 years of part-time

study. Credit for previous studies applies. The course has been written in the competency learning style to facilitate the student's learning experience and provide a range of flexible modules. Work is continuing on developing a Diploma course for those students wishing to undertake further studies.

The Branch in 1995 will be focussing efforts to increase membership numbers and attract a greater diversity of membership. A

special mailout to businesses in the Central Business District of Brisbane will be a feature of the campaign.

The Branch will continue with its broad range of Continuing Education activities. A Freedom of Information forum is planned for February, followed in later months by various guest speakers and site visits.

**Philip Taylor MRMA**  
Vice President Education and Professional Development

## ACT Branch Report

In November 1994, the ACT Branch provided a stand at the "Playing for Keeps" conference which was conducted by Australian Archives at the Hyatt Hotel in Canberra. The conference was successful and the RMAA stand was well patronised with many enquiries being made regarding membership and the purchase of publications.

The ACT Branch plan to hold a special seminar in March entitled "Storage Media and the Law". The principal topic will relate to legal issues but will include peripheral aspects.

A similar seminar was conducted several years ago by the ACT Branch

and proved to be very successful. We have attracted some very interesting speakers who will provide updated information on those topics.

One of the ACT Branch objectives for 1994/95 is to continue to foster and support close liaisons with like associations. The Branch is therefore pleased to have one of our Branch Council members and former President Elaine Eccleston as a member of the Australian Society of Archivists 1995 conference organising committee. The conference titled "Archivist - The Image and Future of the Profession" will be held in Canberra on 27, 28 and 29th of July 1995.

Our Vice President Arthur Langford-Smith has also been nominated as Secretary of the Optical Technology Special Interest Group (OTSIG) Australian Government Applications. The main purpose of the group is to provide an open forum for discussions concerning experiences with optical technology, as well as providing a continuing opportunity to invite relevant industry representatives to stage presentations on a range of subjects. Elaine Eccleston has given an informative presentation about our Association at one of the past meetings. The meetings are also well attended by Branch Council members.

**Julie Lenson ARMA**  
ACT Branch President

## WA Branch Report

Activities for the WA Branch have been relatively quiet during the festive season. However, Branch Council has been working on several important issues and looks forward to 1995 as another busy year.

The Association now has a representative on the newly created committee for the information industry. This committee is the brainchild of Mr Rod Smith of the Public Sector

Management Office, who invited Industries and Organisations with a common interest in information to nominate a representative. This committee will meet on a regular basis and Mr Brain Braysher, Chairperson Technology and Industry Standards, is this Branch's representative and will report back to Branch Council on each meeting.

A special sub-committee has been formed to prepare a submission to the Commission on Government to address the issue of an independent

State Records Office in Western Australia.

Ms Maggie Exon is the new Chairperson of the Education committee as Ms Janine Douglas resigned due to work commitments.

A breakfast seminar was held early in February with two guest speakers being the winners of the Branch's Excellence in Records Management Award for 1994.

**Norma Easthope ARMA**  
Secretary



# EDUCATION & TRAINING

Education and Training is a new section of INFORMAA QUARTERLY in which selected educational institutions can advertise course information on records management. For more information please contact:

Bernadette on  
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# Document Scanning Software

**T**riad Data Magic has announced the release of a new document scanning package released by Inmagic Inc which streamlines the process of scanning documents and linking the image files to INMAGIC Plus databases, where the images can be retrieved, displayed and printed.

INMAGIC Scan, from the developers of INMAGIC Plus document/image management software, captures document images, converts them to black and white TIFF image files, and automatically creates an ASCII file that maps the images to the corresponding records in an INMAGIC Plus database. Integration is complete when the

ASCII file is imported into the database, eliminating the cost and time of manual integration.

## Automated to Maximise Throughput

A wide range of scanners is supported by INMAGIC Scan, from desktop flatbed scanners to high volume commercial scanners. To maximise throughput, the software supports scanners with automatic document feeders (ADF) and can automatically assign image file names. These features together enable highly efficient scanning, minimising the need for operator intervention.

## Open System

INMAGIC Scan produces non-proprietary TIFF images with Group II or Group IV compression. No specialised hardware or software is required to scan, store, display or print scanned images.

INMAGIC Plus software is used to manage text and images by more than 25,000 people in a variety of industries in over 50 countries (including over 2,000 users in Australia and New Zealand). Free demo disks of INMAGIC Plus are available.

**For further details, contact Triad Data Magic on (03) 696 4866.**

# SGML: A New Rosetta Stone?

**T**he introduction of SGML (Standard Generalised Markup Language) is set to revolutionise the preparation of electronic documents. ISO 8879 is the SGML standard for the "mark up" of documents. SGML aims to remove the "hard coded" formatting commands normally found in most WYSIWIG documents and replace them with descriptive tags which are defined outside the document. This will allow documents to be used on any hardware, software or operating systems without loss of format. SGML also allows individual pieces of data such as graphics and video to be maintained within the document.

SGML utilises three key document attributes: Structure, Content and Style. To ensure that documents have a logical and consistent structure SGML defines rules which

govern the relationships between document structure and content. These rules are stored in Document Type Definitions (DTD) which define a framework for organising the document. An SGML document consists of three parts: A document instance, which contains the text of the document, and tags which delimit parts of the document; a set of DTDs which define and give meaning to the tags and the document parts that they delimit, and an SGML declaration which defines the character set and special characters found in the document instance.

The Department of Defence has now defined a set of DTDs which are being used to make up technical and administrative documents. The corporate tag set which has been defined will provide a foundation

for the consistent exchange of documents across the entire organisation. The production of the DTDs is an integral part of the Department strategy to implement CALS (Continuous Acquisition Lifecycle Support). CALS is a global strategy to enhance business process integration through the application of standards and technologies for the development, management, exchange, and use of business and technical information. Defence has already recognised that, as it moves to implement electronic commerce, SGML for the exchange of contracting and specification information will be combined with EDI.

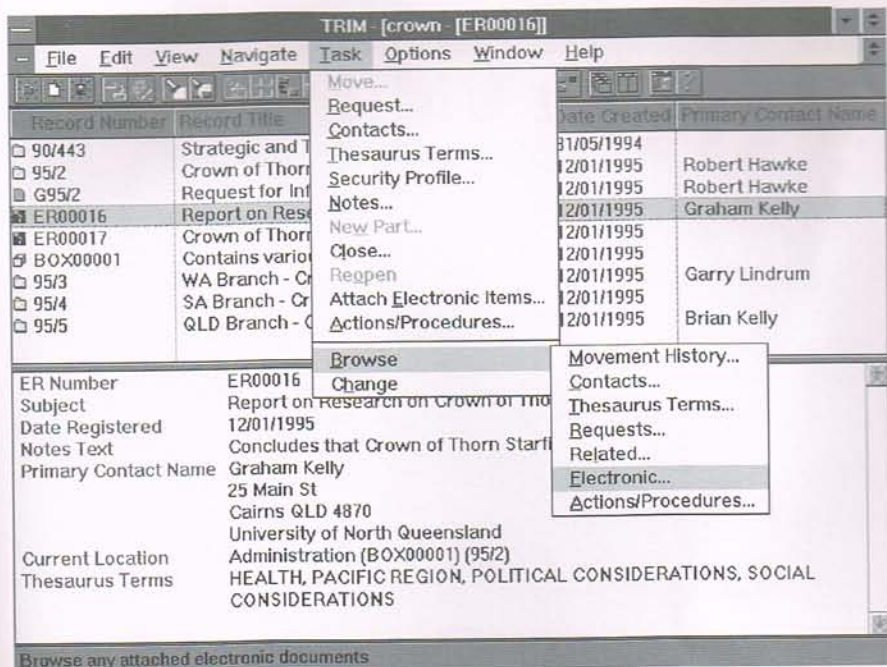
Courtesy:

**Commonwealth Government  
IT News, July 1994**



# TRIM for Windows Release 2.0

## Combining Paper and Electronic Records Management



TOWER Software, a Canberra based research and development company, has announced the release of TRIM for Windows version 2.0. TRIM for Windows is the successor to Australia's leading records management software package TRIM.

Various versions of the TRIM package are now managing an estimated 30 million records. TRIM is installed throughout Australia and overseas in many countries, including Poland, Turkey, USA, Canada, Hong Kong, Philippines, New Zealand, England, Pakistan etc.

Many existing TRIM customers are converting to TRIM for Windows to take advantage of their Windows PC workstations.

TRIM for Windows is a Client/Server application capable of interfacing to many standard Relational Data Base Management Systems (RDBMS) such as

ORACLE, INFORMIX, INGRESS, SQLServer, SQLBase, WATCOM as well as traditional ISAM. This is achieved by being compliant with Microsoft Open Data Base Connectivity (ODBC).

TRIM for Windows Release 2.0 incorporates the management of Electronic Records, Thesaurus (ISO Standard 2788) and Keyword Titling. All existing Release 1.0 to Release 1.6 sites will receive automatic free upgrades under TOWER's maintenance policy.

Geoff Moore, Sales and Marketing Manager for TOWER believes "that after an impartial comparison between TRIM for Windows and other products, customers will find it difficult to go past TRIM on the basis of ease of use, flexibility, configuration and new features. TOWER won a record number of new sites last year and, based on current sales, we are going to have another very good year in 1995".

Mr Brand Hoff, Managing Director of TOWER Software, has labelled TRIM for Windows "the Quality Standard in Records Management Software". TOWER has dedicated itself to producing a quality product, backed by quality service to provide a quality solution to its customers. So serious is TOWER about quality that the company operates under a Quality Management System which is accredited against AS3901/ISO9001. TOWER has also appointed a full time Quality Manager and operate under TQM management philosophies.

### STAFF APPOINTMENTS

TOWER also announced the appointment of a new Branch Manager for Sydney. He is Mr Ralph Wilkinson who comes to the company with considerable skills including specialist knowledge in the field of imaging and electronic records. This complements the appointment in September of Ms Jan Bannellick in the TOWER Melbourne Office. Western Australian customers will continue to be supported through Chris Stokes at Sigma Data Solutions.

### NEW ZEALAND DISTRIBUTOR

TOWER is currently in the process of appointing Distributors for TRIM for Windows. The first national distributor appointed is On Stream Distributors (NZ) who will market the product through Imaging Solutions Pty Ltd.

### MORE INFORMATION

For further details please contact Brand Hoff, Managing Director at TOWER Software on (06) 282 4655.



# PRODUCT INFORMATION GUIDE

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

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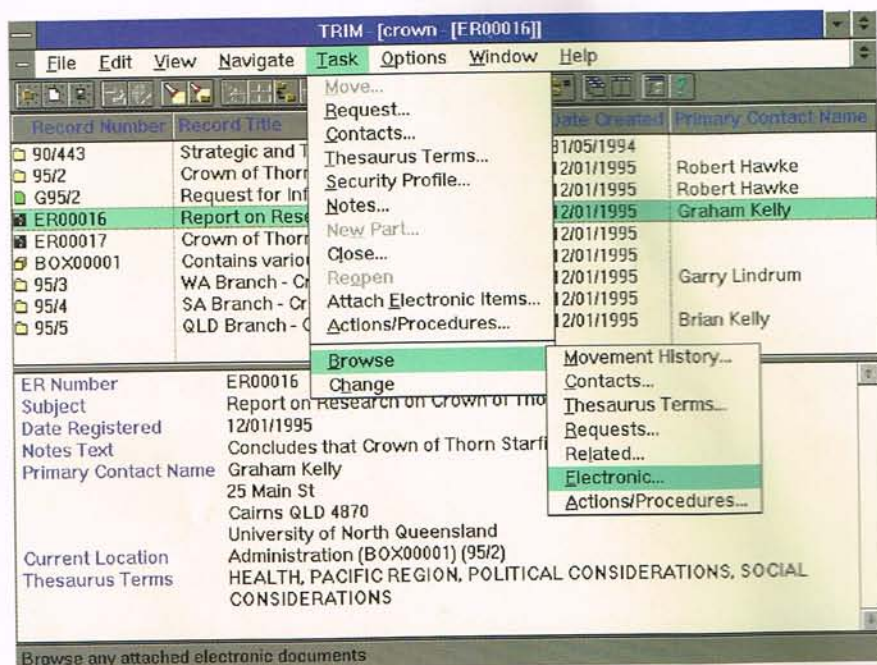
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