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1994 - RMAA
Silver Jubilee Year



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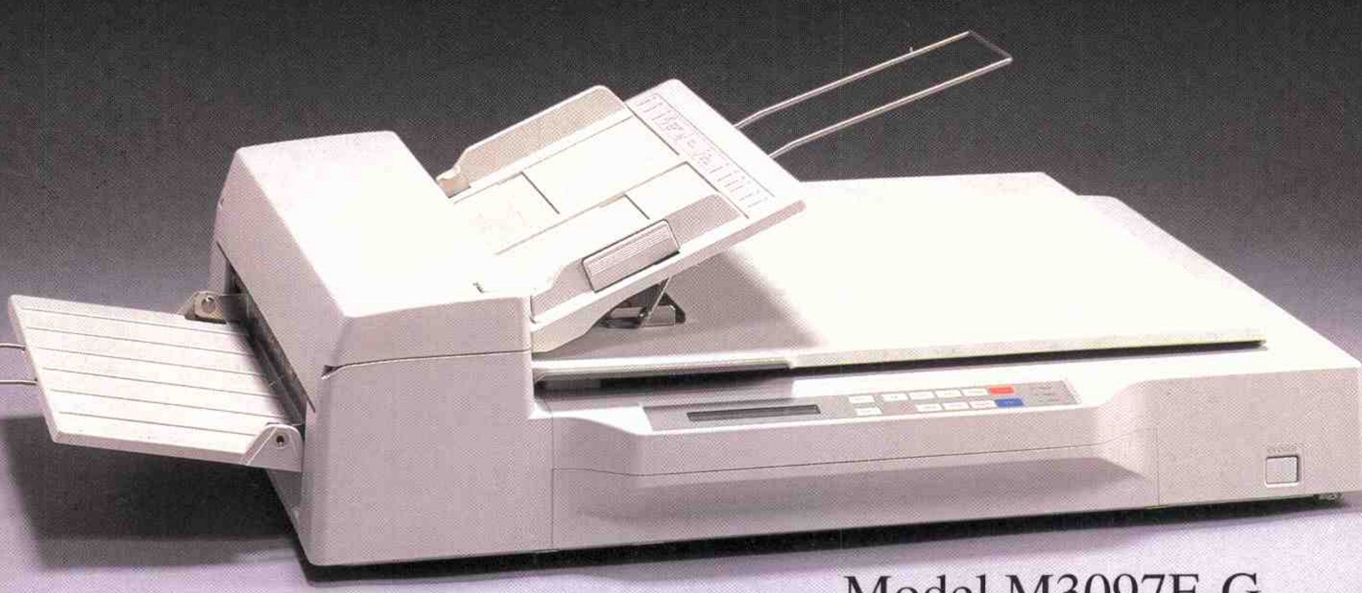

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| | | |
|---|---|---|
| [illegible] | [illegible] | Ph (03) [illegible] |
| Secretary | Rosemary Kaczynski | Ph (03) 67[illegible] 7091 |
| Postal | GPO Box 2270U Melbourne VIC 3001 | |

## QUEENSLAND

| | | |
|---|---|---|
| President | Michael Hangan | Ph (074) 241 200 |
| Secretary | Gwen Goodall | Ph (07) 209 0240 |
| Postal | PO Box 361 Brisbane Roma St QLD 4003 | |

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| | | |
|---|---|---|
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| Secretary | Norma Easthope | Ph (09) 491 7808 |
| Postal | PO Box 8213 Perth Stirling St WA 6849 | |

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| | | |
|---|---|---|
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| Secretary | Helen Schoder | Ph (08) 223 5013 |
| Postal | GPO Box 969 Adelaide SA 5001 | |

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| | | |
|---|---|---|
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| Secretary | Susan Hill | Ph (002) 206 888 |
| Postal | GPO Box 35A Hobart TAS 7000 | |

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| | | |
|---|---|---|
| President | Elaine Eccleston | Ph (06) 202 2275 |
| Secretary | Kate McCarthy | Ph (06) 271 5886 |
| Postal | PO Box E330 Queen Victoria Tce ACT 2600 | |

## NORTHERN TERRITORY

| | | |
|---|---|---|
| President | Ray Holswich | Ph (089) 46 6076 |
| Secretary | Linda Bell | Ph (089) 895 188 |
| Postal | PO Box 43226 Casuarina NT 0811 | |

## CONTRIBUTIONS

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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 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 inquires contact:**

Maria Charlton
Marketing Advisers for Professionals Pty Ltd
Cnr Scott Street and Parnell Place
Newcastle 2300
Telephone: (049) 29 7766
Facsimile: (049) 29 7827

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# INFORMAA QUARTERLY

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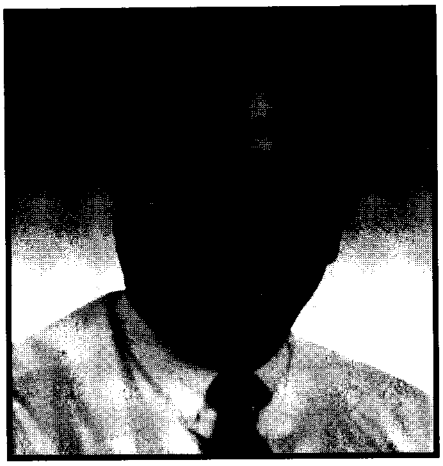
# Presidents Message

It is my pleasure to welcome you all to the Silver Jubilee Year of the Records Management Association of Australia, I have no doubt that the founding members will ponder over their efforts in establishing the Association some twenty five years ago and hopefully they will feel justly proud of their decision. I think it appropriate at this point in time to wind the clock back a little, just for history sake.

In March 1968, the NSW pilot committee was formed following a three day seminar on Records Management at the Crest Hotel, in Sydney. The original members of the committee included Tom Lovett (Chair), Don Fairbairn, NSW Department of Main Roads, Ken Nicholl, Prospect County Council and Eddis Linton, AML & F Co Ltd.

The Victorian pilot committee was formed not long after NSW in July 1968. Victoria responded to an invitation by the NSW pilot committee to register their interest in the establishment of the Association. Original members of the Victorian pilot committee



were Mike Leigh (Chair), Norm Davies, Davey-Ashmore Pty Ltd, they were joined later by Bert Baench and Peter Mulquiney.

Both committees concentrated on obtaining the widest possible publicity for the proposed Association and its objectives. With funds voluntarily subscribed by their members, the pilot committee published newsletters and despatched hundreds of letters to interested people. Their efforts culminated in the successful inauguration of the Records Management Association of Australia, and it didn't stop there.

I suspect the history of the RMAA will unfold even further during the next twelve months as I am sure there are many members out there with both happy and sad stories to tell. Branch activities during the year and the 11th National Convention in Adelaide during September'94 will be the ideal forums to let some of the founding members loose to tell their tales.

I commend the efforts of all members of the Association during the past twenty five years, for without the personal dedication and the many long hours of voluntary work the Association would certainly not be the professional body it is today.

Lets go for gold and make it 50 years.

**Ray Holswich ARMA**
**Federal President**

# Editorial

In our last edition, Frank McKenna called for Records Managers to "rise to the challenge" of providing enterprise wide Information Management. Few practitioners would disagree with this approach, although selling such a concept to senior management and implementing enterprise wide solutions do pose considerable challenges. As we move into the reality of more electronic records and less paper, it is incumbent on us to grapple with such challenges.

In this issue, Monique Attinger suggests we be guided by an "Information Architecture", effectively removing the hurdles most of us encounter, namely: different storage media, diverse ownership of the information and it's physical location. Ms Attinger also calls for a standard indexing and classification structure.

Joy Siller provides us with an interesting case study on thesaurus development in a large government agency which is an integral pre-cursor for establishment of such an information architecture.

This edition coincides with the 25th Anniversary of the formation of the Association as a Federal entity. As we pause to contemplate past achievements, it is worth remembering that the work of the RMAA relies on the dedication and application of your colleagues on a voluntary basis and in order to face the challenges of even the next five years, we need to expand our membership base and continue to build on the levels of achievement and enthusiasm that have been demonstrated since 1969.

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

# Integrated Information Management: *A Real World Theory*

*By Monique L. Attinger*

*Monique L. Attinger is a Senior Consultant with Wang Canada Ltd in Toronto Ontario. Her primary focus is imaging systems, and support technologies for managing document based information. Monique's experience spans the full life cycle of system implementation, from initial feasibility through project management to post implementation review.*

*Ms Attinger is a graduate of the University of Western Ontario, with an undergraduate degree in Sociology and a Masters degree in Library and Information Science. As a Records Manager she has been involved in leading edge technologies for over 5 years.*

## ABSTRACT

In the "real" world, Records Managers are faced with the complex issues of managing records which are controlled by different functions and stored both in different locations and media. This situation introduces additional complexity to a function which has not been guided by an Information Architecture, in the same way that technology acquisitions are guided by a Technology Architecture, which crosses the boundaries of organisational departments and functions. Records Management as a discipline, has not conceived of business information in this way - but is now being driven to this concept by the volume of information and the encroachment of technology into the realm of document based information. An Information Architecture creates a structure into which all information "pieces" must fit, and, as part of an Integrated Information Management approach, ensures a level of compatibility among information components.

## INTRODUCTION

Information is the new "buzz" word. It is widely quoted in the literature today that the current inventory on information in the world is now doubling at a rate of once every 4 to 5 years. This rate of increase leads to some fascinating statistics: " For each baby born in the US today, five file cabinets are manufactured."1 This quote indicates two things: That information is increasing at astonishing rates, and that it continues to be, in large part, paper based. And that increase can't be totally blamed on trashy novels or over enthusiastic statisticians.

The information in our businesses is also increasing at these same extraordinary rates. For the professional Records Manager, managing this volume becomes a continually greater challenge. Conceivably, business could drown in a sea of information unless something is done. Conceivably too, the information that users require might never be found again once it disappears into the ever-growing pile.

Fantastic? Impossible? Not really. Consider your own organisation for a moment. How many times has a file "disappeared"? How many times have you found that something was misfiled? You don't have to extrapolate too far beyond your own experience to realise that the larger the volume of information, the harder it is to manage.

It's important to bring the concept closer to home. Unless information is well managed, the chances of finding a file or document which has been "misfiled" in a collection of thousands of files could become almost a matter of hit and miss, depending on how the inventory of files is managed, particularly if the mistake is not "predictable." Finding such an item depends on being able to make the best guess of the most likely error, which led to the item being lost in the first place. How many times have you stood in a filing area, scanning the current inventory randomly to find something for exactly this reason? (Come on now-be honest. If you aren't doing it, an assistant, a clerk or a secretary is.) Fortunately, (or perhaps unfortunately, since it leaves one with a false sense of security the miracle of finding something under these conditions is sometimes possible-but what happens when that particularly good staff person who also found those "lost" files leaves for a better opportunity elsewhere?)

Now you have a problem.

## PLAYING " HIDE AND SEEK" WITH YOUR INFORMATION

Most of the problems for Records and Information Management are caused by the simple factors of everyday business operations, in addition to the large volumes of files and documents that are being managed. Some of these problems revolve around the media in which the records are stored: generally, most of the information in our organisations is on paper; some (usually less than ten percent) of the information is on our computer or in our company's data systems; and some (usually the two to five percent which isn't either paper or electronic) of it may be in microfilm or microfiche. To manage this information, the individual locating information must be a " paper expert " (which to the credit of business, Records Managers are assumed to be), and a computer expert ( which is normally the " turf" of the information systems department), and be able to handle a microfilm reader. These requirements alone add up to quite a job description, even for the well qualified Records Manager. After all, most Records Managers have made a full career dealing with any one of these areas.

Let's add another complication. Some information may not be physically in the same place that either the Records Managers, or the users, are: Information could be off site (potentially stored under a different system and subject to a substantial delay before receiving it); or it could be centrally held in a local file room. Either way the information won't necessarily be in a cabinet next to the Records Managers desk, or the user's desk, unless someone is keeping a "backup copy". And redundant, "backup" paper is the nightmare of any Records Manager, and the demise of good Records Management programmes. So Records Managers certainly don't want to encourage corporations to keep incomplete "partial" files in several locations just because people want to have information at their finger-tips.

Still, one of the increasingly important functions performed under the auspices of Records Management is fast access to information. People want to be able to have information at their finger-tips -at least from the standpoint of "knowing" about it or locating it. Even more important than instantaneous retrieval (which would be nice but isn't economical for all types of information), is the users requirement to be able to find and get what is needed, within acceptable time periods, depending on the type of information. (After all, most people can tolerate some waiting, as long as they have the assurance that they will be able to get what they will need.) But are people assured that they will get what they need?

A big problem for those who are trying to manage information effectively is that there are few good automated Records Management tools which will actually help in the real world. The volumes of information held within most organisations presuppose that some sort of automation is necessary-manual procedures alone will take too much valuable waiting time. So, when confronted with information scattered around the organisation, even Records Managers can react defensively by wanting to have their own "copies" of the information. Records Managers create tools to access and find items in ad hoc ways and in ways which may not support the user group. Records Managers design four part forms, so that at least one copy is in their hands. Records Managers have also been known to hoard materials to themselves. And in this way, the very people who know how to manage information best rob the organisation of effectiveness. Everyone loses out. There must be another way.

## A RECORDS MANAGER'S NIGHTMARE

Let's look at an example of a "fractured" information environment and how that impacts finding information, working with information, and waiting for information. A large, "typical", claims processing environment in the insurance industry usually has information scattered across locations, and across media. The following description is a "composite" of what is possible, but not, one hopes, probable.

Many insurance companies are long standing, well established organisations. Any such company is likely to have seen a lot of staff turnover and many changes in how things are done over the years. Some large companies have been in existence for over a century-long before automation or microfilm. In this environment, fragmentation of information is highly likely. Over time, many different filing systems, many different employees, and various attempts by isolated pockets of the company to change or automate their discreet functions, have resulted in a patchwork approach to information. This patchwork, rather than providing comfort like a patchwork quilt, guarantees confusion.

Within large insurance companies, claims processing (in particular) has often suffered greatly under the patchwork approach. Claims are probably filed under claim number. This approach is fairly common. However, there may be other strategies applied for storage and filing, even within one file series. Large, long standing claims files may have been "skeletonised" over time, with less used documents being placed on microfilm, usually indexed by a claim number. Claim numbers are probably cross-referenced with a variety of information, including the original policy number and the insured's name. An original "old" file may have a claimants name on it, rather than the claim number, depending on whether the filing system has changed over time. However, the likelihood is that similar files have been treated differently, although all part of the one file series.

"Simple" claims are often placed on microfilm fairly quickly, on the assumption that the claim is closed and has a low probability of being reactivated. Simple claims, at least, are also filed by claim number, like the other current files, but it does take time to retrieve them, as several claims may be stored per microfilm roll. "Skeletonised" claims are worse though, because the documents for a single file may be on more than one microfilm roll, depending on whether the claim file was purged more than once. Also, the microfilm may be off site, or at the company archives. However, for those fortunate enough to be working with the latest claims, all information is normally kept in actual physical file folders, by claim number, and close to the claim workers.

So, the one file series called "claims" (the series could be defined by type of claim, such as medical, life, health, etc.) has file folders within it which are treated differently depending on the individual folder's age and size. Therefore, files which, from a classification and retention stand point have exactly the same value, are being treated differently.

Unnecessary complexity is created. An artificial boundary is created between the "owning" department, which understands the complexity of the filing system, and all outside departments or agencies that don't. Even if the outside departments have valid authority and the requirement to use the files, the inventory of information cannot be shared. Who would want to spend the time to figure out how to find it?

Once you add well meaning technology experts who have designed separate technology tools to look up specific portions of the file inventory, you really have a mess. ("Well, there was that summer student who did this database system when we look up pre-1966 claims. Then there is the spread sheet which Lois did, but she's not here anymore, so it's not current. But we also keep a fairly comprehensive file list on the word processing software....") Sound familiar?

Sure, some of these problems can be addressed by good, solid procedures which are effectively implemented and consistently observed. The issue is larger than that though: The volume of information is increasing, the breadth and depth of subject area for our documents is increasing, and technology puts some pretty powerful tools in our hands. Most organisations use a variety of media to store information in order to be as economical as possible. The pressure is on to find more effective ways of managing information, in light of the pressures on the corporate environment, in order to be as efficient and effective as possible. But instead, organisations have solved issues piecemeal, both technological and information related, and we haven't seen the overall picture.

We need to know what information we already have. In the insurance company example, what happens if the insurance company gets sued and, in the process, is subpoenaed for the originals? What if the Records Manager can't find the originals? What if we don't know what documents are originals?

We need to be able to find what we need. We need to know what we have and where it is. We need to be more effective. And we need to take steps to get there.

## INTEGRATED INFORMATION MANAGEMENT

The solution to a fragmented and inaccessible, corporate information environment is "Integrated Information Management." Integrated Information Management is an approach to managing information which treats it as a "corporate" resource and looks to the creation of an "Information Architecture" for the management, control, access and retrieval of this information.

The intent of this approach is to manage information as a corporate resource, rather than a strictly departmental or functional resource. This approach attempts to remove the artificial boundaries between information resources, whether by reason of media, location or departmental "ownership", in order to create a single, integrated information environment, so that information becomes another resource which supports the goals of the organisation as opposed to working against those goals.

Controls on access are applied to the individual, rather than to the department, and to the information itself, so that information can be found and used regardless of source, and as appropriate. This approach can create some challenges in assigning the appropriate "security clearance" to staff to establish "appropriate" access to information, but the pay off is substantial: better access to information, with an effective structure put in place to manage the smaller inventory of stored information, with less duplication. Redundant files in different departments (or physical locations) becomes unnecessary. People can find and use what they need without artificial boundaries.

The point is that departmental barriers due to storage media or location, are artificial barriers. If information belongs to the corporation, then it can and should be used as a corporate resource. It isn't "my" information; it's "our" information.

The "how to" of Integrated Information Management really revolves around the following two points:

1. A standard classification and indexing structure. This aspect is critical. If information is really going to be shared among all corporate users, then they have to be able to find what they are looking for. Keyword indexing is essential, so that if someone is looking for information which is "filed" in a part of the classification with which the person is not familiar, the information can still be found; and,

2. Excellent security. As stated above, security must be applied to information objects and individuals, as opposed to security through ignorance and artificial barriers. Information must begin to belong to all, with the recognition that some information is not to be made common knowledge. However, if I as a user need it, and have appropriate security clearance, I should be able to find it.

This kind of approach, with a corporate standard for classification and indexing, and security assigned to individuals, will be the basis for creating an Information Architecture. The Information Architecture itself, which is largely the classification and indexing of the corporate information, should be built in a similar fashion to how a Technology Architecture is built:

1. The way the information is classified and indexed should support the access and retrieval of that information. What good is information which no one uses? What would you think of a library which did not classify information based on its subject matter? Again appropriate security must be placed on "sensitive" information-cabinets can be locked, or data can be restricted by password clearance. But it is imperative to avoid the "artificial" barriers which do not depend on the actual value of the information.

2. The information should be classified and indexed in a way which supports the real work of real people, and the business objectives of the organisation. If the organisation is customer-service driven, does it make any sense to divide up customer -service related information? Of course not, but many organisations do this very thing when deciding on a classification for their information. Then the customer service representative has to tell the client on the phone, "I'll call you back once I check on that for you" It is important to note that this is also a technology issue-the appropriate use of computer systems can go a long way to making the "whole picture" available to everyone who needs it. Obviously in a purely manual environment, some division of information is necessary to manage the information according to retention period and the like. In an automated environment, the system can handle varying retention periods, without labour intensive work

usually associated with that situation. Again it comes down to the right kind of classification, and indexing. Classification can be used for the structure of information, and ensuring that the right information is grouped together. Indexing can be used to separate pieces within the classification, and allow for new groupings-such as by retention periods for archiving and destruction.

3. The Information Architecture must be flexible enough to grow and change as the organisation grows and changes. Any architecture which locks in the organisation will contribute to it's downfall. In the natural world, that which does not grow dies-similarly in the business world. At the very least, we have all seen classification schemes which are simply not used and which therefore do no one any good, and largely confuse the user. Again, the information is effectively "lost", since no one would know how to find it.

It is a similar issue to that of managing technology within an organisation. Technology is expensive. Therefore it makes more sense to share it. Similarly, corporate information is expensive. It is the result of thousands of person-hours of work. In order to share this resource effectively, it is important to realise that the barriers must come down. The benefits of treating information as a corporate resource can be substantial, if the corporate "will" is there.

There is a "caveat", if you will. Obviously, manual procedures alone will not suffice to manage the volumes of corporate information which corporations hold, nor will manual procedures address the issues of flexible groupings of information. In a manual environment, there is one file and only one way to access it. In an automated environment, there may still be one file (in paper or microfilm or digital media), but the opportunity is to be able to bring together related information through automated systems which may include all of the possible media, and which better addresses the user's inquiry. As discussed earlier we have a lot of information out there. The only way to really manage information as a corporate resource is with the appropriate use of automation. The issue is simply too large to be handled manually. It's time to bring together technology and the information it was designed for, together as an effective team.

If the management of information is corporate, combined with effective automated tools, corporations can gain benefits on a number of fronts:

1. Reduced volume of information and "copies". Less information will be redundantly filed or stored. That means that less information will be kept, less paper used, less expensive computer storage used. An additional benefit, aside from cost savings-the less an organisation has to manage, the less possibility of problems.

2. Better access and control. As an employee, I should be able to find what I need, no matter who has it. The volume of information gets better management. This approach to improved access and control means that the information gets better used, while being appropriately controlled. My department does not "lose" anything, even if my department no longer has the same ultimate control over the information which we create.

3. Information kept appropriately and used to support the corporate mandate. We need to know where we have been and where we are currently in order to steer in the direction that we want to go. The navigational data required is in your corporation's records and information. There is a huge investment in staff time and effort in each and every piece of information which lives on the computer system, on paper, or on microfilm. That information has already cost the organisation thousands (if not millions) of dollars in staff salaries, benefits, overtime, and what have you. It's not smart to squander what one has already paid for.

4. Cheaper storage, where possible, and appropriate use of a combination of storage media. In the real world we still need all of our paper, microforms and digital information. We cannot afford to spend the money on having everything in our organisation stored on our computer system. The technology is too expensive, and applying that technology where it isn't needed does not make sense. So we need to manage what we have, as it is, and gain the economies we can by storing the right type of record on the right type of media.

Doesn't this make more sense than trying to force microfilm to be digital images on optical disc, or computer data to microfilm? Those of us in the real world need to have a choice of storage media simply because it makes sense. We need choice regardless of the computer industry's "solution of the week". But we also need to be able to locate, access, and retrieve the information which we need. And, particularly in the current economic climate, we need to be able to do this at the lowest possible cost which is another reason that we need a choice.

## AUTOMATION AND INTEGRATED INFORMATION MANAGEMENT

The "how to" of this process inherently means selecting an effective automated tool. For those of you who are "technophobic", do not despair-technology does not have to be complicated. The following set of guidelines are my method of evaluating the tools available and then selecting the right one. I will quote at length from a previous article on this topic, in order to present my full guidelines in their original form.

- The right tool will provide for the management of all information, documents, or records (or any type of information "object") regardless of information format. The system will not assume or require a particular medium in order to manage the record.

- In order to manage the original information object without assuming a medium or format, the system should create a profile of the original item. This profile must provide sufficient information on the original that users who are unfamiliar with an item can still find it, if it is related to their query.

- Wherever possible, the profile of an information object should be comprehensive enough that it may stand in place of the original and supply all the information required for simple queries. This type of profile will reduce the number of retrievals of originals and can give the organisation additional savings, while providing a means of data sharing and corporate access through the Information Management tool itself.

- The software product should be modular, allowing the client organisation to begin managing any of the current formats or media of information object, and able to expand to completely integrate the management of any new media or technology. This provides the organisation with a "migration path" to new technologies and provides for future growth and expansion.

- The tool should support multiple classification schemes "transparently". Various classification schemes (based on different premises) may be required for efficient business operations within a department, but this should not act as a barrier to access by personnel unfamiliar with the classification who may also require access to that department's records.

- The tool should easily manage information resources, independent of the organisational structure. Successful businesses in the new information economy are expected to have fluid boundaries between departments and functions in order to react quickly to changing business demands. In fact the tool must be able to accommodate the restructuring of business, tracking ownership of business records over time, so that legal requirements for official responsibility can be met.

• Where possible, the newest digital technologies-such as text management and image processing should be completely integrated into the software. For instance, the user should be able not only to manage images through the software tool, but also to view the images. It does not make sense if the tool that provides access to all media and formats forces the user to exit from the programme to retrieve identified digital items stored on the same computer system.

• Since the software can provide information on a corporation's total information resource, there must be comprehensive security, which will allow security levels to be assigned to user, functions, and the information objects themselves. 2

The type of tool described here is what I foresee as the next big push in technology development. Certainly, there are tools out there that are beginning to approach information in this way. However, I believe that there is still much that can be done as the developers of technology recognise the importance of the resource which they take for granted-information.

## INTEGRATED INFORMATION MANAGERS

We are specialists in the area of management, control, access and retrieval of business records. And I hate to get on the bandwagon (which seems to be the thrust of Records Management zealots since the 1950s), but we are not necessarily aggressive enough. We don't "evangelise" our vision. We don't show our organisations the benefits of getting information easily. We particularly are not good at proving to people that sharing information may be the ideal thing for all, saving the corporation time, money and effort. Maybe we still have doubts that getting everyone to work together in the area of information is even possible. After all, who are we kidding? With all the political agendas in our organisations, do we really have the nerve to think that we can pull off such a co-ordinated effort? Besides, how can we get people to participate and support programmes if we are not their boss?

I believe that Records Managers are having an identity crisis. And perhaps this is a necessary step in the development of the profession. Technology is not the culprit, although it is probably hastening the process. We are not sure of what we are capable of, or how to do it.

It is important for us to remember that we are the information experts in our organisations. And we can show others how to use the right tools, and how to integrate the management of that mess of information that exists out there in "client land". But we need a shift in "mind set" if you will. We need to think of ourselves in the way that the other experts in the area of custodianship, access, and retrieval of information do-I'm talking about librarians.

Now, I'm not saying this simply because of my own bias (although I admit to having a Masters degree in Library and Information Science). I'm suggesting that there is a practical, efficient way to integrate the management of information in our organisations, which is based on library theory. We can do this while recognising that businesses are not the "sleepy" places that some libraries are.

We must begin to see that we should manage information as a single integrated resource for our corporations. We will recognise, out of the corner of our eyes, that this approach will improve information access and the effectiveness of our organisations. We can also see that it might even save us some money.

We need to convince other people that information should be seen this way. We also need to convince our organisations that our information should fit into an "Information Architecture", much like our technology does, to ensure that this valuable resource can be found and used by those who require it. Our corporate decisions could be significantly enhanced if information is found and moved to those who need it, and more efficiently.

But we have to teach, promote inspire, sell-to sell is the critical part. As always, we are unaccustomed to " blowing our own horns". But let's look at it this way-nothing is done in business unless a product is sold to a customer. This axiom is as true for what we know as it is for what we can do or produce. We need to sell our corporations on what we know, have them buy into our vision, and produce a whole new way at looking at information. Who knows? It could be revolutionary.

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1. Hawkins, Donald T. "Information Delivery -Paper and E-mail," Online (March 1990), p100.

2. Attinger, Monique, "Integrated Information Management", The Records and Retrieval Report, (January,1992) p 12.

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# RMAA Literary Award

In an effort to stimulate the writing of original articles for publication in Informaa Quarterly and to promote the concept that practitioners need to accept responsibility for developing professional literature and making it credible, Federal Council meeting in Hobart in September 1993, resolved to support an RMAA Literary Award.

The award is for the best original work dealing with Records and Information Management issues suitable for publication in Informaa Quarterly. Entries will be judged on content, interest and contribution to the literature on Records and Information Management.

The successful recipient of the award will receive a wall plaque and either free travel/accommodation/registration at the next annual convention OR $1000 cash.

## PANEL

The selection panel will consist of the Informaa Quarterly Editorial Committee. The Committee reserve the option of not making an award in any one year due to lack of or unsuitable entries.

## GUIDELINES FOR ENTRIES

- Be submitted in triplicate by the closing date below.
- Up to 2000 words in length
- Of interest to the field of Records and Information Management
- Include a declaration stating that the entry is the persons own work and has not been previously published
- Members of Federal Council ineligible
- The award will not be available to the same person in two consecutive years

More detailed guidelines are available on request.

## CLOSING DATE

Entries close on the 5th day of July 1994 and should be sent to:

**RMAA Literary Award**
**PO Box 8213**
**Stirling Street, PERTH WA 6849.**

# Federal Committee Reports

## *25th Anniversary Committee*

The following people are members of the 25th Anniversary Committee:

| | |
|---|---|
| Chris Fripp | NSW - Chairperson |
| Denis Comber | NSW |
| Margaret Kenna | ACT |
| Helen Francis | SA |
| Greg Coleman | NT |
| Coral Matcham | TAS |
| Jenny Best | QLD |
| Neil Granland | WA |
| David Taylor | VIC |

Separate events will be organised by each state with some events and activities being national. A number of ideas have been circulated with the following gaining approval by all;

1. Publish a book (suggested title) 25 years of history - Records Management Association of Australia 1969 - 1994.

2. Organise a number of events including; Breakfast Seminars for senior executives, State seminars to be held March/April; Records Management Week to be held in July with the highlight being the AGM.

3. A memento to be given to each member as part of the Silver Anniversary.

4. National publicity during the year, with emphasis on the Records Management Week and the National Convention.

A number of the trade have expressed an interest in sponsoring, the above events.

If you would like more information or become involved at a state level please contact your state representative or Chris Fripp on (02) 268 2926 or fax (02) 820 3457

**Chris Fripp ARMA**
**Chair 25th Anniversary Committee**

## *Technology and Industry Standards Committee*

There has been a great deal of activity in this area recently. IT/21, the Records Management Standard Committee met on 24 November 1993; the Information Industries Roundtable invited RMAA as an observer, & the policy on electronic records was published for comment.

IT/21 Records Management has two new members from the Defence Department. The Committee is shortly to publish a full list of members.

A sub-committee on storage will be formed with representation from numerous storage organisations both public and private sector. A sub-committee on registration is under consideration. Definitions, comparable international standards, and stylistic conventions are being established as the committee moves towards a draft document, expected towards the middle of next year.

The Information Industries Roundtable is a lobby group based in Canberra, with representation from major private and public sector organisation involved in the information industries, including ALIA. The RMAA was invited to their final meeting, the RMAA has decided to join IIR as a corporate member. IIR aims to ensure that government policy fosters growth of information industries in Australia whilst maintaining appropriate control of standards, security, copyright and other regulation issues. It's strategic positioning and powerful membership makes it an ideal forum for the RMAA to secure its future as part of the growing information arena.

The policy on electronic record keeping was published for comment in November. Responses from all states are eagerly awaited, and will be collated and incorporated in the final version. The policy will be a key marker of the RMAA's direction with regard to new technology and new challenges in the filed of Records Management.

**David Moldrich MRMA**
**Chair Technology and**
**Industry Standards Committee**

# New Fellow

## *Peter W. McDonald* *ED FRMA*

To be recommended and admitted as a 'Fellow' in the Records Management Association of Australia is the highest level of professional acceptance in our industry.

Only three association members have been awarded this decision.

Our new Fellow, Peter W. McDonald ED FRMA has had 32 years experience in Records Management. He is the Director - Records Management Branch, Brisbane City Council; the largest city council in Australia. A position he has just commenced in August, 1993. The Council's Records Management Branch has 113 staff providing a full range of Records Management and Technical Support Services. Prior to this position he was the Manager - Records Management ANZ Banking Group, where he was responsible for the development and implementation of the Banking Group's Records Management policies and programmes.

The last Senior Manager he reported to at the ANZ Bank has written:

"During the 11 years with ANZ, Peter was responsible for the implementation of a sound Record Management system within ANZ. ANZ is a large organisation that has been organised on a number of changing models which has added to the complexity of such an implementation. Delicate negotiations with autonomous business units have been undertaken with success. Peter is an excellent and entertaining speaker and presents material very well. Peter is a zealot when it comes to Records Management and can clearly and succinctly convey the message that Records Management is not just about filing documents.

During my association with Peter, I found him to be professional, honest, hard working, prepared to accept responsibility and was always dependable."

Those who attended the Hobart Convention would have heard the claims of "We were the first to provide an Active Management

Voucher Service" or "We are the largest and owner of the service". You should be aware that this was only one of many of Peter's pioneering works in the Records Management field. For he has always shown the ability to be innovative, been capacious with courage to recommend, decide and implement untried concepts. It could be claimed that it changed the way service in this field is now provided.

He has many innovative pioneering successes to his credit, he has set the standard for World Best Practice.

He served his apprenticeship in an Australian Government Department where he worked his way up the promotional ladder to hold a number of key positions including OIC of a State/Regional Office Registry and as Assistant Registrar in the Headquarters where he was instrumental in introducing many of the successful systems still being used.

Peter has had an active participation in the Association. He has been a RMAA Federal Director, President of the Victorian Branch and past Chairman of the State Education Committee.

It is in the field of Records Management Education that most of his past efforts have been directed at. He has given numerous lectures to other kindred organisations, including RMAA Branches and National Conventions, the International Information Management Congress (IMC90) and to AIIM (Australia).

His last presentation at the 10th National Convention Hobart, was well received with many indepth questions from the audience.

In October, he presented two papers to our North American colleges, the ARMA in Seattle, Washington, USA.

Articles by Mr. McDonald have appeared in the RMAA Informaa Quarterly and other Australian publications. There is another one in this Informaa.

Peter was the Executive Director for the RMAA Fourth National Convention 'The State of the Art' held in Melbourne 1987, the Association's largest and most successful convention to date, the one that set the standard.

Mr. McDonald has had extensive experience in all fields of Records Management, organisation and methods work with particular emphasis on the development of comprehensive Records Management programmes.

Peter is happily married and has two sons, Donald aged 24, Duncan aged 22, and a daughter, Danielle, aged 20.

# Private Enterprise Records Retention *'A Case Study'*

*Peter W. McDonald* ED FRMA

"A case study giving details of the aims, legal obligations, operational needs and procedures followed to establish comprehensive Records Retention (& Disposal) Schedules for large private enterprise organisation. The paper will also introduce the Vital and Archival records aspects which should be considered."

10th National Convention
September 5th - 8th, 1993
Wrest Point Convention Centre
Hobart Tasmania

## INTRODUCTION

Some eight years ago I completed the first round task of preparing and issuing ANZ Bank Records Retention (and Disposal) Schedules.

This was a very successful exercise as it allowed for the disposal of a considerable amount of identified non-current paper records and freed up many work areas. A major cost savings for the Bank resulted, but more importantly a number of key records that were not being retained as long as they should for operational, legal and archival reasons were identified.

As you are aware, schedules must be kept up to date. This had been done, however I considered it was time to rework the full exercise again due to the many changes which had taken place over the years. These changes included organisational re-structuring and new legal requirements and service delivery methodologies.

My talk will cover the practical procedures of how I planned for the update to be achieved. These exercises are on going and will never cease. As you should be aware, once a schedule has been completed, approved and issued, there is another to start or an existing one to be reviewed.

My aims were:

**Reduce paper used and storage cost.**

When the current Records Retention (and Disposal) Schedules were developed and issued, a considerable amount of paper identified as not requiring to be retained was disposed of.

Two examples were:

- Ledger records retention period was reduced from fifteen years to seven. It was estimated at the time to represent between 15 to 20% of the storage area of the Records Centre, which at today's storage rates would cost about $250,000 per year.

- The destruction of copies of cables of the equivalent of about 463 x 4-drawer filing cabinets of paper. A 4-drawer filing cabinet full of policy and correspondence files costs about $1,350 per year (1984 costs) to maintain.

We know from Records Management surveys[1] that in an average business:
- Less than 10% of the records should be kept for the life of the company.
- 20% must be retained currently.
- 35% should be transferred to less costly space for longer term retention.
- 35% should be disposed of.

That is, 35% of records could be disposed of the day after their use and another 20% should never reach long-term storage.

Although a sensational reduction in volume and cost was not considered possible during this exercise at ANZ, there were still appreciable savings to be made.

**Ensure compliance with the Bank's legal obligations.**

Many of the new laws relating to records retention introduced in recent times include heavy penalties. To avoid placing the Bank in breach of the law which could cause embarrassment to senior management, schedules had to be reviewed.

Logical on-time destruction of records also permits the definitive answer "the records requested are no longer held." This is important when 'discovery' notices are served on the Group - it saves fruitless and costly search time.

**Fulfilment of Business Units' operational and customer needs for information.**

The active life of most records is very short and although occasional access is then required until the information is totally irrelevant, there is no need for all the paper records to be retained in the high cost office areas. A schedule gives guidance on when documents/files can be moved off site, to lower cost facilities, eg, to the Records Centre.

**Rationalisation of audit requirements.**

Within the branch network many records are retained to meet Audit requirements, hence the retention term "Destroy after next full Audit" is used. Audits of branches and other areas of the Bank can now have a time separation of up to 3 years. Therefore retention of some records to meet this requirement needed to be reviewed and re-negotiated with the Audit department to achieve a balance between their requirements and costs.

**Identify Vital Records that require additional protection and those records of an archival or historical significance to the Bank.**

Archival requirements were also considered very carefully in conjunction with the Group Archivist. With the Bank's centralisation of record holdings (loan files and Evidentiary Documents) in what we know as Easternized Zones, the identification of Vital Records becomes essential.

The standard Records Management steps[2] to achieve these aims are:

- Obtain management support and authority.
- Acquire a working knowledge of each Business Unit's function.
- Make an inventory of all records used or created by a Business Unit.
- Gather information, appraise and schedule development.
- Obtain management approval for the schedules and all other clearances where needed.
- Issue the schedule for implementation.
- Continue review.

To explain how these aims where achieved, I will discuss what was needed or had to be considered for each item. However, first I propose to highlight a number of basic knowledge requirements, that could be considered a part of the 'Gather information, appraise and schedule development' phase. You should be fully aware of these items before you commence, because as an effective Records Manager you should be the organisation's primary point of reference. There are: Legal Requirements; Archival Considerations; and Vital Records Procedures.

## LEGAL REQUIREMENTS

Legal requirements is an area where you must put in a large amount of quality background research. Obtain all relevant sections of Acts of Parliament (both State and Commonwealth), Common Law and Court Proceedings and seek an experienced legal interpretation of these as to how they should be applied.

Of course where the major legal item is only an 'Enforceable Right' of a third party to make a claim, commercial consideration can apply. For example, does the cost to maintain and store the records exceed the likely cost of a claim case. This would be a Business Unit decision after due consideration of the risk. You cannot allow the Company to be in breach of the law, but you can make commercial decisions.

Some of the key Commonwealth laws are attached; however you must note the list is not exhaustive and you must always consult your own legal area.

Laws not only dictate the retention periods of certain records, but in a number of cases they state the form in which the record is to be retained. For example, the Proceeds of Crime Act does not allow for the destruction or replacement of the original "essential customer -generated financial transaction document."

A key issue for consideration to ensure the legal requirements are fulfilled is the wording of the instructions to users in the schedules. For example, those records required to be kept for 7 years under the Proceeds of Crime Act: the seven years does not commence until the last account has been closed.

If you open an account when you are eighteen years of age and keep it until you turn eighty and your great-great grandson closes the account, the Bank then starts the seven years (the records are therefore required to be retained for a total of 69 years). Examples of these are:

- The original customer signed and approved loan application. This is to be retained in its original form for 7 years after the loan has been closed or paid off. A very long time !!!

- Voucher/cheques with a value of $200 or more are to be retained for 7 years, however we can substitute the paper with alternate media.

My preferred method of handling the legal issues is to obtain an overview of the acts and regulation from the legal profession, do my own research, and refer only particular cases to the Legal Department for advice. Of course to do this with maximum effectiveness you need to develop a good working relationship with the Legal Department as well as with Audit and other relevant company departments.

Statutes of Limitations v. Commercial Considerations: if general statutes of limitations govern the time period a person can take action to correct any believed injustice or error without too much legal problems. But this does not free an organisation from its obligations completely, there was a case in the UK where a (UK Post Bank) customer made a successful claim 32 years after the event.

Commercial considerations are to be taken into account. We must ask the question what will cost the most; a claim that can be substantiated or the cost of maintaining and storage of the records.

## HISTORICAL AND ARCHIVAL REQUIREMENTS

Historical and archival record identification should be conducted at the same time in a working/liaison arrangement with the Group Archivist.

My view of the Archivist's responsibilities as they relate to this project and the record's life cycle is:

- During the 'creation' and 'active use' of a record's lifecycle - to encourage the preservation of records (information) of potential archival value. For example, Board meeting's minutes by ensuring the use of appropriate paper that will last.

- After the 'active use' period - to seek out and bring within the Archivist's control, all records of historical value for the people, government or organisations and those documents which could give individuals a legally enforceable right.

- During the 'inactive storage' period - to ensure proper custody, storage and preservation of these historical and archival records, and to make them accessible to people and organisations who have a right or need to see and use them.

The ANZ Group Archivist preserves records that should be retained indefinitely because of their long term value to the Group. However, there are some records that should be maintained for their local interest which may not require preservation in the ANZ Group Archive. The Archivist divides records identified with Historical and Archival value into three groups; these are:

**Archival Record Level One** - Records essential to the history of the Group which must be preserved indefinitely in the Group Archive or other designated repository, eg Board Minutes.

**Archival Record Level Two** - Records of interest to Business Units or of local interest which should be preserved in the office in which they are created or, if this is closed, then in the office which acquired the business of the closed office, or which is close by to it, eg the first ledger of a branch.

**Archival Record Level Three** - Records which must only be kept for a limited period but which are considered too sensitive for storage in the Records Centre, or records which are retained pending full appraisal of their archival value.

It is with some disappointment that one occasionally hears senior management (including external consultants writing to meet a flavour of the month' perception) downgrade the value to an organisation of the information contained in historical and archival records.

If society and business do not learn from past mistakes and successful achievements, there is a very strong possibility that the detrimental actions will be repeated. It is in the records collected, stored and managed by Archives that these lessons can be found. If people do not use the information to avoid repeating the past, it is their fault and they are failing to use all the resources available to them. How often have you been a witness to actions of reinventing the wheel? This failure should not be used as short-term argument for the closure or the reduction of the level of service to a point were it becomes unworkable. We must also consider our future generations requirements for past information.

Another item of potential adverse consequence is that all too often, management that should be better informed, is confused by the retention categories of secondary storage (those documents you keep only a number of years to meet legal requirements) and those of long term historical and archival value, and this affects other actions and decisions. I am aware of a number of cases where information maintained by Archives has saved the Bank many millions of dollars and have noted in a recent internal report that the Bank's Group Secretary had commented that 'if records (relating to a recent case) hadn't been found, it would have been the end of the Bank'.

As Records Managers you must be very mindful of the role historical and archival records have for the organisation and society in general and ensure that this is reflected in the schedules you develop. Of course all within realistic cost for value considerations.

## VITAL RECORDS IDENTIFICATION AND PROTECTION PROCEDURES

Vital' means essential for the continuation of life; of great importance.

Vital Records' to the Bank means:

1. Those records and documents that are essential to the survival or continuity of the Bank; and
2. Those records or documents that if lost could cause considerable embarrassment to the Bank and/or cause substantial financial loss.

Vital Records in the form of Evidentiary Documents must be stored and maintained in an environment that provides adequate protection against loss by any means, and must have a copy made (microfilm could be used) and stored at an alternate site.

The Bank has three categories of Vital Records, there are:

**Vital Record Level One** - The highest level of protection. These essential records and evidentiary documents must be kept in a security room or safe with a minimum of a three hour fire rating **and** have a backup copy (either microfilmor photo copy) made. The copy is stored at an alternate site with the same level of fire protection. When it is necessary to work with a Vital Record (Level One), then a third (or working) copy should be made and used.
ie Working Copy made and Security room storage 100% of time and Copy retained at alternate site.
eg ANZ Board documents and reports. Guarantees, indemnities, cross deed of covenant and scrip liens (over $1 million); Contracts and agreements (over $1 million):

**Vital Record Level Two** - The second highest level of protection. These necessary records and evidentiary documents must be retained when not in use in a security room or safe with a minimum of a three hour fire rating and have a backup copy (either microfilm or photo copy) made at the time of creation. The copy is stored at an alternate site with the same level of fire protection.
eg Guarantees, indemnities, cross deed of covenant and script liens; Certain grades of defaulting loan files.

**Vital Record Level Three** - The third level of protection. These key records must be retained when not in use in a three hour fire rated security room or have a backup copy (either microfilm or photo copy) made at the time of creation. The copy is stored at an alternate site with the same level of fire protection.
eg Security Documents.

## IMPLEMENTATION PLAN

Now let us look at what was needed to be considered to meet my implementation plan, one stage at a time.

**1. Approval and very Senior Management direction to the Division that resources are to be allocated to the project.**

- My first action here was to obtain my line management approval and advice on the approach that was required to obtain Top Management commitment and support through a letter of instruction/direction to all the Group's Business Units. At the same time, approval was obtained for resources and for a budget to be allocated to the project.

- The next item was the letter from Top Management to all Business Units.

**2. Acquire a reasonable level of knowledge of the primary function of the Business Units, their information requirements and working organisation.**

- Establishment of working relationships and information gathering teams (or officer) in each of the Bank's Divisions or Business Units.

- Provision of training for Business Unit Management and the information gathering teams.

- Issue of forms and reconfirmation of project target times.

**3. Commencement of data gathering and retrieval of forms for first Records Management review.**

Before you can start to prepare a schedule you must compile an inventory. Through this process, you can determine what records actually exist in a Business Unit and how they are used relative to storage methods, retrieval requirements, volume and value.

Compiling an inventory is a very labor-intensive task so must be planned carefully, and you must get it right the first time around.

Because of the size of the Bank and complexities of the many and varied functions and business objectives of each Business Unit, I compiled the inventory through three sub-steps:

- Train Business Unit staff in data collection.
- Train Business Unit in the use of the form.
- Use interviews and personal observation.

The form used (see attachment) was designed both to simplify the work of the Business Unit representative in data collection and to provide the appraisal officer (Records Manager) with sufficient information to ascertain the precise operational need of the Business Unit need for that information.

Here I wanted to receive, in the main, the Business Unit's operational requirements for their information, as it is planned that the appraisal team would review the other requirements the Bank must meet, such as legal, audit and archival considerations.

I then follow these steps:

Receive data collection forms from Business Unit representatives.

Collate and arrange the record collections in easy to follow groups.

Prepare first draft schedules. To make this task as simple as possible, I have developed a macro on my word processing system that sets out the required page layout.

Revise and confirm with the Business Unit that all records have been included and that the suggested retention period and justification does meet with the Unit's aim and operational requirements.

Some background details about the data collection form: you will see that I ask the same question a number of times, in a different and roundabout manner. This is not intentionally devious. It is done with the aim of establishing the true requirement of the Business Unit as it relates to the records retention to meet operation needs.

**4. Appraisal and Schedule Development.**

- The information now contained in the Business Units' Draft schedules are reviewed taking into account legal, audit and archival requirements.

- At all stages of this appraisal phase the Business Unit's Management is kept informed and consulted, through their representation and the data collection teams.

- A schedule is produced for Business Unit Management consideration and discussion.

Armed with knowledge of Business Units' operational requirements, Audit's prerequisites, details and legal interpretations of the Acts, it is now up to you, the Records Manager, to put together the first draft schedules and commence the appraisal phase.

There are several tried and proven approaches that can be taken. I use them all to varying degrees as determined by the substance and category of the information.

The first technique[3] that can be used is to closely examine the records to determine if they are or can be classified into either "Management Support Record" or "Evidentiary Record."

Between an information source document (eg, a voucher/cheque) and the final ledger or statement are produced large volumes of Management Support documents. These reports are required to satisfy management information needs to run and monitor the business and commence a new record life cycle in the provision of information to other bodies such as Government and the Reserve Bank.

Up to 80% of paper records produced after the initial source document can be classed as Management Support documents with only 20% being Evidentiary Records.

*Management Support Records:* Provided there is exact certainty in deciding whether documents are for managerial and internal purposes, there are no legal reasons why these records should be retained. This is a commercial view.

*Evidentiary Records:* These records will be the most difficult to deal with; firstly, in deciding whether they do have any evidentiary value; secondly, in deciding how long the documents ought to be kept; and thirdly, after deciding that the documents are to be kept, from what point in time should the time retention period run.

This process will encourage a focus on evidentiary records, that must be retained, while allowing the disposal of the Management Support records at an early stage in their life cycle.

Another approach[4] that can be used is to class the records into the following broad groups:

*Administrative Records:* those that have only day to day value or those of value to the development of the Business Unit in isolation.

*Legal Records:* those that have value if they contain evidence of legally enforceable rights or obligations.

*Fiscal or Tax Records:* those which pertain to the financial transactions of the Business Unit or Group as a whole.

*Research/Historical or Archival Records:* those that have enduring value because they reflect significant historical events of the Group.

Once classed, these records can have retention times applied appropriate to each group of records; however exercise caution here as this method can be difficult and time consuming for the inexperienced.

A technique[5] I have also used with very favourable results is best remembered in the use of the acronym "VALUE":

<u>V</u>olume - the physical size of the record series as measured in cubic feet/meters

<u>A</u>ctivity - the amount of daily requirement or referral to the record. This frequency of use generally determines the informational value of the record.

<u>L</u>egal - the federal, state and local requirements governing the retention of the record.

<u>U</u>se - the administrative and operational needs served by the record. In this category we also include records required for a complete record of past and current activities and relationships of the organisations since they provide historical value.

<u>E</u>conomy - the economies to be gained through an orderly flow of records from high cost office equipment to low cost records centres or direct disposition. This also includes the economies of knowing what we have and having it readily available.

A key part of the appraisal phase is the consideration as the Records Management project coordinator must give to the requirements of other Units that could use the information. For example, Audit (both internal and external) requires information to review and check the work and action of others. At one time, Audit was the centre of retention decision-making or influence. Now, as each Business Unit's records holdings and information use is reviewed as it relates to retention, the Records Management Section requests from Audit details of the records which they need to see, how far back in time to go and advice of the normal audit cycle.

Of course you know that in many areas of commerce, internal audits are not always performed each year. The result was a change in the operating methodology: from Audit influencing the decision of all records to Audit only influencing those records that they required to see to do their job.

Internal security investigation requirements must also be taken into consideration.

**5. Management approval is obtained.**

This phase includes obtaining final clearances where needed, such as from Legal, Audit, Archives and each level of management in the Business Unit's organisation structure with the final, all embracing approval from the Division's Head.

**6. Business Unit Records Retention (& Disposal) Schedule is printed and issued.**

The key item here, in my view, is the schedule layout. The printed schedule must be in such a form that can be easily read and understood. Not only must it tell the staff member using the schedule the total period to keep the records in question, it must also inform the Business Unit when is the optimum age of the record from an operational and cost effective perspective to transfer to an offsite records centre.

The method I use is to put the record titles in alphabetical order in major section (classification) groups in the first column. In the right hand column is the total retention period for which the records are to be kept. The third column advises when the records can be transferred out of the main operation area to secondary storage. Any other category instruction codes are in the second column. Instruction codes I use are as follows:

- * Do not transfer these records to a Records Centre. Have them destroyed locally or by a secure paper recycle at end of retention period.
- @ These are essential customer-generated financial transaction documents. Keep them in original form for full retention period.
- **V?** This is a Vital Record and the procedures set out in the Vital Records Identification and Protection Instruction must be followed.
- **A?** This record has historical and archival value to the Group and must be referred to the Group Archives before any disposal action.
- \# Do not destroy these records or transfer them to a Records Centre until a full Audit is satisfactorily resolved and the stated retention period has expired.

The issuing of the schedule should be under cover of a letter from the highest management level possible in the Business Unit or Division.

Implementation is not the last step, but is one of the most critical as you must ensure the requirements set out in the schedule are complied with. Management Audit reviews are essential to avoid the cost of keeping records for too long or not as long as specified to meet operational needs of the Bank, our customers needs and legal obligations.

**7. Review of the issued schedule is recommended some 12 months or less after issue.**

Ongoing maintenance is mandatory and you must put in place procedures to ensure that all new forms reports or record groups are referred to the Records Management team for appraisal and inclusion in the Business Unit Schedule. Otherwise, you'll be back to the start again in a very short time. You certainly don't want that to happen.

**Conclusion.**

The establishment of effective Records Retention (& Disposal) Schedules is a major and in my view a mandatory function of a Records Manager Professional. I trust that this presentation will be of some assistance for you in this task. Please feel free to contact me directly or through the RMAA if you would like to receive any assistance or discuss any Records Management matters.

1. "Developing a Records Retention and Disposition Schedule," H.L. Lugwia III and M. McDonnell, ARMA International 35th Conference paper, 1990.

2. These steps are from my Prahran teaching notes which I think came originally from an ARMA Paper.

3. An ARMA Paper as set out in note 2.

4. An ARMA Paper as set out in note 2.

5. W. Benedon, Records Systems, Administration Independant Study Course, Session IV 1980.

***See Page 35 for the Survey Form***

## KEY COMMONWEALTH ACTS

| Act | Document(s) to be retained | Length of time | Form | Comments |
|---|---|---|---|---|
| **TRAINING GUARANTEE (ADMINISTRATION) ACT 1990**<br>Section 101 | An employer must retain all records that record and explain all transactions and other acts engaged in or required to be engaged in by the employer under this Act. This includes any documents relevant to ascertaining the employer's:<br>- annual national payroll in a year;<br>- net eligible training expenditure in a year; and<br>- training guarantee shortfall | 5 years, or until the completion of the transactions or acts to which the records relate, whichever is later. | In writing in English or in a form readily convertible and accessible into writing in English, and in a way that enables the employer's liability under the Act to be readily ascertained. | The Commissioner of Taxation may exempt an employer from these requirements.<br>Penalty for non-compliance: $3,000 fine. |
| **BANKING ACT 1959**<br>Section 69 | Sufficient information to lodge a statement under section 69(3) in respect of all unclaimed moneys of not less than $100. | Until delivery of statement to the Treasurer under section 69(3). | Not specified. | |
| **CHEQUES AND PAYMENT ORDERS ACT 1986**<br>Sections 68, 112 | A drawee bank must retain any cheque (or copy of a cheque) presented for payment which is in its possession (eg. obtained under section 68(4)) and which is of a value of $200 or less.<br>A bank or other financial institution which presents a cheque (of a value of $200 or less) for payment to a drawee bank otherwise than by exhibiting the cheque itself shall retain the cheque on behalf of the drawee bank.<br>The obligations applicable to drawee and collecting banks with respect to the retention of cheques also apply to drawee and collecting non-bank financial institutions with respect to payment orders: section 112. | 7 years after the date of the cheque. | Original or a copy of the cheque. | Penalty for non-compliance: $10,000 fine: section 68(7). |

# Compiling A Thesaurus For A Large Public Agency

*Joy Siller* B.A. (Lib Sc.), AALIA, ARMA

*Joy is the Principal Consultant with her business Siller Systems Administration. She has worked with the records management field for over ten years, primarily in the provision of training and consulting services.*

*Joy personally specialises in the compilation of customised classification systems and in recent years has compiled and reviewed thesauri for a large number of private and public organisations. Compilations for large public agencies include Sydney Water Board, Department of School Education, and State Rail Authority.*

Compiling a thesaurus is a complex task at the best of times. The complexity is compounded when the document is designed to satisfy the requirements of a large, decentralised organisation with a diversity of functions and disciplines. The following case study provides an overview of the approach taken and problems faced when the task was undertaken for the State Rail Authority of New South Wales, and many serve as a guide to those considering a similar project.

## INTRODUCTION

The State Rail Authority of New South Wales (SRA) has a long history. Its prime responsibility is the provision of rail passenger and freight services throughout New South Wales. In recent times, the Authority's functions were shared between three business units - CityRail, Freight Rail, and Countrylink.

State Rail sites are located throughout New South Wales, whilst Corporate Head Office is in the long-standing Transport House situated at Wynyard Station, Sydney.

Like the organisation itself, records management has a long and traditional history in the SRA. Decentralised systems have developed over the years by both necessity and, more recently, by design. Recent developments in the Authority's approach to information technology will undoubtedly see it with one of the most up-to-date and efficient systems for information retrieval and transfer within the state.

In late 1991, the SRA headed toward improving and standardising its records management activities. A controlled records titling /indexing vocabulary was one such standard to be introduced throughout the Authority.

After a decision was made to adopt a hierarchical system of classification, the Authority proceeded with the compilation of a corporate-wide records management thesaurus.

## APPROACH TO THE COMPILATION

The thesaurus project commenced in late January, 1992.

One of the initial steps to the compilation involved establishing area representatives. To do this, senior managers were invited to a seminar explaining the thesaurus project, and at that stage they were requested to nominate representatives from their areas who would be able to explain functions and provide term definitions (when necessary).

The representatives ranged considerably in their experience and technical knowledge. Senior managers who accepted and understood the significance of the thesaurus project tended to nominate highly experienced personnel, whilst in other cases more junior officers would be named. In the latter cases, it was often necessary to conduct further interviews with other staff in the section.

In this initial data gathering stage, over sixty interviews were conducted and documented, with possible thesaurus terms identified.

It soon became evident that term definitions and usage varied considerably throughout the organisation. Engineering disciplines were using common words to mean very specific, and often, very diverse activities. On a couple of occasions it was impossible to gain consensus on the meaning and usage of terms. Under these circumstances there was no alternative but to act subjectively in the selection. It should be noted also that SRA glossaries, technical instructions, standards, etc. were an invaluable source of definitions, particularly for the resolve of any personal differences of opinion.

The thesaurus structure was hierarchical, with the intention being that record titles would be inverted. Where possible, the Coates[1] theory was loosely applied for this purpose - ie. THING - MATERIAL - ACTION.

A standard form of indicating term status was implemented early in the compilation. It was decided that terms would be referred to as "broad", "narrow", and "related", with non-preferred terms being shown in "use for" lists. The structure and codes, which are standard in many information industry thesauri[2], are:

| | |
|---|---|
| SN | Scope Note |
| UF | Use for |
| BT | Broader team (in SRA's case these terms are the broadest in the title hierarchy and primary terms in the thesaurus) |
| NT | Narrower term |
| RT | Related term |

This structure was accepted as the standard for all future SRA thesauri which may encompass areas other than records management.

Effectiveness of an indexing system - which in records management is usually directly related to the titling system - is measured by recall and precision. The ideal system will allow both high recall ("..retrieval of all that is relevant to a user's needs")[3] and a high precision (retrieval of specific material).

Hierarchical thesauri and titling rules can pose problems with precision in a large and diverse organisation such as the SRA. To avoid the problems of over simplified alphabetico-classed titles, the thesaurus had

**Continued Page 21**

# RMAA 11th National Convention

*The Hilton*
*International Hotel*
*Adelaide*
*11th-14th Sept. 1994*

RECORDS USES & ABUSES IN THE 1990'S

# PROVISIONAL PROGRAMME

## RMAA 11th NATIONAL CONVENTION ADELAIDE 11-14 SEPTEMBER 1994

### SECRETS AND SOURCES: Record uses and abuses in the 1990's

**REGISTRATION:** **Early Bird - $490** (by 30 June 1994) **Late - $560** **Day - $190** **Student - $300**
(A student is an unemployed person taking a minimum of 6 semester units (or equivalent) for the 1994 academic year. This concessional registration includes morning and afternoon teas, lunches and the Proceedings only).

## SUNDAY 11 SEPTEMBER 1994

**3.00-5.00pm** Registration

**5.30-7.30pm** Welcome to Adelaide Cocktail Party

## MONDAY 12 SEPTEMBER 1994

**8.00am** Registration

**9.00am** Official Opening
*Chairperson -Federal President*

**9.30am** 1. Keynote Speaker
*Janine Haines*

**10.20am** Refreshment Break

**10.45am** 2. Topic - to be confirmed
*Mark Douglas, Organisational & Industrial Psychologist, Ethos Australia P/L*

**11.40am** 3. Sources of Expertise: Education & Training for Tomorrow's Information Managers
*Vicki Wilson, Lecturer, Edith Cowan University*

**12.45pm** Lunch Break

**1.45pm** 4. The Roles of the Information Professionals in the Electronic Office
*Panel Forum RM, Archivist, Librarian, IT*
*Chairperson Dagmar Parer, Director, Electronic Records, Australian Archives*

**3.30pm** Refreshment Break

**3.45pm** 5a. Understanding Accountability in the Commonwealth Bureaucracy covering matters raised in the Management Advisory Board (MAB) Report No. 11
*Peter Kennedy, Deputy Commissioner, Commonwealth Public Service Commission*

**3.45pm** 5b. Finding and Tracking Information through Recognition Technology (OCR/ICR/HCR)
*Bill Chisholm, Branch Manager, Hermes Precisa Aust, Canberra*

**4.30pm** 6a. Take-overs and Records Management
*Rosemary Kaczynski, Commonwealth Bank of Australia, Melbourne*

**4.30pm** 6b. Telemedicine Project
- Diagnostic use, privacy and storage of data.
*Susan Andrews, Project Manager, Media, SA Economic Development Authority*

**7.30pm** 25th Anniversary Convention Dinner

## TUESDAY 13 SEPTEMBER 1994

**8.30am** Day Registration

**8.00am** RMAA AGM

**9.30am** 7. Current Information - A Journalists Tool of Trade.
*Errol Simper, Journalist, The Weekend Australian*

**10.30am** Refreshment Break

**11.00am** 8a. Emerging Technology - Evidentiary Issues - The S.A. Experience
*Graham Pratt, Managing Director, Opticon Australia*

**11.00am** 8b. Influences on the Life Cycle of a Records Management Package, Heredity or Environment.
*Brad Hoff, Managing Director, Tower Software*

**12.00am** 9. Developing a Corporate Information Strategy to Find, Keep & Manage your Information.
*Brenda McConchie, Executive Director, AIMA, Training and Consultancy Services Ltd*

**1.00pm** Lunch Break

**2.00pm** 10. WORKSHOPS
A. Education
B. Local Government
C. Imaging

**5.30-6.30pm** Trade Cocktail Party

## WEDNESDAY 14 SEPTEMBER 1994

**8.30am** Day Registration

**9.00am** 11. Access to & Use of Public Records in the Context of Citizens Rights & Public Accountability.
*Beverly Schurr, Solicitor, Public Defenders Office, Sydney*

**9.50am** 12a. Electronic Data Interchange (EDI) - Implications for the Information Manager
*Malcolm Mickan, Quick Response Manager, Levi Strauss P/L*

**9.50am** 12b. Community use of Recent Commonwealth Royal Commission Records
*Laurine Teakle, Deptartment of the Prime Minister and Cabinet, Canberra*

**10.30am** Refreshment Break

**11.00am** 13a. A Users Perspective of Records as Evidence
*Fraud Squad, SA Police Dept.*

**11.00am** 13b. Case Study - The Torrens Title Land Registration System Modernised and Commercialised
*Alan Sharman, Dept. of Environment and Land Management*

**11.45am** 14a. Implementation of Records Disposal Authorities and Risk Management
*Steve Abrahamffy, Australian Archives*

**11.45am** 14b. Records Management in the Northern Territory Since Self Government
*Greg Coleman, Principal Archivist, NT Archive Service*

**12.30pm** Lunch Break

**1.30pm** 15. Imaging - A Case Study - The Australian Securities Commission experience
*Bernie Mithen, Executive Director, Information, Australian Securities Commission*

**2.15pm** 16. To be confirmed

**3.15pm** 17. To be confirmed
Motivational address

**4.15pm** Closing Ceremony

**4.30-5.30pm** Farewell Drinks

*Details are correct at time of print but are subject to change.*

# SOME HIGHLIGHTS FROM THE SPEAKERS PROGRAMME

**JANINE HAINES** is Australia's first female politician to rise from schoolroom teacher to Federal Politics. She entered politics as an Australian Democrat Senator from South Australia in 1977, was elected party leader in 1986 and resigned from the Senate to contest the 1990 election for a seat in the House of Representatives.

Since leaving politics Janine has written articles covering political, economic, social and environmental issues for the Melbourne Sunday Herald, the Australian Institute of Management and the Australian Council of Churches. She has done book reviews for the Sydney Morning Herald and the Australian newspapers.

The organising committee considers that she will set the scene for the 11th National Convention very nicely!!

**ROSEMARY KACZYNSKI** has recently been granted Member status. She has worked for Local and State Government organisations as well as the private sector. In discussing take-overs and Record Management she will address points of consideration for dealing with corporate integration from an information perspective. She says "The concept of total life-cycle management of information takes a back seat to the concept of continuing 'business as usual', whilst attempting to integrate systems and processes".

**ALAN SHARMAN** from the Department of Environment and Land Management will provide a case study of how a 150+ year old system of land registration was modernised and turned into a very successful commercial operation.

In addition to the usual run of key note speakers and case studies the 11th National Convention has a variety of workshops - covering Education, Local Government and Imaging. Further, a major session will be devoted to investigating the degree of "professional" integration of the "information professionals". This innovative session promises to be both entertaining and informative as well as provocative.

The RMAA 11th National Convention Committee looks forward to your company in Adelaide in September 1994.

# EXPRESSION OF INTEREST

**Please send the following completed slip.**

Your Surname: ..........................................................................

Given Names: ..........................................................................

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

Address: ..........................................................................

.......................................................................... Postcode: ..............................

Telephone: H.(...............) .............................................. W.(...............) ..............................................

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

**Please tick the workshop you would like to attend:** ❑ Education ❑ Local Government ❑ Imaging

❑ I would like information about South Australian short holidays.

**The Secretariat - Festival City Conventions Pty Ltd**

**P.O. Box 986, Kent Town SA 5071 Telephone (08) 363 1307 Facsimile (08) 363 1604**

*Continued From Page 16*

to permit a certain level of subject specificity within the hierarchy. The level of specificity of titles is then left to individual indexers within their various decentralised sections. This latitude with the thesaurus, however, can lead to further problems.

Some sections within the organisation have very small, specific records holdings, whilst others have large and diverse collections. The broad term level, which is enforced in the hierarchical titling rules dictated by the thesaurus, can become redundant for some areas. For example, within a section which deals solely with track maintenance, the terms "tracks" and "maintenance" have very little relevance for index searches. In another section, where information on track maintenance occupies only a small portion of activities, the terms are vital.

Should the enforced hierarchical titling be relaxed, the overall collection of records within the SRA runs the risk of having no useful recall structure for networked searches. For example, should file titles be compiled by some areas to reflect only the specific function (eg. a type of track maintenance), a searcher attempting to find all information on track maintenance would need to be aware of the specific types, rather than simply being able to conduct a broad search using the terms "tracks" and "maintenance".

Furthermore, how much vocabulary control should there be over specific elements of a title? Being an organisation with an engineering dominance, there is a tendency to require the identification of specific technical components and processes in records titles. However, the records management thesaurus compilation could not attempt to be an exhaustive control of such technical jargon.

Whilst all effort should be made to standardise on preferred terminology, an all-encompassing thesaurus is not practical. For example, a mechanical engineering thesaurus intended for use with the compilation and indexing of technical procedure manuals must enforce standards for naming intricate components, but would go beyond the scope of most records management thesauri. In such cases, it is far more appropriate to compile specific technical thesauri which can be used to complement the use of a records management thesaurus.

## IMPLEMENTATION

A first thesaurus was available for distribution on a trial bases in May, 1992. This distribution and implementation was undertaken on the understanding that a reviewed version would be produced within six months.

Large organisations operating as they do, training courses in thesaurus usage did not commence until September, and the review did not commence for twelve months.

Two training courses were made available - half-day general user and full-day classifier sessions. Whilst the majority of the courses were conducted at Head Office, several regional courses were also undertaken in areas as far away as Wagga Wagga.

Several hundred people were trained to use the thesaurus, provided with copies, and invited to suggest amendments to thesaurus terms and/or format.

Most trainees were particularly co-operative and involved. At times one had the distinct impression that attendees were the "converted"! They appeared to be convinced of the benefits of a standard records management vocabulary and were keen to introduce the thesaurus into their areas. However, many had the unenviable task of returning to their offices to convince their managers. Naturally, the thesaurus had been authorised for use by the SRA's Chief Executive Officer, thereby making the "convincing" a little easier for them.

The general opinion of many people attending training was that "the engineers" would find it difficult to accept standard terms. Having worked in many organisations with scientific /technical personnel (and having been one myself at one time), it was difficult to accept this generalisation. Reluctance to change and standardisation can come from anywhere and anyone within an organisation.

On a number of occasions, reluctance to standardise or, in some instances, accept inverted titles, was a result of officers, particularly senior managers, not having hands-on experience and knowledge of conducting an online index search. This was not necessarily because they did not want to, but often because files/documents are traditionally indexed, searched and retrieved by administrative support staff.

For successful information retrieval in any organisation, and particularly those with a technical base, it is essential for the originator of the information to have an understanding and involvement in the way it is indexed. Conversely, the difficulty faced by support staff in choosing indexing words is often a result of them having little understanding of the subject matter or how the information is to be used. There is a definite need to maintain close liaison between both the originator, who should have necessary technical understanding of the subject matter and its use, and the indexer who should have a detailed knowledge of the thesaurus rules and system's search capabilities.

## REVIEW

The training sessions provided an excellent forum for an informal review of the thesaurus. All reasonable suggestions made by attendees were documented and considered during the eventual review process.

A number of suggestions from sites using the thesaurus were also forwarded to Head Office for consideration.

In addition, follow-up interviews were conducted with representatives from areas where potential "problem" terms had been encountered.

Version one of the thesaurus was thoroughly scrutinised. Narrower term lists were extended to include all hierarchical relationships shown in examples throughout the thesaurus; all definitions and cross-references were checked again for completeness; the thesaurus format was changed in accordance with other user requests - the changed format was an attempt to identify preferred and non-preferred terms at a glance. (See sample - Figure 1). Complex word processing macros were compiled to carry out the reformatting without the need for any data re-keying. The macros can now be applied to any future thesaurus which may require this type of formatting.

Finally, all thesaurus entries were listed in a separate index, and instructions for usage were expanded and clarified in light of suggestions from trainees.

## CONCLUSION

The thesaurus has been implemented in approximately ninety decentralised SRA sites. Version two of the thesaurus was release in July, 1993. Because not all SRA sites have been covered either by interview or training, undoubtedly the thesaurus will still have omissions. The addition and deletion of entries will be an ongoing task for the Authority, but one which can easily be accommodated with the current thesaurus structure.

Already one CityRail region has loaded the thesaurus into its records management software - thus providing full interactive thesaurus facilities for records titling and index searching. The region has opted to enforce the thesaurus conventions at two titling levels only, with subsequent levels being optional free-text or thesaurus terms. Any changes to thesaurus entries during future reviews, can be made globally to existing titles recorded in the system.

The SRA thesaurus compilation and implementation has had relatively smooth progress. Provided the organisation is aware of the difficulties and constraints, and the thesaurus continues to be adaptive to user needs, the benefits of controlled vocabulary will be realised with both current systems and with further information technology such as imaging systems.

### References:


1 Batten, p.217

2 Hunter and Bakewell, p.96

3 Batten, p.251


### Bibliography:


BATTEN, W.E. (ed.) Handbook of Special Librarianship and Information Work, Aslib, London. 4th Edition, 1975.

HUNTER, E.J. and BAKEWELL, K.G.B. Cataloguing, Clive Bingley, London, 1979

SRA Records Management Thesaurus, Version 2, July 1993.


**Figure 1 - Sample thesaurus page**

**CORRIDORS**

SN Broad geographical bands of a *TRANSPORT ROUTE.* Use this term when referring to both the land and associated infrastructure for a railway line. Follow with the description of the corridor section /location, if necessary, and the action to take place (eg. LEASES, SALES, etc.) When referring specifically to land owned by the SRA use PREMISES - LAND. When referring to a particular part of the infrastructure (eg. the railway track) use the appropriate broad term for that subject, eg. TRACKS.

UF TRANSPORT ROUTES

NT BRANCH LINES
CLOSED LINES
GRAIN LINES
MAIN LINES

RT PREMISES
RAILWAY SERVICES
TRACKS

***CORRUPT CONDUCT***

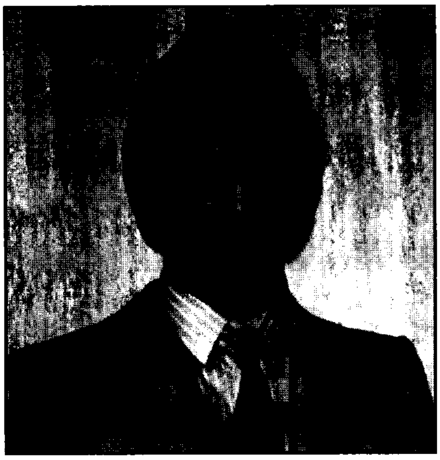
SN SEE FRAUD

**COST CENTRES**

SN Operational units within an organisation which have the responsibility for incurring costs. Use as a narrower term\ after the subject.

RT CHARGE CODES
USER PAYS

# An Introduction to the Board *RMAA Federal Directors*



**CHRIS FRIPP** *ARMA* **- NSW**

Chris Fripp is presently the Manager of Records and Archives at the NSW Department of Transport. Chris specialises in the implementation of computerised Records Management systems and has just completed the first implementation in Australia of a Document Management System that indexes and retrieves information from various electronic applications as well as physical records and documents from a single search screen.

Chris has been a Federal Director since 1990 and is the President of the NSW Branch. Chris has also held the positions of Federal Secretary, Branch Secretary, Chair of the Special Projects Committee and was part of the 9th National Convention Committee. He has served on the NSW Branch Council since 1987.

**PAM CAMDEN** *MRMA* **- NSW**

Pam Camden has worked in the Central Records Section of the Blacktown City Council for 19 years and has been the Records Manager for 6 years. Pam joined the Association in 1985 and went onto Branch Council in 1986 holding the position of Secretary for 5 years and Federal Director from 1987 - 1990. After a two year break from Branch Council she went back on in 1992 and remains as a Federal Director.

Pam has been President of the NSW Local Government Chapter and committee member for both of the National Conventions hosted by the NSW Branch. She has helped with the organisation of many State Seminars and was upgraded to Member status in 1990.

**ROSEMARY KACZYNSKI - VIC**

*Grad Dip Information Management (Archives & Records) MRMA*

Rosemary Kaczynski has been involved in the field of Records Management for the past 14 years. During this time she has gained a wide range of Records Management experience in both centralised & decentralised environments.

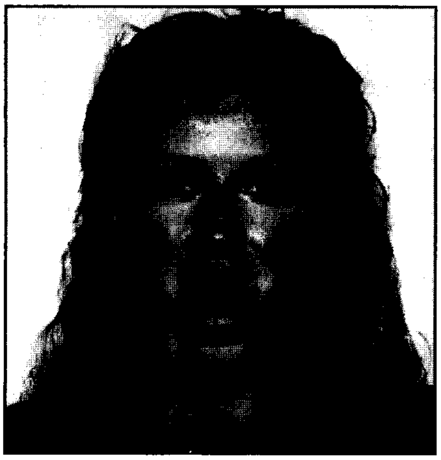
Rosemary holds a Certificate of Records Management, as well as a Graduate Diploma in Information Management (Archives and Records). For the past 5 years she has been lecturing at Swinburne University of Technology Prahran Campus in 'Principles of Records Management', she also guest lectures at RMIT.

Rosemary has been a serving Branch Councillor since 1989, and held a number of key positions including Branch Secretary, Federal Director, Registrar and Treasurer. She is currently a member of the Federal Membership Status Committee, as well as the National Co-ordinator of the RMAA Products and Services Directory.

During the course of her employment she has worked for Local Government, the State Electricity Commission of Victoria, and the Commonwealth Bank, (formerly State Bank Victoria).

**HELEN FRANCIS** *ARMA* **- SA**

Information not available.



## JUDITH ELLIS - VIC

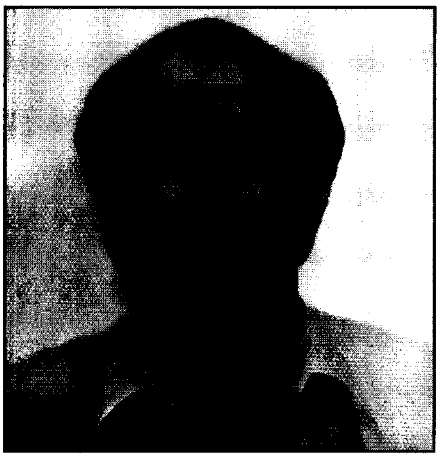
*BA (Hons), MA (Archives and Records), AIMM, MRMA*

Judith is the founding Managing Director of Archival Systems Consultants Pty Ltd. The Melbourne-based business has grown from a one person enterprise in 1981 to a company which provides Information Management consultancy, management consultancy, recruitment services and secretarial services.

Judith works in a variety of industry sectors, including small community organisations, large Australian companies, all tiers of government, interstate and overseas governments.

Judith has been involved with Branch Council since 1987 holding various positions including Vice President, Editor of National and Branch Informaa, member of National Technology and Industry Standards Committee and Federal Director.

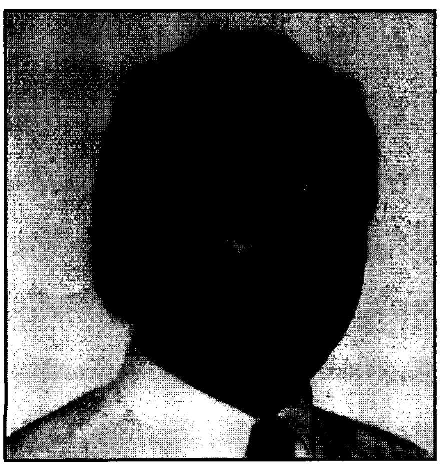
Judith has an MA (Archives and Records) and is a sessional lecturer at a number of post graduate courses in Melbourne. She is a member of the Public Records Advisory Council (of Victoria) and has also been a consultant to the United Nations.



## ROSS THOMPSON *ARMA* - ACT

Ross Thompson has been involved in the RMAA since 1980. He has been on Federal Council since 1983 and has held the positions of Public Officer and Vice President. Within the ACT Branch he has worked on many committees as well as holding the offices of President and Secretary.

Ross is currently the Product Support Manager for Ortex International and he has been with Ortex for over six years. Prior to this he worked in the Commonwealth Public Service for over twenty years in several agencies including The Pipeline Authority and the Departments of Aviation (Transport), Science, Defence, and Foreign Affairs, all of this time in Records Management or related fields.



## NEIL GRANLAND *ARMA* - WA

Neil Granland is the Association's Federal Vice President and has been a Federal Director since 1990. He is in his third term as the WA Branch President. He is on the Advisory Committee of Curtin and Edith Cowan Universities and lectures in the Records Management Certificate course at the Perth College of TAFE. Neil is the Supervisor of Correspondence Control for the State Energy Commission in WA and is on the committee of the ACFIETC and Executive of the Records Management Liaison Group.

## KEN RIDLEY - WA

*Dip. Pub. Administration ARMA*

Ken Ridley has worked for over twenty years in many State Government agencies in WA, including State Insurance, Crown Law, Labour and Industry and Occupational Health Safety and Welfare where he became Records Manager in 1988. After spending a short time with the Records Management Office in Perth in 1992, he was seconded on special duties to implement a document image processing system at the Government Employees Superannuation Board.

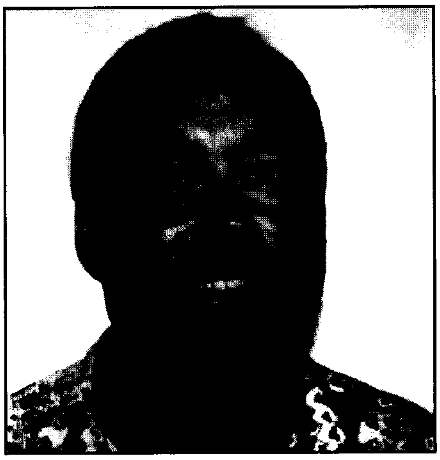
Ken has been a guest speaker at Curtin University of Technology and a tutor for distance education students at Edith Cowan University where he also participated in the making of a comprehensive training video.

His RMAA involvement at Branch Council level commenced in 1989 and he was elected as a Federal Director in 1992. At the Federal Council meeting in Sydney of that year he became the Chairperson of the INFORMAA QUARTERLY editorial committee.

## KATE McCARTHY *ARMA* - ACT

Kate is currently the Records Manager with the Department of the Prime Minister and Cabinet in Canberra. She has worked in Records Management since October 1970 when she commenced with the Trade Practices Commission Registry as a temporary officer ostensibly for a two month period. Obviously "the Records Management bug had bit" in that time and she has worked her way through the ranks from sorting the mail and pushing the clearance trolley to her current Records Manager position.

Kate has been a member of the ACT Branch since 1979 and was granted Associate Status in 1981. She has held many positions on Branch Council and chaired the Planning Committee for the RMAA Third National Convention 1988. She has been a Federal Councillor since 1992 and was elected to the Public Officer position that same year.



## GREG COLEMAN *ARMA* - NT

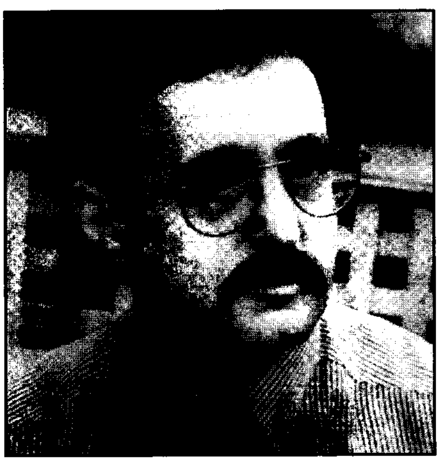
*BA, Grad.Dip.Archives Administration*
*Grad.Dip.Administration*

Greg is currently Principal Archivist of the Northern Territory Archives Service which is located in Darwin. His involvement in the Records Management business began in 1979 when he graduated from the Graduate Diploma in Archives Administration in Sydney.

From 1980 to 1985 he worked at the Public Records Office of Victoria in various capacities ranging from OIC of regional services at Ballarat to manager of records services to government agencies in Melbourne.

Greg has now been with the Northern Territory Archives Service for nearly eight years during which time he has been directly involved with its development and with the development of Records Management services within the Territory Government.

He is currently a Federal Director of the RMAA and Federal Councillor of the ASA.

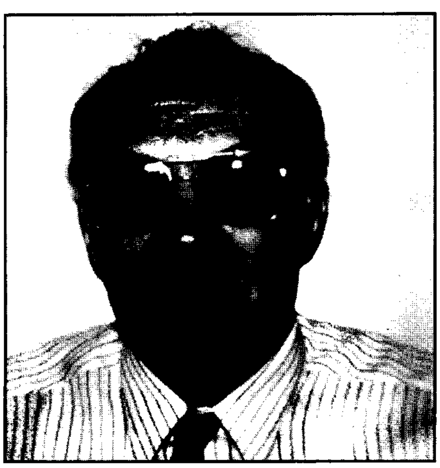


## DENNIS WHEELER *ARMA* - TAS

*Federal Director RMAA*
*Chair Federal Education Committee*

Dennis first joined the RMAA when working as a Records Management Officer with the Archives office of Tasmania, conducting Records Management system reviews and providing recommendations to government agencies. He has also worked as a systems analyst in microfilm and conducted workshops and training courses in both these areas. He has a strong commitment to training and development within the records and information industry, both at the tertiary level and the less formal RMAA workshop/seminar side. He has had wide experience at management level in both the public and private sectors. Over the past four years he has worked as a senior consultant for Government dealing in areas such as organisational design and development, strategic planning, operations management and productivity, information management and training and development. For the past eighteen months he has been employed as a senior consultant in management development programmes for the Tasmanian State Service.

Dennis has a Bachelor of Arts degree together with a two year post graduate diploma in Business and Professional Management.



## GEORGE SMITH *ARMA* - SA

George has been a member of the South Australian Branch since 1979 and was granted Associate status in 1981. George represented the association on the Comtec committee in 1983-84, co-ordinating a series of one day seminars. He is currently serving as Vice President, Federal Director (elected 1990) and is a contributing editor to the Informaa Quarterly. George is a distance education student at Curtin University of Technology, studying towards the Bachelor of Applied Science (Records Management) degree.

### MICHAEL HANGAN *ARMA* - QLD

Michael gained experience with Brisbane City Council enabling him to take up the position of Records Manager/FOI Officer with Esk Shire Council in August 1993. In this new position Michael has redesigned a computer system, and developed a subject and property based index incorporating it into the new computerised system of total imaging using ImageFind.

Michael joined the Queensland Branch of the Records Management Association of Australia as an Affiliate Member on 6th February 1985. His status was upgraded to Associate on 10th November 1987. In July 1988 Michael joined the Branch Council and was Registrar from 1988 until 1991. In July 1991 Michael was elected President of Queensland Branch.

Michael was appointed as a Federal Director for Queensland following the resignation of Murray Stewart in December 1991. In September 1993 Michael was appointed Federal Secretary.

### TINA HOWARD *ARMA* - TAS

Tina first became involved in the RMAA shortly after the formation of the Tasmanian Branch. Tina was first elected to Branch Council in 1987 and became the first Chairperson of the Tasmanian Education Committee. She has also held the positions of Secretary, Federal Director and has been the President of the Branch since 1990.

Tina has worked in Records Management in the Tasmanian State Government for more than 20 years and has held the positions of Records Manager in several agencies. Tina is currently working with the Archives Office of Tasmania in the position of Senior Records Management Officer. This position involves the provision of advice, establishment of standards and conducting training in current Records Management practices to State government agencies and authorities including Local government authorities.

Tina has also participated in a working party to develop the syllabus for the Certificate in Records Management for TAFE Tasmania and has been involved in teaching Records Management subjects at Hobart Technical College.

### JIM SHEPHERD *MRMA* - QLD

*Federal Treasurer RMAA*

Jim Shepherd, a Director of Administration with the Brisbane City Council, is the longest serving Federal Director of RMAA having represented Queensland on the Federal Council since that Branch's formation in 1975.

Some highlights of Jim's involvement with the Association are:

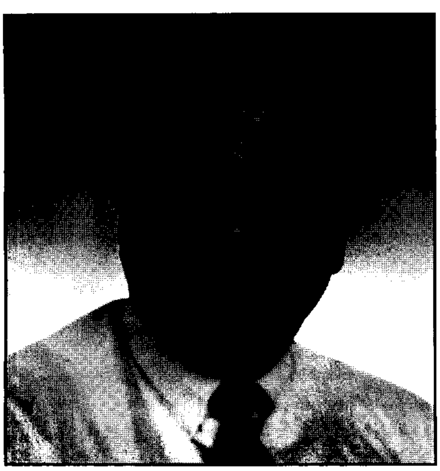
| | |
|---|---|
| 1975-1978 | Foundation President of Queensland Branch |
| 1976-1978 | Federal Vice President |
| 1978-1981 | Federal President |
| 1978-1981 | Australian Delegate to the International Records Management Federation |
| 1986-1994 | Federal Treasurer |
| 1989-1992 | RMAA Delegate to Australian Information Technology Council |
| 1989 | Elected Life Member of RMAA |

In 1976 with Branch Secretary, Bob Harris, Jim successfully negotiated with Queensland Education Department for the establishment of the Records Management Course at Kangaroo Point TAFE.

Jim was a co-designer in 1972, of Brisbane City Council's well renowned Records Management System which was computerised in 1980 under his direction. The System is currently jointly marketed by the Council and QCOM Pty Ltd as RMS2 and has been sold to several major sites in Australia.

Many Records Managers in Queensland commenced their careers in Records Management under Jim Shepherd at Brisbane City Council.

Jim has given continuing commitment to Records Management for over 40 years.



### RAY HOLSWICH *ARMA* - NT

*Dip.Pub.Admin.RMIT*

Ray is the current Association Federal President and has been Federal Director of the Northern Territory Branch since 1987, he has served as a member of the Queensland Branch and was a founding member of the NT Branch. Ray is Manager of the Records Branch at the Northern Territory University and before joining the University in 1989 worked in the Records and Information Management and Personnel and Organisation areas in various Federal and State Government Authorities.

# R&D Organisations - Network of Records Managers and Archivists

At the RMAA National Convention in Hobart in September 1993 a number of delegates from Research & Development Organisations met and decided there would be benefits in forming a network of Records Managers and Archivists in R&D organisations. The group comprised members from CSIRO, Defence Science and Technology Organisation (DSTO), Universities and the private sector.

Delegates identified a number of Records Management issues which have special significance in R&D organisations including:

- intellectual property control
- development of scientific and technical thesauruses
- development of disposal authorities for R&D records
- cooperative research centres-records

It was decided there would be benefits in a special workshop for Records Managers and Archivist in R&D Organisations at the next National Convention to be held in Adelaide in September 1994. A special workshop is planned for Thursday 15 September 1994 (the day following the Convention) to be held at DSTO-Salisbury approximately 25km North of Adelaide. Readers wishing to participate in the workshop can contact Andrew Wood, Records Manager at DSTO-Salisbury at the following address:

**PO Box 1500**

**SALISBURY SA 5108**

**or by phoning (08) 259 6493**

**or fax (08) 259 5730**

# Competency Standards

At the 18th Meeting of the Federal Executive held in Sydney during December '93, a very conscious decision was made to commit the Association in consultation with The National Training Board towards the development of competency standards for our profession. The decision was also made in line with the National Mission and Vision Statements, the Vision Statement being - "by 1997, the Records Management Association of Australia be recognised as a National Authority on Records and Information Management".

As a result of the Federal Executive decision, a National Competency Standards Committee has been formed and by the time this edition of the Quarterly is released the Committee will have had it's first meeting, the deliberations and decisions of that Committee will then be submitted to the Federal Council in February and will in turn be published in a future edition of the INFORMAA Quarterly.

The issue of the Australian Standard Classification of Occupation (ASCO) or what some people refer to as job description ID numbers will also be part of the development process of competency standards, as the ASCO review which is a joint project being undertaken by the Australian Bureau of Statistics and the Department of Employment, Education and Training will also involve competencies.

I suspect that many of our members will ask the question "Why now and why hasn't this been done before?". I believe the answer to be that the Association has perhaps seen itself in the past as not the type of organisation that wants to be involved in matters which may include industrial advocacy ramifications, that is certainly not the case now, hence our involvement and liaison with The National Training Board.

Those who work in organisations who have recently gone through or are going through the process of enterprise bargaining should be aware of the competency classification guidelines involving the following areas -

(a) problem solving

(b) application of knowledge

(c) judgement

(e) independence

(f) communication

(g) resource management and

(h) adaptability

The competency standards when developed, and that is not a task which can be completed immediately, will also contribute heavily towards the educational aspects and future planning of the Associations' National Education Committee, they will also contribute heavily toward the career paths of Records and Information Managers and Administrators.

I look forward to being able to report back to the membership on the developmental matters in the very near future.

**Ray Holswich ARMA**
**Chairperson**

# Branch Reports

## NSW BRANCH REPORT

December was a very busy month for the Branch Councillors with three special meetings, a normal Branch Council meeting and a harbour cruise Christmas party for members and guests and finish off with a cocktail party for the trade.

I am pleased to say that all events were very successful. The inaugural trade cocktail party was a chance for the Branch Council to thank the trade for their support during the year and their ongoing support of the Association. With 50 people in attendance, it was a great opportunity for the trade to meet each other and Branch Councillors in an informal atmosphere.

As from February, monthly meetings will now start at 5.30 pm followed by the Branch Council meeting at 7pm. It is hoped that members will take advantage of the new time and drop in straight after work. Anne Hampson has an exciting programme worked out for the year.

The next two events will be the Breakfast meeting for senior managers at the Menzies Hotel followed by a full day seminar. Both events will be looking at Freedom of Information and the need for good records keeping practices.

Keep 13th July 1994 (black Wednesday) free as this will be the event of the year (apart from the Convention in Adelaide). This is the date of the AGM of the NSW Branch where we will be inviting founding members, past members and past presidents to be part of this special event.

**Chris Fripp ARMA**
**President**

# Branch Reports

## VICTORIAN REPORT

The Victorian Branch Council's Christmas party was this year held at "The Boardwalk" in the CBD, it was well attended by members of the RMAA and Australian Society of Archivists (ASA), disproving to a great degree the old cliché that the two can't mix. With the function being held in the CBD it proved a popular spot for many members to drop in after work for a few drinks with fellow information professionals, a good time was had by all.

The Product Handbook has now been sent to all members, non-members can obtain a copy for $10 through Rosemary Kaczynski (B) 03 678 7091.

A State Seminar is being organised for April, following the success of last years State Seminar in Bendigo, this event will again be one to put in the diaries as a must.

The Local Government Chapter (LGC) has it's 1994 Training Schedule and Manual at final draft stage and awaiting approval by it's members. The LGC are looking to build on their 1993 success and reputation for high standard of training provided.

The Branch Council would like to congratulate all students who graduated the Certificate of Records Management at the Prahran Campus of Swinburne University of Technology. Our sincere congratulations are also extended to Harry Nunn for his award of The Medal of The Order of Australia announced in The Queen's Birthday Holiday List of June 1993.

**Cameron Phillips ARMA**
**Assistant Secretary**

## WESTERN AUSTRALIAN REPORT

A large contingent of members attended the Annual Breakfast at the Forrest Centre Tavern where they enjoyed a hearty breakfast and an interesting talk with the theme "Lobby or Lose Out" by Mr John Allert .

Congratulations are extended to Debra Potter who was awarded the RMAA (WA Branch) prize for the best essay produced by a Records Management graduate student at Curtin University in 1993. It was pleasing to see Industry support the Records Management profession as three other prizes were awarded to Records Management graduating students. We look forward to continuing excellence in education in WA through courses run at Curtin University, Edith Cowan University and Perth TAFE campus.

Maggie Exon, Branch Councillor and Chairperson of the Education Committee has resigned due to work commitments. Maggie has worked tirelessly in the area of education for Records/Information Management and her knowledge and experience will be sadly missed. Janine Douglas is the new chairperson for education and brings with her a wealth of knowledge as the Manager, Records Management Office in WA.

The WA Branch in 1994 look forward to participating in the 25th Silver Jubilee of the RMAA and wish all members a safe, happy and prosperous New Year.

**Norma Easthope ARMA**
**Secretary**

## TASMANIAN REPORT

The Local Government Chapter was formed on the 18th October 1993 and a Chapter Council appointed. As a result of the formation of the Chapter there has been a substantial increase in RMAA membership. The Branch is looking forward to the chapter organising meetings for the Local Government members in the new year.

A training session on Basics in Records Management was held at the end of November with 20 members attending. The Christmas function "Go for Gold" had members demonstrating their operational skills. The function was a big success and enjoyed by all.

The Branch has been finalising the Convention accounts and final report on the 10th National Convention. The audited report will be presented to the February meeting of the Federal Directors.

On behalf of the Branch I would like to take this opportunity to wish everyone a happy and prosperous new year.

**Susan Hill ARMA**
**Secretary**

## ACT REPORT

Following Clive Finter's highly successful presentation at the RMAA 10th National Convention in Hobart in September, the Branch invited him to address our end-of-year function. At the well-attended luncheon, Mr Finter re-presented his paper, using the delightfully descriptive embellishments which illustrated his views embodied in 'Records Management', an anatomical perspective.' Stimulating discussions followed the luncheon, with those present taking the opportunity to discuss informally with Mr Finter a wide range of Records Management issues. Overall, it was a most successful occasion. Mr Finter kindly agreed to make his paper available to those who attended who were keen to circulate it amongst their colleagues.

In November, the Branch again arranged with HH Information Services Pty Ltd to hold a training workshop, 'Records Management - Unlocking the Mysteries'. Favourable comments from participants indicated that the workshop provided an informative and useful range of topics. Branch Council continues to be aware of the needs of its members for courses which cover the principles of Records Management, particularly as Government agencies are now working in devolved environments.

The ACT Branch values the opportunity to meet students at the Canberra Institute of Technology who are studying Records Management as part of an Associate Diploma of Business (Office Administration). In November, the Branch President was invited to visit the campus to meet the students and to address them.

**Elaine Eccleston ARMA**
**ACT Branch President**

## SOUTH AUSTRALIA REPORT

Another year has passed and suddenly we are faced with only 9 months to the 11th National Convention. A number of members have been putting in some positive and long hours, working towards a professional presentation, in this the 25th Year of the RMAA. The Convention Programme is well established and the Trade Exhibition is scheduled to be a little different than in other years.

In December, at the Branch Christmas Luncheon, I had the pleasure of presenting Helen Challen, a student in Records Management at Adelaide TAFE, with a cheque for $50 and a fountain pen, as the winner of the RMAA prize for the best student essay. I was, at last, finally able to present Gill Ingham with a well deserved Certificate of Associate Membership.

Helen Onopko has presented the following report from the Education Committee: "This quarter has seen the Education Committee involved with the National TAFE Curriculum and the structure of the lecturing programme for the SA TAFE Certificate for 1994.

The certificate in Records Management currently conducted at Adelaide TAFE will continue in 1994, although new students may not be admitted in second semester to facilitate the national course commencing in 1995. Our representative on the National Project Committee, Jon Harmer from Adelaide TAFE required comments from the Committee on the modules in their current format. This task was not easy due to the large quantity of information comprising the modules, and the relative short time beyond distribution, for review. The Committee feels that review of specific modules would have elicited a meaningful response.

This Certificate will have added value next year, as it is proposed to recruit industry specialists to conduct certain lectures within their area of expertise.

The Education Committee will also in 1994 be concentrating upon organising the Education Workshop which will be conducted as part of the National Conference in September in Adelaide. It is planned to continue the theme and topics raised in Hobart."

We wish all members well for 1994 and look forward to meeting with you in Adelaide in September.

**Helen Francis ARMA**
**President**

# Branch Reports

## QUEENSLAND REPORT

The Queensland State Branch Council half day State Seminar will be held in May 1994, planning is currently underway with four speakers obtained.

Following the Strategic planning session the Queensland Branch has been restructured to incorporate the National marketing plan with emphasis placed upon member requirements.

The Executive positions consist of the President and three (3) Vice Presidents - (Marketing and Communications, Administration and Education and Professional Development). The President, whilst maintaining overall control, each of the Vice Presidents control the day to day operations. The functions performed by the Branch Council have also been varied to incorporate a greater member oriented organisation.

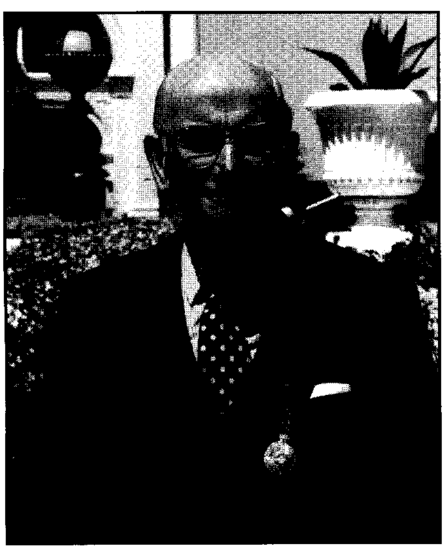
**Michael Hangan ARMA**
**President**

**PRESIDENT**

**FEDERAL DIRECTORS**

| **VICE PRESIDENT** | **VICE PRESIDENT** | **VICE PRESIDENT** |
|---|---|---|
| MARKETING & COMMUNICATIONS | ADMINISTRATION | EDUCATION AND PROFESSIONAL DEVELOPMENT |
| Marketing | Finance | Education |
| Editorial | Secretarial Minutes - General - Mail | Seminars and Workshops |
| Social Functions | Membership Recruitment & Status | Public Affairs |
| Trade Liaison | | |

# Victorian Member Honoured



HARRY W. NUNN was honoured in the 1993 Queen's Birthday Honours list with the award of Medal of The Order of Australia in The General Division (OAM) for Public Service as an Archivist and for service to the Archival profession and to Records Management.

Harry W Nunn OAM BA (Hons.) CRM FRMA, has achieved a long and distinguished career in the fields of Archives and Records Management. He has held positions as Senior Archivist, Chief Archivist and Keeper of Public Records in Victoria spanning the period 1955 to 1981.

He is a life member and fellow of the RMAA and has actively contributed to the Association at Federal and Victorian levels since it's inception including being an inaugural signatory to the Articles of Association in 1973. As well as being Australian delegate to the International Records Management Federation (IRMF) 1974-82, Harry was member, Joint International Council of Archives (ICA)/International Federation Committee on Records Management 1974-82 and member and Vice President Australia and Oceana for the International Records Management Council (IRMC) 1982-86.

Harry has been a prolific writer and speaker on Archival, Historical and Records Management issues and has conducted numerous consultancies in both the private and public sector.

Members of the Association offer their congratulations to Harry Nunn for achieving this award and wish him well for the future.

# PROSCAN AUSTRALIA *Specialises in scanning solutions for PC and Macintosh.*

In this article, we will introduce three new and exiting software packages destined to have a major impact on document imaging in the coming months. In the light of recent developments, we will also evaluate the potential of purely SCSI based image processing solutions (as opposed to those requiring expensive hardware compression cards) and in this context take a look at Fujitsu's range of SCSI scanners.

PROSCAN AUSTRALIA has announced two new document imaging applications, Watermark and Recollect. Both programmes operate under Windows and introduce a host of new features, with a great attention to detail.

## Recollect

Recollect (from MindWorks - USA) can truly be called a complete document imaging programme. Recollect gives you the option to archive documents either as text (using the built-in OCR) or as an image. You can retain text and image, image only or text only.

Major new features include the ability to archive images in all scan modes, i.e. line art, halftone, greyscale and colour. Image compression types include Group III & IV, LZW & JPEG. The quality of the JPEG compression is such as to enable the storage of a large number of colour photos. For instance a passport photo only occupies 9K and a standard size photo a mere 50K. Documents can be linked to each other; you can for instance link a text document with a photo.

Recollect also includes very powerful indexing and retrieval features. It can automatically OCR text from scanned documents and then index only the meaningful and distinctive words. Both OCR and indexing can take place in deferred batch mode. Recollect also supports "Fuzzy Search", to accommodate OCR errors and spelling mistakes ! It could find "Philips" if you typed "Phillip". The degree of Fuzzy Logic can be fully customised, which means you can widen or narrow your search at will.

If you don't wish to use the OCR you can of course just archive the documents as images only in which case you can add multiple tag notes to each document. Recollect's tag notes can be anything from a single word to 16 pages of text !

Existing text documents can also be imported for full text retrieval. Recollect supports the most popular formats, including Word, WordPerfect, AmiPro, etc... Scanned documents can also be exported in a wide variety of formats.

Another powerful feature of Recollect is it's Portable Document Indexing, which means you can move documents between different document libraries without the need for re-indexing. For example you could go on interstate business and take your notebook with you. However, your notebook cannot store your entire image library. All you need to do is ask Recollect to copy to your notebook all documents related to a particular subject(s). During your trip you can edit those documents and upon your return just copy them back to your main computer. As each document carries its own index, no re-indexing is required.

Pricing for Recollect starts from $ 995 for the single user version.

## Watermark

WaterMark is similar to Recollect in that is can scan documents or import faxes. Even though OCR software is included with Watermark, it doesn't offer a full text retrieval system like Recollect. On the other hand, Watermark offers superb annotation and integration features.

Scanned images can be annotated like any normal paper document could: you can highlight important points using the yellow highlighter, draw, type comments or even include sound notes if you have a sound card. Annotations have never been easier!

Watermark utilises OLE (Object Linking and Embedding) to its full potential. You can "Image Enable" your existing Windows applications using OLE to create links from the scanned document to records and files held in another application. For example, you could link a scanned ID photo of a staff member with their Personnel File held in a Windows Database.

You could also scan all purchase orders received from clients and link them to your accounting programme. The next time you have a query regarding this account, you simply click on the Image Object created by Watermark to view all the original documents and signatures associated with that particular client.

Watermark's powerful annotation features can be fully utilised when used with E-Mail (e.g. cc:Mail or Microsoft Mail). You can annotate a document (received on a fax card or scanned) and send it to someone else on the network.

Pricing for Watermark starts from $ 295 for the single user version.

## Forms programme

PROSCAN AUSTRALIA also unveiled FORMation, a high speed OMR (Optical Mark Recognition) software for Windows. OMR is used to automatically process forms and multiple choice questionnaires such as stock re-order forms, job hours forms, statistical questionnaires, exam papers, customer satisfaction surveys, tests, etc...

This programme is unique in its flexibility, functionality and ease-of-use compared with existing OMR applications. Documents can be scanned using a standard image scanner like the Fujitsu ScanPartner, eliminating the need for dedicated OMR hardware.

Other OMR programmes require dedicated forms design software or magnetic ink pre-printed stationery which greatly increase the cost, particularly for small volume applications. FORMation by comparison, lets you design your own forms (using any standard word processor, typewriter or even hand-drawing).

FORMation generates a flat ASCII file which is displayed via the Windows Notepad or written to a disk file.

A Fujitsu ScanPartner 10 with FORMation lets you scan and process 450 pages per hour for an initial investment of around $4000. While this kind of volume doesn't compare with dedicated OMR equipment, its cost-effectiveness and versatility certainly opens up new applications for Optical Mark Reading.

When used with FORMation OMR, a compression card offers no benefit as the OMR software processes each page on the fly and then discards it.

FORMation retails for $ 995.

## Fujitsu SCSI scanners

Fujitsu's range, quality and reputation in the scanning industry needs no introduction to those already familiar with high speed, high volume document management applications.

Traditional high speed applications have relied upon expensive third party compression cards like KOFAX. Fujitsu now offers a complete range of SCSI scanners and we shall look at their potential for high speed applications.

For those who are unfamiliar with the term "SCSI", it is an acronym for Small Computer System Interface and allows connection of up to 7 logical devices to be controlled from one SCSI interface card. Those devices can include a hard disks, CD-ROM, image scanner, DAT and all types of removable drives.

All those devices can be connected and controlled with a single SCSI controller card and the appropriate software drivers for each peripheral. There are big differences between SCSI cards, with transfer rates ranging from 3 to 10 MB/s on ISA machines and 110 MB/s with the new PCI bus.

The A4 size Fujitsu ScanPartner 10 is an excellent choice for low to medium volume scanning for Document Image Processing, OCR and OMR applications. With its built-in 10 page per minute automatic document feeder and SCSI II compatibility, it provides the perfect choice for rapid and reliable scanning with a volume of up to 5,000 pages a day. Tests performed by PROSCAN have shown that on a 486-66 with SCSI-2 controller, scanning and compression speeds reached 10 ppm with Watermark. The actual Group IV compression was performed by the software on the host computer.

For higher volume applications, Fujitsu also offers the 3096G and 3097G scanners, capable of scanning respectively 20 and 47 ppm

For document imaging on a 486-66 computer, those scanners would be limited to a speed of around 13 and 23 ppm as the computer needs to receive the uncompressed image and then compress it.

If you wish to use the Fujitsu 3096G and 3097G SCSI scanners at their full rated speed on a medium performance PC, Fujitsu also offers a dedicated compression card called the CEP (Compression Expansion Processor), priced at $ 2300. This card fits directly inside the Fujitsu scanner.

The future certainly looks bright for document imaging in the $5,000 to $10,000 price range. Whilst a Fujitsu ScanPartner will not supersede the "traditional' (high speed / high price) imaging solutions, it certainly opens new doors for document imaging.

**PROSCAN AUSTRALIA**
**P.O. Box 700**
**Neutral Bay NSW 2089**
**TEL:(02) 904 1244**
**FAX:(02) 904 1099**

*Continued from Page 15 (Private Enterprise Records Retention)*

# SURVEY FORM

[illegible] Records Management

[illegible]

Record Retention Assessment

Title:

(Please attach sample of record/report) Item Report No.

[illegible] one page? No ☐ Yes ☐ If 'Yes' how many?

[illegible]

[illegible] ☐ [illegible] ☐

Triplicate ☐ Other copies (specify) ☐

[illegible] used for and by whom?

3. What is the original source of the information?

[illegible] No ☐ If 'Yes' where?

[illegible] produced? Daily ☐ [illegible] ☐ Half Yearly ☐

Business Unit

[illegible] specify

Does the record meet the [illegible] (for Vital Records Identification and Procedures).

No ☐ Yes ☐ What Category?

[illegible]

What would happen if the original or copy could not be obtained within:

[illegible]

[illegible]

[illegible] months

Never

Is a copy kept elsewhere? No ☐ Yes ☐

If "Yes", where?

## Archival/Historical Value

Does the record contain any information of Historical or Archival value for ANZ Group/Business Unit?

No ☐ Yes ☐

If "Yes", what is the information?

Completed By Date / /

*(Please Print)*

# Controlling Your Faxing

Faxing has changed the way people communicate. A few years ago, informal communications took place over the telephone.

We communicated more substantial information by mail, and that letter cost over $5.00 to write and post. Today, statistics indicate that we send fewer business letters than we did in 1987.

Yet more written communications take place today than 6 years ago. The most common conclusions to today's telephone conversation are, "Could you fax me a copy of that?", and "I'll fax it to you right away!"

Faxing, however, has drawbacks. The letter must be typed anyway. Then, when it is sent to the printer, the person stands there while it prints, moving on to the fax machine to queue up and actually send the fax. A new generation of software, however eliminates the need for all the waiting.

Fax Server software is designed to capture any "letter" that is sent to the Server instead of being sent to the printer. It processes the letter into fax format and sends it to the designated phone number.

In order to keep the user informed, the software sends a message when the fax has been successfully dispatched. The fax software will also send a copy of the fax to the printer, if requested, so a hard copy can be filed, and can archive the fax for later electronic viewing.

An Australian software package takes this concept of faxing simplicity one step further. The developers interviewed people in government and industry to learn what they liked and disliked about faxing, and specifically about their feelings toward the new fax server software.

The results were practically a textbook example of "Technology versus the Real World". Managers and workers alike all found the new software eased some of their work burden, but that it focused on the speed of converting the fax, the Megabytes of storage required and so on.

Workers wanted someone to look at their work process itself, and design a smoother flow. Managers asked for more focus on cost control than on Video screen pixels. Both groups wanted often-used information stored in the computer so they would not have to interrupt their work to look up a phone number, a post code, a foreign country code or the time of day in Singapore.

FAX HQ (Headquarters) is the result of this investigation. Based on the concept that software must be just as ergonomically designed as an automobile, the developers have included nice features such as "quick", a notepad where the user can type in a few words while still on the telephone, quickly type in a fax number and push the "send" key without the bother of loading the Word Processing programme, choosing a style.

Information features in the programme include a World Map, a World Clock, a database of local and international holidays, thousands of Australian Post Codes and US Zip codes, a database of telephone tariffs by carrier (Optus and Telecom in the Australian version) and over 4000 country codes including Latvia and Estonia.

Many of the tasks that need to be accomplished by Government and Industry today require faxing the same document to a list of people on a regular basis.

This is quickly taken care of in Fax HQ because the Phone Book includes an unlimited number of "Groups".

In addition, all kinds of documents can be stored in the computer, so that when a client wants a copy of a sales brochure or a copy of the latest interpretation of a law, the user can choose that document on the screen, add a quick cover page, and dispatch the entire package without leaving their desk.

Managers and Government Administrators are constantly under pressure to keep costs within tight budgets. Because faxing represents one of the largest controllable costs, they will find that FAX HQ will help them control those fax costs. FAX HQ provides automatic scheduling of faxes to the least expensive time of day and even to the least expensive routing of the call.

The software reviews all telephone numbers presented to it, and if the fax is not marked for high priority, schedules the fax to a later time when off-peak charges apply. Another way that costs can be obtained is through the elimination of photocopying and the reduction or elimination of expensive fax paper. Inbound faxes can be received by the fax server and printed on a laser printer at the same time, saving the time and expense of photocopying each document so that it does not blacken with age.

Users will find the convenience of all faxes being received in electronic format a real boon. Each fax received and automatically stored in the computer. From there, the document can be viewed in various sizes from within FAX HQ, stored, and retrieved or forwarded as necessary.

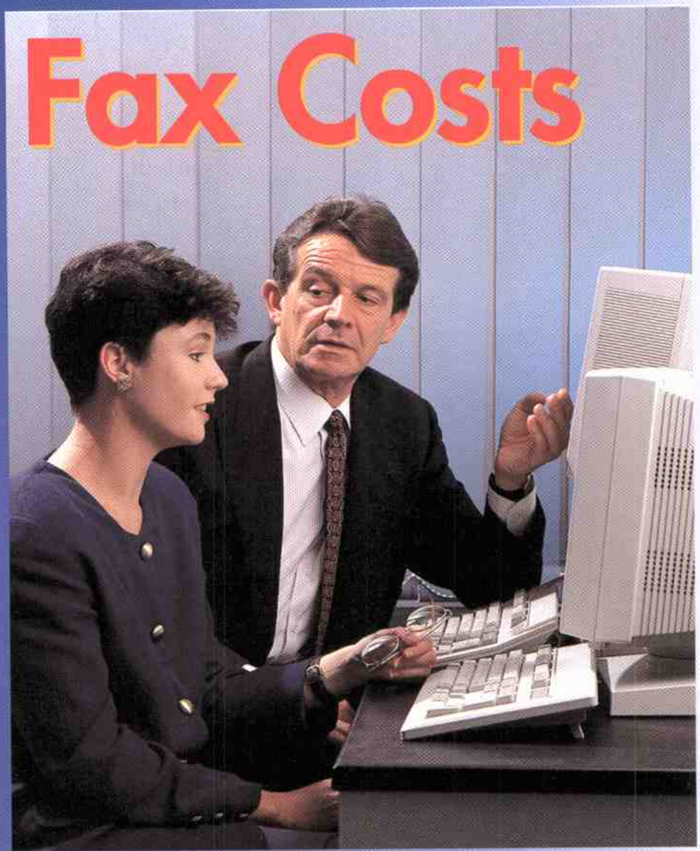
Security in the faxing environment is an important consideration that must be addressed by fax software. Some kind of control over unauthorised use of faxes must be in place so a rogue employee does not sneak faxes to their friends in Paris and Los Angeles when nobody is looking.

In addition, many faxed documents have legal implications and need to be controlled, reviewed by management and properly archived. FAX HQ has put in place a module called the "Administrator" that allows the appointed fax administrator to implement multiple levels of security and archiving. The module is powerful enough to restrict any faxes from being sent by unauthorised users to allow other users to fax only to specified phone numbers, areas or countries.

Based on feedback from users, the FAX HQ developers will continue to enhance the software to provide "one-stop" communications. Research is continuing on work flow in the office, and the appropriate management of the users time.

Contact Information:
**Lan 1 Pty Ltd**
**Chip Hilts or Henry Chung**
**Telephone (02) 211 0484**
**Facsimile: (02) 211 0420**

# Power Over Fax Costs



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Fax Server for Networks

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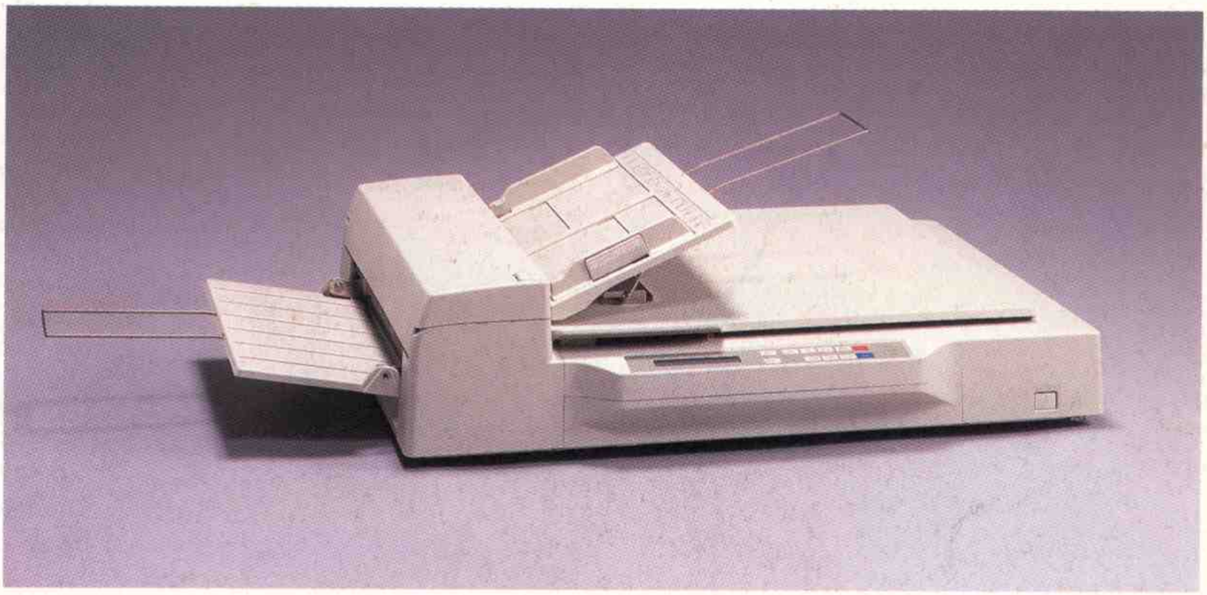

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