



Solving Records Management Issues in the Public Sector

DocBanq White Paper

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Overview

Public sector organisations are obliged to manage their records in line with legislation and current best practice. A key element in meeting this obligation is the establishment of a records management system to the ISO15489 Records Management standard.

Ensuring compliance with records management obligations can be difficult, especially given the explosion of records in electronic form, most notably e-mail, and the devolution of many records management functions throughout the organisation.

DocBanq is an electronic document and records management system (EDRMS) purpose-built to allow public sector organisations to comply with the relevant legislation, best practice and standards, including ISO15489.

Apart from compliance, many public sector organisations wish to improve the transparency and visibility of records, as well as monitoring the status of records to manage key organisational processes.

DocBanq allows the creation, centralisation and control of the one record-set even when the organisation is spread over many different physical locations, and allows the interrogation of status and a range of other information quickly and easily from any location.

DocBanq is a powerful EDRMS empowering public sector organisations to meet their compliance obligations whilst improving access, visibility and management control.

Recordkeeping issues solved by DocBanq

DocBanq solves a range of records management issues for public sector organisations:

- Allows records management obligations to be met and exceeded.
- Supports best-practice records management, including the implementation of Business Classification Schemes.
- Seamlessly manages physical and electronic records, including e-mail.
- Allows sharing of, and collaboration upon, key corporate records and documents whilst maintaining strict access control.
- Provides fast and powerful searching for both retrieval and status reporting.
- Minimises training load placed upon the organisation through elegant user-interface design.
- Supports Disaster Recovery planning with a high level of redundancy, backup and server replication.

Legal standing of electronic records

Organisations that meet the ISO15489 standard for electronic recordkeeping generally choose to manage records, where convenient or appropriate, in electronic form only without any 'backup' paper copy.

Note that electronic recordkeeping does not mean elimination of all paper records; in fact, all good EDRMS, including DocBanq, allow the management of both paper and electronic records in any combination. Many organisations will have a blend of paper and electronic recordkeeping depending on the nature of the records themselves, for example:

Examples of paper and electronic recordkeeping

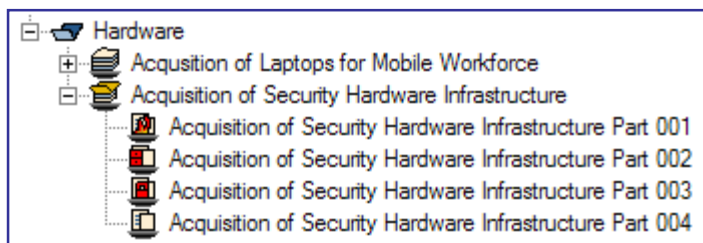
- Old paper files, rarely used, inexpensively stored, kept for compliance reasons only.
Consider leaving in paper form
- Active paper files, needed by many people in different locations, must be able to be searched, requiring frequent update.
Consider converting to electronic format by scanning
- Electronic files, most documents in electronic format such as e-mail and e-mail attachments, documents added and searched by people at different locations
Consider leaving in electronic form

Records management compliance

DocBanq assists public sector organisations to meet their records management compliance obligations by providing a number of capabilities in line with the ISO15489 Records Management standard and relevant legislation.

File Management

- Create physical, electronic or mixed mode Files.
- Determine whether File Parts are *open*, *closed*, *archived* or *destroyed*.
- Specify disposal schedules and disposal authorities.
- Automatically allocate unique identifiers.



Application of Business Classification Schemes

- Capture and apply a Business Classification Scheme to Files.
- Retrieve and manage objects using the Classification Scheme.

Keyword:*	Financial Management - Budgeting
	Financial Management - Asset Register
	Financial Management - Budgeting
	Financial Management - Planning

Specification of Custom Fields and Metadata

- Apply any number of *text*, *date* and *user* type fields to all DocBanq objects.
- Specify fields to be *mandatory* or *optional*, or confined to a list of *controlled terms*.
- Search using upon any custom field and metadata.
- Configure the display to view custom fields as desired.

Physical Records Management

- Manage Physical File Parts, Physical Documents and Physical Objects.
- Automatically allocate unique identifiers.
- Capture custom metadata, including barcodes.
- Retrieve by Location and Custodianship.
- Search by metadata and a range of other parameters.

Electronic Records Management

- Store all known electronic document formats.
- 'Drag & drop' to Microsoft Windows™ and Office™ applications, including Outlook™. 'Drag & drop' records from DocBanq into e-mail, onto disks and CD-ROMS. 'Drag & drop' records from e-mail, disks and other media directly onto DocBanq Files.
- Control document versions with full version history available for all electronic records, including the *who*, *what*, *when* and *why* of the change.
- Administer the number of version kept and the over-ride of locked documents.
- Scan physical records using OCR software such as Adobe Capture™ and ABBYY Finereader™.

V#	Exists	Created By	Created On	Change Reason	Type	Size
4	<input checked="" type="checkbox"/>	Nankivell, Peter	2004-10-06 09:50:54	Comments on Para 49.	doc	48 KB
3	<input checked="" type="checkbox"/>	Lipscombe, Matthew	2004-10-06 09:50:32	Comments on Para 45.	doc	48 KB
2	<input checked="" type="checkbox"/>	Nankivell, Peter	2004-10-06 09:50:06	Comments on Para 23.	doc	48 KB
1	<input checked="" type="checkbox"/>	Lipscombe, Matthew	2004-10-06 09:47:30	First Version	doc	48 KB

Audit Trail Capture

- Capture comprehensive audit trails for all actions upon electronic and physical records including record creation, metadata change, movement history, record access and user login.
- Prevent privacy issues by controlling casual user access to audit trails.

XML Export for Digital Preservation

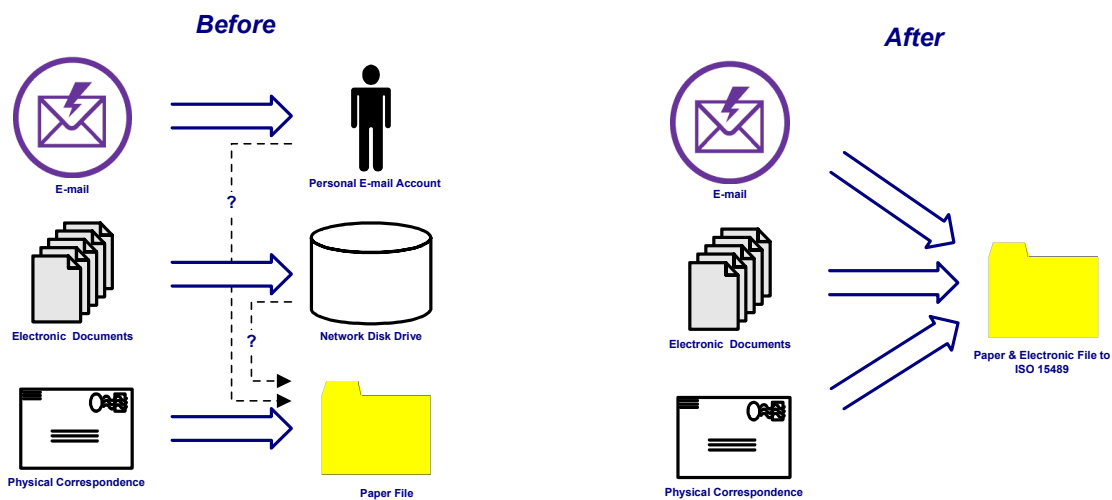
- Generate an XML Archive of all records and all metadata.
- Prepare records for long-term digital preservation.
- Retire records from DocBanq to local storage as required.
- Instantly restore XML Archives directly to DocBanq when needed.

Seamless management of all records

DocBanq supports the seamless management of physical and electronic records, including e-mail, by allowing *mixed-mode* Files. Mixed-mode Files contain both electronic records (native and scanned) and the metadata capture from physical document and object registrations.

Hardware			
Acquisition of Laptops for Mobile Workforce		Configuration options and indicative price breaks	2005-03-01
Acquisition of Laptops for Mobile Workforce Part 001		Contract for the Acquisition of Laptop Computers	2005-03-01
Acquisition of Laptops for Mobile Workforce Part 002		Demonstration Laptop from Supplier	2005-03-01
Acquisition of Security Hardware Infrastructure		Expenditure Budget Analysis	2005-03-01
		Laptop Requirements Specification	2005-03-01
		Presentation to Steering Committee	2005-03-01

- The one logical File can exist for all record types, physical and electronic, and be subject to the same records management controls including disposal and business classification.
- The existence of all records pertaining to a subject is visible to users under the one File.



Sharing, collaborating and access control

- DocBanq uses 'Remote Symmetry' technology to ensure rapid response to user commands, even over high latency low bandwidth infrastructure, such as wireless, GPRS and dialup.
- DocBanq 'GUI Synchronisation' ensures that all users are presented with the latest information the instant any changes occur; no more server replication lag or manual server synchs.
- A robust security model allows sensitive material to be protected while being easy to maintain.

Groups - Access					
	Finance				
	Human Resources				
	Records Managers				

Powerful searching

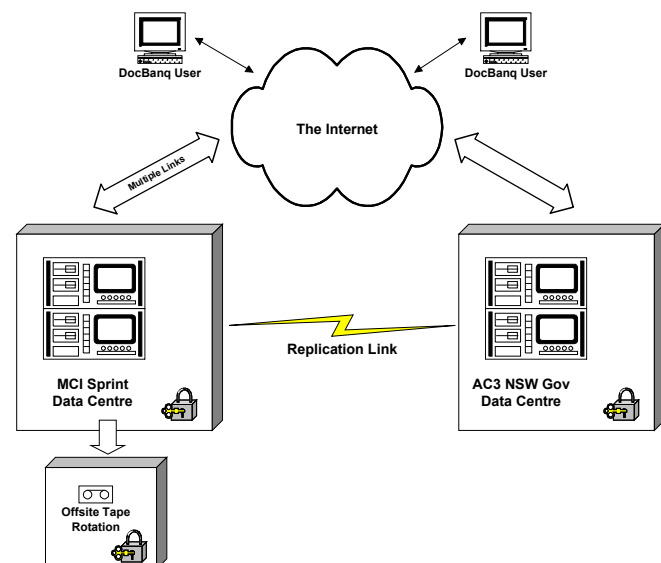
- Powerful multi-criteria searching of all object types.
- Incredible search performance; complex search results typically returned in under ½ second.
- Supports the Full Text searching of hundreds of document types including all Microsoft Office™ applications.
- Automatic abstract generation.

Easy to use

- Familiar Windows™ 'look and feel' minimises the learning curve.
- Intuitive functionality, efficiently executed.
- Online Help and Training Materials provided.
- Fast and responsive user interface.

Disaster recovery

- Redundant system architecture has a high level of availability, security and redundancy.
- Compliments any Disaster Recovery strategy with off-site backup and replication.
- Economies of scale allow premium infrastructure to be cost-effectively provided.



Conclusion

DocBanq provides public sector organisations with powerful EDRMS capabilities that allow compliance with records management obligations, and increased management visibility and control of corporate records.

DocBanq is easy-to-use, easy-to-train and provides a high level of security and disaster recovery.

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