iQ

InfoRMAA Quarterly

Vol 23 - issue 4 – November 2007 – issn 0816-200x
AU $75.00 for four issues (plus GST)

TECHNOLOGY AS A RIM TOOL

INTELLECTUAL ARCHITECTURE

FUNCTIONAL TAXONOMIES

MYTH OR MAGIC?

EDRMS User Behaviour

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Health Archives in Norway

Records and CAPTAIN BLIGH'S OTHER MUTINY

PROTECTING THE PAST, NAVIGATING THE FUTURE

We Interview New Alexander Turnbull Library Chief Chris Szekely

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OFFICIAL JOURNAL OF THE
RECORDS MANAGEMENT ASSOCIATION
OF AUSTRALASIA

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ADVERTISING
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ANNUAL SUBSCRIPTIONS
$75.00 (plus GST) per annum for 4 issues (including postage), from:

Membership & Financial Services
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GPO Box 1059 BRISBANE QLD 4001
P: 1800 242 611 F: 1800 333 802

IQ **ONLINE ARCHIVE**
Copies of articles published in *IQ* since 1984 are available at the Members Only section if the RMAA website, in the *IQ* Article Archive. Complete back issues form February 2005 are available electronically at the Members Only section of the RMAA website.
The Members Only section of the website can be accessed with RMAA membership, or, outside Australia and New Zealand, with the purchase of an *InfoRMAA Quarterly* annual subscription.

RMAA WEBSITE
http://www.rmaa.com.au
IQ Magazine is produced for the RMAA by Comperation Group Pty Ltd, PO Box 391, North Sydney, NSW 2059. Editorial management by Fame & Fortune Pty Limited.

In This Issue

Front Cover:
As we delve into the subject of RIM Tools, our cover story, written by a Canadian author for *IQ*, asks whether functional taxonomies are myth or magic - see page 18.

Kemal Hasandedic,
RMAA's National President

Using Influence and Integrity to Deliver the Records and Information Management Message

The 2007 Convention Committee breathed an audible sigh of relief in mid September as the Association's 24th International Convention came to a close in Wellington, after more than 2 years of planning involving an ambitious programme which incorporated plenary and concurrent sessions, vendor presentations, trade exhibition, social programme and workshops.

There was something for everyone at the Convention, and those who did manage to attend were suitably impressed with the calibre of the plethora of speakers and subjects based around the Convention's main theme, 'Influence with Integrity'.

During the Convention, every delegate had the opportunity to attend sessions that related directly to the job of being a records and information professional, to building relationships, and to helping build a community of compliant users of records.

Three international speakers, Jonathan Redgrave, Lori Wagner and Natalie Ceeney also undertook post-convention speaking tours which were better attended than similar events in previous years, which is encouraging. And feedback was terrific. Several RMAA branches have also run post-convention DVD sessions.

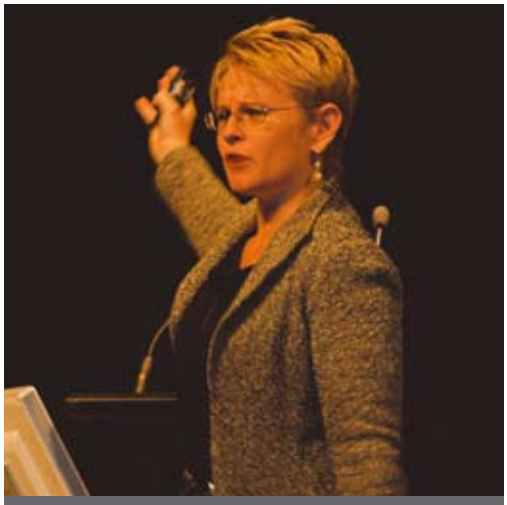
On the commercial side, we sold 30 exhibition booths, involving approximately 70 exhibitor staff and vendor material that was interesting and informative.

The friendly and helpful Convention team made up of Wendy Daw, Kristen Keley and Tony Walker ensured the smooth running of the event before, during and after.

Filecorp won the People's Choice Award in two categories, Most Interesting Stand and Best Giveaway, for their manicures and hand massages. Meanwhile, Desktop Imaging won the Award for Most Informative Stand - which they assure me had nothing to do with the Rugby World Cup playing on a giant plasma screen on their stand.

The Convention was bitter-sweet, with only 210 registered delegates, a far cry from the usual 300-350. It was pleasing to see so many make it over the Tasman from Australia, but disappointing to see so few New Zealand locals supporting the Convention.

I would like to thank Archives New Zealand for their support, not only by taking a trade stand, but also in sending no less than 14 delegates to the event, which now stands as the new record for any individual company/department. It is heartening to know, based on feedback received during and after the event, that the Convention was very successful in terms of its organisation, speakers, topics, trade exhibition and social functions.



Chief Executive of the National Archives of the UK, **Natalie Ceeney**, addresses the RMAA's 24th International Convention in Wellington in September

However, it did make a minor financial loss, which is disappointing. While there are a number of factors that can be considered, in a large part the lack of local delegate numbers went against expectations for the programme.

As there were so many of you who couldn't attend this year, and missed some unique and powerful presentations, don't forget that DVD copies of the presentations are available for purchase from RMAA Administration.

The RMAA National Board has now introduced new reporting structures for upcoming Conventions, and we look forward to a massive turnout and at the 25th Silver Anniversary RMAA International Convention to be held 7-10 September 2008 in Sydney, with its theme 'Adopting and Adapting'.

Kemal Hasandedic, FRMA
National President and Chair of the Board

From the CEO

IQ GOES THE NEXT STEP

Every day we are bombarded with information about records and information. Making sense of it all can be very difficult. What should be taken seriously? Which are 'risks'? Sometimes records and information professionals are reported as saying conflicting things. How do we know what to believe?

There is a system used to decide which results/articles should be published in a professional journal. This system, called peer review, subjects articles to independent scrutiny by other qualified records and information management experts (peers) before they are made public.

Peer review can give you confidence that the content of the article is considered, valid, significant and original. Peer review means that statements made in journals are critically different from other statements or claims. Records and information management is more than 'just another opinion'.

When a professional finishes a stage of work (or project, process etc), they usually write a paper presenting their methods, findings and conclusions. They then send the paper to a journal to be considered for publication.

If the Editor thinks it's suitable for the journal, they send the paper to 'peers' who research and publish in the same field, asking them to:

- Comment on its validity – are the results credible; are the design and methodology appropriate?
- Judge the significance.
- Determine its originality – are the results new?
- Does the paper refer properly to work done by others?
- Give an opinion as to whether the paper should be published, improved or rejected.

While past submissions to *IQ* have always been considered by at least one RMAA member, and often more than one, I'm pleased to advise that *InfoRMAA Quarterly* has gone to the next step and is now a peer-reviewed journal that aims to foster communication between practical and theoretical work on the one hand and historical, conceptual and interdisciplinary writings across the whole range of the records and information management on the other.

Whether you're an author or an editor, you're sure to appreciate the *IQ* peer review process. It's a simple, effective way to get reactions and observations from your peers — before your material appears in print.

When the article is received, subject matter experts will review the content and quality of the proposed article. The goal of the *IQ* peer-reviewed article process is to provide the records and information management industry with a repository for knowledge and technology, the validity and usefulness of which are assured by rigorous peer review.

So, what makes a good article for peer review?

Relevance

Its contents have to be of use to a records and information management professional.

Innovation

It should present new knowledge or technology, or analyse previously known facts in a new way.

Technical Detail

It should be logically sound, and it should give sufficient detail to allow the reader to replicate the work it describes and to assess its applicability to other environments.

Presentation and Documentation

It should present clearly and concisely in *IQ*'s standard format all relevant data and information to support the conclusions and to indicate their limitations.

Professional Conduct

It must avoid commercialism and plagiarism, and must not have been published previously.

Exceptions

IQ will continue to print previously published articles from time to time, frequently but not exclusively from overseas sources, in order to share valuable industry information, and these will not be subject to the full peer review process. Nor will the peer review process apply to interviews, news stories, regular columns, general interest articles, or articles which appear in advertising features.

The peer review process involves members of the journal's Review Committee reading your paper, evaluating the extent to which it meets the criteria for publication, and providing constructive feedback on how it could be improved. Please bear in mind that by submitting a paper for review you are asking several fellow professionals each to volunteer their time to review your paper.

The review of papers that were not written to meet these publication criteria slows down the review of papers that were written so to do. One of *IQ*'s most important functions is sharing of new knowledge and technology. To that end we encourage the submission of technical papers for publication.

Please also remember that if your paper is submitted for peer review, you will probably be asked to make some revisions based on the comments of the reviewers. Authors who do not submit revised articles in a timely manner will risk having their paper declined, or at the very least held over. By submitting your paper for peer review you are committing to making revisions, so be certain you will have time to respond.

So, let the articles flow, share your knowledge and we look forward to the next 'age' of the *IQ*.

Kate Walker,
CEO of the Records Management Association of Australasia

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From the Editor's DESK

By pushing and shoving, like rush hour platform attendants at a Tokyo subway station, we've managed to cram another issue of *IQ* full of informative and interesting material.

Our overall theme for the issue is RIM Tools, and various authors address the issue, talking about aspects ranging from taxonomies to technology, and even research and publishing, which are also tools in the modern RIM's armoury.

We interview the colourful and charismatic new Chief Librarian at New Zealand's foremost library, and also talk to the new worldwide marketing head of a leading Australian solution provider as she looks toward the future.

We look at health records in Norway, and the dramatic role of records in a London court case 200 years ago. We are reminded how close to home the issue of records and natural disasters can become, and commence an in-depth report on the information seeking behaviour of EDRMS users.

We also review the successful 24th RMAA International Convention in Wellington, New Zealand, and look forward to the next Convention, in Sydney next September.

As part of our RIM tools focus, one author looks at intellectual architecture and the role of the DIRKS methodology. As we go to press, the NAA has flagged changes to DIRKS – see this issue's Industry News section. *IQ* will bring you a more in-depth look at any changes in the February issue.

iRMA GOES ONLINE

The RMAA National Board has decided that the *Information & Records Management Annual*, published for the first time last year, will, from this year, be published online, free to RMAA Professional Members, and not in hard copy. The articles of the 2007 issue are now available online at www.rmaa.com.au.

Dr Margaret Pember and Dr Roberta Cowan, the editors for the 2008 edition of *iRMA*, which will be a refereed publication, are seeking papers for the edition, on the subject of EDRMS. See page 37 of this issue of *IQ* for details.

SHORT DEADLINE FOR NEXT *IQ*

We're already looking ahead to *IQ*'s February 2008 issue. Because of the Christmas holidays, *IQ*'s copy deadline is December 1, so you only have a few weeks to lodge submissions.

Material already lined up for February covers subjects such as compliance and EDRMS user behaviour, but submissions on any RIM-related subject will be considered, technology-based or otherwise.

Personally, I'd like someone to come up with technology that stops the year whizzing by. See you in 08.

Stephen Dando-Collins
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Put Sydney 2008 on Your Convention Calendar

Next year brings the RMAA's silver anniversary Convention. The theme for the 25th International Convention, to be held in Sydney, NSW, from 7-10 September 2008 - 'Adopting and Adapting' - is one that affects everyone working in the records and information industry regardless of their environment.

Presentations will discuss the ways in which records & information managers adopt new methodologies and processes as they adapt to new technologies in an effort to maintain their knowledge in a fast changing and dynamic environment.

The programme has been structured to cover various topics of interest in a way that makes Day registration a suitable choice for those on limited budgets or with specific areas of interest.

The event will be worthwhile and memorable with a Hypothetical on Legal Discovery, Keynote speakers will include Professor Julie McLeod, Prof of Records Management at Northumbria University, UK discussing 'Which comes first, the chicken or the egg? Adopting and adapting principles to advance practice''. Tom Reding, CRM Executive Consultant, IBM, USA will speaking over 2 sessions about 'Digital Preservation of ESI (e-Records) for the 21st Century and Beyond.'

There will be presentations on nanotechnology, managing photographic collections in the digital age, government access cards, and developing and implementing information management strategies, just to name a few.

The Sydney Convention and Exhibition Centre is a massive venue conveniently located at Darling Harbour in the heart of the Sydney CBD, which ensures easy access for everyone.

With 54 Exhibition Stands and up to 20 Vendor presentations, the Trade Exhibition will be a valuable part of this Convention, and as they are free to the public locals should take advantage of this by inviting their CIO's, CEO's and IT Managers along.

Learn more by visiting: http://www.rmaa.com.au/natcon2008/

For more information on the convention including exhibiting, sponsoring, vendor presentations or user forums contact:

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R·M AA
Records Management Association of Australasia

Malaysian Archives Join British Library in Choosing Safety Deposit Box Technology

KUALA LUMPUR: **The National Archives of Malaysia has selected Tessella's Safety Deposit Box (SDB) technology as a key component of its digital archiving solution. Also adopted by the British Library, the technology has been designed to help memory institutions including libraries and archives preserve material stored in digital formats.**

Tessella, a British company in the business of developing solutions to technical, scientific and engineering problems since 1980, developed the Safety Deposit Box in partnership with The National Archives of the UK (TNA), to help confront the problem of digital preservation.

The software, which has already been in use at TNA for four years, as the basis of their award-winning Digital Archive system, is currently being significantly enhanced as part of TNA's Seamless Flow programme.

Following a full EU procurement, the British Library chose Tessella's SDB-based solution to supply the ingest module to their on-going Digital Object Management (DOM) programme. This programme has already built a storage service that provides guaranteed, long-term storage of digital content across multiple sites. SDB will initially be targeted at e-journals but is designed to be capable of ingesting any content stream (eg snapshots of the entire UK web domain).

It will enable scheduled and automated retrieval of content from publishers, and pass this to the storage service. Crucially, it will also validate and automatically characterise each article to assess its long-term preservation needs. In addition, SDB will store a description of this material and allow for its controlled retrieval and management.

The National Archives of Malaysia have also selected SDB as the basis for their Digital Archive Management System in conjunction with a record management system to be provided by local suppliers VersaPAC and Solsis. Tessella is rolling the system out in two phases this year.

Pn Hajah Mahfuzah binti Yusof, Managing Director of the Electronic Records And Information Technology Management, National Archives Malaysia commented in a Tessella media release: "This is a crucial and exciting time for archives around the world. We need to share and build on each other's experience in order to solve the new preservation challenges.

"We are excited to reap the benefit of previous work and plan to add to the international expertise through our experiences and by, for example, hosting next year's International Congress on Archives, a four-yearly event, in Kuala Lumpur."

NAA Flags Changes to DIRKS

CANBERRA: **The National Archives of Australia (NAA) is proposing to introduce changes to the DIRKS (Designing and Implementing Recordkeeping Systems) methodology, changes which have raised some concerns in the RIM community from those worried that the changes mark the death knell of DIRKS.**

DIRKS forms part of the International Standard for Records Management, (ISO15489), by providing a methodology for the development of records classification schemes and retention schedules.

In late September the NAA gave industry briefings on proposed changes to the way records disposal authorities, now called records authorities, or RAs, are to be developed.

According to an NAA 'Advice Sheet' distributed at the briefings, changes involve a 'new appraisal methodology to replace Steps A, B, and C of the DIRKS methodology'. The original process would be replaced by a two-step 'appraisal' process.

Agencies already in the middle of the DIRKS process would be able to complete their programmes, while others, depending on

NAA Flags Changes to DIRKS: Continued from page 7

how far advanced they were, would be able be adopt the new approach by drawing on analysis already completed. In introducing the new approach, the NAA was said to be reacting to past criticism of the DIRKS methodology and the way the NAA administered it.

In response to an approach from *IQ*, Government Communications Manager with the NAA, Louise Greig, said that the National Archives were currently having discussions with agencies and other parties about their records authority projects and will be fine tuning their advice as a result of those discussions.

"Once we have finished this process we will be making material available on our website," she added. The NAA also undertook to brief *IQ* on the changes at that time and address our questions.

IQ will take an in-depth look at the DIRKS changes, and what they mean, in our February 2008 issue.

Objective Gains VERS' First Full Compliance Certification

MELBOURNE The Objective 7 ECM solution has become the first ECM software to receive certification against all 5 specifications of the VERS Standard.

The VERS Standard has been developed by the Public Record Office of Victoria to provide leadership and direction in the management of digital records.

Objective 7 has now been certified as compliant in all five VERS Standard specifications – System Requirements for Preserving Electronic Records; VERS Metadata Scheme; VERS Standard Electronic Record Format; VERS Long Term Preservation Formats; and Export of Electronic Records to PROV.

Objective's October VERS certification comes on the back of the September announcement that the Welsh Assembly Government in the UK has selected Objective to provide its EDRMS.

Queensland Archives Reviews Email Policy

BRISBANE: Queensland State Archives (QSA) has reviewed and republished its email management policy and guidelines, and updated resources available to public authorities to create, capture and manage emails that are public records.

The email policy review was conducted in consultation with an external reference group comprising representatives from a cross-section of Queensland public authorities.

The email resources, which have been sent to the Chief Executive Officers of Queensland Government agencies, are available on the QSA's website: www.archives.qld.gov.au/publications.

Law Reform Commission Releases Blueprint for Privacy Laws Overhaul

SYDNEY: The Australian Law Reform Commission has released much anticipated recommendations regarding changes to the nation's privacy laws and practices, involving 301 proposals.

'The clearest message from the community,' said Commission President Professor David Weisbrot, in a Commission media release, 'is that we must streamline our unnecessarily complex system.'

During its deliberations, the Commission received 300 submissions and held 170 meetings with business and community representatives, including young people, as well as with privacy advocates and regulators.

Among the 301 ALRC proposals is one for a single set of privacy principles for information-handling across all sectors and across all levels of government.

For more information on the blueprint, visit www.alrc.gov.au.

NAID Says RIMs Can Help Safeguard Against Identity Theft Via Information Destruction & Disposal

Stephen Howard, inaugural chair of NAID-Australasia

SYDNEY: A new industry association, NAID-Australasia, has been launched to develop and oversee standards and procedures to prevent fraud and identity theft arising from faulty information disposal.

The National Association for Information Destruction (NAID) was established in the US in 1993, where it has eight full-time staff. Canada followed suit in 2002, with a European association starting up in 2005.

Inaugural chair of NAID-Australasia, Stephen Howard, told *IQ* that NAID has become the industry body responsible for the accreditation of service providers who provide secure removal and certified destruction of sensitive information.

Foundation members in Australasia include Fine Paper Recyclers, Iron Mountain, National Document Shredding Service, Paper to Paper Australia, Advance Security Destruction, Recall Australia, and Shred-X Document Destruction.

NAID-Australasia wants to ensure that any organisation that collects or stores personal information has an auditable compliance programme in place for the proper destruction and disposal of sensitive information.

The association is working with the Federal

Government to ensure the implementation of standards for the proper collection, management, and disposal of information.

"On any given day," said Howard, who is Marketing Director with Paper to Paper Australia, "it is very easy to retrieve most personal information from waste skips. In other developed nations, this is simply not permitted."

Howard told *IQ* that horror stories abound in Australia and New Zealand when it comes to the improper disposal of customer records. He cited an example concerning one of Australia's largest banks, which sent customer records to a recycling plant, and on the way there they blew off the back of the truck . "Customers' statements were strewn all along the highway," Howard said. This particular episode was caught on video, much to the bank's embarrassment.

Howard told *IQ* that records managers can contribute to protecting against identity theft and fraud through appropriate sentencing of all documents to include 'end of life' disposal, ensuring that confidential material is appropriately obliterated before sending for recycling.

Archives NZ Launches Storage Standard

WELLINGTON: Archives New Zealand has published its Standard for Storage of Records and Archives, the first of its mandatory standards covering issues dealt with by the country's Public Records Act 2005.

From 2010, public sector organisations in New Zealand will be audited against the requirements in the standard and the Act.

The standard applies to physical records such as paper files, photographs, microfilms, maps and plans, and sets minimum requirements for storage of physical records throughout the state sector, in local government. It also describes where government records may be held by community archives. It does not apply to digital records.

The Minister for Archives New Zealand, the Hon Judith Tizard, said of the new storage standard when she launched it in September, "It is a vital tool for records managers and archivists both in and out of government. It will help ensure that records of ongoing value are preserved for the memory of government and for the benefit of future generations."

When British Prime Minister Tony Blair Disappeared, So Did His Website… and other Challenges for TNA

Special Report by MARIAN HOY, MRMA - RMAA ACT Branch Councillor

At the Canberra seminar, from left: **Ross Gibbs**, PSM, Director-General, National Archives of Australia, **Natalie Ceeney**, Chief Executive, National Archives of the UK, and **Stephanie Ciempka**, President, RMAA ACT Branch. Photograph, M Hoy

CANBERRA: On September 18, Natalie Ceeney, Chief Executive of the National Archives (TNA) of the UK, delivered a presentation entitled 'Beyond Records Management: The role of a C21 Archive', to a breakfast seminar hosted by the ACT Branch of the RMAA. Among the issues she raised were the problems associated with archiving material that is routinely and rapidly removed from the Internet.

Ms Ceeney had been a keynote speaker at the RMAA's International Convention in Wellington, NZ, between 9 and12 September, and then travelled to Australia for more speaking engagements.

Fifty participants in the Canberra seminar heard Ms Ceeney speak about changing paradigms and the challenges to existing traditions. She argued that some traditions about the role of an archives were just perceptions, as there had been so much change over the last 100 years, it would be difficult to pin down any one process and say 'that is the way we have always done it'.

The tradition of providing reading room access to the public is not that old in the UK, so what tradition, she asked, are we breaking by moving to a paradigm that supports the 100 online users for every person visiting the reading room?

With agencies, the paradigm has moved from the TNA waiting until something arrived after 50, then 30 years to now, establishing what needs to be kept at point of creation, but in between there have been lots of 'changes to traditions', so which paradigm represented tradition?

Thirty years ago the then Public Record Office of the UK would never have gone into an agency to assess and report on their information management needs. Now it is part of their programme. This means, Ms Ceeney argued, we should not be scared of embarking down new paths and directions, nor of being in a space we have not ventured into before. We should not use tradition as an excuse not to take on different and unknown challenges, she said.

A recent amalgamation with the Office of Public Sector Information has given the National Archives new credentials to move into the information management space. The merger had brought a new set of knowledge and skills to the TNA, such as more policy thinkers, and this is considered a bonus in supporting the new ventures.

Establishing a new Knowledge Council for knowledge and information management in the UK Government gives the TNA a voice in a new arena and shows that the organisation is not just interested in records but in the wider world of information.

Other ventures into new spaces include actively facilitating the re-use of publicly available government information, and providing persistent access to digital assets on agency websites by using a combination of web archiving and new technical approaches. Ms Ceeney used the example of the website of Prime Minister Blair, which of course disappeared immediately after he resigned, along with the many links to it from other sites.

This is now the third time I have had the privilege of listening to Ms Ceeney talk about different aspects of the changing paradigms in archives. Each time, she has been engaging and thought-provoking, yet never once giving the impression that she had all the answers – rather that she was going to try something different because the paradigms around her were different and constantly changing.

'I feel very fortunate to have the opportunity to move into this environment'

Chris Szekely, new Chief Librarian at Wellington's Alexander Turnbull Library

PROTECTING THE PAST WHILE NAVIGATING THE FUTURE

How does the new chief of New Zealand's leading heritage research library and repository of the nation's documentary history collections, the Alexander Turnbull Library, approach his task? *IQ* Contributing Editor Mike Steemson poses the questions to Chief Librarian CHRIS SZEKELY, a man with a warrior heritage.

***IQ:* Chris, how do you pronounce your surname?**

CS: 'See-kay'. Or, if you are into designer labels, 'CK'.

***IQ:* What was your first reaction when you knew you had been given charge of the Alexander Turnbull Library, home one of New Zealand's most famous and important historical records collections?**

CS: Firstly, "Wow!" Then, "Gulp!" And then, a growing excitement about what the role would mean for me personally and professionally. I feel very fortunate to have the opportunity to move into this environment, and work alongside some of New Zealand's leading heritage experts and experienced research librarians.

***IQ:* What is the history of the Alexander Turnbull Library (ATL). How did it begin?**

CS: The Turnbull Library was established nearly 90 years ago, following the death of Alexander Horsburgh Turnbull, a wealthy Wellington businessman and avid bibliophile. He bequeathed to the nation a large collection of books, manuscripts, photographs, paintings and sketches, which he had amassed during his lifetime.

The library has since grown many times over with subsequent donations and purchases, and now forms the research core of the National Library of New Zealand.

We are mandated through legislation to preserve, develop and make accessible the collections in perpetuity for all the people of New Zealand.

***IQ:* What makes the collection so important to the nation and the world?**

CS: The collection is comprised largely of unique items which combine to tell the story of New Zealand and of New Zealanders. It is by far the most extensive collection of documentary materials about this country and its people.

***IQ:* Do New Zealanders know what treasures the ATL holds?**

CS: Over its nearly 90 years of existence the Turnbull Library has been a 'second home' to many of New Zealand's leading scholars and authors and served numerous researchers with a variety of needs.

While of course we collect statistics and data on usage, and the collections continue to grow through donations, our knowledge of the extent to which New Zealanders in general know about us is largely anecdotal and speculation.

I suggest that a large number of New Zealanders may have a peripheral awareness of the Turnbull, but far fewer would have a knowledgeable understanding of what the library does, and why.

***IQ:* So, how can you raise public profile and awareness of the collection?**

CS: The Turnbull is frequently acknowledged in many publications

PROTECTING THE PAST WHILE NAVIGATING THE FUTURE:
Continued from page 11

that have drawn upon the collections, and we endeavour to publicise new acquisitions of note through media releases.

I would like to see a greater profile for our curators and specialists by supporting their visits to other parts of New Zealand and seizing opportunities to give public talks and presentations.

The expertise that our people have in relation to the collections is one of the things that distinguishes us as a leading research library. Face-to-face engagement is important and will continue to be for many years to come.

Obviously, the Web offers tremendous opportunities to promote the library and its collections, as well as developing initiatives for direct services online.

We will do this in a way that is planned, well-considered and enhances Turnbull's credibility as a research institution. It is fair to say our thinking in this regard is still at a formative stage.

***IQ:* What is the extent of the ATL holdings?**

CS: In terms of metrics, we have over 350, 000 books - including 44,000 rare books - 2,600,000 photographs, negatives and albums, more than 78,000 paintings, drawings, prints and cartoons. And approximately 40,000 discs, tapes and cassettes recording music and oral history.

The library also holds approximately 1,600 metres of newspapers, eight kilometres of manuscripts and archives, more than four kilometres of serials and nearly 124,000 microfilm reels.

Over the last few years, the library has also collected digital items and this is an area of tremendous growth.

> **"For most of us, personal identity and national identity are intertwined"**

***IQ:* Which of the collection's historical records, in your opinion - pictures, documents, books or art works – are the most important?**

CS: Highlighting specific items as 'most important' is a risky business, as choices are subjective depending on your perspective or research interests, so the following thoughts are in no-way definitive.

Books printed in Māori, especially those to up to the year 1900, constitute the most complete collection in existence.

New Zealand author Katherine Mansfield's holdings, including her books, letters and diaries, are extensive.

The collection of almost 80,000 drawings, paintings and prints dated from the 1820s to the 1880s is probably the pre-eminent collection of colonial New Zealand art.

***IQ:* What modern records, documents, images and publications are being added to the collection?**

CS: Through legal deposit we continue to receive copies of all newly published New Zealand books, as well as CDs and DVDs.

We also regularly 'harvest' New Zealand digital material directly from the Internet for storage in the National Digital Heritage Archive.

It is worth noting the recently received enormous collection of 1950s/60s photographic negatives from Wellington's daily newspaper, The Dominion Post.

***IQ:* What else could improve the Turnbull holding? What would you like to see added to the collection?**

CS: What a question! How long is a piece of string? We have a robust collection development policy and seize upon opportunities as items become available through auction or donation.

In this regard it is important that we work closely with other key research libraries and collecting institutions throughout New Zealand. Digitisation initiatives across New Zealand and the world, and corresponding web-based access also compel us to think differently about acquisitions and the notion of distributed collections.

In this regard, we should be thinking about how we can enhance access to our holdings. There are still substantial parts of the collection that have little or no visibility through catalogues, online or otherwise.

***IQ:* In your previous job as City Librarian at the Manukau City Council, Auckland, you were responsible for a number of high-profile and cutting edge IT developments to transform public library services. What are you planning for the ATL to make the collection more accessible to researchers and the general public?**

CS: While I was associated with a number of award-winning technological innovations, it is misleading to portray me as a techno poster-boy.

The real achievements that underpin these initiatives relate more to change management, relationship management, process redesign and organisational advocacy.

There are two projects with a strong technological element already in motion at the Turnbull Library that I expect to have some influence over. The first of these is the migration of Tapuhi (cherish), our catalogue of unpublished materials onto a new software platform. The feasibility work for this project started in July this year, with an expectation of migrating a year later.

The other project is the NDHA – the National Digital Heritage Archive. Turnbull has a responsibility to collect and preserve New

Zealand's digital memory and to do that we need suitable tools and systems architecture.

Thank goodness we sit within the National Library and therefore have access to the requisite technological grunt and programme management smarts to make this happen!

A third area to keep an eye on is the creation of a National Digital Library. This is set to become a major delivery channel for the National Library, and the Turnbull Library will be closely involved in its development and establishment. Watch this space!

***IQ:* You have written widely-quoted works on information services for Māori like the Te Rōpū Whakahau publication Te hikoi marama: A directory of Māori information resources. What records does the ATL hold of special value to Māori?**

CS: We hold just about all publications printed in Māori since 1814 to the present day, as well as a large amount of Māori language material in manuscript form. Oral history holdings are also worth noting.

***IQ:* As the Turnbull's first Māori Chief Librarian, and with your ancestral links going back to the ancient Szekely tribe of Transylvanian warriors and Hungarian royal bodyguards, could you tell us something about your own historical heritage, your whakapapa?**

CS: A great deal has been made in New Zealand of my being Māori, indeed the first Māori Chief Librarian of the Turnbull Library.

It is true I was very active in the late 80s and early 90s in promoting the need for libraries to be responsive to the needs of Māori, and influential in establishing international networks to support indigenous librarians.

Later, as I moved into senior roles I was able to directly resource and shape Māori services in ways that were tangible, meaningful and practical, and entirely consistent with overall business outcomes.

That said, I think any manager in a public institution in New Zealand, whether Māori or otherwise, has a responsibility to understand the Treaty of Waitangi, New Zealand's founding pact between the British Crown and Māori tribes, and actively to ensure organisations meet Treaty obligations. Put plainly, that means meeting the needs of Māori.

It would be great if there were more Māori in senior positions right now, leading libraries across the country. We will get there eventually as the pool of talented and experienced Māori working in libraries increases. But it's a long haul.

As for being a Szekely, my father was a mechanic who came to New Zealand in the 1950s from Budapest. English was about his fourth or fifth language and he was preceived as very foreign. He returned to Hungary once, in the 1970s, to a changed country. I sometimes think he must have felt very isolated. For most of us, personal identity and national identity are intertwined – that's another reason why I think the Turnbull is important to New Zealand.

***IQ:* What have you discovered that has delighted you since taking over the Turnbull in March?**

CS: The delight of my first few weeks was getting to know the staff of the Turnbull Library. It is the staff and their knowledge of the collections that give the library its credibility. It is my job to support and develop that.

The Turnbull is also supported by a very active Friends group, who organise a great programme of activities, publications and events to support the library.

***IQ:* You have quite a formidable, but exciting task, ahead of you.**

CS: Yes, I do. I would like to acknowledge my predecessor, Margaret Calder who handed over a very sturdy ship. I follow an impressive line of Chief Librarians and look forward to doing the role justice on my watch.

DRIVING THE ROAD TO THE ECM FUTURE

Recently appointed TOWER Software's Chief Marketing Officer, with global responsibility, JAN ROSI tells *IQ* where she has been and where she believes enterprise content management is heading.

***IQ:* Jan, congratulations on your recent appointment with TOWER Software. You received your BA in Computer Studies from the University of Canberra in 1978. Has taking up your new role with TOWER in Canberra been something of a homecoming for you?**

JR: Yes, it has been a homecoming for me. This is the second time I have returned to Canberra, the first in the early 1990's after working in the UK for 13 years. It is always wonderful to be back in Australia.

***IQ:* After more than 20 years with organisations such as Reuters, Compaq and HP, you took on the role of President of TOWER Software Corporation North America in 2004. Where were you based in the US, and how did the experience there compare with what you were expecting?**

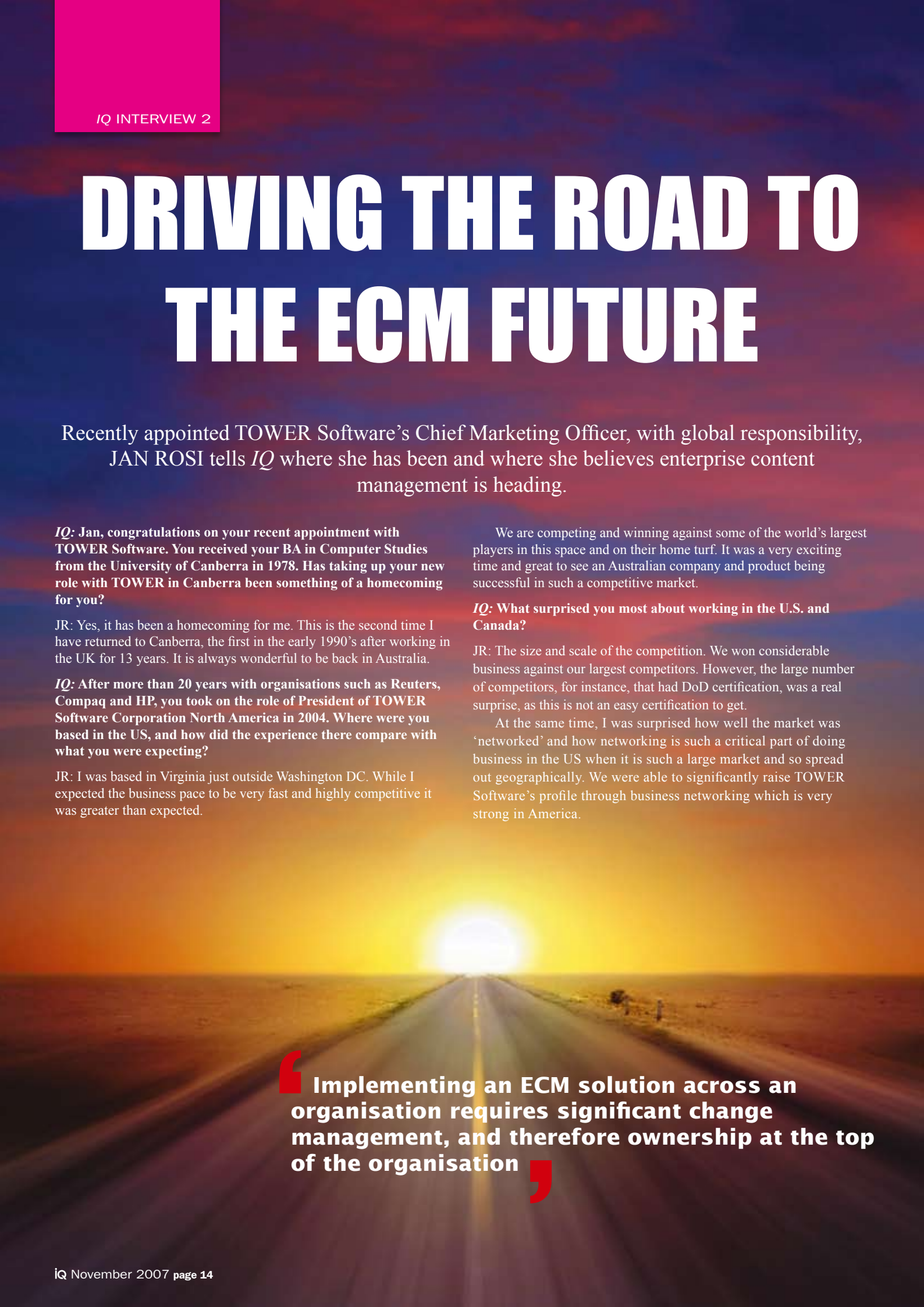
JR: I was based in Virginia just outside Washington DC. While I expected the business pace to be very fast and highly competitive it was greater than expected.

We are competing and winning against some of the world's largest players in this space and on their home turf. It was a very exciting time and great to see an Australian company and product being successful in such a competitive market.

***IQ:* What surprised you most about working in the U.S. and Canada?**

JR: The size and scale of the competition. We won considerable business against our largest competitors. However, the large number of competitors, for instance, that had DoD certification, was a real surprise, as this is not an easy certification to get.

At the same time, I was surprised how well the market was 'networked' and how networking is such a critical part of doing business in the US when it is such a large market and so spread out geographically. We were able to significantly raise TOWER Software's profile through business networking which is very strong in America.



"Implementing an ECM solution across an organisation requires significant change management, and therefore ownership at the top of the organisation"

***IQ:* You had previously worked for TOWER Software in Australia, so you knew the product. Did that prepare you for the North American market?**

JR: Knowing the customer needs and how our product solved these needs was a very significant advantage for me. At the same time the American market is very different to the Australian market in that it is not as educated about information and records management best practices, and hence I had to make sure I related to this.

***IQ:* Do TRIM Context customers and potential customers in the US know that this is an Australian-developed product, or is that played down in your marketing?**

JR: Australia is known in the US market as a leader in information management which is good. However, we didn't highlight the Australian company aspect too much, as this wasn't a strong point.

It was better to compete on the capabilities of TOWER Software - our strong domain knowledge - and our proven product TRIM Context - our successful implementations at the enterprise level - rather than talk too much about the origins of the product.

We had to be aware of the fact that the larger competitors were US companies and they would push this as an advantage, particularly with the public sector.

***IQ:* Your new role gives you responsibility for marketing TRIM Context globally. How do customer ECM needs and perceptions vary from region to region around the world?**

JR: The overall needs of customers across the world are very similar. They need to be able to access, share, secure and manage their information for both productivity and compliance needs – ultimately generating business value.

JAN ROSI, TOWER Software's Chief Marketing Officer

***IQ:* Do different markets look for different things?**

JR: Yes, there are different drivers across the world for organisations to purchase an enterprise content management product like TRIM Context. For instance, in the US the new Federal Rules of Civil Procedure are driving organisations to implement strong records management based ECM solutions to enable them to be prepared for litigation and e-discovery requirements. In Europe the key driver is productivity, although compliance is also very important.

***IQ:* What is the easiest part of selling your product to potential customers?**

JR: There is a definite need for organisations to manage their electronic information better, and TRIM Context works and adds significant value to their organisation and business. We have a uniquely high successful implementation record which demonstrates the value - and low risk - in the solution to customers.

***IQ:* What is the hardest part of selling your product?**

JR: Implementing an ECM solution across an organisation requires significant change management, and therefore ownership at the top of the organisation. Organisations are still coming to grips with the significant benefit to be gained from managing their electronic information as an organisational asset - similar to how they manage their financial information and HR processes, which are their other key assets - and hence the commitment to implement an ECM is not easily obtained.

As more organisations implement ECMs and achieve significant productivity and compliance benefits, senior managers will be more ready to implement an ECM.

***IQ:* Increasingly, TRIM Context is being contracted on a whole of government basis. Does this make it harder selling to smaller clients, such as local councils, who might perceive you as just too big for them?**

JR: We have a broad range of customers, from those who have a handful of users right up to the world's largest deployment in the US Navy where TRIM Context is being deployed to 360,000 users. Having this full range of successful implementations demonstrates that we are able to scale well and work with small organisations as well as very large, globally distributed organisations.

Also, our customer focused culture ensures that every customer is treated with the same degree of value irrespective of their size or the critical nature of their business.

***IQ:* You see potential for your product in regulated industries. Can you give us some examples of regulated industries and what an ECM product such as yours could do for potential users in those industries?**

JR: As our product is developed to standards it is very suited to supporting those organisations that have to adhere to regulated authority requirements. These include companies in the life sciences market such as pharmaceuticals who have to adhere to the Federal Drug Administration Act, and utility companies who have to adhere to government regulations.

A rigorous ECM product such as TRIM Context enables organisations to increase their efficiency while at the same time enables them to comply to regulations. Information can be shared, found, secured and authenticated enabling increased operational productivity and ease of administrating compliance adherence.

***IQ:* The road to the ECM future is shaping up as quite an interesting journey for the many RIMs who will be taking it. Where do you see the ECM market, worldwide, in five years time?**

JR: In five years time ECM solutions will evolve. They will be solutions which are tightly integrated into business processes. They will be widely implemented delivering productivity improvements across the enterprise.

Organisations will expect ECM solutions to manage all forms of electronic and physical information, have high performance, have high availability and be an integral part of the way business is performed.

There will be more products which have the information business rules incorporated in their product, and be configurable to enable lower risk implementations.

***IQ:* And where do you see TRIM Context in five years time?**

JR: I see TRIM Context being very established in organisations, supporting significant productivity improvements while supporting compliance and e-discovery. It will continue to evolve with the technologies, in particular the web technologies.

At the same time, the user interface will continue to evolve to become more intuitive and easy to learn, to support the rapid deployment across very large scale organisations.

***IQ:* Thanks, Jan. Enjoy the journey.**

RIM WORLD OBSERVATIONS

by Kenneth Tombs

OFF the RECORD

Brighter, sharper. But, has RIM lost its intellectual heart?

The biggest tool in every office is always document management. Broadly speaking little has changed since the merger of DIP and ERM in the early 90s, apart from adding object thingies along the way. You capture it, reference it (you do reference it don't you!), store it, and on those rare occasions around the year's end try to find it again!

Today's software is a million times more reliable and prettier than it was. Most big name packages can scale for decent numbers of users; though unfortunately they still suffer gaps in manipulating sets of documents.

The growing and seemingly limitless onsite capacity for keeping stuff which should, compliance apart, make it simpler to store the lot; is being overtaken by externally hosted systems that can store the world in triplicate if we wanted. Fundamentally our basics haven't changed much for a decade - other than it all actually works now.

So, is that it? Has RIM thinking reached a plateau? Has RIM now lost its intellectual high ground in the process driven world of compliance? You would have to admit that RIM was saved when executives' realised technicians couldn't find that needle in a haystack.

That breathing space will run out before too long as the next generation of RIM tools gain ground. Which may seem a bit odd - undermined by our own tools. Forget the base EDRM application from here on; we're talking plug-ins, engines, visualisers, analysers – some real science applied to information management.

Watch you backs folks, these bolt-ons can now build massive enterprise taxonomies, managing them far more effectively than any individual or team can. De duplication, no problem. Mixed languages, no problem. Emails, web sites, repositories, box storage records, no problem.

Soon, the type of content and where it's stored will become irrelevant, access overseen by the sheer capacity of these new retrieval orientated tools looking at, and inside, documents without anyone ever noticing.

Soon it will no longer be up for discussion about the importance of using certain terms or phrases a given way - the arguments I've heard over the years about Thesauri! The big risk is that information control could return to the technologists, especially if we've lost the skills to make these new tools sing and dance corporately. Working with them to be other than passive sticking plasters over corporate retrieval scrapes.

Old or new versions of SharePoint, Oracle, SQL, OpenText, Documentum, Meridio - all become irrelevant. Daily operations will no longer consume resources to create and maintain an enterprise wide view of documents held as truly intelligent document management is very close to reality now.

One consequence might take us all unawares. Most businesses have little motivation to upgrade simply to get the latest fly swat, because Microsoft wants you to, or ICT needs Linux. With these new tools getting rid of necessity legacy IT systems could disappear, allowing our beleaguered finance directors to flog the tin and plastic until it falls apart.

Worse still, perhaps someone will realise that with such highly advanced tools, maybe we don't need to pay $1,000 a seat for software! Simply layer on an appropriate 'new' search engine and you'll have an EDRM better than most organisations can use, for 20% of the cost. Ironically, levels of service would probably improve.

The RIM profession must continue to expand its scope and drive for leadership over corporate information. More importantly, it must return to the more intellectual ground it enjoyed before, otherwise these new 'super tools' will simply hand the function to ICT.

While hopefully avoiding grief from my technologist friends by saying this, only RIM professionals have the mind-set to deliver such a critical resource as corporate information management.

Why? Let's consider Semantic extraction, for example. Semantic extraction means getting the sense out of a document's text, the contradiction is that 'sense' or understanding can only be imparted to a human mind; a document's words are the code that carries its meaning.

The future is about making 'enough sense' of content to encapsulate massive meta-data about it, not how or where its stored electronically, then to machine process it in ways more readily helpful to us, and quickly so. Explain that to a junior analyst at a requirements spec meeting!

The Author

IQ columnist **Kenneth Tombs** is Managing Director of Legal Insight. Based in London, it is a company experimenting with computer techniques that can actually read voluminous or complex documents to save us the effort.

Kenneth lives near Saint Ló, Normandy (that's France) with his partner Christine, several horses, a dog, numerous chickens, bees, sheep; and of course, according to the season their three children. His carbon footprint is terrible!

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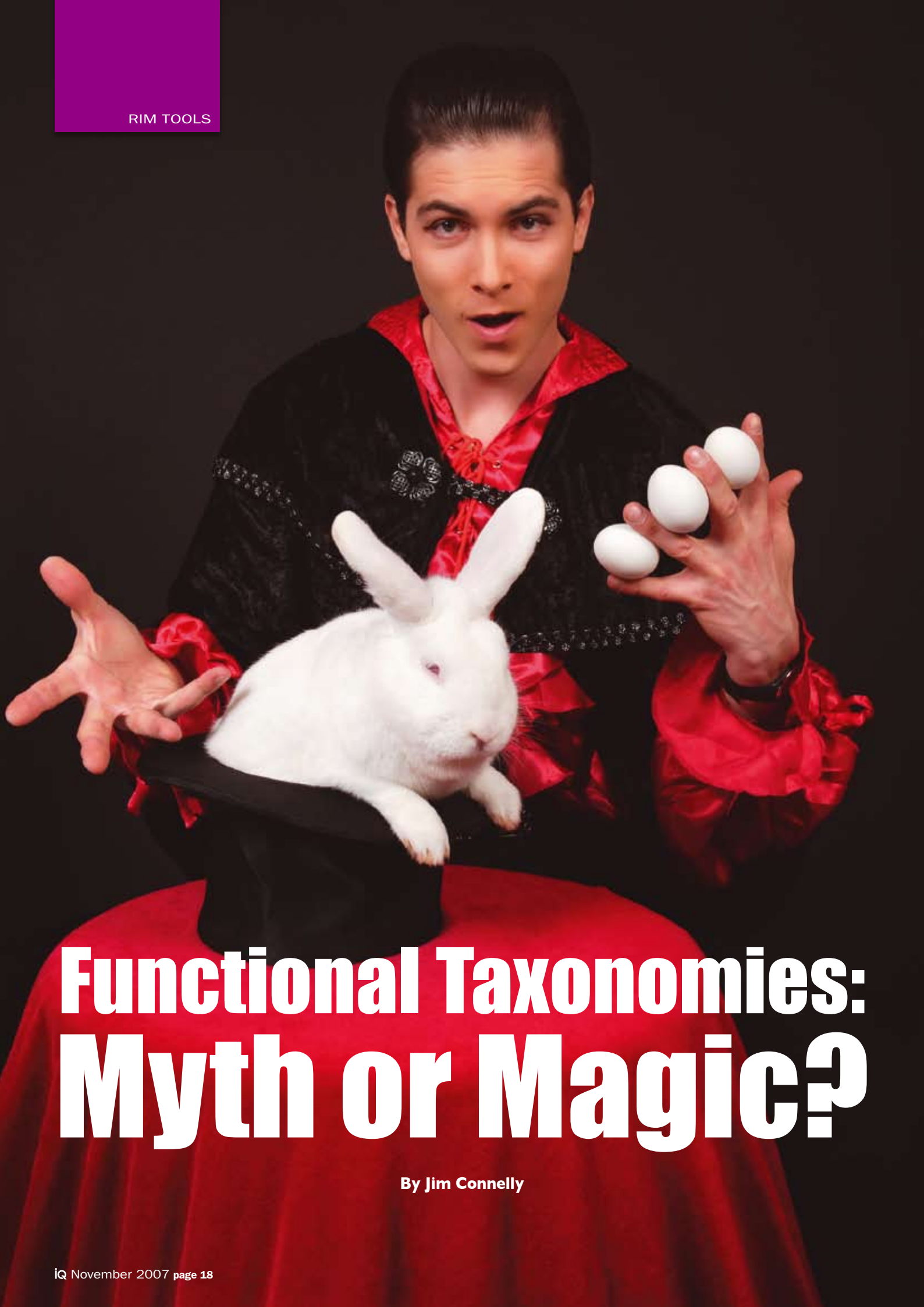

Functional Taxonomies: Myth or Magic?

By Jim Connelly

How do you overcome shortcomings in functional taxonomy design? What are the basic types of taxonomy design, their organisation, subject and function? What are the expectations of corporate-wide or uniform taxonomies? A Canadian author sets out to provide the answers.

Functional Classification Systems may be suffering from a 'folie à millions'. Since 2001 when ISO15489 burst onto the records management scene, there has been a headlong rush by organisations to design and build functional classification schemes for records.

A 'new' product had arisen that would 'save' the records management community. There arose both fervent advocates and troubled sceptics… some might even call them deniers! We were fascinated with the latest 'snake-oil' remedy.

It had the advantage of novelty. It had the gleam of pseudo-science. It resonated well with the development of 'business architectures' and 'process reviews' that were heretofore the purview of information technology (IT) staff.

It appeared to the RM community that functional taxonomies could very well be the 'missing link' that would pull together RM & IT. It might just provide that common ground that would unite us in our search for the perfect records keeping system.

> *"It is naively assumed that the fact that the majority of people share certain ideas or feelings proves the validity of these ideas and feelings. Nothing is further from the truth… Just as there is a 'folie à deux' there is a 'folie à millions'."*
>
> Erich Fromm, The Sane Society, Routledge, 1955, pp.14-15

But six years on, it is time to look at functional systems or schema objectively. It is time to look more closely at what has actually been achieved by moving to function based systems and what can yet be achieved.

The following is an examination of:

- Functional Models
- The basic types of taxonomy design
- Our expectations of taxonomy designs and
- How to deal with those situations when functional models break down.

Function – Activity – Transaction Models

First, it is necessary to review some definitions of business function. The following are from government based models but are equally applicable to the private sector.

Library & Archives Canada in their BASCS (Business Activity Structure Classification System) model state that: 'The term function is defined as:

1. any high-level purpose, responsibility, task or activity which is assigned to the accountability agenda of an institution by legislation, policy or mandate; …

3. a set or series of activities (broadly speaking a business process) which, when carried out according to a prescribed sequence, will result in an institution or individual producing the expected results in terms of the goods or services it is mandated or delegated to provide. (http://www.collectionscanada.ca/information-management/002/007002-2089-e.html#five)

As with most definitions reviewed during researching this article, the lines of distinction between function, activity and task are often blurred in many of the models that were encountered.

A more accurate definition might be found in the Alberta model:

'Functions represent the core business, responsibilities or goals for which a government organization is held accountable. They are typically underpinned by legislation, policy or mandate.' (Modified Functional Classification System Model – Draft, Information Management Branch, Government of Alberta March 2007.)

Functions may be further subdivided and as the following table indicates, this level often identifies specific business processes. It is easy to see the correlation between sub-functions and mandated sub-levels of an organization. Below this level are activities or the steps that are undertaken by an organisation to complete a business process. In this example 'recruiting' is used.

An activity may include all tasks …usually repeatable that are needed to complete the business action … in this case - selecting an employee. e.g. posting an advertisement in a newspaper, developing interview questions etc.

Sample Taxonomy

(Abbreviated for the purposes of example only)

FUNCTION	Managing Human Resources
SUB-FUNCTIONS	Planning, Developing, **Recruiting**, Training
ACTIVITIES	Promoting, **Selecting,** Employment Programs
TRANSACTIONS	Advertising, Selection Questions, Evaluation Results, Interview Administration

In a typical Explorer folder structure that uses this taxonomy, we might therefore see the following;

```
X:\HR\Recruiting_Selecting
X:\HR\Recruiting_Selecting\Advertisements
X:\HR\Recruiting_Selecting\Questions
X:\HR\Recruiting_Selecting\Evaluations
X:\HR\Recruiting_Selecting\Interviews
```

Notice that sub-functions and activities can be readily combined in terms of folder structure to reduce the number of folders to be opened. This practice facilitates folder nesting and display of an optimum number of folder titles (usually about 25 – 30 titles on screen in a Windows Explorer environment).

FUNCTIONAL TAXANOMIES - MYTH OR MAGIC?:
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Some professionals may remember in the nineties when functional classification was proposed as a recommended classification structure within ISO15489. The arguments against insisting on functional classification were quite substantial and finally the ISO development committee agreed simply to encourage functional classification but not to exclude other classification schemes.

Note that nowhere in the standard does it state that functional classification systems are mandatory!

The strongest statement, about function based classification in the Standard, is in Section 9.5.2 of ISO15489-1 which states that 'classification schemes reflect the business of the organisation from which they derive and are normally based on an analysis of the organization's business activities.'

Types of Taxonomy Design - How Do We Build Corporate Wide Schema?

There are a variety of classification structures that have been used over the past 100 years, but to simplify matters, let us assume that there are basically three (3) ….organization, subject and function.

It is clear that there are some advantages in moving towards a functional system.

Expectations of Design - What Do We Believe that a Corporate Classification Scheme Can Achieve?

There are a number of substantive outcomes that RM professionals expect from the design and implementation of a uniform classification system.

1. Formal Accountability (Compliance)

If a uniform system is in place, it should be easy to determine who is responsible or accountable for keeping specific records. Legislative compliance should be easily verifiable. Legal discovery should be neither costly nor slow.

2. Better Storage & Retrieval (Accessibility)

A uniform corporate system should be intuitive, reflect all business functions and be easily usable by all levels of the organisation. Most importantly it should simplify retrieval of any document within the system and reduce the time taken to decide on where it should be placed.

3. Ease of Retention & Disposal (Integrity & Reliability)

A uniform classification structure should lend itself to the assignment of retention periods for records. Once each records series is assigned a retention period, regular and verifiable disposition or long term storage should be simplified. Managed disposition ensures reliable and complete information in the vent of discovery or disclosure needs.

4. Improved Corporate Memory (Archives)

In an era where corporate image is of such concern, the establishment of a corporate archives or memory shows a commitment to corporate values. A uniform classification system based on functions ensures that an archives can be easily developed.

If we compare these outcomes against our three (3) basic design structures, it is evident that functional systems best support the outcomes that are desired. The following is a subjective rating based on personal experience with more than 100 classification systems over 30 years.

Organisation Based Structures			
Outcomes	**Poor**	**Adequate**	**Good**
Accountability			
Storage & Retrieval			
Retention & Disposal			
Corporate Memory			

Organisation:
Files ordered by the organisational unit:e.g. Corporate Services; Finance & Budget; IT Services

Advantages	Disadvantages
Simple context for filing	Organisational change can be frequent
Staff readily know where to file documents	Staff may inherit files from past programmes or business units
	Irrelevant groupings

Subject:
Files ordered by subject area they relate to:
e.g. Personnel; Equipment; Finance, Buildings, etc

Advantages	Disadvantages
Often uses common terms	Ownership or accountability is often unknown
Groups documents by an easily understood relationship	Terms or titles may be confusing and unfamiliar
	Staff may misfile … the problem of subjectivity
	Need to cross-reference

Function:
Files ordered by business functions e.g. leadership, marketing, auditing, planning

Advantages	Disadvantages
Functions don't change over time	Users often don't understand their own business functions
Easier to define ownership and accountability	Difficult to implement the system … considerable change may be required
Better search and retrieval of information within and across organisations	Retrieval often not enhanced
New functions can easily be added	
Less need for cross-referencing/scope notes	

Although rating high in the accountability area, these kind of systems are best suited to smaller and less complex organisations such as proprietorships or small businesses.

Subject Based Structures			
Outcomes	**Poor**	**Adequate**	**Good**
Accountability			
Storage & Retrieval			
Retention & Disposal			
Corporate Memory			

Subject systems are variable in terms of their acceptance and usefulness. However it is easy to see that archives would be difficult to establish and that retrieval of documents may not be enhanced.

Function Based Structures			
Outcomes	**Poor**	**Adequate**	**Good**
Accountability			
Storage & Retrieval			
Retention & Disposal			
Corporate Memory			

Functional systems should enhance disposition and archiving but the jury remains out on the ability of strict functional systems to improve and simplify storage and retrieval.

Has Anyone Validated Functional Systems?

The answer is for the most part "apparently not". Once a functional system has been designed, it is assumed that if the methodology was sound that the resultant structure will be workable. But this may not always be the case. Few if any organisations have bothered to validate their functional designs.

StepTwo Designs in Australia have some interesting articles and presentations on their website that support the need to assess and validate of functional systems. The site provides some interesting results in their assessment of a city council taxonomy and outlines a simple validation technique.

Their work seems to show that functional systems can be as confusing as subject based systems and that where intuitive titles for functions are not used, document retrieval or accessibility suffers. By testing the design, using document search or storage scenarios, modifications can often be made to enhance and improve functional designs.

At best, most of the evidence regarding the effectiveness of function based systems is anecdotal. From an RM perspective, records staff find the systems simple and easy to follow. However, from the user perspective, staff find the systems confusing, less than intuitive and difficult to retrieve documents from.

Some Limitations of Functional Systems

So what are some of the concerns surrounding functional systems? And how can we address them?

There are two main concerns with functional taxonomies; the issue of multiple processes & the issue of managing case or project files.

Multiple Processes - What happens when 'Functions' cross 'Business Unit' lines?

The first concern is that 'functions' often cross what might be considered by many as 'business unit or business process' lines. The following table shows how contract documentation may involve as many as four business areas or units.

Contracting	
Organisation Unit	**Business Process**
Procurement	Managing business unit requests. Managing RFP Process Ensuring Fairness
Legal	Ensuring due diligence is followed Contract and RFP document reviews Legal Obligation
Finance	Contract expenditure tracking (invoices)
Business Unit	Needs assessment Contract Monitoring (effectiveness) Contract Monitoring (tracking)

FUNCTIONAL TAXANOMIES - MYTH OR MAGIC?:
Continued from page 21

In this example, a business unit conducts a needs assessment and decides to acquire services requiring a contract. Subsequently they approach their procurement unit who helps develop a Request for Proposal or tender documentation.

This is then reviewed by the legal unit and issued … perhaps on an electronic tendering site. The process is managed by procurement and monitored by the legal unit. Once the contract is bid on and accepted by a service provider, it is maintained by the legal unit in order to monitor the legal obligations of the organisation.

Payment is made by the financial unit, either in total or incrementally. Meanwhile, the contract is monitored by the business unit to ensure that the organization is receiving value for money and that services are provided.

In this example, contract documentation may need to be maintained by four business units… for four or more business reasons. Each of these business reasons or activities may indicate the need for a unique records series and even unique retentions.

Effective duplication may also take place, in that the actual contract document could reside in four or more folders to facilitate reference and use, albeit in read only (possibly PDF) format.

It is interesting to note that enterprise content management (ECM) systems could alleviate duplication through the use of hyperlinks, and could ensure integrity through the use of metadata assignment (a contract number for example) but for many organizations ECM still remains a holy grail.

For most organisations therefore, four business functions or more would be established and a hierarchy of activities and transactions developed.

But if an organisation were to use a limited or very strict interpretation of business function, there would only be one location for contract information with the result that accountability, security and use issues would rear their ugly heads.

In most organisations, it is likely that this type of concern arises only infrequently. In a typical taxonomy of 500 – 700 records series, this difficulty might occur less than 10 times. But nonetheless it does mean that the definitions of function, activity and transaction must be clearly defined.

And finally it means that the use of controlled language or vocabulary systems becomes quite important.

What happens when we need 'Case' or 'Project' files?

In the diagram opposite, the first column outlines a common representation of a functional model. The centre column shows how functions and activities might be defined for a purchasing department. The third column shows how folders might develop in support of day-to-day use.

A workflow analysis done in any procurement area can readily identify the various activities and sub-activities. In terms of taxonomic design methodology, it is always important that such analysis be done to ensure that all business activities and processes are included in the taxonomy irrespective of the use of "function based" files or "case based" files.

If, as is frequent, purchasing department staff are assigned to various projects, in which a number of activities take place, it is easy to see how they would prefer to organise their information more in accordance with the right hand column.

It is of course possible to file documents by activity e.g. all negotiations together in one folder, all market analyses in one folder etc. and use a naming convention for each project or procurement action. However, while this functional filing may facilitate disposition and even long term retrieval, it certainly does not mirror the work being performed nor does it keep together the information needed by an employee.

It is far more likely that requests for procurement activities would be considered case files and all the activities with respect to a particular procurement action would be kept in one folder. Note that they could be kept by business unit or project number or project name or a combination of all three.

The use of case files is clearly more in harmony with the way the business operates.

It is again interesting to note that an ECM system and even the basic content management applications such as Microsoft SharePoint could alleviate this particular concern. In most ECM products, a project folder could be established that has sub folders organized and named according to the way the organisation conducts business.

Identifying either the actual documents or the project/case based folders by 'content type' would automatically move the documents to the correct taxonomic location in a corporate repository (ie, stored according to the strict functional hierarchy).

This would still leave the documents available to business units or teams in the more usable folder structure as either transitory duplicates or as hyper-links to the documents stored in the repository itself. The repository area manages the records management issues of disposition and integrity whereas the project area allows for ease of use and collaboration.

Use of Hybrid Systems

The simple answer to these hiccups in design and use of functional systems is clearly the use of hybrid designs that account for subject, case or project based filing. Adjustments must be made to the strict hierarchy so that these concerns can be addressed.

This means that during taxonomy design, the activities or transaction levels should be broadened to allow for case or project files that may contain documentation on more than one activity. This clearly indicates a greater need for user involvement in designs than is called for in traditional methodologies.

'In practice, an approach that is to some extent a hybrid is more achievable. Probing the surface of most successful "functional" approaches normally reveals a degree of compromise either in the interests of the user, or to accommodate case files.' (Malcolm Todd, Business Classification System Design.)

Although purists may argue against such modifications, hybrid systems will certainly enhance the acceptance and usability of any function based taxonomy.

Last Word

To its credit, function based analysis and design has become an indispensable approach in the development of organisations' taxonomies. It has made our taxonomy designs more thorough. It has made our records or business classification schema more aligned with information management frameworks and business architectures.

Finally, the longevity and usefulness of these designs can provide us with greater credibility as a profession.

Functional Model	Business Analysis - Sequential	Actual Information Use
Function	F= Materiel Management	Material Management
Sub – Function	Purchasing	Purchasing
Activity	A= Needs Analysis	Contracts (by business unit)
Sequential Process	S=Interviews	Requests
Sub Activity	S=Questionnaires	RFIs& RFPs
Sub Process	T= By Business Unit	(by name or number)
Task	A= Market Analysis (RFI)	- Needs Analysis
Transaction	A= Tender (RFP)	- Issued Documents
	A= Assessment/Justification	- Analysis
	A= Acquire - Negotiations	- Justification
	A= Contracting	Vendor Liaison (by name)

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Step Two Designs – Australia, http://www.steptwo.com.au

Information Management Branch, Alberta Government, http://www.im.gov.ab.ca

The Author

Jim Connelly, CRM leads a group of records associates known as Connelly Consulting based in St. Albert, Alberta, Canada. Jim is recognised for his work on tools to support the new ISO 15489 international standard including the ARMA assessment tool.

Jim has worked from Vancouver Island to the Persian Gulf and from Rainbow Lake, BC to Bogota, Colombia. He can be reached at jim@cccrecords.com.

See the Connelly Consulting website, www.cccrecords.com, for further bio information and background.

TECHNOLOGY AS A TOOL:
Where is Records and Document Management Heading?

By Frank McKenna

Almost every day, new technology-based tools become available to RIMs. Will the next generation of technological changes and improvements finally and fundamentally change the way records and information are managed?

In 1981, while Director of Customer Support and Services for Sperry Univac, I wrote my first paper about the coming revolution in personal computers, networking and office automation.

This paper included my first (very wrong) prediction about the paperless office. I think I said that most of the commercial world would be paperless in ten years or so.

In subsequent years I wrote and presented many times on the 'paperless office' and related topics such as records management and document management but soon gave up predicting when we would be all paperless because all available statistics showed a rapidly escalating use of paper in business, not a decline.

I once said, "Until governments outlaw printers, copiers and fax machines the paperless office is a pipe-dream." <www.knowledgeonecorp.com/news/WhitePapers.htm>

Interestingly, most of the technological improvements I predicted came true, but none had the effect on paper usage I envisioned.

In 2007 we are using technology that wasn't even imagined in 1981 but business and government are using more paper than ever before and the majority of organisations all around the world are still reliant upon paper records.

All of which begs the question, "Does technology really have an effect on the way organisations manage records and documents?" Or, "Why has technology failed to make other than a minimal impact on the way we manage records and documents?"

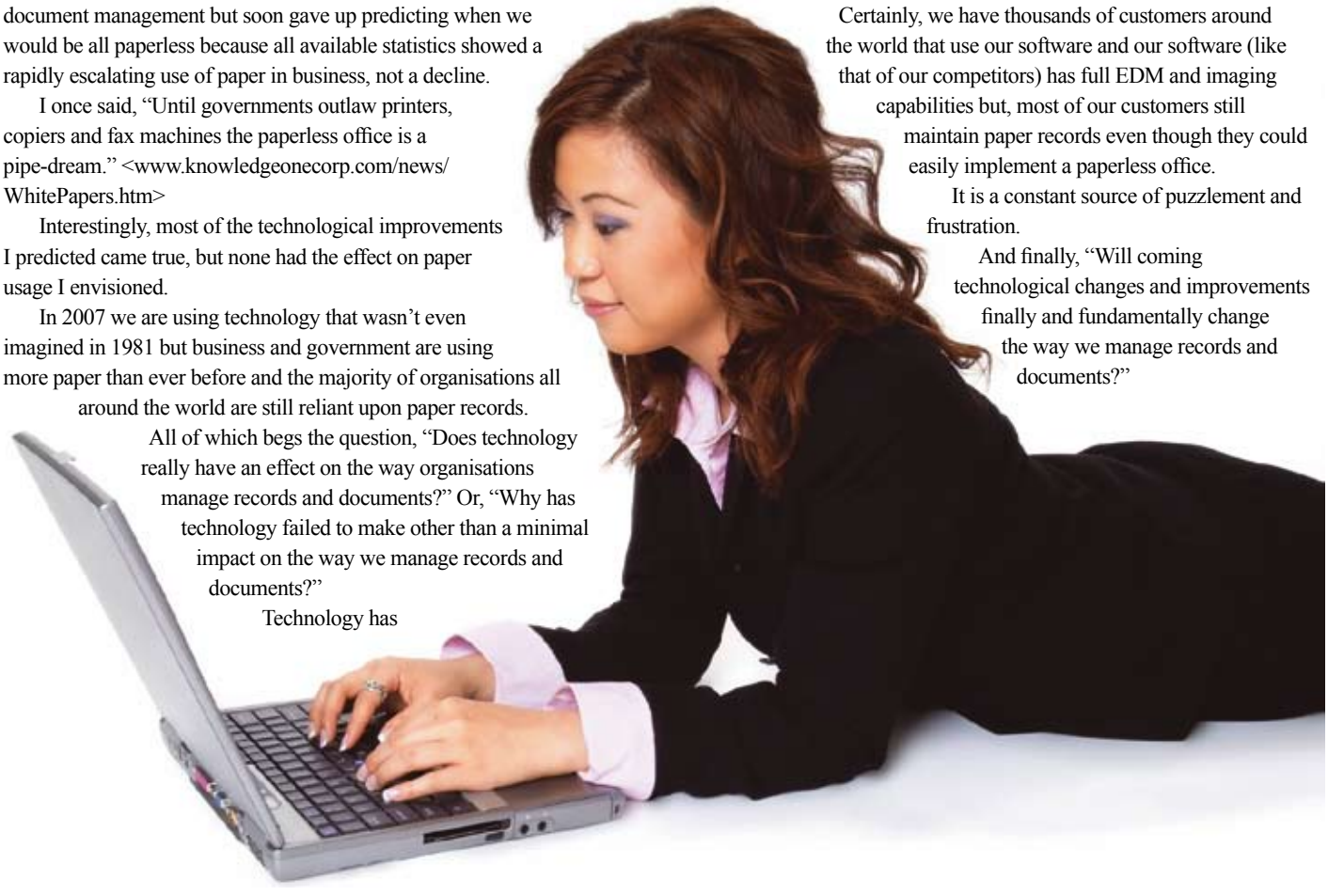
Technology has obviously had a major impact on the way we manage factories and produce goods and it has had a major impact on the way we manage information (the Internet and Google for example) and wage war (smart bombs), so why hasn't it has a significant affect on the way we manage documents and records?

Why are most records systems still paper-based? Why are organisations like Iron Mountain still making a fortune from storing paper records?

Certainly, we have thousands of customers around the world that use our software and our software (like that of our competitors) has full EDM and imaging capabilities but, most of our customers still maintain paper records even though they could easily implement a paperless office.

It is a constant source of puzzlement and frustration.

And finally, "Will coming technological changes and improvements finally and fundamentally change the way we manage records and documents?"



What technological changes and improvements can we expect?

The Obvious – More of the same

1. Faster and Cheaper Computers
Improvements in servers will provide performance benefits but further improvements in workstations won't make much difference as very few 'workers' today use anything like 100% of their current workstation's capabilities.

2. Bigger, Cheaper and Faster Disk Drives/Storage Solutions
Will make long term storage a more efficient proposition and improvements in access times will reduce transaction times.

3. Faster, Smarter Scanners
Will be coupled with smarter software and will make 'capturing' paper easier, faster and more of an automatic process.

4. Faster (greater bandwidth) Networks
Will reduce transaction times but not as much as expected because "work always expands to fill the available capacity".

5. Improved WiFi Services
Will allow us to utilise new and improved devices and will also allow for more 'convenient' processing, i.e., from the 'floor' and on the move instead of having to return to your desk.

It will liberate managers from their desk bound status as improvements make broadband services ubiquitous and give us the ability to 'connect' to our EDRMS system from virtually anywhere.

<www.abiresearch.com/home.jsp>

6. Standards, Standards, Standards
The real problem with standards is that we always use the plural form. Who remembers Xopen and its lofty ideals? Ho hum, we have yet another standard for long term electronic document storage and exchange and more lofty ideals from involved (read "hoping to make a buck") parties.

So, what is the next one going to be? Will Microsoft succeed in getting a competing standard recognised? At least we should be grateful that we now have a single ISO standard (a single world standard?) that we can all agree on and use; if only we do.

<en.wikipedia.org/wiki/OpenDocument>

<xml.openoffice.org/> <www.computerworld.com/softwaretopics/software/apps/story/0,10801,111130,00.htm>

7. RFID (Radio Frequency Identification) Technology
This technology has been promising to reinvent the records management business for many years but the twin evils of high cost and conflicting standards (read proprietary solutions) have slowed the conversion process to a snails pace.

However, with cost-effective pricing and non-proprietary standards this technology does have the ability to significantly improve all records management tracking and inventory processes.

This is one of my picks as a technology likely to significantly improve EDRMS processing.

<www.rfid-101.com>

8. Improved Mark up Languages (XML +)
The evolution from SGML and HTML will continue. XML already underpins most modern EDRMS solutions and already provides the world's best self-documenting way to store and exchange electronic records.

I see XML (or its successors) as being an essential foundation for all future EDRMS solutions.

<blogs.msdn.com/mikechampion/archive/2005/01/03/345862.aspx>

The Less Obvious

9. Virtualisation
This is definitely more for the "techies" (or as they are sometimes affectionately known, "propeller heads"), as it delivers the ability to do more with existing server resources.

Whether or not it will contribute in a significant way to improved EDRMS systems is debatable.

<news.com.com/Dell+plans+virtualization-oriented+server/2100-1010_3-6169830.html>

> **"The real problem with standards is that we always use the plural form. Who remembers Xopen and its lofty ideals?"**

10. Faster, Improved Internet (Web 3.0)
This will be a major contributor to a new business processing model and will be the catalyst for many new and improved application processing paradigms.

It has the potential to fundamentally change the way we run business software solutions like EDRMS software.

<blogs.zdnet.com/SAAS/>

11. Better Programming Tools and Techniques (.NET, SOA, PHP, AHA, Ajax, etc)
Most of these make it easier and faster for IT people to roll out and support EDRMS solutions. They also allow developers to implement new processing, capture and classification paradigms for EDRMS solutions.

Paradoxically, while they make it easier for customers to roll-out and use EDRMS solutions they make it harder (read more complex) for the developer to design and write innovative EDRMS solutions.

<www.knowledgeonecorp.com/news/pdfs/Solving%20the%20Integration%20Problem.pdf>

TECHNOLOGY AS A TOOL: Continued from page 25

12. Ubiquitous/Pervasive Computing

This is already widespread (even toasters now have computer chips) and has been around for a long time (see the following 1996 paper) and will become more so in the future.

With major improvements in miniaturisation and falling costs comes the ability to add computers to any device or object including documents (newer passports already include computers), file folders, archive boxes and shelving.

<sandbox.xerox.com/ubicomp/>

13. Wearable Computing

Wearable computing means that the end-user 'wears' the computer rather than having to react with computers installed in the office.

This is a step up from carrying around the portable barcode reader in a holster on your belt. Look forward to the records management shirt.

<alumni.media.mit.edu/~rhodes/Papers/wearhive.html>

<cnnstudentnews.cnn.com/2001/fyi/news/04/11/wearable.computers>

14. Embedded Computers

The general definition of embedded computers (see Wikipedia link below) defines them as single purpose computers 'embedded' in devices such as phones and PDAs.

The future will see embedded computers in desks, doorways, walls and ceilings (big brother is watching) to fully automate many manual tasks and to track and locate any object.

<en.wikipedia.org/wiki/Embedded_system>

15. Implanted Computers

People have been implanting computers since at least 2000 and the practice will invariably become more and more common despite its Orwellian connotations. Within 20 years Cyborgs will be as common as mobile/cell phones today.

How long before Paris Hilton creates a new fashion trend with an implanted mobile phone? My bet is that it will become common amongst the 'trendy' set within 5 years.

As far as EDRMS solutions go I don't really see records and knowledge managers rushing out to get 'chipped', at least not within the next 10 years.

After that, who knows; it may be mandated by governments (starting with children so they can be tracked and traced just like pets) or it may just become de rigeur.

<archives.cnn.com/2000/TECH/computing/12/07/robot.man/> <www.cs.indiana.edu/cgi-pub/midwic/papers/uploads/olivera.pdf>

16. Improved Human-Machine Interface

Basically, the easier it is for a human being to work with a computer the more the human being can get done. However, advances in operating systems and office products do not necessarily mean an improved interface.

For those of you with a few years in IT please contrast the ease of use of 'old' character based word processing packages with Word 2007. Word 2007 has to be at least 10 times more difficult to use and 100 times more complex than word processing packages of yore.

For whatever reason, user interfaces (UIs) have become more 'sexy' (i.e., graphical user interfaces versus character user interfaces as in DOS) but also significantly more complex and infinitely more difficult to navigate.

Hopefully, we will start the move back to simpler and more effective UIs.

<www.iec.org/online/tutorials/hmi/>

17. Better Solution Paradigms

We desperately need to move away from the inefficient and productivity-sapping, client-centric, user-dependent and manual paradigm to a fully automatic, rules-driven and server-centric

Acronyms

Note that all of the following are used in building Web based applications.

SGML
Standard generalised Markup Language. The ancestor of both HTML and XML. SGML was itself developed from an earlier 1960s markup language called GML developed by IBM.

HTML
Hypertext Markup Language.

XML
Extensible Markup Language.

HTTP
Hypertext Transfer Protocol.

Ajax
Asynchronous JavaScript and HTML.

REST
Representational State Transfer protocol.

ASP
Active Server Pages, Microsoft's server-side script engine for dynamically-generated Web pages.

JavaScript
JavaScript was developed from a programming language called LiveScript which was developed by Netscape. It is used for 'client-side' scripting (i.e., it runs in the browser). JavaScript scripts are added to HTML pages to add functionality to an otherwise 'static' web page.

JSON
JavaScript Object Notation. A data exchange protocol.

PHP
PHP is an open-source scripting language similar to JavaScript except that it is a server-side language. It runs on the web server to process code before it is sent to the browser.

AHAH
Asynchronous HTML and HTTP.

Web Services
The W3C defines a Web Services as a software system designed to support interoperable machine to machine interaction over a network. Web services are frequently just Web Application Program Interfaces (APIs) that can be accessed over a network, such as the Internet, and executed on a remote system hosting the requested services.

SOA
Services Oriented Architecture.

SOAP
Simple Object Access Protocol.

Rico
An Ajax framework.

Xoad
XMLHTTP Object-Oriented Application Development. A server-side framework with Ajax support.

paradigm for records and document management systems.

We need to do everything automatically using very clever software instead of relying on end-users. Make the software do the work, not the long suffering end-user.

Will technology alone ensure improved records and document management solutions?

No, no, and no again!

We need a senior level and ongoing commitment to improved records and document management (EDRMS) practices.

We need budget.

We need adequate training for all levels of staff involved in EDRMS projects.

We need milestones and objectives and internal reviews.

We need metrics and regular external audits so we can review the plan against reality.

We need to change the concept of an EDRMS application from that of a cost centre to a profit-centre.

We need a better solution paradigm, server-centric (labour-lite) and not reliant upon end-users (labour-intensive).

Which technology will improve future EDRMS implementations?

Faster networks and improved WiFi services

Allowing us to roll-out faster, better, smarter and more convenient solutions.

RFID technology

Finally completely automating all paper, file and box tracking.

Embedded computers

Single-purpose, single task computers handling many EDRMS tasks fully automatically.

Improved Human-Machine interface

Eg, RecFind to Knowledgeone, 320 different screens to 10 different screens.

Better programming tools and techniques

Facilitating an improved human-machine interface and better solution paradigms.

Better solution paradigms

Reducing the workload and involvement of the end-user, moving away from the productivity draining, client-centric, end-user paradigm.

Conclusions

1. Will coming technological changes and improvements finally and fundamentally change the way we manage records and documents?

I say yes but I have been wrong before.

2. Will we finally be able to achieve a 'Paperless Office'?

I say yes but I have been wrong before.

3. What technology do you think will make the most difference to records management practices?

RFID, fully automating all tracking functions.

4. What technology do you think will make the most difference to document management practices?

The adoption of a client-centric, rules-driven and fully automatic processing paradigm, providing an 'expert system' that does not rely on end-users.

The Author

Frank McKenna is the CEO of Knowledgeone Corporation, an international software solution provider based in Sydney.

This op-ed article first appeared in the September 2007 issue of the RMS *Bulletin* in the UK, and appears in *IQ* with permission.

“Without realising it, many organisations have implemented systems that are deficient in intellectual architecture”

BUILDING THE INTELLECTUAL ARCHITECTURE FOR RECORDS MANAGEMENT

By Conni Christensen

Does your organisation have a records management system that is deficient in intellectual architecture – the rules and tools that govern how users interact with IM and RM?

Making a commitment to manage records properly is not the same thing as knowing how to do it. Without realising it, many organisations have implemented systems that are deficient in intellectual architecture - the tools and rules that govern how records are managed and how users interact with information management and recordkeeping systems.

Architectural elements in a records management system include:

- **Policies and procedures** for the capture, creation, access, security, and storage of records;
- **Classification schemes** which provide controlled terminology for describing records;
- **Retention schedules** for managing the records lifecycle;
- **Defined workflows** for managing business processes and information flow.

Vendors of content, document and records management systems often downplay the importance of intellectual architecture as it affects the design, deployment and use of the system.

And application and systems owners who confuse the technology with the business solution also fail to understand how critical the rules and tools truly are to the success of the record management process.

The quality of the intellectual architecture also plays a major role with regards to usability and user acceptance. Management of records must take into account both users needs (business requirements) and the organizational needs (governance and accountability requirements). These objectives need not be incompatible.

The importance of classification tools cannot be underestimated. Classification schemes form the principal interface between the humans (record creators, receivers and users) and the recordkeeping system as it captures and retrieves records.

Synercon's information management surveys (conducted continuously since 1998) confirm that 75% of all queries to EDRM helpdesks relate to records classification and access and security issues.

Classification is also the means by which records are grouped together. This makes it possible for records to be managed more efficiently for purposes which include access and retention management.

The consequences of poorly designed intellectual architecture are many and far reaching. They include:

- The inability to find records which exist within the system;
- The destruction of records which should have been retained, and the retention of records which should have been destroyed;
- The public disclosure of private records;
- The inability to discover records required in litigation.

Creating quality rules and tools is a process that needs to be made more simple and accessible.

DIRKS – the Missing Link

In 2002, the International Standard for Records Management (ISO 15489) introduced a methodology for the development of records classification schemes and retention schedules.

This methodology, known as DIRKS (Designing and Implementing Recordkeeping Systems), evolved out of the Australian Standard for Records Management AS4390 (1996). DIRKS is a strategic approach to the management of business information.

> **'75% of all queries to EDRM helpdesks relate to records classification and access and security issues'**

The DIRKS methodology is based on traditional system design methodologies which have been adapted for the records management environment. The step-by-step analysis described in DIRKS examines many organizational facets – structure, environment, stakeholders, processes, inputs and outputs.

Steps B and C of the DIRKS methodology deliver a framework for identifying and linking essential recordkeeping elements within an integrated structure.

- Step B is the analysis of business activity resulting in the identification of business functions, activities, tasks and records.
- Step C is an analysis of recordkeeping requirements based on accountability and stakeholder requirements.

DIRKS Methodology Steps B & C I

The primary output of Step B is known as the Business Classification Scheme (BCS) comprising a hierarchy of functions, activities and

BUILDING THE INTELLECTUAL ARCHITECTURE FOR RECORDS MANAGEMENT: Continued from page 29

transactions.

In many ways the BCS can be likened to DNA of an organisation. DNA is the molecule that encodes genetic information in the nucleus of cells and determines the structure, function, and behavior of cells.

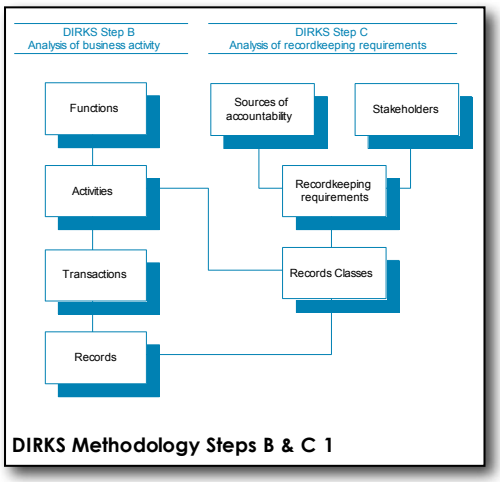
Similarly the BCS describes how an organisation is structured along functional lines. The BCS elements are the foundation stones upon which we can build the intellectual architecture for records management systems.

Further analysis of organisational structure will determine how the BCS also connects to:

- people and their roles within the organization ;
- subjects or topics of business activity;
- stakeholders and their interests in the organization;
- legislation, regulations, standards that govern the organization.

From this knowledge, all of these facets needed to create the tools required for recordkeeping systems can be brought together - file plans, thesauri, retention schedules, access and security models, and workflows definitions.

There is inherent logic to the DIRKS model which is easy for end users to follow since the BCS describes concepts with which they are already familiar. in the daily work. Furthermore, the DIRKS outputs are consistent with elements of the Federal Enterprise Architecture (FEA) framework mandated by the US Office of Management & Budget. The foundation of the FEA is the Business Reference Model, which describes the government's Lines of Business and its services.



DIRKS Methodology Steps B & C 1

In 2000, DIRKS became the mandated methodology for Australian government agencies to use when building classification schemes and retention schedules. Initially, many of the early DIRKS projects were poorly scoped, with agencies and their consultants having difficulty managing the costs for individual projects.

I know I risk being accused of turning this article into a plug for my own product at this point, but, it is only through relating the experience we have had at Synercon, dealing with clients around the world, that I can pass on to you what we have learned.

Synercon's consultants, who were frequently engaged in DIRKS analysis, required tools that would make the DIRKS analysis easier. Finding nothing more suitable than text and spreadsheet applications, we decided to develop our own database tool to manage the DIRKS process.

We had already created our a.k.a. software as a tool for building file plans and thesauri. The next step was to incorporate functionality to manage all of the DIRKS facets and their relationships within a single database. With a.k.a. we could follow the DIRKS analysis process from top to bottom.

Agencies and consultants using a.k.a. found that the cost of DIRKS projects could be significantly reduced. Cost savings were achieved in a number of areas including data entry, relationship management, integrity checking, and report production.

Customised report formats were developed which delivered the outputs in the National Archives of Australia report formats.

However, a.k.a. was always envisaged as much more than a DIRKS management tool. We understood that users wanted to leverage the outputs from DIRKS to build file plans, thesauri, glossaries, retention schedules, workflows and security models.

Over the past 6 years many of these objectives have been achieved, and we continue to develop our product in ways that enhance the value of the DIRKS methodology and its usability, with a.k.a. now used by over 300 organisations in 15 different jurisdictions worldwide.

For example, the State of Tasmania accepts retention schedules in the form of an a.k.a.® database. Edits and comments are written directly into the a.k.a.® database and returned to the agency for revision.

The ACT Territory Records Office was tasked with developing a whole-of-government classification scheme and retention schedule to cover 140 functions of government. Using a.k.a., the Office staff managed to complete the task in less than 2 years, a significant time and cost savings. (Source: www.territoryrecords.act.gov.au)

Similarly, a.k.a. was used by shared services agencies in Queensland and West Australia to develop and publish keyword thesauri with which to support a whole of government approach to the management of administrative records.

The National Archives of Australia used a.k.a.® to develop the AGIFT thesaurus. Using HTML templates designed by Synercon, an online version of AGIFT has now been published to the web. (Source: www.naa.gov.au)

When the Sydney Olympic Parks Authority was formed, their first task was to gather together the records from six former agencies responsible for running the Sydney 2000 Olympics. Using a.k.a. they created a common classification scheme and thesaurus linking preferred terms to the legacy terms used by the former agencies.

TRIM users have found a.k.a to be an invaluable tool for upgrading both classification schemes and thesauri from Captura to Context. So versatile is a.k.a that data can be imported from the TRIM thesaurus format, and exported as the TRIM classification plan format.

TRIM, DIRKS and a.k.a are all unique Australian contributions to cutting edge records management. Yet, think about it, all of them depend on the other. First there is the system, then there are the rules, and then there is the tool. This is how making the best use of intellectual architecture will help you better manage your records and information into the future.

The Author

Conni Christensen is the founding partner of Synercon Management Consulting, a leading Brisbane-based international provider of records management consultancy services, training and tools.

Synercon is the developer of a.k.a.® software - a suite of tools for the development of taxonomies (thesauri, controlled vocabularies) and records retention & disposal schedules. a.k.a.® is used by government agencies and large corporations throughout Australia, Canada, New Zealand, the United Kingdom and the United States.

To learn more, visit www.synercon.com.au/resources, or email aka@synercon.com.au

Finding RM Products that Meet Today's Environmental Demands

By Darby Johns

Paper records still fill countless storage facilities worldwide, and new products are appearing which are helping conserve them in an environmentally friendly manner.

The following extract from 'Greening of Government', on a South Australian Government agency website, expresses well the movement towards compliance with today's environmental standards.

'There is an expectation that State Government demonstrates leadership which supports sustainability, not only through setting policies, but also by ensuring that its agencies embrace and pursue environmental responsibility through managing their own impacts generated in the course of conducting Government business.' (www.zerowaste.sa.gov.au/greening_government/greening_government.php)

The concept and the intent are admirable but, in the case of records management, they can only be implemented if there are alternative products that meet the necessary standards - and that is a problem. New products are only now just starting to emerge.

Polypropylene, the material used in many of these products, is both fully archival quality and recyclable. No trees are cut down to make polypropylene. It is derived from waste gases that were previously burned at oil refineries – thus contributing to a reduction in emissions.

New polypropylene products recently considered by conservators at their AICCM national conference now include archive quality suspension files and storage box systems, similar in size to Type1 boxes. They fit on standard archive shelving, and space saving is optimised.

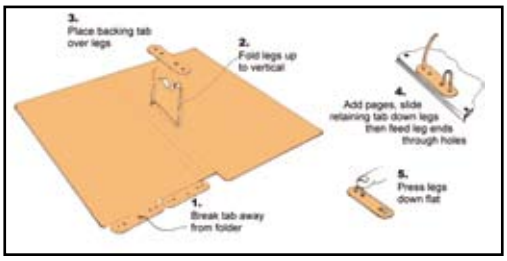
A further innovation is polypropylene manila folders that have the paper fasteners built-in at no additional cost (see illustration). The folders come in A4, foolscap and lateral configurations. The no-cost paper fasteners mean that the total cost of folder and fastener is competitive with paper folders plus the separate fasteners – some of which are not recyclable.

Alternatives to lever arch files have been around for several years and are already in use by several Government agencies. Some even stand upright on the shelf, and the rings cannot misalign or pinch fingers. With the added pressure for sustainability, these nylon ring files will become more popular.

Leading South Australian RMAA member Helen Onopko, a coordinator in the UniSA Records Management Certificate Course, has assessed these new arch file alternatives very favourably.

I found one comment she made particularly interesting. "We have been preaching, for years, the need to store records in archivally sound storage enclosures. Surely, agencies should be encouraged to begin the archival process at the point of creation.

"If we store and use records from their creation in polypropylene containers, then archival success becomes a simple process of continuing 'best practice'."*



Having products made from re-used materials is a good idea – but it has limitations. Some RM products, such as folders, are available in re-used polypropylene. But the range is limited, and they are not archival quality. And re-used polypropylene can contain traces of elements that are not acceptable in archives.

Recyclable products are even better when those products (eg polypropylene) are more durable, have reduced carbon emissions, and have been made without felling trees.

It is possible to incorporate some recycled polypropylene in the manufacture of records management products but that recycled proportion must be carefully monitored.

Usually it is factory off-cuts – not re-used material. To sum up – it is not good to demand re-used materials without being aware that it may reduce the number of products available and those products cannot be part of an 'office to archive' management system.

As for the paper records themselves, anecdotal evidence suggests about 90% of paper used in Australia today is A4, and that 90% of manila folders being sold are foolscap. Most office furniture and cabinets still provide for foolscap files; the waste of space involved is about 10%.

Were the fallacious dreams of paperless offices misleading? One problem is, of course, that new products are often produced in small quantities and so are more expensive. New A4 archive box options are only now becoming available at affordable prices.

The natural resistance to change is supported by the reluctance to accept higher prices. Till now, there has been a shortage of available records management products that enable current environmental guidelines to be observed. But, with the latest products arriving on the market, that situation is definitely changing.

The Author

Darby Johns is the Managing Director of Albox Pty Ltd, in Adelaide, South Australia.

* Helen Onopko spoke as an individual RM practitioner, not as a spokesperson for the RMAA.

Promoting Records Management and Archives Research in Australia

By Dr Margaret Pember, FRMA and Dr Roberta Cowan

There are significant incentives for academics and professionals who conduct research into records management and archiving in Australia and publish their findings in scholarly journals. Are you one of the many scholars and practitioners not taking advantage of those incentives and not sharing their knowledge with their colleagues?

In his keynote address to the Higher Education Research and Development Society of Australia Professor Ian Frazer, Australian of the Year 2006, described succinctly the nexus between researchers and practitioners.

He deplored a situation where, in his world of medical research, clinicians and teachers were becoming decoupled from medical researchers by externally imposed funding models. He acknowledged the fact that, without a team consisting of practitioners, researchers and administrators, the now-patented cervical cancer therapy would have remained a fantastic dream, never a reality.

What has this to do with the readers of Informaa Quarterly? Many of you are practitioners and users of research outcomes but, more importantly, you are the hotbed of new ideas and directions for professional research.

Why is it important that you understand how the Australian research funding model works? There are two main reasons. The first is that you are all taxpayers and funding research is how some of your tax dollars are spent. The second is that knowledge of how the system works enables the profession to support the research it wishes to see promoted.

Research Quality Framework

In 2004, as part of the 'Backing Australia's Ability' (http://backingaus.innovation.gov.au) initiative, the Prime Minister announced that publicly funded research was to be made more accessible to all Australians and that the quality of the research was to be measured in a way that was meaningful to all Australians.

This announcement will culminate in 2008 in the first round of what is known as the Research Quality Framework (RQF) grants for universities and government-funded bodies such as the CSIRO.

The RQF provides Australian society with a method of assessing how, when, why and by whom tax payer research dollars will be spent. The RQF will take into account research quality (a quantitative measure) and research impact (a qualitative measure).The RQF assessment will provide the basis for university/government research funding for 2009–2015.

At present the funding for research, particularly at universities, comes from two sources:

1. Competitive grants, for example, Australian Research Council (ARC) and National Health & Medical Research Council (NH&MRC) grants; and

2. University block grants based on 'quantitative measures (i.e. numbers of publications, external research income and Higher Degree by Research (HDR) student load and completions) that have been used as proxies for quality' (Department of Education, Science and Training, 2006).

The RQF will provide a system which is, on the surface, fair and equitable to all since all participants will be measured by the same key performance indicators (KPIs).

RQF Basics

Each institution applying for grants will put forward a number of research teams for assessment. Each research team will provide a research portfolio to the appropriate Assessment Panel. There are thirteen Assessment Panels which span the broad categories of research funded by ARC and NH&MRC, such as creative arts, law, and biological sciences.

Archives and records management would be included in Assessment Panel number 11—Law, Education and Professional Practice. The panel will have 12 members including a chair, with three of the members being 'end-users' or practitioners and three members being international. The end-users are extremely important members of the panel, since they will be pivotal in the assessment of research impact.

A research team must show that the research they have conducted between 1 January 2001 and 31 December 2006 has been of high quality (measured on a scale 1 to 5) and has had a significant impact (measured on a qualitative scale A to E) on the 'end-users in the wider community regionally, nationally and/or internationally'

(Department of Education, Science and Training, 2006).

Research Quality

Research quality is an attempt to measure research outcomes based on assessments made by academic peers and fellow researchers. Although it is intended to be a guide to quality it depends upon a series of quantitative measures which are assumed to also imply an assessment of quality. It will include metrics such as:

- outputs of research activity (e.g. numbers of refereed publications;
- citation data (recognition by peers); and
- grant income (success at winning nationally competitive grants).

When discussing the background to the RQF we stated that the scheme commenced as part of the initiative 'Backing Australia's Ability' which was developed via the science and education portfolio.

The RQF has always had a science/medicine leaning and so the benchmarks that have often been cited as the best for research quality are the ISI citation indices (e.g., Social Science Citation Index SSCI) and ISI Journal Citation Report (JCR), but the JCR does not include many of the journals we as a profession consider as quality.

To address this issue the Department of Education, Science and Training (DEST) is allowing Assessment Panels to use other benchmarks where such exist. The archives and records management profession should be moving to produce such a benchmark, which is why the authors have conducted a survey into professional reading.

Research Impact

This is the 'qualitative' side of the equation. Research impact is defined in the RQF 'as the social, economic, environmental, and/or cultural benefit of research to end-users in the wider community regionally, nationally, and/or internationally'.

This statement has nothing to do with assessment by the academic peers of the research group, but rather attempts to assess the 'flow on' effects as the research outcomes impact upon the wider community. An impact statement of up to ten pages, which includes the following, will be required:

- verifiable, evidence-based claims against specific impact criteria;
- up to four case studies that illustrate examples of those claims; and
- details of end-users (other than practitioners) who can be contacted as referees.

The Assessment Panel will judge impact on a scale A-E.

Once again, the profession can be of assistance to researchers since you provide the evidence base, the impact of our research. You provide our case studies and new directions for research. You are our referees.

Professor Frazer (2006) was correct when he stated that without practitioners, researchers are blind. More than ever before, researchers and practitioners need to work as a professional team.

Importance of Research to the Profession

Is recordkeeping a profession? What do you think? From the various definitions that abound in the literature, a list can be developed to illustrate the identifying criteria of a profession:

- shared social values and paradigm;
- social relevance and public recognition as a profession;
- domain-specific body of knowledge, theory, principles, expertise;
- professional education at the university level;
- research and theory development agenda; and
- professional subculture which includes a professional association.

In the Anglo-American paradigm professions do not emerge fully developed. The professionalisation of an occupation is an evolutionary process (Abbott, 1988; Larson, 1977; Neal & Morgan, 2000) in which the 'occupation' may eventually become a high status, socially recognised 'profession'.

This includes the formation of a strong professional association and the establishment of academic routes to qualifications, with the profession overseeing the qualification criteria for admittance to the profession. Continuing professional development (CPD) becomes part of the rules of association, as does a strong sense of ethical behaviour. The professionalisation of recordkeeping is following this 'bottom up' developmental process.

One of the major problems to be overcome as a profession is the invisibility of the recordkeeping discipline to society at large. When surveyed, 85% of the Australian public had no understanding of terms such as records, recordkeeping or archives (Pember, 2006).

Recognised professionals such as doctors, lawyers, and teachers provide services readily identifiable to the public; recordkeepers do not, as recordkeeping is largely an internal support role in government and business organisations.

Given the continuing instances of recordkeeping failure reported in the media, it should not be difficult to articulate and publicise the social values of recordkeeping such as the public service aspect, particularly if

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the two leading associations in the recordkeeping field (contemporary records management and archives) can demonstrate a more active, unified agenda.

Another indicator of professional evolvement is the establishment of a strong research base (Couture, 1997; Pedersen, 1994). Although fledgling, research into recordkeeping issues is growing through national and international funding initiatives as the role of recordkeeping in organizations continues to be highlighted in the media.

Biggs (1991) and Williamson, Burstein, & McKemmish (2002) stressed the nexus between practitioners and researchers—new problems posed in practice should be communicated to researchers and so feed the iterative cycle between the two and enhance both theory and practice.

Cox (1990) asserted that research which attempts to solve problems is required in any profession. Ellis (1996: 323) noted that the "role of theory in any professional pursuit … serves not only to systematise the current state of knowledge and to provide a common language of discourse, but to indicate lacunae where fruitful future experimentation and empirical research may add to the body of knowledge".

Pemberton (1992: 48) also advocated the need for research, maintaining that "without theoretical foundations there can be no meaningful research effort, and without research we have only hearsay, conjecture, anecdote, and possibly propaganda. Given sound methodology and a little patience, research can provide answers to specific problems".

What Research is Being Done in the Profession?

There has been an identifiable research agenda for recordkeeping since at least 1988, when Cox and Samuels (1988) presented their agenda to improve the identification and retention of records of enduring value and Dowler (1988) his research agenda for the availability and use of records.

As Piggott commented in his framework for research (1998: 346), 'evidence-rich records do not just fall off trees; … a considerable amount of thinking has been done since the early 1990s to identify the tactics, functional requirements and factors conducive to good record-keeping in organisations.'

Research agendas have been regularly updated over the years (Pederson, 1994; Piggott, 1998; Shepherd, 1998; An & Cook, 2003; McKemmish, Gilliland-Swetland, & Ketelaar, 2005). Such agendas are intended to focus and guide, but not restrict, research.

In an effort to come to terms with the challenges inherent in the management of the electronic record, significant research has occurred and is still occurring around the world, particularly since September 11 (Cox et al., 2001). Researchers are involved worldwide in projects to better identify electronic evidence and preserve it long-term (Bearman, 1994; Cook, 1994; Cunningham, 1997; Hedstrom, 1991).

One example is the Pittsburgh project into the Functional Requirements for Evidence in Recordkeeping, and the associated Business Acceptable Communications Model that establishes a framework for metadata specifications in the recordkeeping environment.

Another is the International Research on Permanent Authentic Records in Electronic Systems (InterPARES), which is a collaborative, worldwide project that aims to develop the theoretical and methodological knowledge essential to the long-term preservation of authentic records created and/or maintained in digital format.

The challenges of the management of contemporaneous electronic records have spurred research in other areas. For example, Duranti (1989) resurrected the old science of diplomatics 'to test the validity of its principles and methods for modern and contemporary documents'.

Diplomatics is the study of official medieval documents such as charters and acts, particularly papal and imperial, having legal status, in order to prove their authenticity. New research at the University of British Columbia has applied aspects of diplomatics to electronic records formats to challenge old concepts and formulate new concepts to determine the requirements for complete, reliable and authentic records.

Considerable research is also being conducted into the long-term preservation of electronic data in digital repositories (e.g. Australian Partnership for Digital Repositories-Australian National University ANU) and metadata (e.g. the SPIRT Project and the AIIM Project).

Also of interest is the Australasian Digital Recordkeeping Initiative (ADRI). This is a collaborative initiative between all ten national, State and Territory public record institutions in Australia and New Zealand.

As noted on the ADRI website (www.adri.gov.au): 'The primary objective of ADRI is to pool resources and expertise to find better ways to ensure that digital records are preserved and made accessible for the future… ADRI focuses attention on the importance of archival institutions and government agencies working together to preserve digital records.

'The Initiative promotes a single Australasian approach to digital public recordkeeping across all jurisdictions and provides a space for communication and information sharing between the members. The collaboration ensures the best possible strategic use of limited collective resources and maximises the wider awareness and impact of the agreed approach to addressing the challenge of digital records.'

Research in recordkeeping has multiplied around the world in the past two decades. Elkin (1999) and Danbury (1999) both noted that, for the first time in the United Kingdom, records management is explicitly identified in the scope of the Library and Information Management Panel's subject areas for research funding from 2001 (www.hero.ac.uk/rae/). This is a major advance in research opportunity for the discipline.

Danbury (1999) also comments on the more collaborative, often international, approach to research opportunities and notes that funding has already been secured for research of international significance such as electronic records (Northumbria University and colleagues in Holland, Finland and Germany).

Hare and McLeod (1999) of the University of Northumbria, (who have published study findings in IQ), were instrumental in the development of a strategy to increase the research profile of records management in the United Kingdom. They were creative in respect of funding opportunities other than the traditional library sources.

Another facet of their strategy was high level involvement in professional associations, standards committees, lead bodies and the editorship of the Records Management Journal All these activities resulted in both recordkeeping and the researchers becoming far more visible in the European research environment (Hare, McLeod, & King, 1996; King, Hare, McLeod, 1996).

A research project subsidised by the Social Sciences and Humanities Research Council of Canada sought to establish the general tendencies of education and research in archival science (Couture, 2001).

Responses were received from educational and archival institutions and researchers in over 70 different countries, indicating a strong interest in archival research. The project identified a "community of ideas" (p. 176). One group identified a small number of priorities (9); a second group acknowledged a wider range of research interests or themes (30). Both groups recognised the primacy of research into electronic records.

Australian researchers have secured major research grants for recordkeeping topics. For example, McKemmish of Monash University (with other Monash academics, the Public Records Office Victoria [PROV] and Koorie recordkeepers) secured an Australian Research Council (ARC) Linkage Grant (2003–2006) to investigate Building Archival Systems for Indigenous Oral Memory.

McKemmish secured an additional ARC Linkage Grant (2003–2005) with the National Archives of Australia (NAA), State Records NSW and the Australian Society of Archivists (ASA), to investigate metadata in e-business processes in networked environments.

The impact of this research on Australian society will become

known via the RQF if the McKemmish group is part of the Monash University research application to the RQF in 2008.

Role of Professional Publications

The professional literature provides a mechanism for practitioners to keep abreast of research and practice in the field. These publications provide a forum for refereed research debate and scholarly communication. They also provide a record of the development of professional thought over time, and help identify new avenues and opportunities for research (Danbury, 1999).

Both the major recordkeeping industry bodies in Australia—the Records Management Association of Australasia (RMAA) and the Australian Society of Archivists (ASA)—publish refereed journals. Until recently, only one of these journals, Archives & Manuscripts, published by the ASA, was considered a scholarly publication.

Consequently, most recordkeeping research in Australia was published in international recordkeeping journals or in library journals, such as the *Australian Library Journal* and *Australian Academic & Research Libraries*.

In a recent survey (2007) of Australian and New Zealand recordkeepers carried out by the authors, almost one quarter of the respondents published work in refereed scholarly journals. Detailed results of this survey will be published soon.

A major contribution in the research area would be the development of more refereed Australasian publications in recordkeeping. We feel that the RMAA is now at the stage of professionalisation (Abbott, 1988; Larson, 1977; Neal & Morgan 2000) where the association can support both 'newsy' type articles and serious academic research papers.

Scholarly vs Trade Publications

Ulrich's Periodical Directory™ 'is a bibliographic database providing detailed, comprehensive and authoritative information on serials published throughout the world'. It is a free service to publishers of periodicals provided by CSA, Cambridge Information Group Family, and information held in the database can be updated online 24 hours per day 7 days per week.

The publisher supplies Ulrich's with information on publication title (with subtitle), title changes, ISSN, publisher details, frequency of issue, subscription rates, readership. The publisher chooses to tell Ulrich's whether the journal is refereed or not, whether the journal is indexed and by which database, and whether the publication is a trade magazine, an academic/scholarly journal, or an annual.

Academics are measured by the quality and quantity of their research output. Ulrich's is one tool used to measure the quality of publications by the DEST and therefore the universities.

In 2006 *Informaa Quarterly* (*IQ*) was listed in Ulrich's as a trade magazine and as a consequence, an article written in *IQ* would not have been considered research quality whereas the same article published in Archives and Manuscripts would. This was simply because the RMAA (the publisher) had indicated to Ulrich's that *IQ* was a trade magazine rather than an academic/scholarly journal. This fact was bought to the attention of the RMAA by Pember, and by simply submitting a new form to Ulrich's, the RMAA has changed the status of *IQ* to a vehicle in which academics can now both publish and gain kudos from the university and DEST.

At the same time, research can reach practitioners in the vehicle they are most likely to read. The recent survey into professional reading by the authors indicated that 84.1% of respondents read *Informaa Quarterly*, although only 55.7% were members of the RMAA.

How can the Profession Impact Research?

Many researchers (Biggs, 1991; Ellis, 1996; Pemberton, 1992; Williamson, Burstein & McKemmish, 2002) have stressed the nexus between practitioners and researchers—new problems in practice can be communicated to researchers and so feed the iterative cycle between the two and enhance both theory and practice.

Academics, individual students or teams of students can work together with experienced practitioners to investigate problems in practice. From this type of activity one can develop a collaborative and iterative research environment, thus furthering the professionalisation of recordkeeping.

Practitioners can also help build the core body of professional knowledge through support of initiatives such as the RQF and collaboration in research projects with academic colleagues, and subsequent publication of the results in refereed journals.

Both the RMAA and the ASA offer research grants to members of their associations. Why not consider becoming involved in research in your profession? You can make a difference!

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Roberta Cowan has a doctorate in biological taxonomy, postgraduate qualifications in librarianship, and a masters in archives and records management. As a research fellow with the Curtin Business School, Roberta is involved in research on information management and recordkeeping with researchers in the Division of Humanities at Curtin University of Technology. She has published in the fields of botany, biological systematics, history of science, librarianship, business history, information systems and record keeping.

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iRMA 2008

Call for Papers

The 2008 edition of *Information & Records Management Annual* (*iRMA*) will focus on Electronic Document Management Systems (EDMS) and associated issues. This will be a refereed publication*. The publication will be made available online and on disk. There will be no hardcopy publication.

The editors, Dr Margaret Pember and Dr Roberta Cowan, invite you to submit abstracts for this publication, which will be launched at the 2008 RMAA Convention in Sydney.

Abstracts of proposed papers (500 words) will be accepted until 30 November 2007. Please send abstracts to either editor at the email addresses below. It will not be possible to extend this deadline. Accepted papers are required by 31 March 2008.

We are hoping to see a broad range of submissions from all industry sectors. We are interested in all facets of EDMS from policy issues to change management to implementation to storage and preservation issues. What makes your EDMS experience worth reporting? Papers should be between 5,000-10,000 words. Previously published papers will not be accepted. Full details will be supplied when abstracts are accepted.

If you are interested in being on the Editorial Board for this publication please let us know as soon as possible. We may be contacted at the email addresses below.

* Peer Review/Referee Process

The referee process entails the review of scholarly papers by professional peers, typically other scholars, researchers, consultants, etc. in the field, thus it confers on the paper and so the author, a higher level of academic standing than an un-refereed paper.

The referee process is also aimed at ensuring that a publication is reflective of the peer community, rather than the editor's personal preferences or knowledge or popular opinion.

An appropriate core Editorial Board will be selected in readiness - additional reviewers will be co-opted as required, depending on the focus of the paper. Reviewers will be listed, in acknowledgement of their work in the publication.

Reviewers make recommendations about whether the editor should accept, reject or ask for revision of the paper. Revision is the most common outcome with 80% of papers being returned for minor revision.

The review process will be anonymous (blind) to ensure that reviewers are neither 'for nor against' the author. Likewise, it is usual that reviewers remain anonymous to the author.

The final decision remains the responsibility of the editors, but they will normally trust the recommendations of the reviewers.

Timelines will be developed to allow sufficient time for the review process. Papers not received by the due date may not be accepted for publication.

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RMAA
Records Management Association of Australasia

Information Seeking Behaviour of Electronic Document and Records Management Systems (EDRMS) Users: Implications for Records Management Practices

By Pauline Singh, ARMA, Professor Jane E Klobas and Dr Karen Anderson

This article is the first in a multi-part report on whether the way RM professionals manage records in accordance with the ISO 15489 standard is consistent with the information seeking behaviour (ISB) of Electronic Document and Records Management Systems (EDRMS) users, and includes an investigation of how various factors, such as training, individual information seeking styles, tasks, and time, affect the ISB.

Forty EDRMS users in four Australian government organisations – in the utilities, town council, banking and finance industries – participated in the study. Qualitative methods (interviews and protocol analysis) were used to develop a model of the ISB of EDRMS users.

An understanding of how ISO 15489 was implemented in the EDRMSs of the organisations was obtained from interviews with the organisations' records managers. The findings reveal that there is a partial match between the ISB of EDRMS users and how the organisations have implemented the standard to manage records in the EDRMSs.

Users rely heavily on using the metadata elements included in the EDRMSs. They are mostly happy with their ability to find records in the EDRMSs, but they struggle with some difficult searches. Difficult searches could be completed more efficiently if users were able to drill down using a classification schema or thesaurus but records managers do not make these tools available to the users.

Introduction

Records management (RM) professionals implement their RM programmes by benchmarking in order to adhere to the RM principles and practices that are stated in the international standard, ISO 15489 Information and Documentation – Records Management (International Organization for Standardization 2002).

Is this standard, designed to assist RM professionals in implementing RM programmes for their organisations, also consistent with the information seeking behaviour (ISB) of Electronic Document and Records Management Systems (EDRMS) users?

We consider it important to understand how and if the RM practices used by the RM profession to manage records adhering to the standard actually match the ISB of EDRMS users.

Or, are RM professionals imposing on users a system that enables the professionals to do RM tasks, but prevents users from having a system they can register their work into and search and retrieve information from in order to perform their job functions and tasks? These questions provided the motivation for our research.

The primary research question in our study is: Are the ways in which records are managed in the EDRMS are consistent with the ISB patterns of users. To assist with answering this primary research question we developed three secondary questions:

1. How are records managed in the EDRMS?
2. What is the information seeking behaviour of EDRMS users?
3. How do training, individual information seeking styles (IISS), task, and time available to conduct a search affect the information seeking behaviour of EDRMS users?

We approached the research by firstly investigating what the ISB pattern of EDRMS users is. Then, we looked at how information is managed in the EDRMS. The usage of RM principles and best practices to manage records in the EDRMS was assumed.

Four Australian government organisations that have implemented RM principles and practices in their organisations were studied. We investigated the ISB of EDRMS users to find out the information seeking activities they engage in when they need to find information in the EDRMS.

We present our findings on how the organisations have implemented each of the pillar RM principles and practices in the ISO standard in their organisation. In addition, we discuss the ISB pattern of EDRMS users that emerged. Furthermore, we address the primary research question in our study: are the ways RM professionals manage records in adherence with the ISO 15489 standard consistent with the ISB of EDRMS users?

Definitions of ISB and EDRMS are best addressed before moving further into the body of the article. Information seeking in this research focuses on the user who is actively involved in the information seeking process. ISB encompasses both information searching and information retrieval.

For the purposes of this article, the EDRMS is defined as an

automated document and records management system that enables organisations to manage both their paper and electronic records.

The EDRMS integrates with common office word processing, scanning, and e-mail management applications. It is an electronic tool that enables organisations to register, capture, use, search, retrieve, modify, maintain, dispose, and archive its corporate and business records.

It is similar to how Johnston and Bowen (2005) cite the National Archives of Australia's (NAA) description of the electronic document and records management systems (EDRMS): 'The EDRMS includes the whole of documents, records, methods, procedures, tools, [meta] data [index EDRMS], knowledge, means and persons with which an organisation operates and fulfils its requirements to preserve evidence of its activities, maintain its memory, and preserve its knowledge.' (Johnston & Bowen 2005, 133).

Organisations implementing an EDRMS as part of their RM programme ensure that the EDRMS is implemented in compliance with the ISO 15489 standard. The ISO 15489 standard outlines RM principles and provides guidelines to RM professionals on what constitutes good RM practices.

It sketches the requisite tools and programs for implementing RM best practices, such as policies, procedures, classification schemes, retention schedules, training programs, etc.

It also describes how organisations need to maintain the RM program once it has been implemented, by monitoring and conducting audits on use of the RM program, which is increasingly automated using the Electronic Document and Records Management Systems. For specifications on functional requirements for the management of electronic records in an EDRMS, organisations can refer to the European Model Requirements for the Management of Electronic Records (MoReq) (Cornwell Management Consultants plc, 2001) as well.

Background and Literature Review

The RM literature emphasises such issues as how information should be managed, organised, classified, and implemented, and how long it should be retained. RM theory (Kennedy & Schauder 1998) and best practice standards (International Organisation for Standardisation 2002) provide guidelines for how organisations should manage their corporate memory and information assets.

In order to address our research questions, we first needed to find out how information is managed in an EDRMS. We reviewed ISO 15489 and identified the eight pillar records management principles presented in Table 1.

What is largely missing from the RM literature is a discussion of EDRMS users, their preferences and their behaviours as they search for information or documents in the EDRMS.

One issue that has received recent attention is the influence of task complexity on ISB. Byström and Järvelin (2002; 1994) found that the more complex a task, the more workers will explore information sources outside their comfort zones to fulfill their information needs.

Some clues to how EDRMS users might behave can be gleaned from early work about information seeking at work. The most widely celebrated study was conducted in the 1960's by Allen (1984) who examined how research scientists searched for information.

Although his study pre-dates modern information systems, Allen's observation that people tend to minimise the effort they expend to search for work-related information has influenced our understanding of how people search for information using electronic information resources such as online databases (Culnan 1984; 1985) or the Internet (Klobas 1995), and what brings them to use information systems (Davis 1989; Karahanna & Straub 1999).

Culnan (1984; 1985) noted the importance of users' perceptions of how easily accessible information stored in electronic information resources is to them, not only in terms of the functional ease of use of the EDRMS, but also in terms of the intellectual accessibility or "understandability" of the way content is presented in the EDRMS.

Most of the research on the use of electronic sources of information to support work has confirmed that users seek a balance between the perceived usefulness or quality of the information they are hoping to find and the perceived accessibility of the system and the information it contains (Auster & Choo 1993; Klobas 1995).

While this research provides some indication of the factors that may influence office workers' behaviour as they search for the documents and information they need to support their work, it tells us little about what they actually do.

Information scientists have developed generic models of ISB from observing people at work in other environments. Of particular relevance to our work is the modelling conducted by Ellis (1989) and its further development by Meho and Tibbo (2003).

Ellis was interested in designing an electronic information retrieval system for library information sources. Working with social scientists at his university, he identified six common activities in a search for the documents that might be indexed in a library system, as presented in Table 2.

Table 1. Pillar Records Management principles

Policies	Records Management policies are written to outline that the EDRMS is the corporate information repository. Policies also outline roles and responsibilities for RM.
Procedures	Records Management procedures and standards identify what is a record, what information is to be created and captured into the EDRMS, and how information should be stored and managed in the EDRMS.
Metadata Standards	Recordkeeping metadata standards provide the contextual framework for records. Metadata, simply put, is data about data. Examples of record metadata properties include author, record title, date of creation, classification scheme terms, et cetera. Metadata standards specify the metadata elements that need to be captured for records stored in the EDRMS. It also states what the mandatory and optional fields in the EDRMS are and provides a pick list in some fields to restrict metadata to be captured.
Classification Scheme	Records are managed using a corporate classification scheme. The classification scheme enables information stored in the EDRMS to be classified by business process or subject.
Retention And Disposition Schedule	A corporate retention and disposition schedule is implemented in the EDRMS to sentence records stored in the EDRMS.
Security Permissions	Security permissions are set on records to ensure access to authorised personnel and to protect records.
Training	Training is provided to users on records management practices as well as on how to use the EDRMS. RM training includes records awareness-raising training and information on how the corporate classification scheme works.
Monitoring And Auditing	Monitoring and auditing of the record management practices and systems is performed to ensure that the RM strategies established are followed and that they meet the business requirements of the organisation.

Keywords:

Electronic Document and Records Management Systems (EDRMS), information seeking behaviour, records management, ISO 15489, classification schemas, thesauri, information retrieval

Table 2. Six common information seeking activities by social scientists (Ellis 1989)

Activity	Description
Starting	Identifying a key source to commence a search.
Browsing	Identifying relevant sources.
Differentiating	Using differences in the nature of the source materials to filter material.
Chaining	Following up references provided in an identified source
Monitoring	Maintaining awareness of developments in an area through regularly following particular sources.
Extracting	Working through material in relevant sources.

INFORMATION SEEKING BEHAVIOUR: Continued from page 39

Meho and Tibbo (2003) updated Ellis's model in an international study. They confirmed the basic activities in Ellis's model, but added four new activities: accessing, networking, verifying and information managing. They organised the full set of activities into four groups: searching, processing, accessing and ending. The activities in each group are summarised in Table 3.

Table 3. Revised ISB model (Meho & Tibbo 2003)

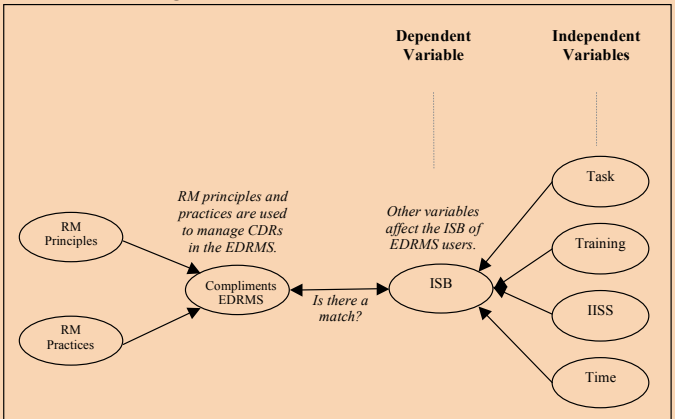
Groupings of Information Seeking Activities	Specific Information Seeking Activities
Searching	starting, chaining, browsing, monitoring, differentiating, extracting, networking
Processing	Chaining, extracting, differentiating, verifying, information managing, synthesizing, analyzing, writing
Accessing	Decision making
Ending	

In this study, we used these models and the techniques that Ellis developed in his research, as scaffolds for developing an understanding of the ISB of EDRMS users.

We were also interested in the effect of other aspects of the context in which searches are conducted. In particular, we expected training, individuals' preferences (their individual information seeking style, IISS), the task and the time available to influence users' search behaviour.

Figure 1 illustrates the theoretical framework for the research and the expected relationship between these variables and ISB.

Figure 1. Theoretical framework for research



Legend: Arrows indicate how each factor influences the ISB of EDRMS users.

* RM – Records Management
* CDRs – Corporate Documents and Records
* IISS - Individual Information Seeking Style
* ISB - Information Seeking Behaviour

Research Method

We used a combination of qualitative research methodologies and different research tools to gather data to answer our research questions.

Our research method was to find out sequentially the answers to these questions: 1) What is the ISB of EDRMS users? 2) What are the key factors that affect the ISB of EDRMS users? 3) How are RM principles and practices applied to the management of information in the EDRMS? and 4) Is the management of information in the EDRMS that adheres to RM best practices consistent with the ISB of EDRMS users?

In the next article in this series, we will describe the research method used and make a start presenting our research findings.

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This article first appeared in *Human IT Journal* and appears in *IQ* with permission.

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If Disaster Strikes, Will You be Ready?

By Tony Walker

Disaster in one form or another will touch us all some day. At home or at work, will you be prepared when the time comes?

This is what I learnt when my area was devastated by bushfires last Christmas. With any disaster there are lessons to be learnt. The first one will be no surprise to anyone - insurance companies are very receptive to selling you property and contents insurance; it is a different matter when it comes to claims.

A major bush fire on the East Coast of Tasmania last December resulted in 23 homes being lost and damage to numerous other structures that resulted in insurance claims.

The main issue was that a vast majority of the properties were under insured, some to an extent that rebuilding was not possible. The other surprising thing was the number of tenants who did not have contents insurance.

There was one example where the insurance company claimed the property was over insured, and they would only pay out the amount they felt the property was worth. The same policy owner had their contents under insured. The response was, “Too bad we only pay out the insured amount.”

Clearly a number of property owners did not have a full understanding of the policy conditions. One matter when dealing with insurance claims is demonstration of the items under insurance, this includes the building as well as contents.

At a minimum, a simple means of clarification is by taking photos of everything, including registration and information plates on electrical equipment. Record it on a disc and leave a copy with family or friends.

You could also scan documents such an insurance policies. Where you can clearly demonstrate the building type and contents, claims are significantly expedited.

Insurance companies also rely on the building records held by local councils. Many property owners undertake improvements to their property without council approval. These may appear minor at the time of construction; or a number of minor additions can accumulate into a significant capital improvement. Again a detailed photo record will assist in demonstrating the assets you hold.

With bushfires, there is often some notice of the pending risk. Therefore some planning can be taken to remove important documents and other valuable items.

After the Scamander bushfire recently - see the photograph above to appreciate how frighteningly close it came to the town centre - it transpired that a number of property owners had felt their steel clad garages would provide additional protection than their timber houses, and had relocated their valuable and furniture to the garage.

In a number of cases the garages burned and the dwellings did not. A steel clad building may not ignite like timber, however the radiant heat is absorbed and they burn from the inside out. Quite often, garages are not provided with any fire protection, and yet

they can contain more assets that the house itself.

If you must evacuate the area, notify your insurance company and verify your insurance policy for coverage for temporary lodging.

Could you put together an insurance claim if you suffered losses from a natural disaster or accident? Do you know where your home owner's insurance policy is? Could you prove what you own and the value of your property?

The task of putting lives back together again after a natural disaster can be overwhelming when families try to repair and replace their homes and personal possessions.

For some, careful planning and recordkeeping may save them lots of frustration when it comes to insurance claims. For others the lack of records may not only hinder their recovery but may short-change them when it comes to being compensated for their losses.

Planning ahead is the key in the event that an insurance claim must be filed. Whether your claim is large or small, the process of household recordkeeping is the same.

If you don't already have a household inventory, now is the time to compile one. Don't forget to include the basement and garage. Attach receipts to the pages if you have them. Remember that some items may require appraisals, as well.

Don't overlook the use of your camera when compiling your household inventory. Photograph items throughout the rooms and list each item's value and other pertinent information on the back before putting them in your inventory book.

Or use your video camera to go from room to room documenting your possessions. Talk your way through your home describing the item, date of purchase and its cost. Don't forget to video the outside of your home, including the landscaping and outdoor furniture.

Once you've put together your household inventory, store it in a safe place. The best place is probably a safe deposit box. Consider including a copy of your homeowner's insurance policy with the inventory.

Annually, review your homeowner's insurance policy to make sure you are adequately protected against loss. Consider replacement value options. The extra cost may pay for itself in the event of a major loss.

Documenting what you own can be a daunting job, but if you're unfortunate enough to need the information you'll be glad that you took the time to do it.

One of the things I found very useful was the RMAA Personal Continuity Plan which is available on the RMAA web site.

I urge everyone to incorporate the plan into your emergency plan for your personal records as well as your organisation.

Summary of actions:

1. **Keep the name and number of your insurance agent and/or company in a safe place.**
2. **Perform a detailed inventory of household items, including valuables.**
3. **Take photos of particularly valuable items for pre-loss value verification.**
4. **Keep a copy of your insurance policy in a safe place.**
5. **Read your insurance policy carefully, and understand what is and what isn't covered - deductibles, general and specific limits, flood coverage, etc.**
6. **Put vital records in a fireproof safe or safety deposit box, and/or send copies of vital records to a trusted relative or friend in case disaster strikes and you can't get to your home right away.**

The Author

Tony Walker is Manager, Development Services, with the Break O'Day Council on Tasmania's East Coast. (Photographs by T Walker)

NORWEGIAN HEALTH ARCHIVES: A Report on the Keeping of Archives for the Specialised Healthcare Services

By Ivar Fonnes

Last year, the Norwegian Government's Commission on Health-Archives delivered its report, 'NOU:2006-5: Norwegian Health-Archives – last stop for patient records', to the Minister for Health and Welfare. Here, the chairman of that Commission discusses the report and its recommendations for the future of health sector recordkeeping in his country.

From the 1st of January 2002 the Norwegian state took over responsibility for all public hospitals and other public health institutions in the country, which previously had been the responsibility of local and regional authorities.

Public hospitals and related institutions were organised as Hospital Trusts (HT) and each of these consists of one or more hospitals and other related institutions.

The management of Hospital Trusts was given to five independent Regional Health Authorities (RHA), who own the Trusts on behalf of the Government. The Regional Health Authorities also manage contracts with private suppliers of health services - private hospitals and private specialist services, etc - for additional services.

Through this process, normally referred to as the HospitalReform, the state has taken the responsibility for all specialised health services in the country, including both public and private services. A natural consequence of this is that the state also takes responsibility for all records and archives produced in institutions providing health services.

The National Archivist raised the question of health archives when the HospitalReform was being planned by the ministry. This resulted in a decision by the ministry to define Hospital Trusts as public bodies, and as such they must follow the Archive Act of 1991.

In effect, all HTs must adhere to all regulations for Records Management and Archival Management that apply to public offices and shall eventually send their records and archives for preservation at the National Archival Services of Norway (Arkivverket).

One major problem is that the National Archival Services of Norway (NASN) is not prepared to tackle this challenge. The sheer volumes involved for records and archives produced by hospitals, and related institutions, are much larger than there is room for in the NASN. In addition there are many questions related to the production of such records and archives that need clarification and regulation.

Varying forms of ownership for public hospitals and related institutions and how they were organised, in different regions and over time, has led to a diverse provenance of created records and archives. One problem is that much of this material is private and as such is not covered by the Archive Act.

There are no regulations for appraisal of records and archives from the specialised health institutions, and very little of this material has so far been transferred to an archival repository.

In addition, there is today extensive work connected to processes of transferring records and archives to electronic systems. This gives special challenges for ensuring long time preservation of electronic health records.

For many years efforts have been made to establish a

NORWEGIAN HEALTH ARCHIVES:
Continued from page 45

project for analysing issues related to these and other questions related to hospital records and archives. In December, 2004, the Government established a commission to evaluate an archival function for the specialised health sector in Norway.

The commission's members came from the ministries involved - Ministry of Health and Welfare for health issues and Ministry for Culture and Church Affairs for archival issues – and from the health sector, two from Hospital Trusts and the NASN. The author of this article led the work of the commission.

Called the Commission on Health-Archives, it delivered its report to the Minister for Health and Welfare on April 3rd 2006. The report, entitled 'NOU:2006 - 5: Norwegian Health-Archives – last stop for patient records', is regrettably only accessible in Norwegian, at http://www.odin.no/hod/norsk/dok/andre_dok/nou/048001-020007/dok-bn.html.

Records and Archives of Specialist Health Services: Volume, Handling and Use

The Commission located a total of 200,000 shelf metres of material on paper and on film in the specialist health services. Most of this was found in hospitals. In addition they found approximately 10,000 shelf metres of material in archival depots at local or regional authority level and at national level.

The amount of electronic material has not been analysed, but most hospitals - more than 90 - have introduced some sort of Electronic Medical Records (EMR). Electronic materials will be an increasingly larger part of hospital records within the health sector in the coming years.

Patient records dominate the material. In the commission's survey conducted in 2005, it was estimated that there were 175,000 shelf meters of patient records on paper. In comparison there were only 12,500 shelf meters of administrative records.

But the situation is not static. There is a steady growth in the amount of records related to the running of the hospitals and treatment of patients. This growth is mainly due to the introduction of electronic systems for records management and Electronic Medical Records.

Because of this, the amount of paper will diminish year by year. In addition many hospitals have extensive projects for scanning existing paper based patient records to their Electronic Medical Records systems when patients are re-admitted to hospital. The paper based records can then be discarded. This will help reduce the volume of paper based patient records.

Hospital Trusts are starting large processes of re-organising their documentation practices. This will of course create changes in the creation of hospital records in the future. How fast this process of change will be, is difficult to predict.

Depending on the will and ability to achieve change it may go fast and it may go slow. The Commission has based its report on quite uncertain predictions for the development of the different types of materials for the coming years.

Patient records are an important tool for the effective treatment of patients. When patients are re-admitted it is vital that previous records are available for the treating doctor or other hospital personnel.

The relevant records are retrieved from the records storage and scanned, if such routines are implemented (cfr. above). In a survey initiated by the Commission, we found that 14,000 patient records were retrieved every day in Norway. Since not all institutions had answered this question, we suspect that the actual number of patient records retrieved is more than 20,000 every day.

These numbers demonstrate that patient records are quite active material. Every patient record is potentially active for the whole lifespan of a patient. Access to patient records is necessary till the patient is deceased and the records can be reclassified as 'mors records'.

The Commission has therefore concluded that 'mors records' is the primary target for preservation in an archival repository for health records. In addition there might be relevant services related to active patient records.

Appraisal

The question of a new archive for hospital records raises the question of what material should be preserved in the archive and for how long.

The Commission has studied the needs of the hospitals, the rights of patients and next of kin to see their records, administrative and legal issues of documentation, and considered the needs of medical and other scientific research, including medical history, and other research of societal relevance.

The Commission concluded the following.

Administrative records older than 25 years only cover approximately 2,000 shelf metre, and we suggested that they be preserved in their entirety. For administrative records younger than 25 years, and records yet to be created, we proposed that the National Archivist and the Ministry of Health and Welfare establish rules for appraisal.

The Commission proposed that all patient records are to be kept, by the institution that created them, for ten years after the patient is deceased, or for longer if required by regulations in law - for example, when testing medicines.

Beyond that period we proposed that the following records are to be preserved in their entirety:

- all records for patients who have been treated for diseases registered in a National Register;
- all records from patients with rare diseases or rare dysfunctions;
- all records from one specialised hospital (Radiumhospitalet) and two local hospitals (Spitzbergen and Odda);
- all records for patients who died previous to January 1st 1950;
- all records from selected psychiatric wards;

From all records not included in the categories above, the Commission proposed to keep only certain parts - primarily doctors' records and maybe some other records to be discussed. Patient records at general practitioners, it was suggested, would be destroyed 10 years after patients are deceased.

The Commission suggested that a board be established to give advice on questions regarding appraisal of health records.

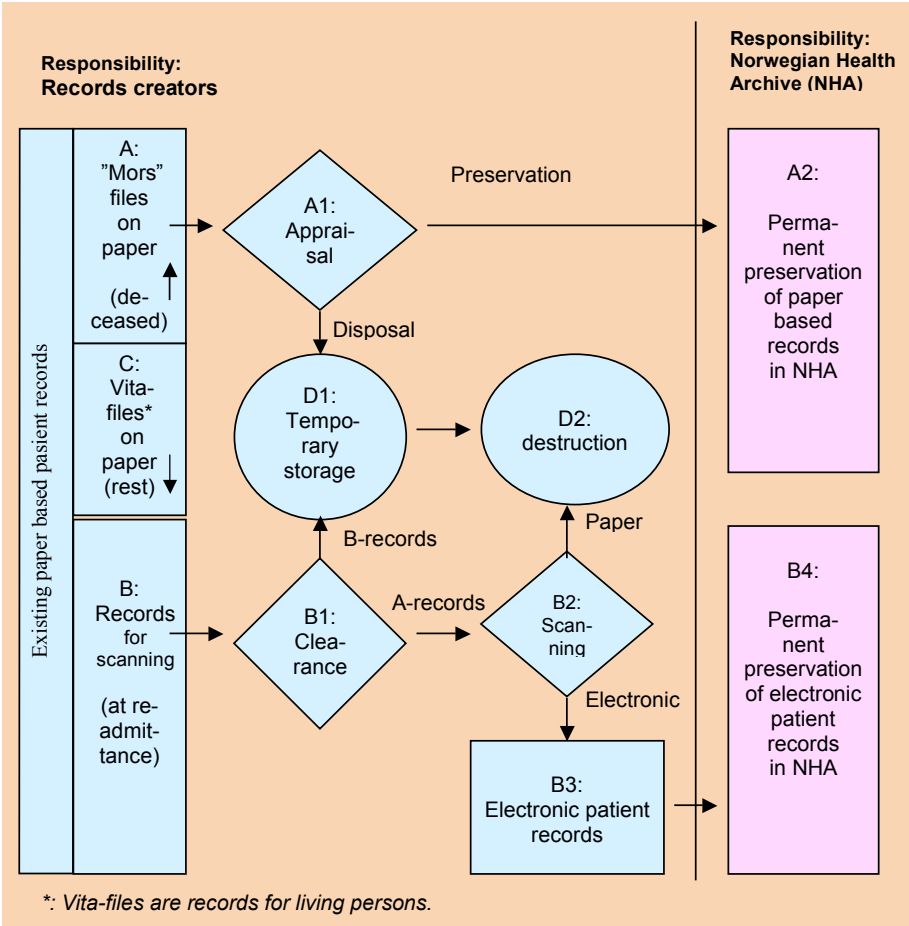
Archival Repositories for Hospital Records

The Commission proposed that administrative records from all Hospital Trusts be sent for preservation at NASN . This material should be treated according to regulations for records and archives from state institutions.

For patient records, the Commission proposed the establishing of a new institution, Norwegian Health Archives (Norsk helsearkiv) (NHA) to function as a specialised archival repository for hospital records. The Norwegian Health Archives should be an integral part of the National Archival Services of Norway.

We also proposed that the new archives should be placed at one location, and it would probably be convenient to locate it together with an existing archival institution.

The Norwegian Health Archives shall receive all hospital records according to the rules for preservation that have been discussed above. All institutions in the specialised health services, both public and private, are obliged to transfer their records to this repository.



Transfer will normally be take place 10 years after the patients are deceased. We proposed a set of regulations which will standardise, and to a large degree automate, the process of transferring both paper-based and electronic hospital records to the repository. This will ensure that the Norwegian Health Archives can handle such large volumes within limited resources.

Archival appraisal and preservation of materials at the Norwegian Health Archives must be seen in relation to the process of re-structuring the hospital sector as described above. The diagram gives an illustration of the total process.

The Commission proposed that the NHA receive 14,000 shelf meters of paper-based records in the period from now until 2015, and an additional 25,000 shelf meters up to 2025.

We suggested that the total amount of paper-based hospital records, at the NHA, will be approximately 30,000 meters. The Commission is unsure what the volume of electronic hospital records will be, but estimates that approximately two terabytes will be transferred per year when all patient records are electronic.

The Commission proposes a staff for the NHA of 14 fulltime employees by 2015, rising to 18 in 2025. The initial investment will probably amount to 8 million NOK (approximately AU$1,600,000).

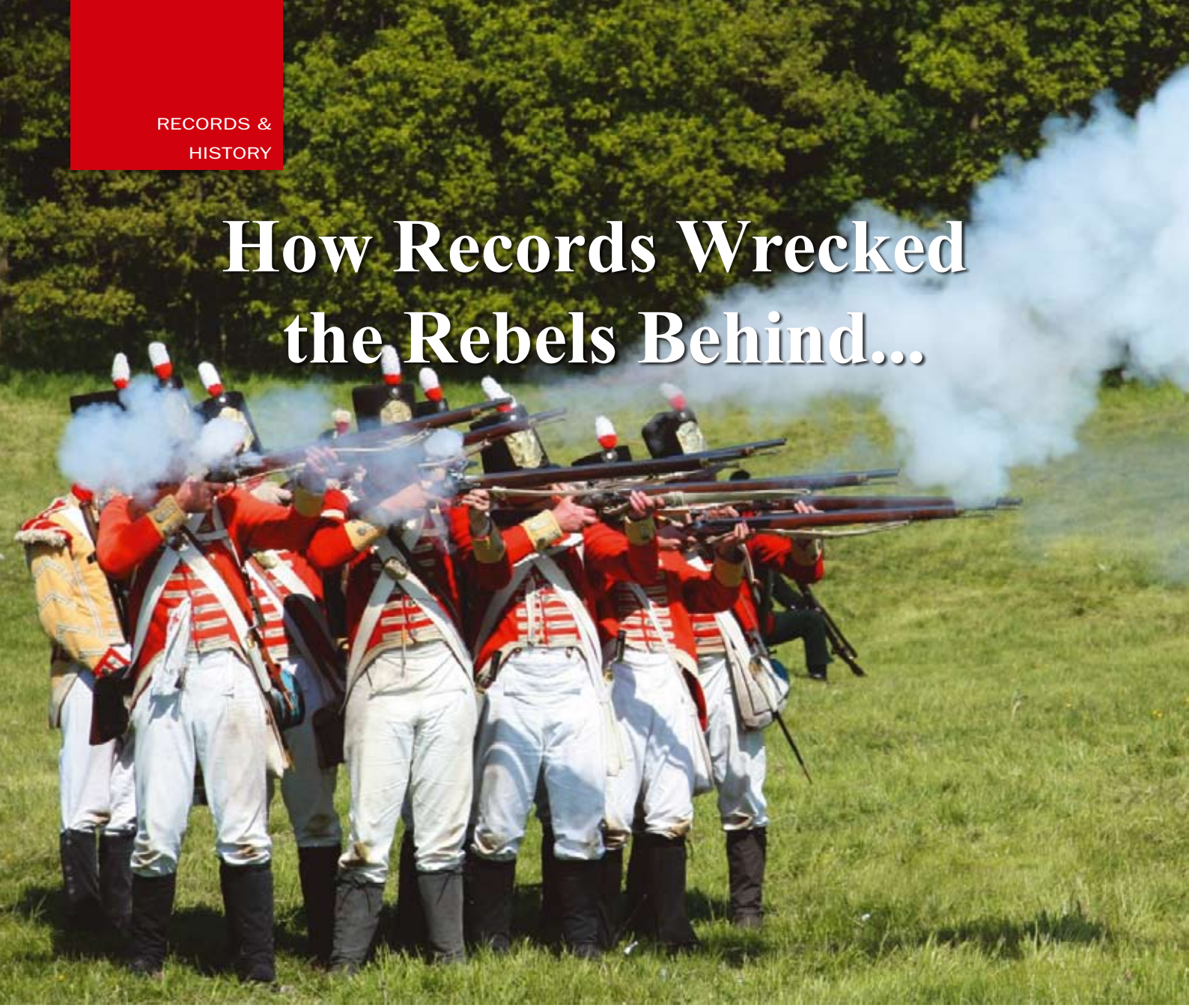
The Author

Ivar Fonnes has been the National Archivist of Norway for the past year. Previously, he was Deputy Director and head of the Division on Modern and Contemporary Records with the National Archives of Norway, a country with a population of 4.7 million people. He was a member of the International Council on Archives' committee on electronic records between 1993 and 2004.

This article first appeared in the May 2007 issue of the *Bulletin*, journal of the Records Management Society of Great Britain, and appears in *IQ* with permission.

NOTE: There are examples today, where hospitals have transferred patient records to archival institutions and retrieve or "borrow" them when needed. The Commission expects that services of this kind will be relevant for a future archival repository for hospital records, and that such an institution should be planned to include services for active patient records. These options are not described in this article.

How Records Wrecked the Rebels Behind...



CAPTAIN BLIGH'S OTHER MUTINY

By Stephen Dando-Collins

January 26 next year brings the 200th anniversary of the day William Bligh of *Bounty* fame was overthrown as Governor of New South Wales in the only military coup in Australia's history, which led to the colony being run as a rebel republic for 2 years. When the rebel leadership was eventually brought to trial in London, it was official records that dramatically destroyed their claim that they had removed Governor Bligh in a patriotic act.

Most of us have heard of the so-called 'Rum Rebellion' of 1808, when the New South Wales Corps deposed William Bligh as Governor of New South Wales. But rum had nothing to do with it, and it wasn't called the Rum Rebellion for 130 years. It was actually a vicious military coup, and records played a key role in the London legal drama that exposed Bligh's overthrow as a greedy grab for power by a junta led by John Macarthur.

'It is illuminating that no contemporary ever spoke of a

"rum rebellion",' says Professor John Ritchie. That title, he says, 'has subsequently been popularised and locked into historical consciousness to a degree that would have puzzled the colonists of 1808.' [1]The Rum Rebellion label actually came from the title of a 1938 book by Dr H V Evatt.

Far from being something of a lark by a rum-soaked soldiery, the 'Great Rebellion' as it was actually called during the nineteenth century, [2]was a well planned military coup.

It led to the colony being controlled by a junta of greedy military officers and former military officers led by John Macarthur that ran Australia like their own republic for 23 months, and locked up Governor Bligh and his daughter. But Bligh would escape, and would bring the coup leaders to court to answer for their crimes.

From the *Bounty* to War Hero

Contrary to the Hollywood portrayals of Captain Bligh, William Bligh was only a thirty-four-year-old lieutenant at the time his protégé Fletcher Christian led a mutiny aboard His Majesty's Armed Vessel *Bounty* in 1789.

The 21 mutineers cast Bligh and 18 loyal crew members adrift into an open boat, expecting them all to die. Against all odds, Bligh made his epic 6,000 kilometre voyage to Timor. Three captured *Bounty* mutineers were subsequently hanged in England.

Bligh went on to build his career, captaining men o' war in bloody Napoleonic sea battles, capturing the enemy flagship in one battle and fighting alongside Admiral Nelson in another major British victory.

In 1805, Sir Joseph Banks convinced the British Government that Bligh was the man to end corruption in the young colony of New South Wales, which then took in half the Australian continent.

Admiral William Bligh, of *Bounty* fame, in 1814, six years after the military coup in Sydney
Picture, Mitchell Library, State Library of New South Wales

Battling the Sydney Cartel

When Bligh arrived in Sydney in August, 1806, it was to find that an officer cartel, led by John Macarthur, former paymaster of the New South Wales Corps, was buying up imports and reselling them to the locals at markups of 500%. They'd also made wine and spirits the colony's currency, buying it cheaply and then putting a much higher value on it.

Governor Bligh made pounds, shillings and pence the currency of the colony, and regulated the distribution and sale of liquor. At a stroke, the power of monopoly was removed from cartel hands. But cartel leader John Macarthur would not lie down. For sixteen months, he and Bligh circled each other like boxers in the ring.

Meanwhile, Bligh's measures made him many friends among those who had previously been exploited by the cartel. 'His interest in the settler population made him immensely popular amongst them,' the Illustrated Sydney News would say of Bligh in 1888.[3]

In December, 1807, when Chief Constable Oakes of Parramatta had attempted to arrest Macarthur in relation to the escape of a convict, Macarthur refused to accept the warrant and sent Oakes packing with a note in which he decried the authority of those who had issued the warrant.

Macarthur was arrested by armed police in Sydney and bailed to appear in court on January 25. With Edward Abbott, a captain in the NSW Corps, and Nicholas Bayly, a former lieutenant with the Corps, Macarthur conceived a plot to create a legal confrontation with the Governor, using himself as bait, creating an excuse for a military coup that would forcibly remove Bligh.

Crazy the plot might be, and doomed to ultimately fail, but the cartel members were just desperate enough, and greedy enough, to try it.

Pulling off a Military Coup

On the evening of January 24, 1808, a dinner at the military barracks brought all officers of the Corps into the plot and cemented the loyalty of waverers, with each assigned his role in the coup.

Macarthur had engineered a financial dispute with Judge Advocate Richard Atkins, and when he appeared in court on January 25 before a bench made up of the Judge Advocate and 6 officers of the NSW Corps, Macarthur claimed the Judge Advocate could not be expected to treat him fairly because of their dispute, and demanded his replacement. The Corps officers on the bench backed Macarthur.

After Judge Advocate Atkins stormed off to Government House to tell Governor Bligh what had occurred, Bligh wrote to the officers of the court telling them he could not replace Atkins as London was responsible for his appointment. The officers illegally released Macarthur. So, next day, January 26, Bligh had Macarthur arrested and lodged in the County Jail.

In the late afternoon of January 26, Major George Johnston, Sydney commandant of the Corps, had Macarthur illegally released

HOW RECORDS WRECKED THE REBELS BEHIND CAPTAIN BLIGH'S OTHER MUTINY: Continued from page 49

from jail and brought to the barracks, where the military officers were joined by half a dozen civilian members of the junta including Nicholas Bayly.

Just after 6.00 pm, the drums of the Corps rolled, calling the troops to arms; cannon were loaded, and aimed at Government House. Even as 300 soldiers were marching on Government House from the barracks with the Corps' drum and fife band playing 'The British Grenadiers', 29 men of the Governor's Guard, Governor Bligh's bodyguard, were forcing their way into Government House, pushing aside unarmed magistrates and the chief of police when they tried to stop them.

After more than an hour of searching, Governor Bligh was found hiding upstairs – not under a bed as later claimed, but behind it. He had been ripping up secret government documents and planning to escape to the Hawkesbury and raise a militia force to counter the rebels.

Once Bligh and his daughter Mary were aboard the ship, Bligh took command; instead of heading for England as he'd promised, Bligh sailed the *Porpoise* to Hobart, in Van Diemens' Land, today's Tasmania, to rally support.

But when the local commander, Lieutenant-Colonel David Collins, suddenly went over to the rebels, Bligh was forced to blockade the Derwent River for ten months, seizing food and dispatches from passing ships as he waited for a relief force from England.

When Bligh sailed the *Porpoise* back into Sydney Harbour in January, 1810, he found that London had sent out Colonel Lachlan Macquarie with the 73rd Regiment to arrest Macarthur and Johnston – who evaded arrest by sailing for England – and to send home the disgraced NSW Corps.

Macquarie also had orders to reinstate Bligh for a day and then replace him as Governor to allow Bligh to return to England to prosecute the rebel ringleaders.

"The Great Rebellion, as it was actually called, was a well planned military coup"

Bligh and his feisty 26-year-old widowed daughter Mary Putland – who had been acting as his 'first lady' in the colony because his wife Betsy was too ill to travel to Australia – would be kept under house arrest at Government House for the next 12 months.

Meanwhile, Major Johnston created a new position, Secretary to the Colony, appointing John Macarthur to fill it, then withdrew to his farm. For the next six months, Macarthur ruled the colony as its dictator, replacing all senior government officials with rebel cronies.

Macarthur interrogated all Bligh's officials and set up kangaroo courts, sending some Bligh loyalist in chains to the underground coal mines at Newcastle. Macarthur then proceeded to grant land, government cattle, government stores, and convict labour to his favourites.

Ordinary settlers held secret resistance meetings and wrote letters of protest. Hawkesbury settler John Turnbull, ancestor of present day politician Malcolm Turnbull, named his newborn son William Bligh Turnbull in support of the Governor. Other settlers did the same.[4]

Six months later, Lieutenant-Colonel Joseph Foveaux arrived in Sydney, en route to Norfolk Island. Ignoring Bligh's request to release and reinstate him, Foveaux took charge in Sydney, dismissed Macarthur, and became the new leader of this rebel 'republic' – as imprisoned Bligh supporter Sir Henry Brown Hayes called it.[5]

The unstable Foveaux proved to be even more corrupt and vicious than Macarthur, carving up the spoils, and persecuting supporters of Governor Bligh, some of whom were prepared to go to jail rather than desert Bligh – with Foveaux happy to oblige.

In February, 1809, Foveaux locked Governor Bligh and his daughter in a two-roomed hut for a week to force Bligh into an agreement to return to England aboard the warship HMS *Porpoise*.

The London Trial

In May, 1811, a court martial was convened in London to try Johnston – whom London had unwittingly promoted to Lieutenant-Colonel while he was still in Australia - for leading the NSW Corps to mutiny in 1808. But it was really Bligh and Macarthur who were on trial here.

The court of fifteen generals and colonels was presided over by Britain's Judge Advocate General. Captain Bligh conducted the Prosecution, aided by a brilliant young lawyer. A counsel representing the Crown also questioned witnesses. Johnston was represented by two attorneys.

The witnesses for the Prosecution clearly established how the coup had been carried out, and the brutal and illegal actions of the NSW Corps. And it was quickly established that the action of the 6 Corps officers in rejecting Judge Advocate Atkins from Macarthur's trial, the catalyst for the coup, had been illegal.

In cross-examination, the Defence showed that Bligh had a short temper and a proclivity to use rough, quarterdeck language. They also set out to prove that Bligh had acted tyrannically by interfering in the running of the courts and by ordering the pulling down of settler's houses and plundering the colony.

When John Macarthur took the stand he was continually censured by the Judge Advocate General and even by the Defence counsel for failing to answer questions put to him. Increasingly under pressure, Macarthur had to correct himself time and again. And then, to the astonishment of everyone present, he confessed that the coup had been all about his personal war with the Governor.

Macarthur's testimony, far from helpful to the Defence, was a turning point in the trial. Step by step, the Prosecution and the Crown were able to counter each Defence claim – far from pulling

down houses, for example, it was shown that Bligh had exchanged freehold land for expired short-term leases and helped settlers relocate to their new properties. And, duty-driven, he had never shown an interest in personal gain.

The Wrecking Role of Records

After several Defence witness claimed that Bligh had demanded that 7 escaped convicts be tried a second time after they had been found not guilty, the Prosecution produced a copy of the Sydney *Gazette* which showed the men had been tried on two different charges – of stealing a boat, and of attempting to escape. They had been exonerated of the first charge but convicted on the second.

When the Defence protested that the Governor could print whatever he liked in the *Gazette*, the Prosecution produced the actual court records from the cases, which verified the *Gazette* report.

Then there was the claim by Captain Anthony Fenn Kemp that Governor Bligh had berated him for delivering a particular verdict in a court case in which Kemp had presided. Kemp said that Lieutenant-Colonel William Paterson had been present at the time.

The thorough Bligh had brought trunks full of records back from New South Wales for the rebel trials, and, following Kemp's claim, Bligh and his attorney waded through the records night after night. Several days later, the Crown's counsel recalled Captain Kemp to the stand.

The Crown then produced an official record located by Bligh which proved that Colonel Paterson had been in Van Diemen's Land at the time Kemp said he had witnessed Bligh's supposed outburst in Sydney.

Kemp then tried to wriggle out of a charge of perjury by claiming this event must have taken place at another time, involving another case, a claim ridiculed by the Judge Advocate General.

NSW Corps Surgeon John Harris, in his evidence, claimed that Governor Bligh had upset settlers by proclaiming that stray dogs were liable to be shot. The Prosecution then embarrassed Harris by showing him a record of an advertisement which he himself had placed in the Gazette announcing that stray dogs found on his own land would be shot.

But it was the affair of the 21-gun salute in which records most effectively destroyed Johnston's defence. Governor Bligh and his commissary-general both testified that the NSW Corps had celebrated Bligh's removal by firing a 21-gun salute on January 27, the day after the coup.

It was important to Johnston's case that it be shown he and Macarthur had deposed Bligh for the most sober, selfless and patriotic motives. To mark the Governor's removal with a 21-gun salute, which was reserved for royalty, suggested an assumption of power and a mood of celebration contrary to such motives. Accordingly, every NSW Corps officer testified that no such salute had been fired on the 27th or any other day.

When Lieutenant William Minchin, the Corps' artillery officer, fervently repeated this claim, the Prosecution produced gasps from the packed public gallery by presenting Minchin with the day book of Sydney's government storekeeper for January 27, 1808, and reading aloud an entry for that day: 'Government use, 84 lbs. Gunpowder, Royal salute on account of Major Johnston taking the government of the colony.'

The record made a liar of Minchin, and of Johnston and all the other Defence witnesses who had claimed the salute had not been fired.

The Outcome

With his defence in ruins, Johnston was quickly found guilty of leading a mutiny. But the court merely sentenced him to be dishonourably discharged from the army. Realising that the army was reluctant to punish army officers involved in a mutiny against a navy man, and with Britain at war with Napoleon, the government dropped all further military prosecutions.

Bligh was retrospectively made an admiral, and the whole affair was brushed under the carpet. But the government was not inclined to excuse John Macarthur for plotting and leading the coup – he was to be arrested and put on trial for High Treason the moment he stepped back on New South Wales soil.

So Macarthur remained in England in self-imposed exile for another 6 years, while his wife Elizabeth ably ran his wool and shipping businesses back in New South Wales and supported him financially.

By 1817, Britain's government had changed, and Macarthur was allowed to return to NSW on condition that he stay out of public life. That same year, Admiral William Bligh died in London, from cancer.

While the Johnston court martial was the only trial stemming from the Sydney coup of 1808, Johnston's conviction, made certain by the use of records of the day, had ruined not only his career and Bligh's career but also those of other NSW Corps officers, many of whom resigned from the army following Johnston's conviction.

As for creator of the coup, John Macarthur, he had been declared legally insane by the time he died in 1834.

The Author

Stephen Dando-Collins is the author of 'Captain Bligh's Other Mutiny: The True Story of the Military Coup that Turned Australia into a Two-Year Rebel Republic', published last month in Australia and New Zealand by Random House. He is also the author of a number of other books on Roman and American history published around the world.

Photograph by Ian Richardson, courtesy Launceston *Examiner*.

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24th RMAA International Convention in Review

By Mike Steemson, ARMA

The international convention neophytes were enthralled; the old hands were impressed; the visitors from across the Pacific were intrigued and gratified. This was the RMAA's first annual convention outside Australia, in Wellington's Michael Fowler Centre concert hall in September.

It was smaller than some past RMAA Conventions, but beautiful. From the dramatic Mâori welcome ceremony and RMAA President Kemal Hasandedic's moving "We are here in friendship, faith and peace" response, to the hilarious 'RM Standards are Bunk!' closing debate.

And it earned compliments like the impulsive, "It's the best planned RMAA programme I've seen," from National Archives of Australia's Director, Strategic Relations, Adrian Cunningham, as he received congratulations for his incisive paper on harmonisation of recordkeeping standards across Australasia.

Adrian remarked: "So many of the speakers have been referring to each others presentations. The programme has a structure and flow to it. It's the best planned RMAA programme I've seen."

Those linkages had been identifiable from the first keynote, international ethicist, New Zealander Jeremy Pope, setting the convention scene and theme with his International Ethics for Records Managers paper using his own life work for 'transparent government' as a case study.

He called attention to the scheduled presentations by Wellington investigative journalist, Nicky Hager, who would challenge delegates with the dilemmas they could face when directed to dispose of records they know to be sensitive; to International Records Management Trust's Australian consultant Michael Hoyle's revelations on recordkeeping in Africa; and

University of Maryland curator Tom Connors' disclosures on the "increasing politicisation of government information in the United States and what this means for records professionals."

Others followed throughout the three days of 'Influence with Integrity' debate and discussion applied to the community, the organization and the profession.

A Lot to Think About

New delegates were delighted. Molly Kino, Senior Records Officer for Te Puni Kôkiri, the New Zealand Ministry of Mâori Affairs, at her first RMAA convention, commented, "It's the first time I've heard Mâori and non-Mâori records matters and technology discussed together in an international arena," said Molly.

She highlighted the papers of lecturer Hinureina Mangan, the Director of a Maori degree programme in Information Management at the Maori language tertiary institution, Te Wanaga o Raukawa, and the Auckland Museum's Tumuaki (Director) Mâori, Dr Paul Tapsell, pointing up the special challenges and values of records as taonga (treasure) to Mâori.

"They gave us much to think about." Molly remarked. "Their words created much conversation afterwards, especially with Australians who talked about the Aborigines and how staunch Mâori are in preserving their treasurers and gifts.

"My colleagues and I are preparing a presentation for work on what we brought from the convention, especially concerning our big challenges like the management of tribal records, the ownership of the information."

An Australian convention regular, National Offshore Petroleum Safety Authority (NOPSA) Information Officer, Natalie Goodban, was especially glad of the Day Three Change Management for Records

Managers presentation by Christchurch consultant Sarah Heal.

"We're going through such a programme at work and her emphasis on motivation, contingency planning and the rest was really useful. I shall be taking a lot of it home with me," Natalie said. And she added: "And I really love Wellington. What a great little city. It really showed itself off for us this week."

The sun had shone all week, the traditional 'Windy Wellington' had been calm and balmy, and the city had flowered in early Spring splendour.

Value for PNG SIG

Papua New Guinea special interest group President, Jason Korni, was planning to take a big bag of ideas and instructions back to his island-nation colleagues in the new Records and Archives Management Association (RAMA), formed with RMAA backing earlier this year.

"I've got to tell the group what I have learned here, how valuable this has been to the RAMA and whole recordkeeping community in PNG," said Jason.

Convention highlights for Jason were Archives New Zealand Government Recordkeeping Programme Manager Evelyn Wareham's Getting Pacific Leaders to Listen paper, and the protocols for digitising indigenous materials dissertation by the University of Technology, Sydney, Director of the Jumbunna Indigenous House of Learning, Dr Martin Nakata.

Jason paid special tribute to the moving address by Auckland Museum's Dr Tapsell, on the museums treasured collection of M□ori cultural artefacts and the database of their records. Jason said: "We must do something similar to that in PNG. We are in danger of losing much of our history and culture unless we learn from this."

University of South Africa (UNISA) records management boss, Ngwanaphalama ("It means 'little springbok', but I'm 'Margaret', too, if that's easier") More was "honoured by the invitation to attend the RMAA convention and to speak".

The pleasure was reciprocated as delegates heard her cheerful, determined approach to building records management processes for the university's administration and 250,000 distance learning student.

As previously reported in *IQ,* the university gave her 35 million Rands (AU$7 million) to do the five-year job. Later, the institution's ICT department put up another five million Rands but, Ngwanaphalama revealed, "they wanted to take control of project direction, making decision on which technology to buy and deploy before the business requirement are defined".

Margaret had to put her foot down, but she kept the ICT funds. The delegates loved that thought.

Adelaidians, looking ahead to the RMAA Convention in 2009, the year the UNISA project should be completing, went into a planning huddle with the South African.

Another RMAA convention tyro, Diana Sevakasiga-Riley, a records advisor for the New Zealand Civil Aviation Authority, was inspired by the paper from U.K. National Archives Chief Executive, Natalie Ceeney, the diminutive Keeper of Public Records, who highlighted the role of a national archives in the 21st Century, arguing that "the pure focus on records management and historical archiving is no longer going to be sufficient".

Diana enthused: "Wouldn't you want to work for her? She'd pick you up and take you with her. She was tremendous."

Diana loved the convention exhibition, too. "It's brilliant. I've never seen many of the products. Here you can get the look and feel of them without the pressure from the sales people." She's determined to get to next year's event.

Left to Right from top: **Adrian Cunningham**, **Molly Kino**, **Natalie Goodban**, **Jason Korni**, **Diana Sevakasiga-Riley**, **Leanne MacTaggart**, & **Billy Michels**

Convention Snapshots

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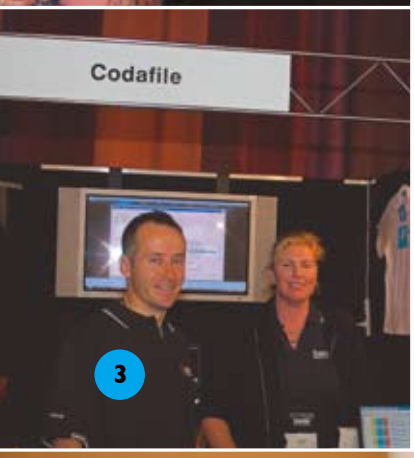

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1. ARANZ President **Joanne Newman**, Chief Executive of Archives New Zealand **Dianne Macaskill**, & RMAA NZ Branch President **Julia Harris** 2. SA's **Helen Onopko** & RMAA National Director **Chris Colwell** 3. Codafile's **Alan Pratt** & **Lesley Fitton** 4. South African guest speaker **Margaret More** with **Janita Stuart** 5. US keynote speaker **Lori Ann Wagner** 6. Speaker **Sarah Heal**, of ILC, Christchurch 7. RMAA National Vice President **David Pryde** & partner **Paula** 8. Great Debate team against the proposition that 'RM Standards are Bunk', Washington DC law firm chairman **Jonathan Redgrave**, **John Roberts**, Archives New Zealand, & Associate Professor **Liddy Nevile**, La Trobe University, Vic 9. RMAA National Directors **Anastasia Govan**, NT, & **Donna-Maree Findlay**, WA 10. The busy Vendors Exhibition

24th RMAA INTERNATIONALCONVENTION IN REVIEW:
Continued from page 53

Vendors' Pleasure

Vendors enjoyed the Wellington show, too. Regional Manager for Avand (NZ) Ltd., Leanne MacTaggart, said the company had achieved what it set out to do and had got good value from the 'vendor sessions', the facility each exhibitor was given to promote products in a theatre environment.

"We've had really positive responses," Leanne said. "We presented to a small number but they were in the market. This is one of the better run New Zealand conferences we've attended. I congratulate the organisers." She laughingly declined to name other NZ events Avand had attended recently.

The Convention was not all serious study. The two engaging, dynamic US intellectual property attorneys, Jonathan Redgrave and Lori Ann Wagner, who later took a couple of RMAA Australia-based post-convention seminars by storm, each gave exciting presentations on e-records litigation and management, and lead the 'Records Management Standards are Bunk!' debate, the convention's hugely popular finale.

Jonathan's team listed ten good reasons why standards were imperative. Lori and her crew demonstrated the perfect sense of the proposition. They were aided, highly amusingly by unquestionably-male Waikato information technologist, Billy Michels, with an apocryphal tale (it was apocryphal, wasn't it, Billy?) of his lost opportunities as a high-flying female athlete because of a records muddle … which seemed rather to deny the proposition than support it, but caused a good deal of hilarity.

The Author

Mike Steemson, ARMA was Chairman of the Wellington Convention Organising Committee. He is also an *IQ* contributing editor and a member of the journal's Editorial Board.

Sydney Here we Come

Molly Kino from NZMMA was so eager to get herself and her staff to next year's RMAA Convention, the Silver Jubilee Convention in Sydney (September 7 to 10, 2008), that she brought her boss along to ensure his approval of budget allowance.

We'll see her, and you, there.

J Eddis Linton Awards 2007

The winners of the 2007 RMAA Excellence Awards were announced at the Association's International Convention in Wellington, New Zealand, in September.

RMAA National President Kemal Hasandedic commented, at the awards ceremony, "The unprecedented amount and outstanding quality of entries this year demonstrates the good work being done in the industry. The individual, group and article-winning awards have all demonstrated a clear understanding of the central role records and information management plays in the success of an organisation, and the ways in which it can contribute to society."

And the winners were…

OUTSTANDING INDIVIDUAL – BARBARA REED

A well known international identity with more than 20 years experience in consulting, working with IT specialists and management consultants, Barbara Reed has worked for clients in private industry, all tiers of government and non-profit organisations.

In the judges' view, Barbara's greatest contribution to the profession as a whole has been through her standards work for academic research.

OUTSTANDING STUDENT – NATALIE GOODBAN

Natalie Goodban completed her Masters in Information Management at Curtin University, WA in December, 2006. Whilst studying, Natalie worked in the RIM industry in a variety of roles local government, federal government, and private enterprise, further developing her practical knowledge and implementing her learnings.

In her 'visions of records management statement', Natalie remarked, "The future direction of records management will require greater involvement in staff training, facilitating and problem solving, educating the end users to better use the systems developed.

"This should be seen as a strategic investment, for as the user errors reduce and the systems operate properly more time becomes available for the records manager to devote to process development and measuring the value of business intelligence."

Left: Individual Award winner, **Barbara Reed**. Top right: Student award winner **Natalie Goodban**. Bottom right: **Kirsten Thorpe** collects the Group Award on behalf of the Government Recordkeeping Branch of SRA NSW.

OUTSTANDING GROUP – GOVERNMENT RECORDKEEPING BRANCH, STATE RECORDS AUTHORITY OF NEW SOUTH WALES

The Government Recordkeeping programme of SRA NSW was formed in 1998 with the amalgamation of the Records Management Office and the Disposal Services section of the Archives Office of NSW.

The Government Recordkeeping Branch was instrumental in the drafting and implementation of the NSW State Records Act 1998, legislation which has demonstrably improved the state of recordkeeping in the NSW public sector. Elements of the NSW model have been used as the model in other Australian jurisdictions – for example, the Standard on the Physical Storage of State records, the NRKMS (New South Wales Recordkeeping Metadata Standard), and the Standard on Full and Accurate records.

The Branch's NSW Government Recordkeeping Manual has provided the compendium of standards and guidance for the NSW public sector, and the Government Recordkeeping Branch has produced a range of material to assist public sector organisations implement the State Records Act and manage their obligations under the act.

Jim Shepherd Award 2007

This year's winner of the Jim Shepherd award is Recall Australasia.

The Award was introduced in 2004 to recognise the contribution of vendors to the RM industry and to acknowledge their ongoing support of the RMAA.

Recall have staked a claim as one of the most visible and consistent vendors at RMAA International Conventions, have been regular contributors at RMAA branch level both through sponsorship and through the support of their staff's involvement in the Association, and have been longtime supporters of *IQ*.

It took a team to win the award, and it took a team to collect it. Representing Recall at the Awards presentations were, left to right, **Stephen Beighton**, **Ken Shields**, **Ivor Cencic**, **Gavin Thwaites**, and **Peter Turner**

Information Studies @ Curtin Wins 2007 Carrick Award

The Carrick Institute, launched in Perth in WA in 2004 as an initiative of the Australian government, Department of Education Science and Training (DEST), was named for Sir John Carrick KCMG, Commonwealth Minister for Education between 1975 and 1979. Amongst its many activities is the national Carrick Citation for Outstanding Contribution to Student Learning.

This year, Information Studies @ Curtin University received the award for enhancing student learning in Information Studies via flexible learning environments. The Curtin Information Studies programme, inaugurated in 1971, covers records management, archives, librarianship, and knowledge management.

At the award presentation, Left to right: **Professor Richard Johnstone**, Carrick ED, **Dr Kerry Smith**, **Dr Margaret Pember**, **Christine Richardson**

Kiwi Case Study Wins Objective RMAA Article of the Year Award

It was perhaps appropriate that an article by a pair of New Zealand authors won the 2006-2007 Objective RMAA Article of the Year Award, which was presented at the Wellington, New Zealand International Convention of the RMAA in September.

Left: Accepting the award, **Trish O'Kane**, on behalf of **Kerri Siatiras**, and co-author **Amanda Cossham**, with Objective Corporation executive **Katrina Hinton**
Above: Co-author **Kerri Siatiras**

The award, inaugurated by the RMAA in 2004 and sponsored since its inception by the Objective Corporation, honours the best article to appear in an RMAA publication. This includes *IQ* and the now online publication *iRMA*.

A judging panel made up of a representative of the Objective Corporation, the RMAA, and the Editor of *IQ,* considers all articles by RMAA members, including corporate members, that appear in *IQ* and *iRMA* between November and October.

The judges look for articles that show the authors' thorough grasp of their subject and displays a talent for communication.

This year, the award went to Amanda Cossham of Wellington and Kerry Siatiras of Auckland for their case study, DEVELOPING A SECTOR-WIDE DISPOSAL AUTHORITY, A District Health Boards of New Zealand Case Study, published in the May 2007 issue of *IQ*.

The judges would have liked to have found an article which combined the ability to engage the reader while at the same time imparting valuable information, as was the case with last year's winning entry by Elizabeth Wheeler. While several of the shortlisted articles were lively in their presentation, they lacked the depth of research that would have made them a winner.

In the end, the judges felt that the article by Cossham and Siatiras competently told an important story, and that their article has armed their colleagues in the industry with a case study which they can draw upon.

As there were 2 winners, each received $200 Red Balloon Days experience vouchers courtesy of Objective Corporation.

Objective

RMAA Article of the Year AWARD

The Shortlist

Articles shortlisted for this year's Objective Award were:

THE POLITICS OF CHANGE: Why RIMs Can No Longer be Organisational Hermits. David Horne, ARMA, NSW, Nov 2006.

TAKING OUR RM KNOWLEDGE TO ASIA, Geoff Smith. ARMA, NSW, Nov 2006.

HOW A FORMER RESTAURANT MANAGER IS CHANGING SOUTH AFRICAN UNIVERSITY RECORDS MANAGEMENT, Mike Steemson, ARMA, NZ, Nov 2006.

THE HUNTER MODEL: How 7 Hunter valley Councils & TAFE NSW Combined to Create a Successful RM Training Package, Matt Ryan and Peter A Smith, ARMA, NSW, Feb 2007.

TODAY'S RIM STUDENTS & THEIR ATTITUDES, Dr Margaret Pember, FRMA, WA, Feb 2007.

WELCOME TO MY NIGHTMARE: The Paperless Office of 2020. Geoff Smith, ARMA, NSW, May 2007.

DEVELOPING A SECTOR-WIDE DISPOSAL AUTHORITY: A District Health Boards of New Zealand Case Study. Amanda Cossham, ARMA and Kerry Siatiras, ARMA, NZ, May 2007.

PACIFIC SIG'S FIRST PROFOUND SPLASHES IN THE INTERNATIONAL POND. David Pryde, MRMA, NZ, August 2007.

FINDING A FIT, EDRMS & YOUR ORGANISATION: Enhancements, Consolidations & Beyond, Jonathan Whiting, QLD, August 2007.

All articles by RMAA members that appear in *IQ* or are published online in *iRMA* automatically become eligible for next year's award. Refereed articles earn academic points, and all published articles earn their RMAA authors CPD points. So, put on your thinking cap, and start writing.

RMAA Snapshot:

The People Who Help Make Us Tick.

Anastasia Govan

New Northern Territory Branch President and RMAA National Director

Anastasia Govan holds a Bachelor of Arts in Information Management and a Graduate Diploma of Management. Ana was awarded National Young Professional of the Year 2006 by Professions Australia, was a finalist in the 2005 NT Australian Institute of Management Young Manager of the Year awards, and was named by *BRW* magazine as one of the leading female IT Executives in Australia in 2006. She holds National Board positions with several organisations including RMAA, Australian Computer Society, NT IT Industry Development Group and IT Cadets.

Ana is a part owner, Director and consulting partner with Whitehorse Strategic Group, an Australian management consulting practice with significant international experience and well established reputation in government and industry. She is also the Managing Director of Inforg Information Solutions – a company specialising in scanning hardware and software for the Top End including TRIM and Ezescan.

Ana has over 12 years of experience managing information with private and public sector organisations in Australia and Japan, including Manager Planning & Development with Department Health & Community Services, Project Manager EDMS for the Northern Territory's Power & Water Corporation and Department of Health, Manager of Technology & Development with Northern Territory Library, lecturer and Knowledge Management coordinator with Charles Darwin University, consultant to State Library Victoria and Australia Japan Foundation Library in Tokyo. Ana is also a regular speaker for Ark Conference Group in Sydney.

Recent projects include EDMS and TRIM v 6 business cases and implementation Project Management, disposal schedule scoping, IT architecture recommendations and procurement recommendations for Department Health and Community Services, Northern Land Council, Batchelor College, Northern Territory Archive Service, NT Library and the State Library of Victoria, and research with Charles Darwin University and the National Institute of Informatics, Tokyo.

TRUE CONFESSIONS

IQ asked Anastasia some personal questions:

A little known fact about you? My Hash House Harriers name – Vicious Circle. The story behind this isn't quite fitting for a professional journal!!

The name by which your friends call you? Ana is safe, but my niece and nephew call me Aunty Annie! Brothers arghhhh!!

How long have you lived in the Top End? It's coming up to surviving 13 buildups – as you're reading this l'm probably melting off my lounge suite right now.

How did you get started in the industry? I graduated as a Librarian with the first paid job being to audit a law firms information resources and organise them for optimum retrieval.

Word that best describes you? Manic is a bit harsh, so l'll say hyperactive.

The thing you like best about your job? I can't restrain myself to just one thing – working for yourself provides freedom, control, travel, variety and choice… Oh, l forgot money.

The thing you least like about your job? Client deadlines when l'm not inspired by the job at hand.

The most important lesson you've learned? Not everyone thinks like me (thankfully we're not all ENTJ's).

Your motto for life? Just do it – now is better than any other time.

The book that has influenced you most? I read a mountain of fiction and non fiction every year, so the most recent book that touched my soul would be The Shadow of the Wind by Carlos Ruiz Zafón.

Your favourite movie/s? Roger Rabbit and Gone with the Wind.

Your favourite singing artist/s? Nick Cave, before he sang a duet and pummeled Kylie Minogue with a rock.

Your favourite restaurant, or favourite dining experience? Sushi or steak and a bottle of white wine with partner Paul debriefing on the week's activities at an outdoor location.

Your favourite holiday spot? Italy – l could spend years there.

Your favourite way to spend free time? Reading or shopping for shoes – probably one of the few two things l haven't tried to do simultaneously!

The vehicle you drive? Subaru Impreza (my baby along with my dingo x Narla).

The vehicle you would like to drive? Nissan 350Z – just on Sundays though.

Your business philosophy? Deliver a value added and ethical service to the client – if it doesn't feel right then it's not.

Your personal measurement of success? I'm pretty hard on myself so not being stressed to achieve an outcome.

Your plans for the RMAA in the NT? We're a small, tight knit but active community in the NT with significant skill shortages. Due to this and being involved in so many organisations related to the Information industries l would like to provide opportunities to bring those in the information industries (IT, records, archives and Libraries) and different sectors (government, education, private) together to understand each others strengths and weaknesses and leverage each others resources.

Your secret dream/ambition? Drive my Subi in the Dakar Rally.

All the Answers to Document Collaboration?

Increasing uptake of Electronic Document and Records Management Systems (EDRMS) in recent years has increased organisational ability to manage, and leverage value from, documents – and particularly electronic documents. The natural progression is the ability of individuals to collaborate with document creation and use, especially between the organisation and its external partners, contractors, consultants and other stakeholders. However, due to various constraints, document collaboration can be onerous and taxing, much more than it potentially can and should be.

At a Glance

Title: Document Collaboration: Linking people, process, and content. A Technology evaluation and comparison report.
Editors: Sarah Burnett, Sue Clarke, Richard Edwards, Roy Illsley
Published by: © The Butler Group, 2006
Reviewer's view at a glance: 'Extremely readable… A valuable contribution to information management literature.'
Availability: Butler Direct Limited, www.butlergroup.com

The Butler Group Technology Evaluation and Comparison Report on Document Collaboration (the Report) is designed to assist information management and information technology practitioners, as well as executive management, understand how the organisation can best leverage available technology and products.

Completed in December 2006, the Report provides a comprehensive review of the rationale for document collaboration; technology and technological features and requirements; an analysis of the current market, market drivers, and potential market directions; a matrix of features diagrams of product capabilities and lifecycle ratings; vendor comparisons; a technology audit and overview of the technological 'families'; and culminates with 22 profiles of product vendors.

Using research data, interviews, and hands-on product evaluation, the Report's UK authors set out to provide professionals, decision makers and executive management with 'information, knowledge and insight' to consider the best solutions to their document collaboration requirements.

Throughout the Report, textual subsections have three headings; Catalyst, Summary, and Analysis. The Catalyst imparts a brief précis of the factors that – sometimes uniquely, although mostly grouped together – dictate the need for the analysis contained in that subsection. The Summary is in point form, making it very easy to identify the salient points. The Analysis is in significant depth. The logical arrangement of Catalyst, Summary, and Analysis makes the report extremely readable for a perusal of the highlights, a full and in-depth reading, or for a quick refresh of a particular section or aspect in review after a full reading. Vendor and product contact details are also provided, and there is a comprehensive glossary of 184 entries.

Section 1, is a comprehensive Management Summary that includes synopsis of Key Points, Business and Market Issues, Technology, performance Ratings and Market adoption. Section 2 provides a setting for document collaboration, examining the business issues that require consideration such as costs, risks and rewards, and vertical issues such as profitability, market share, service delivery and customer satisfaction.

Focusing on technology features, Section 3 considers three areas. "Document Collaboration Infrastructures' deals with the support required for interaction between multiple platforms and repositories, storage mechanisms, and the balance between storage mechanisms. The conflict between storing documents in XML - the most accepted format for electronic exchange - and regulations that require the retention of the original record, is viewed as a critical factor, as is the need for intricate and multifaceted security protocols as well as complete and sound policy considerations.

The final portion of Section 3 imparts that the value of collaboration is in the end product; collaboration tools 'must encourage and support high value transactions and the sharing of commercially valuable and sensitive information'.

The Butler Group believes that document authoring tools, including wikis and blogs, must provide control and interoperability as well as providing alerting and notification services that recognise the context of documents, workspaces, and various activities. The perception of the paper document must be relinquished; the organisation must recognize that system responsibility and administration should rest with the business unit rather than the IT area. As with the idea of the original record, the Butler Group believes that compliance requirements for document management and fully auditable transactions over the document lifecycle are a significant hurdle to be overcome.

The Report reviews and analyses Architectures, Models, Standards, and Strategies in Section 4. The first point made in this section is one that seems obvious, but may not always be undertaken in practice: 'Document Collaboration technologies, products, solutions, and services must be considered in the light of business requirements and not market perception of user expectation.'

The Butler Group favours a more technologically simple solution that will be adopted more readily to technologies requiring a high level of user involvement, due to ongoing training requirements, high levels of supporting technology, and costly and encumbering maintenance that throws further burden onto often limited IT staff. With the ubiquitous presence of Microsoft, their solutions tend to be the market leader as users already have familiarity making the learning curve less traumatic, updates and patches are readily available and applications are already maintained within the Standard Operating Environment (SOE).

Section 4 also examines the increasing availability of Rich Internet Applications (RIA's) which offer Web-based Document Collaboration solutions increasing speed and simplifying change management. While

Web 2.0 Document Collaboration solutions are in their infancy, some of the providers testing the market may develop into solutions that may be long term players.

Encapsulated in Section 4 is a synopsis of the challenges faced to facilitate the creation, collation, revision and distribution of business documents in a collaborative environment internally and externally, directing high-value, low-overhead document collaboration. The Report considers that many new online collaboration solutions are a direct result of the 9/11 and London terrorist activities. Clearly, there is an increasing and ongoing value in such tools.

The Report reveals that standards supporting document collaboration have been advanced by the approval Open Document Format (ODF) by the International Standards Organisation. While Microsoft Office file formats currently exist as the quasi standard, Butler Group reports growing acceptance of, and preference for, ODF.

Discussing email, it is suggested that organisations need to free themselves from the addiction to email as a quasi collaboration tool before they can progress to any level of true document collaboration. Email, says the Report, rules as the document collaboration de facto enabler, the Butler Group discloses that structured internal collaboration is supplied by vendors supplying all content management requirements as the two main platform vendors leverage asynchronous ad hoc collaboration incorporated into their platforms. It is also unsettling that some peripheral function vendors are offering low cost alternatives with the uptake led by employees rather than business needs. The Report's point in this respect is simple: no one tool, and no one vendor, is likely to satisfy everything or everyone.

In a market analysis in Section 5, document collaboration is estimated to represent 40% - US$586 million - of the total content management market of US$1.465 billion - a substantial percentage. The Report identifies three fundamental market drivers. With an estimated 7.5 billion new Word documents created every year, this 'rising tide' of information circulating in, around, and beyond the organisation in an undisciplined and informal manner, increases management and collaboration issues. Ever increasing employee mobility, thus intensifying the need to access work-related documents at any place or time, is also seen as a driving factor. Compounding these, the report explores increasing regulatory compliance requiring organisations to move to a structured document collaboration processes.

The Report predicts that the next 5 to 6 years will see considerable changes in the ways of working, with single user products (e.g. word processors) replaced by tools designed specifically for Document Collaboration, and collaboration technologies enhanced with Web services and integration with Line-Of-Business (LOB) applications. In the shorter term, it is thought that the two main platform players will battle for market share with the third striving to obtain increased market share. It is also envisaged that vendors will be forced, by pressure of competition, to focus on standards, and that evolving on-line solutions and third party Software as a Service solutions (SaaS) will make the World Wide Web an even more significant enabler of document collaboration.

Section 6 is made up of a Features Matrix, Product Capability Diagrams, and the Market Lifecycle Ratings. Complementing tables of features, capability, and lifecycle tables, and rounding off the report, are the Vendor Company Comparisons in Section 7, the Technology Audits in Section 8, and the Vendor Product Profiles in Section 9. The audits are broad and informative, identifying strengths and revealing weaknesses. Vendor product profiles add the finishing touch in Section 9 where 22 profiles are previewed. One small negative is the confusion between titles for Sections7 and 9; both are titled vendors although, in actuality Section 7, refers to the vendor 'families' (e.g. Adobe) while Section 9 refers to actual products (e.g. Interwoven).

The Report is comprehensive in its coverage with its value established from the in-depth research and analysis undertaken. While it is a reference specifically focused toward document collaboration, there is also substantial value to be gained for information management practitioners as an appraisal of many aspects of the current information management environment.

The Butler Group has made a valuable contribution to information management literature. Information managers, IT practitioners, and executive management will find it a significant, constructive, and beneficial instrument for both planning purposes as well as general professional development.

The Reviewer

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