INFORMAA

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Contributions in the form of articles, case studies, letters, book reviews, are welcome. Please include brief biographical information e.g. position, place of work, previous experience and qualifications and a black and white photograph. Submissions may be also made in electronic format on a 3 1/2 inch diskette with Wordperfect 5.1 preferred or alternatively as a standard ASCII text file from other word processing software.

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INFORMAA QUARTERLY

CONTENTS

Federal President's Message

Since my last column in the INFORMAA Quarterly, the National Marketing Committee co-ordinated by Anne Cornish (VIC) met with Branch representatives in Sydney to formulate the marketing plan for the Association, and I am pleased to say that with the grateful assistance of Maria Charlton (MAP Pty Ltd) and John Newton (Recall) the outcomes were far better than anticipated.

The Association first embarked down the marketing trail back in 1992 and very little was achieved. This time, through greater consultation and co-operation with the State/Territory representatives and their respective Branch Councils, I believe we are in a better position to get it right second time around.

Whilst the marketing project is a national initiative, it must be remembered that the Association is the "national" body with one voice and without the support of the Branches both physically and financially this project will not be possible.

Marketing is a marvellous tool and something that our Association can do right now.

For the edification of the members, I think it appropriate that those associated with the marketing exercise should be identified (sorry no photos this time). The National Committee comprises of the Federal Executive : Ray Holswich, Neil Granland, Julie Apps, Michael Hangan, Alan Kavanagh and Anne Cornish as the Co-ordinator.

State/Territory representatives are: Stephanie Ciemka (ACT), Joy Siller (NSW), Jan Fisher (SA), Gail Murphy (WA), Harry Haxton (Qld), Keryn Smart (Vic) and Tina Howard (Tas). We would all welcome any practicable ideas.

Competency Standards
On goes my other hat! The development of the competency standards has reached an exciting stage with Project Officer, Susan Henry having visited all States and having conducted focus group meetings prior to the Christmas break, the input by the groups to date has paved the way for Susan to submit the second draft of the standards to the Australian National Training Authority within the prescribed timeline. I offer my thanks to those who have participated in the project to date and hopefully, I might be able to catch up with you personally during phase two of the project in the early part of 1997.

I realise that we are only into February '97, and I'm sure you won't have to be reminded of the Associations 14th National Convention scheduled for Perth in September. From all reports Neil Granland and his Organising Committee have not only organised an interesting speakers program for the registrants, but they are also very keen to show off their capital city and it's many attractive features.

Speaking of 1997, belatedly, I would like to take this opportunity to wish all our members a very happy and prosperous New Year.

Ray Holswich ARMA
Federal President

Editorial

The Records Management Bulletin (published by the Records Management Society in the UK) recently featured a very favourable report on the last RMAA national convention held in Canberra and news of the forthcoming activities planned for Perth in September 1997. It was pleasing to note that the UK RMS has aspirations to follow in our footsteps!

As we settle in to calender year 1997, (so aptly displayed on our cover courtesy of Christian Budden from MAP Marketing) electronic records once again come to mind. Philip Taylor from Queensland has sent me some interesting articles which I hope to publish later in the year but in this edition we feature a paper by Josette Mathers on intranet facilities. Of course an intranet is yet another example of new technology that is racing ahead of us "with records managers (and anyone else) just now considering anything beyond the technical implications".

Tony Poynton, famous for his "get active or get archived" statement, now invites us to take umbrage with his views about faceted classification systems especially as related to information technology. Christopher Buckley and William Oats have contributed a rather different view on encryption.

Finally, it is pleasing to receive letters to the editor as I feel there are many issues that are worthy of debate amongst our membership and it is only through such debate and contribution to theory and practice that we can grow and flourish, especially as Rick Barry and Luciana Duranti have reminded us we are amongst one of the oldest professions in history.

Ken Ridley
National coordinator
INFORMAA Quarterly

Hot News Item
GREAT INTEREST TO THE RECORDS MANAGEMENT COMMUNITY

Many of you will be aware that the Australian Federal Government has been evaluating Tenders for a combined Records and Electronic Document Management System in a whole of Government approach. The first stage has now been reached with a list of suppliers and products which must go through a proof of concept stage. Proof of Concept demonstrations begin on 22 January 1997.

You can see more info at:

http://www.ogit.gov.au/page.

The following list comes from the OGIT WWW Page. The list of companies and products are listed in alpha order:

Company	Product
BHP Information Technology Pty Ltd	Objective
BHP Information Technology Pty Ltd	Docs Open and Paper Docs
BHP Information Technology Pty Ltd	Documentum
Canon Australia Pty Ltd	Exchange and Filemaster
Computervision Pty Ltd	TRIM and Optegra
Computervision Pty Ltd	Paper Docs, Docs Open & FP Docs
Dialog Information Technology	Concord
Educom Pty Ltd	Docs Open & Paper Docs
Ferntree Computer Corporation	Objective
IBM Australia	TRIM & Visual Info
Olivetti Australia Pty Ltd	Carms IV
QCOM Systems Software Pt Ltd	ROMS
TOWER Software Pty Ltd	TRIM
Wang Australia Pty Ltd	TRIM & Docs OPEN

The Federal Government requirements were very demanding and wide ranging and it was great to see a number of Australian products make it to the short list. It is also interesting that some of the imported products have had to team up with Aussie products to meet the requirements.

Letters to Editor

Dear Editor

I would like to respond and comment on the letter from David Roberts, published in the November issue and support the views expressed by Mary Ann Rosenthal, published in the August issue.

I am appalled at the simplistic view of the supplier position and the effect on the monopoly position in the marketplace. It is obvious that the selection of 1 or 2 suppliers to benefit from the new business in a majority market opportunity will have two results:

1 eliminating suppliers
2 pushing up prices by reducing competition.

The statement that four years of exclusion is an opportunity to improve and get better for the next go, shows little understanding of the source of R&D funds. Any supplier who is closed down from a market sector for 4 years will cease to exist in that market in that time.

Without sales revenue or a Government grant, no one will pay the salaries and fees required to carry out R&D and therefore no one will improve anything. This will flow on to the selected suppliers as they no longer have to be as sharp to obtain sales, when they are competing with no more than one other supplier.

As a converse, the DAS attitude in the past has been that you don't get listed until you reach the standard they specify. If you fall, you may come back in 6 to 12 months and try again. This regime protects the Customer (Government agencies) as no capable supplier is forced into nonexistence and therefore the market will have a number of suppliers, all trying to meet the Customer needs.

On the issue of speaking out, I feel that many Records officers are afraid to question the processes, and therefore will not apply for exemptions or changes to unworkable and uneconomic conditions.

They fear losing their funding all together, as the administrative process to obtain capital commitment is often a long hard road. There is no wish to extend or even compromise the process by asking for special exemptions or treatment. Those in powerful positions have little understanding of the perspective of a small records section, which is constantly under fire to do more with less. They may naively consider that all will speak out freely.

Jeff Andrew
Carlton, NSW

NEW FACES

Letters to the Editor

Dear Editor

Pam Camden's (IQ November 1996) response to Peter McDonald's article in IQ August 1996, prompts me to contribute to what could be a debate regarding centralised and decentralised management and control of records. The subject of the current debate Peter McDonald kicked off in August, *"Records Management Tomorrow - Less Paper, Faster Service"* is a concern that unless records management professionals embrace the new technologies, namely document management systems, and records management tools, and records management software, and extend recordkeeping across all levels of the enterprise, they will have no place in the corporate future.

Peter urges us to "go with the flow and support the spirit of change" or lose our roles to other line managers, or professionals from the computer science discipline *(shades of Tony Poynton's hex on us to "get active, or get archived")*. What Peter sees as comprising that "flow" includes

- that records managers move away from the centralised records management concept to new concepts of recordkeeping and document management systems
- that records management (as distinct from recordkeeping) is about custody and control of the record
- that centralised systems have failed the customer in service and system components
- that centralised approaches have been instrumental in enterprise accountability problems

Each of these issues commands debate, and it is timely that members of the RMAA take them up. Pam Camden's missile in the November issue of IQ was specifically launched to defend the central registry, as the bastion of custody, control and service. I suspect she is not alone in this defence. But it is tiresome to continue to read in our journal, articles and letters defending the central registry whilst simultaneously ignoring the realities of reform in the workplace, the changing nature of records and their documentary forms, and the challenging requirements placed on us by AS4390. Available space in this issue of IQ allows me only to touch upon three areas - custody, control and service - in light of Peter and Pam's articles, both of which I believe ignore business requirements to manage our record keeping regimes, but which ignore them for different reasons.

Custody

Electronic records and their special requirements for control, management and preservation have caused records managers in recent years to rethink their recordkeeping practices. The virtual nature of records, remaining so without the support of the software in which they were created, has caused us to invent new ways of managing the records and design of information systems which keep them. Some records comprise structural components which render them impossible to produce as hard copy. An example of this in my experience is a design test report on a motor vehicle prior to manufacturer acceptance. The record of the testing procedure included text, sound and image, and required specific software to view. As such, it could not be produced on paper as a physical record.

No longer can we generalise about custody, since many records will not have physical form. It is even less possible to consider custody by one workgroup in the organisation - namely the central records management section.

In my experience, records managers have rarely been custodians of all records. Records have been created by people in the conducting of business in their organisations. Some of those records fall into the jurisdiction of, and are managed by centralised records management sections. There has always been, however, a myriad of other records created by people and information systems throughout the organisation which have never entered the control records - the classification scheme, the location records, the retrieval indexes - of the records section. Perhaps it is this gap that Peter refers to when he infers that accountability of the organisation is disadvantaged by centralised systems.

Control

The issue of control now is beyond the physical storage of containers, and physical barriers preventing access. The arrangement of folder files (which contain records) surely can be left to the workgroup, as long as the functional and business recordkeeping requirements are satisfied, and identification, description and capture of metadata is standard for the enterprise.

Records managers' control now must be vested in the following:

- design of recordkeeping systems, with an emphasis on the mandatory capture of records, their content, context and structure
- delivery of the system across secure and efficient networks

- record-appropriate localised storage in workgroups
- on-line hyperguides for users
- help desk for consultation between records management workgroup and other functional workgroups
- frequent and regular quality assurance
- auditing to ensure compliance in the functional and business application recordkeeping requirements
- effective documentation and training of users
- the establishment of sponsors to promote change & liaise with a receptive records management workgroup

These components of our work must assume a greater importance than the simplistic provision of files. Recognition of the responsibilities and skills required by these components will do more to raise the esteem of the records staff, than Pam's insistence on speedy information retrieval. Recordkeeping is not the province of archivists, record managers or systems administrators alone, but an essential role of all employees. Collectively then, all personnel in organisations must be charged with responsibility for documenting and managing reliable evidence of their business transactions. Critical to this are recordkeeping systems designed around business rules, standards and quality controls.

Service

Pam is quite right in stating that records managers are responsible for staff management, budget management and liaising with senior management. But this is not sufficient. It is necessary for records managers to shift away from the service mentality that has dominated their work for many decades and which has held them back in their status within the organisation structure and move toward utilising their valuable skills in empowering the people in the workgroups to become better managers of records. Empowerment of the workgroups can be achieved by providing the components bulleted above.

We must identify and focus upon the functional and business record keeping requirements, and design systems that deliver accountability through satisfying those requirements. To continue to discuss our work in terms of servicing users by providing "correspondence for the right file" and "speedy information retrieval" is perpetuating the labour intensive paper shuffling tasks, and ignoring the responsibilities outlined above. Nor do these responsibilities seem to have a role in Peter's focus on "less paper - faster service" which addresses only a technology which delivers electronic images of (some) records.

Roles

I do not agree with Peter that the corporate future of the records managers is contingent upon embracing the new technologies, namely document management systems, workflow management tools, and records management software. Rather, the role for records management professionals is shifting from the management of operations focussed on receipt & distribution, to designing systems which embrace best practice, and monitoring and auditing their operations in the workgroups. This shift has been occurring in organisations pursuing best practice, and as the basic approach in the AS4390 Standard, is therefore the central theme of whole-of-government approaches. It is also central to my work as a consultant, and those of my consulting colleagues with whom I have alliances.

Helen Onopko ARMA
Adelaide, SA.

Using the Intranet

An Investigation into the Use of
Intranet as a Method of Managing
Corporate Information

Author

*Josette Mathers has just completed her
Bachelor of Applied Science (Records
Management) at Curtin University of
Technology. She has been a member of
the RMAA (WA) Education Committee
for the past year.*

Abstract

*The Intranet uses Internet technologies
within an organisation to facilitate the
flow and value of information. It
provides for quick and timely access to a
wide variety of information which may
exist in different formats, such as word
processed documents, graphics, images,
video or sound. The Intranet can also
effectively disseminate information,
leading to reductions in cost and
increasing the accuracy, currency and
timeliness of information.*

*This report considers how some
organisations are using Intranets and
looks at issues concerned with document
management and change management.
However, there is little authoritative
information in the literature which
discusses the implications for records
management practices and procedures.
Examples have been included from
personal communications on the
Records Management Listserv. It would
appear that most organisations are still
coming to terms with the new
technology and have not considered all
the organisational impacts associated
with its introduction.*

1 Introduction

The following report was
written to fulfil part of the
practical unit requirements
for the Bachelor of Applied Science
(Records Management) at Curtin
University of Technology. Following a
suggestion by Alison Croft, a
consultant with Perth Image and
Document Management Services Pty
Ltd (IDMS) who was acting as
practical mentor, it was decided to
investigate the use of Intranet within
organisations, the implications of its
use on the management of corporate
information and how this management
would align with records management
principles, procedures and practices.

This has been achieved primarily by a
review of the literature and discussion
on the Records Management Listserv
on the Internet. A message requesting
information on Intranets and the
implications for records management
was posted onto the Records
Management Listserv on 25th
September 1996. The response rate
was very low but relevant responses
have been incorporated into the
following report. The author wishes
to thank all those who contributed.

2 What is an Intranet?

An Intranet may be defined as the use
of Internet technology, in particular
applications software and methods,
over private networks based on
Transmission Control Protocol/Internet
Protocol (TCP/IP) and Web servers.
It may look and feel like the Internet
but, for security purposes, is usually
isolated from it in some way. An
Intranet can exist in conjunction with
other corporate networks.

An Intranet may *"...transparently
deliver the immense informational
resources of an organisation to each
individual's desktop with minimal cost,
time and effort"* (JSB Computer
Systems, 1995).

3 Growth in Intranet Usage

Internal single-company networks
based on Transation Control Protocol
/Internet Protocol (TCP/IP) and Web
servers are not new, but there has been
an increase in the implementation of
pilot Intranets over the past year
(Carr, 1996). Research companies
have come up with a number of facts
and figures on usage which vary
considerably. For example:

- Zona Research who suggest that
Intranets already link 15 million
corporate workers and that more
than half of the 250,000
computers which support world
wide web services are using that
facility exclusively for Intranet sites
(Morant, 1996).
- The Gartner Group predict that by
1998 more than 50 per cent of
large organisations will be using
Intranets (Morant, 1996).
- Forrester Research interviewed 50
Fortune 500 companies and found
that two thirds already have or are
considering some involvement with
Intranet applications (Millikin, 1996).
- Business Research Group
report 23% of medium and large
companies have already implemented
Web technology internally, or plan
to do so.

Millikin (1996) suggests that one of
the reasons for the increasing
proliferation of Intranet is that the
buy-in cost is low as there is a great
deal of high quality software
available, much of it free. He
contends that Intranets are popular
because they are fast, they work and
they scale well. In addition, the
simplicity of TCP/IP makes it feasible to

"...marry browsers to virtually any information resource, from SQL databases to highly proprietary systems such as Lotus Notes". He predicts that the web and its interface will become more complex and that integration with legacy systems will continue to grow in importance.

4 Uses of an Intranet

Levitt (1996) lists some types of information that organisations have moved to distribute online:

- competitive sales information
- human resources/employee benefits statements
- technical support/help desk applications
- financial
- company newsletters
- project management
- ISO 9000 documentation

Early Intranet adopters have been using the technology for the following purposes (JSB, 1995):

- Publishing corporate documents, including human resource guides, newsletters, annual reports, maps, product information literature etc. It is possible to achieve significant cost control, as well as facilitate more efficient, timely and accurate information dissemination.
- Access into searchable directories, such as corporate phone books.
- Corporate, department or individual pages which help locate the group or individual who can provide answers to specific questions and problems.
- Simple groupware applications, such as sign-up sheets, surveys, simple scheduling. The Intranet can be used to complement or as an alternative to groupware products. For example, Lotus now offers its own Intranet add-on to Lotus Notes (Lotus, 1996).
- Software distribution. Software and updates can be delivered on demand by internal administrators.
- Mail. Web technology can improve the one-to-many mail communication.

- User interface. Hypertext links do not need to take the user to another page, but may provide links to other procedures and applications.

The most popular use of an Intranet found in the literature is to publish corporate documents. This means that it is no longer necessary to publish on a 'calendar' or 'schedule' basis, but rather on a needs basis (Levitt, 1996). For example, employee handbooks may have been published annually. Using the Intranet as a publishing medium means that content can be changed or updated to reflect new information at any time. There are therefore cost savings involved because there is no longer a need to retrieve and update old manuals. In addition, changes may be made available in a timely manner. Information is stored centrally and presumed to be current (Levitt, 1996).

5 Implementing an Intranet

Hummingbird (1996) contends that an Intranet is quite a different environment from the Internet, despite using the same technologies, and that these technologies must be integrated to observe organisation realities such as overburdened networks, legacy documents, legacy databases, legacy systems, the need for high user productivity due to rightsizing and budgetary constraints, proprietary/sensitive information and overburdened network administrators. They therefore believe that there are three primary requirements for an Intranet:

1. Efficient individual and group information management, ie access, collaborative authoring and distribution;

2. Cost-effective document management

3. Administrative control

There are a number of factors which may determine the successful implementation of an Intranet, as specified by Millikin (1996):

- Security. This incorporates all aspects from access control down to file management and backup, in other words whatever is needed to preserve and protect the information on a network.
- Internal control. This may be influenced by corporate culture. A policy should be established to control and direct the proliferation of web servers.
- Tools and training. There is a need to establish standards for applications, and ensure that users know how to use them effectively and efficiently.
- Administration and management. Procedures and policies should be established to determine how the tools are distributed, installed, maintained and controlled.
- Legacy support. A balance needs to be determined between connection to legacy information systems and extensive user retraining.
- Basic network infrastructure. It is essential that a good Internet protocol (IP) be in place.

6 Benefits of an Intranet

Levitt (1996) suggests that Internet technologies, which are used for Intranets, have the following benefits:

- connected computers can share or transfer information
- connected computers are heterogeneous - they can run different operating systems and hardware
- common user applications, such as E-mail, web browser, are available across most commonly used platforms
- hypertext links simplify navigation and information retrieval

He further lists some of the features of an Intranet application as:

- rapid prototyping
- scalable - can start small and build up when required
- easy navigation through links
- accessible from most computing platforms
- can integrate distributed computing strategy by having local web servers located close to content authors
- can be tied in to legacy information sources such as databases, word processing documents, groupware databases.
- extensible to a variety of media types - audio, video, interactive applications.

These features result in the following benefits (Levitt, 1996):

- inexpensive to start
- considerably more timely and less costly than traditional paper information delivery
- distributed computing strategy uses computing resources more efficiently
- users are familiar with hypertext links from Internet surfing
- open platform architecture allows variety of add-on applications

Having an Intranet application which supports a distributed computing strategy can be highly beneficial. Rather than having servers for every user, Levitt (1996) suggests that *"...Intranet servers should be located centrally in departments or organisations to provide coordinated access to legacy databases".* In this way, the content developer or functional department manager can develop and maintain the content, without needing to deal with different departments with different agendas or timing requirements.

Other benefits outlined in the literature cover the effective dissemination and use of accurate, timely information. Using an Intranet for publishing can reduce *"...the risk*

of staff making use of out-of-date information such as price lists, specifications or delivery schedules..." (Morant, 1996:40). An Intranet can also *"...provide organisations with a simple means of handling documents such as company (or even relevant national and international) standards, catalogues, status reports etc. and ensure that users have access to up-to-the-minute material..."* (Morant, 1996:40).

Finally, Intranets may be seen as a way of empowering employees *"...through more timely and less costly information flow. This empowerment bolsters the company's competitive advantage, improves employee morale and assists in getting more timely information to customers and suppliers"* (Levitt, 1996).

Morant (1996) sees a further benefit of the Intranet as being its ability to keep personnel informed about the existence and activities of other parts of a distributed organisation.

7 Organisational Challenges

The main challenge facing organisations is a basic assumption that an organisation is already using TCP/IP. However, companies must have a strategy to implement this protocol organisation-wide (Carr, 1996).

Herman (1996:62) sees a major problem of the Intranets as being the difficulty of supporting and administering them because of their decentralised nature. He suggests that *"...a vast crop of new content creators will be using this technology in a federated virtual environment...".* He believes that the basic processes for change and service management needs to be considered in new ways, particularly to manage change in a secure manner, and this will be discussed further under Section 9.

The literature identifies other challenges such as security, privacy, currency, performance optimisation

and copyright. Levitt (1996) suggests these can be resolved through careful planning and implementation of an Intranet strategy.

7.1 Security

Security may be considered at three levels:

- Providing access by the appropriate personnel to the correct information, whilst barring access to all others. Access may be configured on a user/group/realm basis, and some web servers may allow access to be limited to a specific IP address for individual pages (Levitt, 1996). Herman (1996) concurs, suggesting that because of the blurring of distinctions between information available internally and externally, he believes that security using firewalls is not sufficient. Rather security needs to be applied at the resource level, for example at the level of access to a single database or file, or permission to use a particular application. "Ideally, it would be possible to enforce global management policies while still enabling decentralised administration of access controls and permissions" (Herman, 1996:62)
- Security may include encryption, also at several levels. Encryption may operate between server and browser and may be involved if the Intranet spans multiple organisations or locations.
- *"Security of the local area network within the corporate infrastructure and from the internet is an important issue"* (Levitt, 1996).

7.2 Privacy

Levitt (1996) suggests that privacy is an organisational issue and an area in which technology has the capability of clarifying or intensifying the potential of invasion of privacy. Privacy may be enhanced because information can be delivered in a

mainly anonymous manner. Alternatively, site logs have the potential for invading privacy.

7.3 Currency

Although Intranets provide the potential to update information instantly, there is no guarantee of currency. Levitt (1996) suggests that some ways of ensuring this is by the use of a "date of last change" on each web page, or by regularly scheduling updates or refreshes of information on certain key pages.

7.4 Performance optimisation

Because web protocols mean that there are a large quantity of 'reads' and 'writes' between browser and server to 'paint a page', web performance may be dependent upon the number of routers between the server and the browser (Herman, 1996). It may therefore be necessary

to replicate the content of servers in distributed locations to ensure performance and keep delays to a minimum. It will also have the benefit of reducing load on wide area networks (WANs). Herman (1996) suggests using automation for complex replication of content that is changing, although admitting it will not be easy.

7.5 Copyright

Millikin (1996) warns that a further problem with uncontrolled publishing on an Intranet concerns the issue of Copyright and breaches of these laws. Copyright was also an issue mentioned by a respondent (who wished to remain anonymous) to the Records Management Listserv query. She stated that in her organisation field representatives were scanning magazine articles and putting them on the Intranet. Although the

organisation had a copyright licence for these magazines, such copyright permission in the USA does not include distribution via electronic means, only by paper. It has been a difficult process to educate them to observe copyright requirements.

8. The Intranet and Document Management

Fremuth (1996) sees the benefits of the Intranet as being *"...an information dissemination vehicle which is global in nature, platform independent and provides a single access point to any intellectual capital (one authoritative source of information)".* She further believes that organisations initially *"...concentrate on pure information dissemination which incorporate document conversion, document publication, and document retrieval processes".* Document conversion and publication may be handled by

MIS personnel, whilst Web browsers and viewers facilitate document retrieval. However, this simplistic viewpoint has a number of inherent problems:

- Too many requests for document conversion and updates may slow the document conversion process down.
- Document publication also becomes a bottleneck and it is difficult to publish information quickly on the Intranet.
- Browser viewer applications may be difficult to globally install, update and support, for example a UNIX workstation user cannot easily and seamlessly view Microsoft Office documents.
- As the quantity of material published increases, it becomes difficult to locate documents.
- Documents may be forgotten and become outdated.

Fremuth (1996) therefore proposes a document management solution which integrates Internet technologies with document management functions. This may be achieved by "...designating one (or more) internal web server(s) as the one authoritative source of enterprise information and defining the method of access to that information..." and would result in benefits in the following areas:

Document retrieval
(organisation-wide)
- Platform independent allowing immediate document conversations
- Flexible searching using keywords, phrases
- Flexible presentation of search results permitting user to sort results
- Direct document access - user does not need to know the location

Document management
(For designated information owners)
- Easy contribution of documents and objects to the repository via a web browser

- Easy modification via a web browser
- Document version control
- Collaboration in creating documents
- Maintenance of retention schedules, including archiving outdated information
- Usage statistics - who reads what, when and how often

Security
- Action-based security - who can do what, when

9 The Intranet and Change Management

Writing in the Intranet Journal, Rowley (1996) sees change management as providing a major challenge to using the Intranet, and this is also a records management concern. He contends that "...changes in files are necessary and beneficial, but they also have to be controlled...". He suggests that new integrated authoring and browsing tools have empowered everyone to make their own changes, and this has caused some problems:

- An update does not appear. This may be caused because two copies of the same file exist and only one is updated. This may be controlled by using some kind of approval mechanism. A rule of change management is that each source file is stored in only one place.
- An old version cannot be restored. This may be because the backup has failed or the changes were made between backup periods. Prevention is the best solution, for example by instituting a backup methodology and an archive of all versions of the files held on the web server. Rowley believes that the "...ideal archiving system is simple, automatic (or nearly so) and easy-to use...".
- Multiple authors, multiple overwrites. Rowley (1996) suggests that if two people open the same file at the same time, overwrites may occur. However a change management system saves changes sequentially

and allows locking of a file when changes are being made.
- Inability to determine when changes made and by whom. A proper change management system keeps a record of all changes made. Rowley (1996) also believes that on an Intranet site, every object should have its own history. For example, a page may contain a number of objects such as a graphic, audio file etc, which would each have its own history and changes may occur within the object. Therefore it is not sufficient to only track changes in the page.
- The Webmaster does all the work. This has been seen as one way to overcome problems of changes, but results in a bottleneck. Rowley (1996) proposes that a change management system would given responsibility for change to certain authorised personnel.

10 Intranet Users

Schlumberger Ltd., an oil company, has had an Intranet for a number of years. A corporate network began in the 1980s with email and file transfers and used TCP/IP, before web technology was introduced. The Intranet developed from organisational necessity - 51,000 employees in 450 locations in 100 countries, and a management directive to use in-house expertise. A "champion" was appointed to sell the use of the Intranet. "The IT department put together a four-person web support group which sets standards for the company and which assembled guidelines and the roles and responsibilities of Webmasters and established a style guide" (Mullich, 1996). There are about 200 Intranet servers within the organisation, many on individual's desktops. It is possible to question the wisdom of allowing such latitude. One problem identified by the CIO of Schlumberger which relates to the proliferation of servers is the difficulty in locating information. However, he foresees that Schlumberger's

Intranet will have more users and publishers in the future and that web servers will be the method of communications for all information access.

Some further examples of Intranet users identified by Carr (1996) include:

- Rockwell Aerospace's Space Systems division in California where engineers and designers use an Intranet for on-line access to schematics of components of the space shuttle.
- Chiron Corp. in California, who manufacture pharmaceuticals, use an Intranet to disseminate a database of graphical images of molecular structures of company-created chemicals, which can be viewed irrespective of the operating system of the individual's computer.

- General Electric Co. in Connecticut, uses its Intranet - the GEIN or GE Information Network - to disseminate information to employees at their desks. For example, the GEIN contains the company's annual report and also gives employees access to the company travel centre to schedule their own business trips.

- The Hollings Cancer Centre puts its many protocols (reports regarding research into forms of patient treatment) onto its Intranet so that up-to-date versions are always available for researchers.

Steve Driscoll (1996) of OCLC states that his organisation allows anyone to publish on the Intranet by coordinating this through their Information Centre (or corporate library) using a three tiered model:

1. The document is submitted to the cweb (corporate web) for archiving and control. It is stored centrally, indexed and linked to other pages where appropriate.

2. The document is retained by the author and the URL is submitted to the cweb. The document is catalogued, indexed, is generally accessible to all staff but stored by the author.

3. The document is stored by the author and nothing submitted, catalogued or indexed in the cweb. Access, although permitted to all, is limited to those who know its existence.

A fourth level is being worked on. This will provide password protection.

11 Useful Web Sites
The Intranet Journal is an electronic journal published on the Internet and

is devoted to topics concerning the Intranet. As part of this journal there is a discussion group. The journal may be accessed at:

http://www.intranetjournal.com or http://www.brill.com/intranet/

Links to sites with Intranet information can be found on: http://www.lochnet.com/client/smart/wpapers.htm

Details of some courses covering Intranets are available at: http://www.iqpc.com

The Lotus home pages also have Intranet information: http://www.lotus.com/inotes/

12 Conclusion

Discussions in the Intranet Journal and responses to the Records Management Listserv query indicate that consideration of the records management implications of Intranet is a world-wide concern, with contributions coming from the USA, Australia, Canada and New Zealand. There is considerable discussion in the literature regarding:

- implementing Intranets,
- discussion of Intranets vs groupware,
- whether Hypertext Markup Language will be superseded by Portable Electronic Document technologies to allow better collaboration

Very little relates to managing the Intranet to ensure that records management practices and principles are maintained. As one respondent stated: *"I suspect the information is not yet available. Records managers (and everyone else) are just now considering anything beyond the technical implications of the Intranet".*

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Centralisation of Membership

As a result of a number of administrative problems associated with membership, Federal Council have resolved that a centralised membership service be introduced in order to achieve a more cost effective and efficient membership service.

To support the initiative and achieve a maximum result Federal Council have appointed an administrative support person and installed a freecall/freefax contact number.

A project team comprising Michael Hangan (Executive Secretary) and Julie Apps (Company Secretary) have also been appointed to oversee the smooth transition of each State/Territory membership database to the centralised system. A timeline has been developed to transfer all necessary data for both current and new members. Federal Council are confident of the proposed completion date for the data transfer being achieved, that being the end of January 1997.

Mrs Cate Tabe (Administrative Support Officer) was appointed by Council and commenced duty with the Association on the 13 December 1996, Cate will be available Monday, Wednesday and Friday mornings per week from 9 am - 12 noon (excluding public holidays). Outside the above hours, members/prospective members may leave a message on the Association answering machine or by facsimile on the following number;

FREECALL/FREEFAX
1800 242 611

or alternatively by writing to the Centralised address.

Michael Hangan ARMA
Executive Secretary
RMAA
PO Box 97
BOONDALL HEIGHTS QLD
4034

Should you perceive any problems, all Branches, members (current and prospective) are urged to contact the Project Team as soon as possible.

Michael Hangan

Document Conversion Project at Scotland Yard

For quite a number of years Scotland Yard has kept all criminal records in a microfilm jacket system to which approximately 250,000 jackets were added each year. Recently, however, it was decided to convert this system to an electronic database. Not only would this make individual records available electronically, but it would become the basis of a single national criminal justice computer network.

Various articles in the press recently have suggested that the project has not gone according to plan. The problems outlined are as follows:

- Millions of records, it seems, cannot even be put into the computer.
- The system, known as Phoenix, went live last year but at present only holds 10% of existing records. Some 3 million records are still being accessed using the old system which is microfilm based.
- The digitisation of paper and microfiche has not been as easy as first thought. An error rating of 3% (only 3%) was initially anticipated, obviously this was an underestimation.
- A senior police source said some records came out all 'Gobbledygook' and others needed to be 'adjusted'.
- 300,000 records have been described as 'successfully processed' but some considered them to be 'not sufficiently comprehensive'.
- This conversion project cost 8.6 million pounds to convert 3 million records. A proportion of these records have been converted and most of the money paid across, however, the contract was terminated in August '96 by mutual agreement.

It would be helpful to obtain full information as to what went right and what went wrong with this project. In situations where high-tech projects succeed, information is always freely available. In cases like the above, where a lot has been learnt about converting microfilm to electronic systems, it would be useful if this knowledge could be shared with everyone. Hard won experience should not be left unused.

Reproduced courtesy of John Negus from MS Newsletter of the Microfilm Shop UK.

A General Thesaurus for Faceted Classification Systems

Author

Tony Poynton has been a member of the RMAA since 1982 and gained Associate status in 1995. Employed at Canon from 1982 to August 1996 most recently as National Manager of the Integrated Solutions Division Tony was responsible for the marketing and sales of technology based records and information management solutions.

At Canon Tony conceived and developed Canon Exchange the first universal electronic document management system to employ faceted classification.

He is currently principal of Reality Check Pty Ltd where he is engaged in developing faceted thesaurus and information mapping tools for the effective plotting of information objects, descriptions, workgroups and information utilisation. He believes these information mapping tools are the last piece in the puzzle of effective information management.

Abstract

This article is designed to raise the issue of faceted classification systems for discussion. It purposely does not go into extensive detail about the advantages of such a system nor the disadvantages of alternatives but rather states these in fairly broad terms so the reader may begin to take umbrage with my comments and thus bring to mind their own opinions. It includes publication for the first time, to my knowledge, of a general thesaurus for faceted classification, which is a proprietary product but revealed in this limited sense to encourage debate.

To date most attempts to control or describe large information sets in Australia have been based broadly on one of two methods; hierarchical classification schemes or one of the various natural language systems including free text. Both have inherent difficulties.

Natural language has great difficulty providing a tuneable system to allow for the desired balance between specificity and recall. Due to the wide differences in how people describe things over time and in the heat of circumstance, a natural system cannot guarantee to return all information items relevant to the enquirer's intent instead of those that merely match the chosen enunciation of the query. Perhaps most damaging in the information age, a natural language search does not have the value of performative utterance. That is the method used to describe, or enquire on information, does not, of itself, add value to the information resource.

For example may things can be an invoice or a negotiable security. It is stating that they are such that makes them so.

An information instance is, ontologically and epistemically, an institutional fact and as J R Searle has proven, it must first seem to be before it can be[1]. This implies that the method of description and organisation of information is an intrinsic component of the information itself. This requirement is not satisfied by natural language systems. To better utilise the information we need a shared appreciation of the descriptive component, the collective and sustained intentionaility of institutional facts.

The most prevalent method of overcoming this problem in Australia and other British influenced regions is hierarchical classification in which terms are allocated to broad classes of information and then further refined through the addition of narrower classes and terms. This method overcomes, in most instances, the problems of specificity and recall and the issues in matching the inquirers intent to the search expression.

However to do so, hierarchical systems require the continuing application of specialist knowledge as hierarchical classification does not satisfy the full requirements for sustaining institutional facts. In other words, specialists are required to decipher meaning as the descriptive system does not inherently imply status.

Any method of thinking leads to the conclusion that information cannot be easily boxed into classes in this manner. Fuzzy logic proves that an information piece is, in some degree, part of this class, and to some degree in this class or any number of other classes. Even to the extent that not being part of a class is also part of its ontology and of potential information value. In the very attempt to class information hierarchically, parts of its nature must be denied or the system becomes untenable.

This has led to the development of hierarchical systems that deny much of the information content of the items they attempt to describe. Most seriously this is usually exhibited by focusing on only those aspects of the information piece relevant to its use so far, its history or value as a record, rather than its potential value to inform future actions. No wonder there is so little use of information pro-actively.

A practical example of this is the World's most expensively maintained hierarchical classification system. The Dewey library classification system has had more professional expertise at its service over a longer period of time than any other human endeavour that immediately springs to mind. Yet it still requires professionals to interpret its mysteries and cannot sustain cross class relationships.

Ruben Prieto-Diaz gives a fine example of this in one of his papers on faceted classification systems for object re-use.[2] In attempting to classify the title "Structured Systems Programming" any of the following Dewey classes would be appropriate: 001.61 (systems analysis), 001.642 5 (software), 003 (systems), 620.72 (systems analysis) or 620.73 (systems construction).

The really disturbing aspects of this example are:

- There are more potentially relevant classes than those described.
- The examples given are under two of the broadest terms available, Generalities and Technology.
- Systems analysis is classed in both. Does a book have to be stored twice or is it lost to one discipline? Are the insights of one discipline lost to another?

- A user cannot hope to sort this out.

Out of a library, in the work place, we have too few professionals to even attempt to sustain such complexity for the bulk of organisations and users in any but the most limited, historical sense.

Fortunately a third way is available to Australians - faceted classification. First mooted by S R Ranganthan, this system enjoys wide acceptance in European institutions and is a major focus of information scientists looking for new tools to tame the Internet.

The fundamental difference between hierarchal and faceted systems is in the nature of the links between classes. In hierarchal systems two types of relationships are available, a class may be a member of another class and/or it may have member classes beneath it. Thus relationships are vertical, you can

move up or down the hierarchy but not across in terms of relationships. The only way to sustain a horizontal relationship is to create an artificial cross reference between two classes, two items or an item and a class.

If created between classes, it is inefficient, as not all items in the class relate to all items in the other class. If created between items, it is impossibly difficult to catalogue and sustain the references required to be complete. Between an item and a class both problems present, in hierarchal systems every aspect of the information must be enumerated, represented in a class, if its ontology is to be fully described. Thus, the huge difficulty with adding new information classes. Certainty is lost as it is simply not possible to sustain, let alone conceive of, all the possible links. So many are simply discarded.
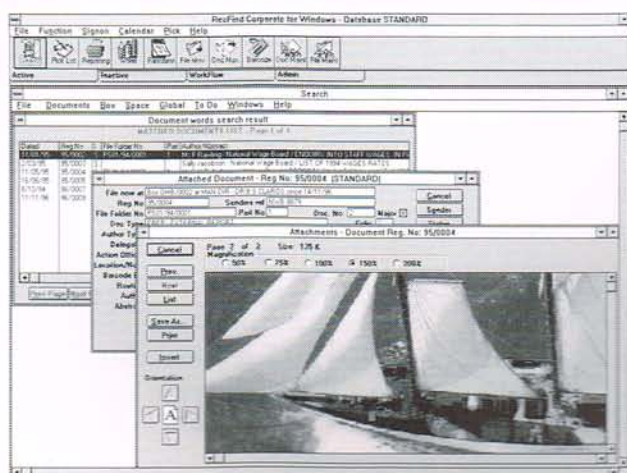
This is why, in the sense that John Searle uses, hierarchal systems cannot fully describe the ontology of any information piece and why the lack of this description causes the information to lose some of its being. It dies a little with every compromise.

Faceted systems simply do not have relationship rules. Any class of information may be selected to describe an information piece in concert with any other classes without consideration to how the classes relate. They may never have had an Information piece that belongs to both of them before, yet a link does not need to be especially established between them.

Facets are simply handy column headings. They are used to group classes together for easy reference in finding the class desired. They are technically redundant, serving merely as aids and do not, of themselves, impose relationships between classes. A system might have a facet heading for Assets, being any item owned by an organisation, in which the various classes of assets are listed; Vehicles, Buildings, Intellectual etc. However, each of these classes can freely associate with any other class so that an item may appear in buildings and also in Functions if it refers to booking a venue for a meeting. The designer of a faceted system need not make the impossible attempt to predetermine all the potential class relationships prior to their occurrence.

The other great advantage of faceted systems is that they have all the user benefits of natural language systems. The terms used are every day. The thesaurus notes are simple and the query language is natural. In short faceted is a method to impose class discipline on natural language query systems and represents an ideal method for converting text-based information systems to classed libraries. This has significant impact on the Internet as it holds the key to delivering precision and recall to this anarchic medium. A tremendous amount of work is being done by the best information scientists to develop automated systems for the conversion of texts to classed information in faceted environments. The best guide to these efforts is the proceedings from the R.I.A.O, biannual conferences.[3]

Shortly I will give an example of a complete faceted classification system however, the concept is as simple as stated here. The question is why has faceted not caught on in Australia? Certainly there are the issues of the professional and organisational investment in hierarchical systems and the unwillingness to let go of these investments. However, professionals do not appear to consider faceted systems even for new applications. This is particularly strange in Australia where we are fortunate to have had Ediss Linton as a pioneer of the records management side of information classification. Many Hierarchical systems are based on KWOC (Keywords Out of Context), Linton's invention, which is essentially faceted in its conception, I know that Linton is an admirer of Ranganathan but further than this I cannot attest to his opinion of faceted classification as I advocate other than to say it is my opinion that he would have ended up with a faceted system of this sort if the tools were available to him.

It seems that many users have imposed hierarchies on his good work. KWOC allows for Keywords (Terms) to be freed from relationships. There exists no reason why a KWOC system cannot be fully faceted in its application yet most sites limit the application of Keywords and descriptors by allowing their association only with certain other Keywords or descriptors. Why?

I believe the answer lies in two parts. One is the physical nature of paper which demands the creation of files. Files, not only for the valuable purpose of recording a transaction, the pre-eminent, but not sole, valuable relationship between items, but also files to provide a physical location for an information piece. This need to provide a manageable location for paper records still holds, however, this seems to be extrapolated to the rule that the index should represent the physical system even at the cost of full description.

Of course, in the ever increasing World of electronic documents, this need for physical location does not exist.

The other cause may lie in the tools that were available to model faceted systems. In a paper I delivered to the Darwin RMAA convention[4] in 1991 I listed the technological changes that would impact on the way we treated information. One of the most important is an object oriented programming. This is, more than anything, a mind set rather than a physical set of tools. It teaches us that documents are not merely parts of processes but discrete entities or objects in their own right. That relationships are potentially transitory connections sustained while they are valuable but disregarded when not and created at will. This thinking is not only the most fundamental change to the way IT systems are perceived but impacts enormously on the way we view any system and is one of the devices that will allow us to understand complexity. Object orientated databases now allow us to develop faceted classification systems in ways that relational database did not. Simply we can build information classification systems that allow information pieces to be related in any manner and change those relationships at will.

In an object world any item is encapsulated in its description. The description contains elements for each potential facet of an objects nature. On enquiry a string of facet elements is created which is used to parse the entire object collection looking for conforming objects. In this way objects may be joined by any aspect

of their nature without limitation and without the need for conscious building of the relationship at the time of classification or object creation.

Perhaps the final piece required to encourage the industry to more widely consider faceted classification is some practical examples. I think it unfortunate that discussion of significant issues should quickly go to the particular, never the less I offer here my General Thesaurus for Faceted Classification. This is a real example, sold by my Company and employed for the first time recently.

The thesaurus is intended for commercial organisations with another version for Institutions. Clearly each user organisation would add specific terms relative to their needs and delete a few of the standard terms. I have compiled a few explanatory comments which will allow the reader to understand how the thesaurus works, however, the methods employed to create and sustain it are not covered.

The thesaurus works in conjunction with a set of descriptors. Many of these follow the guidelines of the Information Exchange Steering Committee[5] which are particularly sound in the real world. They include a Title (precis), Owner, Author, Date, Retention Period etc. and do not require detailing here. Additionally there are five of my own which are required in most applications.

File:
- To satisfy the needs of transactional history. A file in this context should be significantly more precise than is common in an hierarchical system and with simpler nomenclature. Fewer items need be on a File.
- This field also supports linking of transactional documents without creating a File. For example all items related to a purchase order can be linked to provide a transaction history.

Item: Organisation: and Person:
- Classes cannot be built to the nth degree. Eventually a specific entity is arrived at such as a member of staff, a particular asset, a bank account or organisation. These descriptors are entered in one of these fields allowing a search on that value independently of the subject based thesaurus.
- Inanimate objects are placed in Item, Individuals in Person, and any grouping of people in Organisation.

Respondent:
- The other party to the communication where appropriate.

Document Number:
- Any auditable or traceable number on a document.

Summary:
Fewer than 1% of the population knew they were in the middle of the Reformation or the Renaissance while these were occurring. It is my belief that we are in another great period of enlightenment now. The rapid merging of sciences, the discovery of new methods of thinking, complexity, chaos and simplicity, all lead to an understanding of insight itself and emergent behaviour. Central to this is the notion that linearity as a method of discovery has a limited application and has restricted us greatly.

As Eddis Linton reminds us, the classing of information is the primary building block of human cognition. Yet sorting those classes into an order is not! The brain is neurotic in every sense of the word. It is able to encompass myriad relationships between information items, this is the very definition of a good mind.

We need information systems that mimic this process. We need systems that free information from linearity and encourage cross fertilisation and

emergence, that allow both the objective and the emotional to be part of our information view, for after all, all institutional facts, all social realities are ontologically subjective even if epistemically objective.

Each Term is accompanied by a scope note which is much simplified from the usual in hierarchical systems. The scope notes main purpose is to crisply define the boundaries between similar terms such as Announce and Notify.

A critical point to remember is the complete lack of hierarchy which means that users are not restricted to only one Term in a Facet. They may select as many terms as relate to the document.

The same word may appear in several facets, however, in each instance it is a different Term. To understand why it is important to have an appreciation of the facets used in this scheme:

- **FORMS**. The physical embodiment of a document is a quintessential performative utterance. Performative utterances are always institutional

facts and, therefore, the document type is the clearest expression of the collective intentionaility imposed on information. Users understand this unconsciously and are very comfortable with searching by information typing as they recognise its essential role in describing the information content.

- **FUNCTIONS**. The least important element, its main role is to aid precision. Deliberately broad they also function as useful guides for the construction of information workgroups which, incidentally, are very easily mapped using faceted systems.
- **ACTIONS**. What does the information demand of us? What are we doing with it?
- **OBJECTS**. Who or what is impacted by the action? Who or what has generated or will receive the information?
- **REGIONS**. These are also Objects which have been separated for ease of location.

In studying faceted systems, remember that each item is also allocated descriptors, as discussed earlier,

which perform many of the records management functions. Now, however, the boundary between subject classes and file titles is distinct, allowing information to easily transcend to artificial and prohibitive boundaries.

Other Facets we have employed include Processes which contains elements such as Accounts Payable and Quality Assurance, Technical Objects which describes client specific entities and Technical Activities.

Footnotes

1 The Construction of Social Reality, 1995

2 Implementing Faceted Classification for Software Reuse. Communications of the ACM, May 1991

3 Recherche d'Information Assistee par Ordinateur, Rockefeller University 1994

4 Proceedings, 8th National Convention, RMAA

5 Management of Electronic Documents in the Australian Public Service IESC, Department of Finance, April 1993

FORMS		Lend	Associations	Mailers	Stockholders
Brochure	Personnel Sales	Maintain	Auditors	Manuals	Superannuation
Bulletins	Service	Meet	Banks	MIS Hardware	Suppliers
Claim		Notify	Board	MIS Software	Tariffs
Complaint	**ACTIONS**	Pay	Bonus	Office Equipment	Tax
Contract	Accrue	Planning	Brochure	Order	Tender
Correspondence	Advertise	Promote	Budget	Picking Slip	Travel
Draft	Agree	Propose	Committees	Plant	Visit
E-mail	Allocate	Purchase	Communications	Plan	Welfare
File	Announce	Quote	Conferences	Policy	
Form	Audit	Receive	Consultants	Postage	**REGIONS**
Information Piece	Authorise	Record	Customers	Premises	ACT
Invoice	Award	Repair	Dealers	Press Release	NSW
Journals	Budget	Replace	Disputes	Pricing	NT
Memo	Calculate	Report	Donations	Procedure	QLD
Minute	Change	Review	Employees	Projects	SA
Notes	Check	Schedule	Entertainment	Publication	TAS
Notice	Counsel	Specify	Establishment	Quality Control	VIC
Order	Decide	Stocktake	Fees	Quote	WA
Payment	Deliver	Subscribe	Fleet	Receipt	
Report	Design	Supervise	Function	Report	**A General**
Spreadsheet	Dispose	Supply	Funding	Review	**Thesaurus for**
Statement	Donate	Terminate	F.B.T.	Sales Tax	**Faceted**
Template	Employ	Train	Governments	Sales	**Classification**
Tender	Enquire		Insurance	Schedule	**Copyright Anthony**
Way-bill	Expense	**OBJECTS**	Intellectual Property	Shipment	**Poynton 1996**
	Export	Advertisement	Inventory	Solicitors	**All Rights Reserved**
FUNCTIONS	Hire	Advertising Agency	Investments	Specification	
Administration	Implement	Agents	Leave	Sponsorships	
Finance	Import	Agreement	Legislation	Staff Club	
Marketing	Inform	Annual	Licenses	Statistics	
MIS	Invoice	Assets	Lists	Stationery	
	Lease				

Poster Sessions at the RMAA Perth Convention
15-17 September 1997

The Programme Committee of the 1997 RMAA Conference is offering members the chance to share items of interest with other members of the profession at the conference by participation in a Poster Session. The session will run at the end of the first day of the conference (see conference brochures). Want to know more? Read on.

What is a Poster Session?
- a direct, simple, personal and informal means of direct communication with individuals or small groups outside the formal convention sessions
- great for professional networking

How do Poster Sessions Operate?
- "posters" or other graphic materials are pinned onto a board and explained with suitable captions (including name and contact details)
- which is displayed in a public and easily accessible place at the Convention venue
- for the duration of the Convention
- at the times indicated on the programme you are available at your poster display to discuss the subjects of the poster with any interested persons
- display must be completely self-explanatory
- handouts such as leaflets may be supplied but are not mandatory

What Types of Material are Suitable for Display?
- high quality posters, charts, maps, printed computer graphics, photographs, etc. with visual appeal
- A-V, and computing equipment may not be used
- the essence of a poster session is simplicity
- it is not advisable to display originals of critical documents
- you need to remember that for much of the time the display will not be attended

What Subjects Can be Presented in a Poster Session?
- any professional records and information management topic, such as:
- preliminary research findings
- announcements of special awards (eg. scholarships)
- poster sessions are not available to promote vendor's products of any kind

If you are interested in presenting a poster or would like further information please contact Margaret Pember. Telephone: 09 351 2732, Fax: 09 351 3152, Email: Margaret@biblio.curtin.edu.au

Bad Disposal of Encrypted Data

Bad disposal of encrypted data or conflagration through information migration

Authors

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Abstract

We are all aware that disposal of records can have devastating effects and many records are subject to incorrect disposal. In any number of cases, disposal can be carried out in a very unsuitable fashion. Perhaps however, many would not know that the English House of Lords was burnt to the ground in 1834 because records had been destroyed in a most unsuitable way. The disposal was not haphazard, as years of deliberation had been taken to consider destroying the records causing the problem, these being an outmoded medium of information storage and encryption. This case study finds parallels with the existing migration experiences of the authors.

Introduction

For centuries since the government of William the Conqueror, the Exchequer had been keeping short rods of willow or hazel wood to record payments made. The rods were notched and split with the Exchequer maintaining one half, while the payee had the other half as a receipt. Much discussion took place prior 1826 when it was finally decided to abolish this method of record keeping, likened by the contemporary Dickens. "To the calendrical efforts of Robinson Crusoe". Records purists of the day pointed to the far more fashionable medium of paper to record transactions.

The problem of freeing up storage space resulted in a decision to dispose of the rods in 1834. This action confirms that the two matters are old records management headaches; finding space to cope with the increasing growth of records and getting a records disposal program into action. After the momentous decision was made, another problem was perceived. If any opportunistic types could steal the sticks and knew the encryption codes, security might be breached. Another records management precedent perhaps could now be claimed by using fire as the method of disposal. In truth, the method per se was not problematical, although its outcome was undoubtedly so. Workers were detailed to dispose of the rods and were under pressure to destroy them quickly in a stove in the House of Lords.

Is a fairly familiar pattern of operation emerging? Records which had accumulated for centuries were suddenly expected to be non-existent in hours. An official charged with overseeing the operation was titled the "Clerk of the Works" The incumbent was a Richard Whibley, and the conscientious Whibley made several inspections on the fateful day of October 16 1834 to make sure that the two workmen continued to fire the stove with tally rods and not steal any of them. Many pondered upon the option of giving the rods to the poor as heater fuel, however in the interests of security, the stove was fired up. At five o clock, work ceased and all headed off. The rods being old and dry had, in the process, superheated the stove flue and surrounding woodwork and caused combustion. By six o clock panic ensued with the noticing of a fire in the House of Lords. Primitive firefighting methods and crowd pollution resulted in the House of Lords and important records of the paper variety, to be destroyed.[2]

Issues

The problems of encryption within the records disposal process are interesting from this incident. Firstly, the rods were encrypted to form part of a system that must have been efficient over centuries but the information content was not transferable. Security was identified as a problem. This was evidenced by the haste to get the disposal completed and by Whibley s close watch over the workers involved. The rod tallies must have been obsolete for a lengthy period prior to disposal but it was feared that they could be used to provide information which would profit anyone who had illegal access to them. Reading them could then be as feasible as doctoring say, old computer data from punch cards and presenting it in new formats.

An obsolete information medium such as a wooden rod worried Whibley, who wanted the destruction program completed quickly. Probably to show efficiency in destroying records that could be stolen, copied or misused in some fashion. The speed of the job would have precluded time for any to study any unusual or otherwise characteristic features of the encryption process. Burning down

the House of Lords solved a medium migration problem once and for all.

Alluding to the more recent version of the computer data, we know that some old computer hardware might remain to read data but what of the software. The basic operational problems associated with records are apparent in the 1834 incident. These problems still hinder records management. Dealing with old encryptions methods is one of the big headaches connected to electronic records as software changes. In this problem area the medium of paper to electronic is preceded by the rods to paper situation of 1834.

At U.N.E. we have experienced situations in which preserving copies of data prior to migration has been undertaken without retaining the original encryption software. A second generation computer records system provides an online data for staff to access information and academic records. Paper files and paper transaction forms remain from the first generation computer data, however, the first generation data is as unreadable as a tally rod. The argument of the day was focussed on preservation and storage of data. The IT professionals guaranteed migration of data into the new software systems but seriously ignored any calls for maintenance of the encryption tools whilst preserving the old data. Any information not migrated to the new software system because of the differing functionality's of systems became unrecoverable even with the old data preserved on DAT tape.

Reading the old tally rods would be much like reading a different language. The chances of somebody today accessing and reading a rod are slight due to the loss of knowledge about that particular language. Computerisation has magnified the contemporary encryption problem enormously. The art of tally rod writing must have had many generations of practitioners, however could anybody today read a tally rod at all? How many of our current batch of IT professionals could decipher the data punch cards of the 1960's? Will anybody be able to decipher existing computer encryptions in the next century?

Did U.N.E. have its own Richard Whibley? In a way there is a little of Richard Whibley in all of us. As we try to come to grips with an operational problem of the day we all failed to notice the woodwork getting hotter. We were outcome driven and had the objectives of saving space and implementing new systems. We stoked the old data into the new software and ignored the fate of the rest. We, like Whibley achieved our objective with considerable collateral damage along the way.

Footnotes:

1 Westminster; Palace & Parliament. Cormack, Patrick. Frederick Warne Ltd. London 1981 ISBN 723226814

2 At eleven o clock an express was received by Mr. Cooper, Secretary to the Record Board, at his house in the country. He arrived at twelve o'clock and found that in the early part of evening, nearly the whole of the extremely valuable records of the Augmentation Office, upon the repairing and arrangement of which so many thousand pounds had been spent in the last four years, had been thrown out of the windows and removed in various way, some to the King's Mews, but the greater part to St. Margaret's Church. A vast number of the most ancient, in the course of this operation, unfortunately fell out of the bags and were scattered about the street. A number of soldiers, under the direction of Mr. Cooper, were employed during the whole night, in collecting these; and large numbers were recovered saturated with water and very much defaced. One document of enormous constitutional importance was, however, discovered after the fire virtually unharmed-the death warrant of Charles 1. Westminster; Palace & Parliament. Cormack, Patrick. Frederick Warne Ltd. London 1981 ISBN 723226814
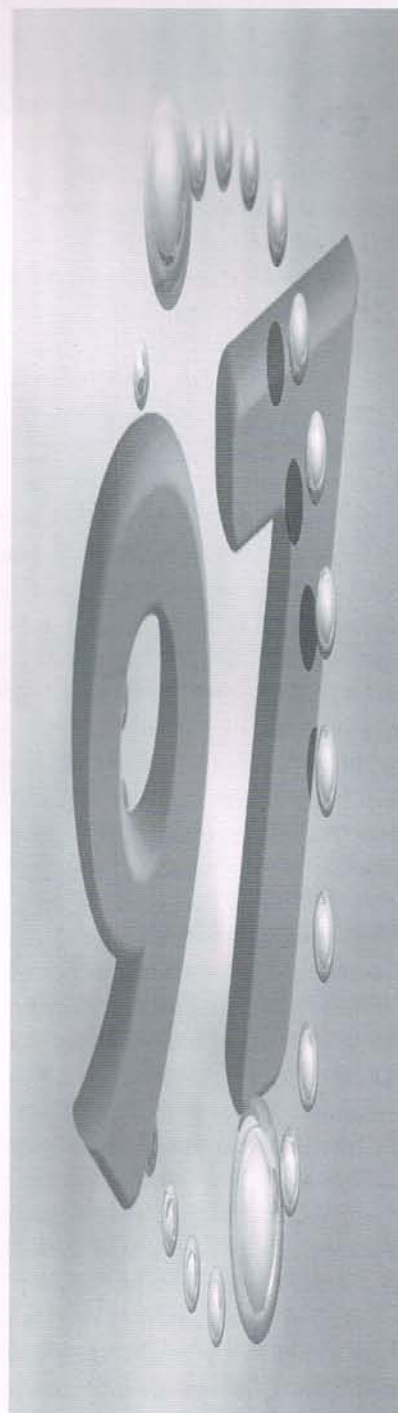
Book Review

Introduction to Records Management
by Peter Smith, Joy Siller,
Tony Poynton, Maggie Exon,
*Macmillan Education Australia,
Melbourne, 1995.* 181pp.
ISBN 0 7329 3198 3.
$29.95 plus small order surcharge.

The arrival of a new text book on records management, especially one written from an Australian perspective, is sure to stir interest from those keen to learn more about our activities. The arrival of *'Introduction to Records Management'* adds another book to the other volumes that have been produced in the past few years devoted to studying the archival and records management practice in Australia.

This book has been especially written for use by TAFE students undertaking studies in records management and using the national records management curriculum. The various chapters are aligned with some of the modules names making the process of matching book to modules very easy. The book is concise consisting of just 161 pages divided into 7 chapters plus notes and index.

Following the introduction the first chapter is devoted to the Information Industry and attempts to identify and explain the characteristics and dimensions of the industry. Whilst some sections are well written there is an overuse of quotes from a variety of individuals. This distracts from the flow of the chapter and masks the thinness of the analysis of the issues being discussed. The chapter is marred by some errors, such as the explanation of the records continuum and the definitions of records management, archives and

documents which have been superseded by the Records Management Standard. The chapter is written to emphasis the "information" angle without an analysis of why recorded information in the form of records is substantially different from other types of information. At the conclusion of the chapter and all other chapters, there is a useful summary section and some review questions which help focus upon the main themes, together with a bibliography on additional reading sources.

The following chapter, on principles, is an attempt to explain the purpose and functions that records management provides to an organisation or individual. The reader is left with the impression that the principles of records management rely upon the performance of a range of activities such as creating files, using classification systems, arranging disposal of records. The chapter relies primarily upon the life-cycle to provide the theoretical basis. The main problem with this chapter is the assumption by the author that the performance of various tasks and activities is the theory of records management. The turning of practice into theory needs to be avoided for it creates false expectations and is likely to be damaging in the long term. If the purpose of the chapter was to explain the principles then the chapter is a disappointment. No mention is made of designing systems which will ensure full and accurate records are kept or of integrating appraisal of records into the design stage of systems. Records Management is presented as a series of procedures. No mention is made of the 'principles' that could be applied to electronic records.

The subsequent chapter on Operations is a good one and provides a good introduction to many of the common activities which would be undertaken in most traditional registries, such as registration, indexing, classification, movements, resubmits and disposal. The information set out in the chapter provides the reader with a good impression of how records management can be organised.

The following two chapters are probably the best in the book and they concern classification and indexing. Both are well set out with clear explanations of the differing types of systems and how they can be best used. The advantages and disadvantages of systems are listed providing a well balanced analysis. The main concern with the discussions on classification is the emphasis upon information retrieval avoiding the ordering aspects of classification systems. The chapter on indexing is also useful, it is well organised with good explanations of the various formats which can be adopted and how an index can be composed to achieve maximum retrieval. There is also discussion regarding thesaurus design and keyword systems with good examples. It is in this chapter that some analysis occurs of classification systems for organising and categorising records. The two chapters on classification and indexing are useful but confusing, both could have done with some rearranging of the text to sort out the ambiguity and make much clearer what is a classification systems and what is an indexing system.

The next chapter on records management software usage is unfortunately quite brief and really

does not do justice to this important facet of modern records management. The analysis of determining functional requirements is superficial and the section on dealing with disposal bears no relationship to reality when dealing with complex series of correspondence and policy files. The section dealing with assessment of commercial systems and implementation should have been considerably expanded.

The last chapter deals with the use and application of Microfilm equipment. This chapter contains some good information and would be useful to anyone interested in using microfilm format for records storage. There is a nice blend of technical explanation and practical advice.

Strangely, there are no chapters on records storage, the law and records management, client services, marketing records management, or appraisal and sentencing.

In the final analysis the book is not totally satisfactory. The authors obviously wrote it prior to the release of AS 4390 1-6 Australian Standard Records Management, as there is no mention of this important document, they may have been better to wait and used it for guidance. There are obvious gaps and many areas could have been considerably expanded. This is not to suggest that this in not a worthwhile publication to have and use. Students and those looking for information on how to get started in records management will find it a useful source of practical advice and guidance.

Philip Taylor MRMA
Records Manager
The University of Queensland

EDUCATION & TRAINING

Branch Reports

NSW Branch Report

The NSW Branch had a very successful and quite different Christmas function on the 11th December. It has often been a problem doing something special that appeals to most of our members, so this year it was suggested that we put on a trade display which focused on electronic information. This was to be followed by a workshop to assist our members apply for upgrades and then a cocktail party.

It was a great success, twelve vendors set up displays at the Hyde Park Plaza Hotel and these included;

- recall Total Information Management
- GMB Records & Information Management Solutions
- Tower Software
- Ortex International
- Trimagic Software
- Computervision
- Prime Care Pty Ltd
- DB Developments
- Systematics
- The Imaging Centre

The Branch would like to thank all these vendors as well as the more than eighty people who spent time at the display. The workshop was well attended and we look forward to many applications for upgrades in 1997. More than sixty people stayed on for drinks and finger food and a great time was had by all.

Special thanks to our Special Projects Committee who put in a huge effort to make sure the day was successful.

Special thanks also to all the Members of Branch Council who have once again given their valuable time to promote the Association during 1996.

Ann Hampson ARMA
Branch President

NT Branch Report

The Northern Territory Branch has had a comparatively busy few months commencing with a successful one day seminar in late September with Rick Barry coming to Darwin after the National Convention and presenting *Managing the Transition to the Electronic Workplace (While There's Still Time!).* It is not often that we are able to attract 'outsiders' to the Territory and this proved to be very worthwhile for the varied participants.

The Branch has also held a couple of other information sessions including a demonstration by the Registrar-General, Phil Timney, of the imaging system recently implemented at the NT Titles Office and another presentation about the general issues involved in imaging and a demonstration of the Canon Exchange System by Steve Hedge and Helder Santos of local firm, Nearline Imaging Solutions. The Branch has assisted a number of local members in 1996 who have successfully completed units in the Records Management Diploma by remote learning through the Edith Cowan University, and is pleased to be supporting more enrolments for 1997.

In keeping with the Branch Objectives, the major task planned for early in the new year is to embark on a campaign to attract new local members to the Association. The Branch will also be starting some serious planning for the National Convention which comes to the Territory in 1999.

Greg Coleman ARMA
President

Branch Reports

WA Branch Report

The WA Branch continues to provide a range of opportunities for members in the West to participate in continuing professional development activities. The October event was a very successful Technology Expo. Over 200 members and other interested information professionals attended in order to view the latest application software for electronic document management, image processing, workflow and records management. It was an excellent opportunity to see all the latest offerings at one venue. Vendors reported a very high level of interest shown by those attending. A number of members took the opportunity to bring their managers and/ or IT colleagues along. Some even travelled up from the country for the day. The enthusiasm generated by the Expo means that the Expo will probably become an annual event. Of course having the conference in WA next year means that for 1997 it will be even bigger and better.

The Christmas function was a breakfast at Moorings on the Jetty. Michael Corbett from Inside Information and Ann Murdoch from the Water Corporation provided an insight into *The Reality of Outsourcing: 1 Year Down the Track*. The Water Corporation was the first agency in the WA public sector to outsource a significant portion of the records function, and it was interesting to hear all about it from both points of view: the vendor/ provider and the agency.

Our Federal president, Ray Holswich will be in WA late in February. We are taking this opportunity to have Ray address the members on current issues in the profession. At the same time members will be invited to Radisson Observation City to see what we have in store for them at the National Conference in September.

Gail Murphy is the WA representative on the newly constituted Marketing Committee. The Committee has already met and Gail is already reporting back to the local branch on plans for the future. One of the objectives is to increase membership by 1000 in the first year!

The WA Branch together with the ACT Branch has been involved in the pilot for the Recognition of Records Management Courses. Documentation has been forwarded to TAFE, Edith Cowan University and Curtin University inviting them to apply for course recognition. It is hoped that the pilot project will be complete before Christmas.

The City of Bunbury Records Management Centre under the able management of Rhonda Beaton won the Excellence in Records Management Award for 1996. This award is presented by the Records and Information Liaison Group (RIMLG) and is funded by The Library Board of Western Australia/ LISWA. The award is presented to the public sector agency considered to exhibit best practice in records management. Dr Lynn Allen, the CEO of LISWA, when presenting the award noted that Bunbury had also recently gained accreditation to ISO 9002. Congratulations Bunbury.

Employment prospects continue to be strong in the West with a number of level 5 and 6 positions being currently advertised. Employers report that they are having extreme difficulty in filling these positions.

Margaret Pember
Co-ordinator Education
20 November 1996
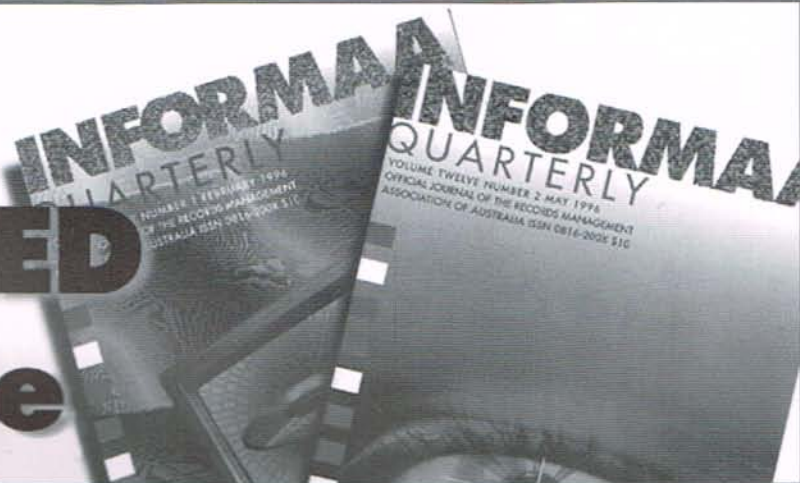
QLD Branch Report

Seminar Series

The Branch has continued with its series of afternoon seminars designed to enhance knowledge and stimulate debate about a range of issues which effect modern records management. Recently the seminars have been presented on the issues of Active vs. Post Active attachments, Folioing Is It Worth It?, and Records Management and Windows 95. It is encouraging to see a significant number of people attending the seminars and participating in the discussions. The Branch has continued its initiative of videotaping the sessions. Tapes are available of all sessions except Windows and Records Management and can be obtained for $20 by writing to the Queensland Branch Secretary PO Box 361, Brisbane Roma Street, Brisbane, Qld. 4003.

Competency Standards

The Branch participated with a number of other professional associations in focus meetings to develop competency standards for archives and records management at a meeting held in December 1996.

Commonwealth Records

The Branch has commissioned a project to identify from Commonwealth law sections dealing with records. The results will be published as a document and available to members in the first quarter of 1997.

Philip Taylor, MRMA
Vice President Education and
Professional Development

NEW PRODUCTS AND SERVICES

TRIM for Windows Version 4

**"TRIM is a world class product,"
said Senator Margaret Reid, at
the recent launch of TRIM
Enterprise at TOWER's
Headquarters in Canberra.**

TRIM is currently winning over 90% of RM/EDM comparisons as witnessed by recent wins against all world competition at the Mutual of Omaha, United Nations, UNICEF, Administaff in Texas (public evaluation on the Internet against various combinations of products), the Office of Thrift Supervision as well as in New Zealand, South Africa, Canada and the UK.

Senator Reid described the success of TOWER over the past 2 years as "outstanding, culminating in being named as a finalist in both the Australian Export Awards and Telstra Commonwealth Bank Small Business Awards (NSW). The release of the new version of TRIM is perfect to ensure continued success."

TRIM Enterprise has firmly entered the electronic document market. TRIM now offers organisations the unique capability to manage important electronic and paper documents with the one software package.

TRIM provides organisations with savings, particularly those which relate to training and systems administration, because there is no requirement to integrate a number of products to achieve the same result. It will also provide other staff within the organisation with almost immediate access to important documents for information and reuse.

TOWER's core solution does not require the construction of a coalition other than in the area of implementation services which, in the case of TRIM as a "plug and play" product, are minimal and often undertaken by an organisation's IT staff. Services are generally only required in cases where the records' requirements are complex or where office politics requires workplace adjustments and revision.

TOWER proposes the TRIM system as a single solution to potential customers as it has the capacity to meet all core requirements. TRIM is a proven solution for both small and large agencies and comprises:

- the TRIM base module;
- free text document content retrieval;
- bar code tracking and other services;
- electronic document management including e-mail;
- thesaurus support;
- electronic queue processing;
- record classification or file plans;
- record type (series) processing security;
- full archive support for record retention and disposal;
- integrated workflow;
- record series archival management.

In particular, the electronic document management module provides users with the capability to:

- extract an electronic document;
- book out to avoid multiple changes at the same time;
- book in;
- save as a new version/replace as new version; and
- return with no changes.

To meet the diverse requirements of agencies both small and large, centralised or distributed the TRIM modules are easily configurable. Indeed, many TRIM customers, begin with the paper records and then add modules as required to meet correspondence management or electronic document management requirements.

TOWER holds the belief that the future of document/record management is in the hands of the end users and that access to the system should be increased. It is widely recognised that the end user has a better knowledge and understanding of what documents are about and where they belong. It is suggested that some organisations can only access 30 % of their important records quickly and efficiently. To change this, users need

to have confidence in the systems they use and this can only be achieved by providing access to the system (as a full user, limited update or enquiry only user) and undertaking user training.

TOWER Software has been included on the proof of concept list under the Office of Government Information Technology (OGIT) RFP for a Records Management System for the Australian Government. This, combined with the listing of TRIM as a preferred supplier under the NSW GSAS Contract has ensconced TOWER as a leading supplier of document and records management software.

Recent export sales in the US, UK, New Zealand and South Africa are confirming TRIM as a world class product. Recently a US company, Administaff, announced the results of its search on the Internet.

"We selected TRIM by TOWER Software. I thought they had the best method of displaying search results, the best method of calculating retention, and the most user friendly interface. Not only were they the best, but since they use concurrent user pricing they were also the least expensive."

Cathy Bell CRM,
Administaff,
14 October 1996.

Enquiries:
Tower Software
Ph: 008 02 0149

How to Apply AS4390 Records Management Standard

Judith Ellis MRMA
Managing Director of Archival Systems

The AS4390 Records Management Standard was issued by Standards Australia in February 1996 as a voluntary code of practice for organisations establishing or improving upon their record keeping systems and processes.

This workshop provides a practical approach to understanding and implementing the Standard in various industry sectors. They key concepts and the six parts of the Standard are explained, and the context for various organisations considered.

On completion participants will have a thorough knowledge of the Standard and how to develop procedures which will dramatically

improve the efficiency, accuracy and productivity of their own record keeping systems.

For information about the workshop, How to Apply AS4390 Records Management Standard, can be obtained from Jill Moor, of Performance Improvement Conferences and Seminars, PO Box 696, Kew, 3101.

Please use the following number for public enquiries:

Ph: (03) 9853 0699.

NEW PRODUCTS AND SERVICES

14th National Convention

Preserving Yesterday, Managing Today, Challenging Tomorrow Records Management Association of Australia 14th National Convention Perth, Western Australia

Yesterday, today, and tomorrow! The programme, after 12 months of structuring, is now all but finalised. We are confident that we have embraced all facets of our complex and varied profession. We have been working on this programme for a full year and we are more than pleased by the way things have shaped up. We wanted to hear everybody's voice in 1997 - the old, the young, the academic and the practical, the experienced and the not so experienced. We believe we have a great programme that will stimulate thought and discussion.

The selection of speakers has been difficult due to the diverse and interesting nature of abstracts submitted. Unfortunately, you can only run so many papers in three days! We would like to express our gratitude to those who could not be fitted into the tight schedule for taking the time and submit an abstract.

These hard choices have been of benefit. They allowed us to shape a provisional programme of breadth and depth, with topics and discussions planned to be of relevance and interest to both the seasonal professional and the new practitioner. We will be working up to the last minute to refine the details but a breakdown of the programme as it currently stands is provided in the second circular.

We are bringing together practising records managers from national, state and local government, representatives from the private sector, archivists, educators from TAFE and the Universities, lawyers and international speakers such as Luciana Duranti, Professor in the Master of Archival Studies Programme at the University of British Columbia, Canada and Mike Steemson who is an independent information management consultant with extensive experience in records management.

Ample opportunities have also been provided for you to express your opinions and explore your interests with like-minded colleagues in a variety of workshops and special interest group meetings. A new innovation is the poster sessions. Please find out what they are about and think about presenting a poster - there is some information in the second circular.

So, something for everyone: a measured look at where we have been, an analysis of where we are and a glimpse of where we may be going. All of this will be provided in five star luxury with an Indian Ocean sunset as a daily backdrop - what more could you ask.

To ensure you are able to secure your first preference in accommodation, register now!!

We'll see you in September.

Vicky Wilson ARMA
Programme Chair

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'Do You Really Need a Pentium', No. 2, May 1996, pp 13 - 17

RAJ, Karuna

'Defining and Auditing Record Keeping Regimes', No.1, February 1996, pp 20 - 25

Records Management Profession

'Development of Education Programs for Records and Information Management', by Susan Myburgh, No. 4, November 1996, pp 27 - 31

'National Records Competency Standards', by Ray Holswich, No. 3, August 1996, pp 21

'Records Management Tomorrow : Less Paper - Faster Service, by Peter W. McDonald, No. 3, August 1996, pp 14 - 19

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'Electronic Record Keeping in NSW ; A Survey of RMAA and ASA Members', by Kylie Barrett, No. 4, November 1996, pp 10 - 12

RIDLEY, Ken

'Reform of Public Sector Records Management Legislation in Western Australia', No. 1, February 1996, pp 12 - 17

RYAN, David and MURDOCK, Alan

'The Internet and You', No.3 , August 1996, pp 6 - 12

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'Performance Indicators', by Marita D. Keenan, No. 2, May 1996, pp 19 - 23

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'Guidelines for Storage of Electronic Records in the Reserve Bank of Australia', by Allan Seymour and Trevor de Groen, No. 1, February 1996, pp 5 - 10

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'Recognition of National Records Management Modules', No. 2, May 1996, p 9

PRODUCT INFORMATION GUIDE

Yes I would like to know more about the following products which appeared in INFORMAA Quarterly - Volume Thirteen Number One.   (Please Tick)

Name: ....

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Corner Scott Street and Parnell Place
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Ph: (049) 29 7766
Fax: (049) 29 7827
Email: map@hunterlink.net.au

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RMAA Membership has its Benefits

Professional Development through Branch meetings, State seminars & National conventions

Branch newsletters & INFORMAA Quarterly plus reduced fees for conference & seminars

Networking opportunities with people who speak "your language"

Opportunities for professional recognition as Associate (ARMA), Member (MRMA) or Fellow (FRMA)

Contact your State for Membership details