Reviews

Edited by Adrian Cunningham

Publications

**International Council on Archives Committee on Electronic
Records,** *Guide for Managing Electronic Records From An Archival Perspective,*
February 1997. 55pp. ISBN 0 96823 610 3.
Electronic Records Programs Report on the 1994/95 Survey, December 1996.
70pp. ISBN 0 96823 611 1.
Both available free of charge from the Chair of the ICA Electronic
Records Committee or by accessing the ICA Web site at http://
www.archives.ca/ica.

These two publications are part of a series of products that have been prepared
by the ICA Committee on Electronic Records. The third publication, *Electronic
Records: A Literature Review,* was reviewed in the November 1997 issue of *Archives
and Manuscripts.*

The aim of the *Guide* is to assist archival institutions in addressing the management
of electronic records. The first aspect that should be highlighted is that the *Guide*
is the work of a committee. The fact that the contents of the *Guide* flow in such
a seamless and integrated manner is a considerable achievement and the authors
and the editor should be congratulated.

The content and direction of the *Guide* will come as little surprise to Australian
archivists. The theme throughout the *Guide* is that archival institutions need to:

- become involved at the 'conception' stage;

- develop networks and alliances with records creators and records managers, those who establish laws, regulations and policies, resource allocators, those who produce, supply and manage the information technology on which the records depend and lawyers, auditors and accountants;

- develop new polices which define their new roles;

- develop new expertise to play these roles; and

- develop new authority and new resources.

Chapter 1, 'Trends and Developments', is a useful and readable overview of developments and trends in three areas: the technological, the organisational, and the legal areas. Three technology trends - mainframe computing, personal computing and networking - are covered succinctly yet comprehensively. The discussion of the technological trends is integrated with the impact of these trends on archives and the strategies archival institutions have developed in response.

The following section links technology trends to organisational trends of flatter hierarchies, teams and workgroups, outsourcing, downsizing and re-engineering. Legal issues outlined include the definition of a record, value as evidence, authority of the archives over active records, privacy and access legislation and alienation of records from public oversight. This chapter provides an excellent summary of the issues involved in the management of electronic records and is an excellent information source to give to senior managers, resource allocators and so on to read as background material.

The concept of the 'archival function' is introduced in Chapter 2 and is integral to the strategies and direction outlined throughout the *Guide*. The archival function is defined as:

> that group of related activities contributing to, and necessary for accomplishing the goals of, identifying, safeguarding and preserving archival records, and ensuring that such records are accessible and understandable. In the traditional paper based environment, the archival function has been a distributed one, with responsibility for carrying it out divided among a number of players, including (but not limited to) records creators, registrars, records managers and archivists[...] regardless of variation in administrative and organisational traditions and independent of the functions assigned to an archival institution, there exists an archival function which has been carried out in the past by various players (either as an assigned responsibility or by default), and which must now become the subject of scrutiny as archivists ponder the management of electronic records.

Archivists must redefine their roles in order to develop alliances with the other players carrying out the 'archival function'. Following the exploration of the archival function, the practices of records creation, records appraisal, records preservation and records access and use are explored to demonstrate why existing practices will not be sufficient to create and manage evidence in the electronic environment. The conventional approach of the life cycle of records has been adopted with a 'conception stage' preceding the creation stage. The conception stage is defined as the stage when the recordkeeping systems are designed and developed, before any records are created.

The lack of acknowledgment of the recordkeeping continuum approach is disappointing and may be indicative that 'the recordkeeping continuum is liable to be misinterpreted as a version of the life cycle concept simply because both encompass current recordkeeping processes. A continuum approach is very different conceptually, and in practical terms its impact upon electronic recordkeeping practices can be substantial'.[1]

The issue of distributed custody is raised in Chapter 2 and, whilst the advantages and disadvantages are highlighted, the *Guide* does not explore in detail the debate over distributed custody. Throughout the *Guide* there are no direct references to electronic records projects and no references to further reading. For this reason *Electronic Records : A Literature Review* is an excellent companion piece to the *Guide* as it provides a commentary on projects such as the University of Pittsburgh Project, the University of British Columbia Project and debates over distributed custody, descriptive practices for electronic records and the continuum and its relationship to the life cycle.

Part Two is an attempt to articulate tactical approaches to the management of electronic records and builds on the concepts and strategies outlined in Part One. Section A contains a discussion paper on records in a database environment and it is envisaged that there will be further discussion papers produced in relation to issues associated with identifying and managing the various categories of electronic records. 'Section B is intended to elaborate upon the strategies described in Chapter 3 of Part One by presenting methods and tactics that can be employed by an archive.' In the February 1997 edition of the *Guide* the focus is on preservation and access. Other areas will be included at a later stage. Both sections are comprehensive in their exploration and analysis of methods and tactics, particularly

the discussion paper which explores the question of databases as records and principles for managing database records.

Whilst the *Guide* will be invaluable for archivists with little knowledge of the management of electronic records it will also be of considerable benefit to archivists with more experience and understanding of the issues, concepts, strategies and tactics. The content of the *Guide* provides fresh insights and is thought provoking as well as a reinforcement of the strategies and direction that must be taken by archivists.

The aim of the *1994/95 Survey of Electronic Records Programs* was to compile a directory of archival institutions (national/state or major institutional archives) that have established or are intending to establish a program to manage electronic records. The directory in turn is intended to facilitate information sharing and establish a baseline for measuring progress in the establishment of electronic records programs. The quality and extent of the responses (and the interpretation of questions) varied considerably. For example, microfilm and microfiche were interpreted by some respondents as electronic records. Nevertheless, the *Report* on the *1994/95 Survey of Electronic Records Programs* will be of benefit, particularly to institutions at an early stage in the management of electronic records. Follow-up surveys are envisaged and the results from these will be of interest in tracking progress made in establishing electronic records programs.

The ICA Electronic Records Committee met in June 1997 and set itself a strategic direction that will involve working in a number of areas including: functional requirements for recordkeeping, internet and intranet, appraisal, transfer of responsibility for records and records management standards. The Electronic Records Committee will also be further developing Part Two of the *Guide*.

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Endnote

[1]   Frank Upward, 'In Search of the Continuum: Ian Maclean's 'Australian Experience' Essays on Recordkeeping' in *The Records Continuum: Ian Maclean and Australian Archives First Fifty Years* , eds Sue McKemmish & Michael Piggott, Ancora Press, Clayton, 1994.

Guidelines for Preservation Microfilming in Australia and New Zealand, National Library of Australia, Canberra, 1998. vii + 120pp. ISBN 0 642 10691 6. $30.00.

The National Preservation Office's 1994 conference on preservation microfilming affirmed the continuing role of microfilm as the most reliable documentary reformatting medium. The conference recommended that microfilm be combined with digitisation technologies as a 'hybrid' approach to reformatting, providing both long-term preservation and improved accessibility. Digitisation of the Banks and Bligh journals by the Mitchell Library and of Australian publications, 1840-1845, under the "Ferguson Project" implemented this hybrid approach.

In line with the recognition of the continuing importance of microfilming technology to documentary preservation strategies in Australia and New Zealand, the NPO conference also recommended development of guidelines for preservation microfilming of text-based, printed materials in Australia and New Zealand. The publication of the *Guidelines* is the outcome of that recommendation. The *Guidelines* have been compiled by the Preservation Reformatting Unit of the National Library of Australia, in particular by Laurie Salter. Their publication is indicative of the NLA's continuing influential role in helping to preserve the distributed documentary heritage of Australasia.

The *Guidelines* specifically address practices associated with the copying of printed material, not archives and manuscripts. Nevertheless, in the absence of published standards for copying archival material, many aspects of the *Guidelines* can be applied to the latter. Standards Australia is, however, currently developing a standard for preservation microfilming of manuscript material which will be useful as a supplement to the *Guidelines*.

The *Guidelines* codify best practice for the administration of microfilming projects including production, format, preservation and control of microfilms and microfiche. The *Guidelines* are a set of general specifications and standards for microfilm projects and, as such, are useful to administrators managing such projects and to microfilm camera operators and organisations making the microfilms. However, the *Guidelines* is not an exposure manual. Although some technical aspects of microfilm production and evaluation are considered, the craft of making high

resolution photographic images of massive amounts of documents is not tackled.

Technical guidance is given on selection and preparation of materials for copying, on the types and generations of microform, on image orientation, reduction ratios, resolution and density requirements, specifications for digitisation from microfilm, target format and sequencing, the use of leaders, trailers and splicing, quality control and storage of microforms.

Administrative guidance is given on establishing, staffing, funding and equipping preservation reformatting projects, on selecting and contracting a micrographics bureau, on copyright, pricing and marketing matters, on bibliographic control and the management of micrographics collections.

The *Guidelines* is intended to be a working document. It can be read sequentially by administrators setting up preservation microform projects so as to gain a good understanding of the whole process. Alternatively, by using the detailed table of contents and/or the thorough index, it can be used as a reference manual by practitioners who wish to check the specifications and formal requirements of top quality microform products. For example, when recently spending a long weekend in Suva microfilming the judgements of the Fiji Court of Appeal (A4, single sided photocopies bound in 25 volumes, amounting to about 12,900 frames), I was relieved to be able to consult the 'image orientation chart' in the *Guidelines* to confirm that '*1B* single page per frame comic mode' was the acceptable and most economical orientation in the circumstances.

As the *Guidelines* point out, there is no formal training available in Australia or New Zealand for microfilm camera operators. The craft is learnt on the job either in the bureaux or in one of the few remaining in-house micrographics operations. As there are few opportunities, and evidently little willingness, for practicing archivists, librarians or information managers in Australasia to familiarise themselves with the operation of microfilm cameras, there is a danger that the requirements of the 'information specialists' will fall out of synchronisation with the requirements of the microform service industry. It will become increasingly important to maintain such a synchrony if the microform/digitisation hybrid strategy recommended by the NPO conference and the major document preservation institutions is to be maintained and developed.

The *Guidelines* are an attempt to bridge this growing gap by setting out the highest expectations of the institutions. The danger is that as the gap widens such guidelines may be read as remote and prescriptive by the service providers.

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R. A. Brown, *Documentary Evidence in Australia,* 2nd ed., LBC Information Services, North Ryde, NSW, 1996. xl + 395pp. ISBN 0 45521 416 6. $105.00.

This is the second edition of a book first published in 1988. In the first edition Professor Brown set out to provide both a conceptual and practical overview of documentary evidence law in Australia as it stood in 1988. His analysis demonstrated the patchwork of documentary evidence provisions in Australian law. As the only Australian text dedicated to treating documentary evidence as a separate body of law from testimonial evidence, it was well received by the legal profession as a book fulfilling 'a considerable gap in Australian legal writing'.[1] The impetus for the second edition published in 1996 came from the radical changes to the law regarding documentary evidence following the passage of the Commonwealth and NSW Evidence Acts of 1995 (referred to in this review as the 1995 *Evidence Acts*).

The book is written for lawyers to enable them to familiarise themselves with the rules for admitting documents. Nevertheless, it should also be of interest to anyone, to archivists and records managers in particular, who wants a comprehensive analysis of the law of documentary evidence as it has developed in common and statute law, including the historical reasons for the common law's suspicion of documentary evidence.

A major strength of the book is that it provides an understanding of why the courts dealt with documentary evidence as a special category of evidence. In

common law systems the principal source of evidence is the oral testimony of witnesses which can be tested by cross examination to determine 'judicially determined truth' to prove alleged facts.[2] As documents could not be cross-examined, the law required their accuracy and reliability as information sources to be demonstrated by other methods. Brown explains how documents introduced originally to supplement the oral testimony in some cases supplanted it. The courts developed various tests to make sure that documents were authentic and trustworthy. One common law rule was the production of the original.

The book is written in a standard legal style in which the legal sources for the text are drawn from relevant statute and case law. A list of the cited acts and cases is provided at the front of the book. Each chapter's introduction summarises the topic of the previous chapter, thereby providing a sequential analysis of the themes covered by the book. The foreword, preface and introductory chapter provide a clear justification for the text.

The first edition used the NSW *Evidence Act* 1898 for all comparisons with the evidence acts of other jurisdictions. In this edition Brown uses the NSW *Evidence Act* 1898 (as amended to 1995) as the model against which to compare Australian evidence legislation not covered by the new 1995 *Evidence Acts*. Major discussion of the 1995 *Evidence Acts* is contained in Chapters 11 and 14, although references to the acts are interwoven elsewhere in the text where appropriate. This is not entirely satisfactory as some of the earlier chapters make little reference to parts of the common law on evidence that have been largely displaced by the changes.

Chapter 2 deals with statutory and case law definitions of 'document', 'record' and 'writing', as well as 'originals' and 'copies' of documents, topics that are fundamental to our professional knowledge as archivists or records managers. Rather than the law defining what a document is, it will provide a meaning for each specific legal case which is largely context-dependent, a general approach of statutory language. Professor Brown's definition of document is derived from case law. A document is defined as a *physical thing* on or in which *data* is more or less permanently stored in such a manner that data can subsequently be *retrieved*. He distinguishes between data and information, viewing information as the interpretation of the data in the document. This is not a distinction made in statute or case law, but he believes there is an implicit understanding of this difference in meaning amongst lawyers.

While a document is only data which is stored and retrievable, it is not a record. Brown refers us to English cases in which the term 'record' appears. These include hints as to the nature of records, namely documents which give effect to a transaction itself or contain a contemporaneous register of information supplied by those with direct knowledge of the facts, characteristics of a record familiar to archivists and records managers.[3]

Chapter 3 considers particular classes of documents discussing how the common law admitted a range of documents of different physical formats, that is. photographs, film, tape recordings or document types such as 'ancient documents' (documents more than twenty years old in most jurisdictions!) and affidavits. For the recordkeeping professional it is relevant to know that the admissibility of particular document types was predicated on such aspects as the accuracy and tamper-proof features of the document, as well as the competence of the person creating it. The physical form of the document gave rise to the need to have different provisions for admittance, many of which are now superseded by business records provisions (see Chapters 9 and 10 below).

Chapter 4 is dedicated to public documents and statutory certificates, including judicial notice of the contents of a document. The chapter provides the background to the common law concept of a 'public document' or a certified copy thereof, that is a statutory certificate, which was considered admissible as evidence of the facts it stated upon its production from proper custody.

Public documents have also been treated as a separate category by statute law. Before the 1995 *Evidence Acts* at common law, a public document was defined not on the basis of its origin from a public office, but rather on its public availability on a public matter. On the one hand it could apply to statutory records of a corporation, while on the other hand it could exclude a ship's passenger list or the internal working papers of a government department because they were not open to the public or made for public external use. The 1995 *Evidence Acts* no longer accord public documents any special status in being admitted as evidence.[4]

Chapter 5 deals with processes for introducing documents into court, focusing on subpoenas. This chapter is of interest to recordkeeping professionals who may be served a subpoena for records. It covers how and where they are served and issues of contempt of court if a document is destroyed before a subpoena is

issued if it is clearly relevant to proceedings that have commenced. Most of this chapter deals with the procedures for admitting documents rather than what makes a document more likely to be admissible. The 1995 *Evidence Acts* contain very little on the subject of subpoenas and avoid matters of court procedure generally (see Chapter 11 below).

Chapter 6 covers what documents are considered to be evidence of once they have been admitted, and what weight should be given to them. The 1995 *Evidence Acts* have abolished most of the common law covered in this chapter. With widening admissibility provisions even before the 1995 *Evidence Acts* the courts were required to make decisions on which documents to exclude. The document could be put in evidence as a chattel, *a thing* bearing an inscription, or else as *a statement*, the inscription on a thing. While admissibility provisions for documentary evidence admitted the *statements* in a document in lieu of direct oral evidence and not the document as a whole, many common law provisions admitted the entire document, particularly public documents. Some understanding of the terms used to admit documents is useful, as documents are still admitted as a 'thing' or as a 'representation' (the term used instead of a 'statement') in the 1995 *Evidence Acts*.

Chapter 6 also covers the best evidence rule as well as the rules governing secondary evidence, that is how the courts dealt with admitting evidence that was not original or that substituted the original. Although the best evidence rule has been abolished in the 1995 *Evidence Acts,* Brown believes it may still apply in some cases. The chapter has some useful coverage of legal presumptions about dates and postmarks which indicate that the courts regarded the postal system as reliable, and thus the dates of the postings as correct. Presumably similar legal presumptions will apply when the Internet is considered a reliable mail system.

Chapter 7 covers the uses of documents that are not necessarily admitted as evidence but nevertheless are used in litigation, including the use of documents (written by the witness or another person) to help recall events. This chapter is of particular interest in terms of the relationship between personal memory and recordkeeping. Brown is concerned with the process of using documents for the purpose of 'refreshing' a witness' memory rather than nexus between memory and recordkeeping *per se*. The courts however, in certain circumstances, considered documents to be a better aid for recalling events than human memory.

Chapter 8 covers general admissibility provisions in all Australian jurisdictions. In this chapter we can see how the statutory provisions gradually broadened the scope for admissible documents to include provisions devised for authenticating statements of fact.[5] Brown uses as a reference point sections of the former NSW *Evidence Act* 1898 that deal with evidence of statements in documents that were clearly aimed at ensuring that the contents of the record were reliable.

Chapters 9 and 10 relate to the development of business records provisions which are of particular interest to recordkeeping professionals as they define records by their purpose rather than by their physical form. Section s14 CE, (4) of the New South Wales *Evidence Act* 1898 defines a business record saying 'the statement must have been made in the *course of or for the purposes* of the business'. The definition of a document used in business records provisions is broad enough to get around the problem of changes in the technology used to produce records. It also dispenses with problems relating to the admissibility of copies as originals. Case law referenced by Brown reveals that records which are part of a system of recordkeeping, in possession or control of a business which has a responsible recordkeeper, are likely to be admissible under business records rules.

Chapter 11 looks at the general admissibility provisions of the 1995 *Evidence Acts* and covers issues surrounding the applicability of the Commonwealth evidence legislation in particular to State jurisdictions. The chapter includes a number of tables and charts that compare the new legislation with the NSW *Evidence Act* 1898 and a flow chart on the admissibility of representations in documents in the 1995 *Evidence Acts*. The business records provisions are similar to the previous NSW Act but widened. Section 171 of the Commonwealth *Evidence Act* 1995 continues with the notion of a responsible recordkeeper who can provide relevant evidence on how business records or any other specialised records have been maintained. Importantly the Acts do not have special provisions for computer-produced evidence; instead 'first hand hearsay' or the business records provisions can be used to introduce computer records. The 1995 *Evidence Acts* deal essentially with admissibility and have little on weight of evidence found in the previous evidence acts. Many of the defects Brown identified in the existing Australian evidence laws in the first edition of his book have been addressed by the 1995 *Evidence Acts*, although he is not entirely satisfied with the new laws particularly because they still treat documentary evidence as an exception to hearsay.

Chapter 12 covers the admissibility of bankers' books of account which existed in evidence acts in every State but not the Commonwealth. They are no longer in the 1995 *Evidence Acts* as they are covered by the business records provisions. The chapter is of interest in so far as it reveals another avenue used to admit records which may otherwise have been exempted from admissibility. In some cases bankers' books of account were interpreted to extend to all kinds of banking records, not just financial records and in some jurisdictions even general business records were included. Case law referenced in this chapter indicates that computer records were admitted under these provisions if it could be demonstrated that they were a regular part of the recordkeeping of the business.

Chapter 13 is dedicated to computer-produced evidence. Brown divides the recognition of computer records as admissible evidence in most Australian jurisdictions into two approaches: the insertion of legislative provisions into existing legislation directed specifically to the admissibility of computer evidence, and the admissibility of computer records under business record provisions. It should be pointed out that these approaches have been directed to computer-generated records as hardcopy. There have also been common law approaches to accepting computer-produced evidence based on the ability to demonstrate that the computer operated correctly at the time the record was created. Brown believes the courts have been prepared to apply the common law to solve questions regarding the admissibility of computer-produced evidence and that the same arguments that underpin the reliability of the business records provisions will prevail. Computer-specific legislation such as the South Australian *Evidence Act 1929*, has a number of complex requirements for admitting computer evidence, an approach not recommended by Brown.

Chapter 14 links the 1995 *Evidence Acts* to themes covered in the previous chapters in the book. The chapter focuses on the abolition of the best evidence rule, changes to the definition of public documents so that they are now treated as any other documentary evidence, and use of presumptions which Brown considers novel in evidence legislation. It is in fact preferable to read this chapter first as it clarifies which parts of the earlier chapters are largely superseded by the 1995 *Evidence Acts*.

So why should recordkeeping professionals read this book? The fact that documents are playing an increasingly important part in litigation, not just as a

supplement to oral testimony but as reliable sources of evidence in their own right, is of central concern to a profession that sees as its hallmark the creation, capture and preservation of records as evidence of business and social activity. In addition, in order to ensure that electronic records provide the standard of reliability and authenticity required by judicial evidence, we need to understand how the courts are admitting documentary evidence in electronic form. Evidence law provides one of the strongest general legal warrants for quality recordkeeping because underlying most of its provisions on documents and records is the reliability of the recordkeeping system or process.

Brown's book provides us with an understanding of the gradual progression in the admissibility of documents as evidence in our legal system via statute and case law, the background to how the law has approached records as evidence, and the current status of the laws of evidence. His analysis shows us that the specific evidentiary rules for admitting documents have become more than exceptions to the hearsay rule. Admissibility does not prove the facts stated in the document are accurate but it is the first step to its admittance as judicial evidence. The relationship between records as judicial evidence and records as evidence of business and social activity is highlighted in the way the courts have interpreted the *admissibility* of documentary evidence.

For those of us without legal training Professor Brown's book may seem formidable. However it provides an exhaustive insight into an area of our legal system that deals with a number of fundamental concepts central to the knowledge and work of all recordkeeping professionals. It can be read as a whole or used as a reference on particular areas regarding documentary evidence as the need arises.

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Endnotes

[1]   David Maclean, 'Book Reviews - Documentary Evidence in Australia', *Australian Law Journal*, Vol. 63, No. 10, October 1989, p. 709.

[2]   R. A. Brown, *Documentary Evidence in Australia*, 2nd ed., LBC Information Services, North Ryde, NSW, 1996, p. 1.

[3]   Ibid, p.35.

⁴   Ibid, p. 66. Chapter 14 reveals that the 1995 *Evidence Acts* provide the first statutory definition of a public document in evidence legislation. Moreover it is in line with the definition of a public document found in most archival legislation that links the document to a public office, or public person exercising a function under the Crown.

⁵   The court processes for authenticating the contents of documents have some parallels to the tools used in Diplomatics. Diplomatics is defined as 'the discipline which studies the genesis, form and transmission of archival documents in relationship with the facts represented in them, and with their creators, in order to identify, evaluate and communicate their true nature'. See Luciana Duranti, 'Diplomatics, Part I', *Archivaria*, Vol. 28, Summer 1989, p. 17.

Chris Healy, *From the Ruins of Colonialism - History as Social Memory,*
Cambridge University Press, Melbourne, 1997. viii + 249 pp.
ISBN 0 521 56278 3. $29.95.

Chris Healy's book comes from the Cambridge University Press series, Studies in Australian History. This is the same series as Griffith's *Hunters and Collectors* reviewed in Volume 24, No. 2.

In this book Healy examines how history has been written, the sources used and in some cases possible sources that were not used. He also looks at the errors and omissions that have been perpetuated. In doing so the book is divided into three parts: 'In the Beginning', 'Installing Memory' and 'In the Event'.

Part 1, 'In the Beginning', is devoted to an examination of Aboriginal and non-Aboriginal accounts of Captain Cook and how his 'discovery' of Australia is remembered, memorialised and written.

Part 2, 'Installing Memory', is probably of greater interest to the archivist. Here Healy focuses on the memories that are held in museum and like collections and the way in which history has been taught and written in schools. Although not specifically concerning archives, Healy's observations on how collections are presented and perceived by those who wish to use them are useful reference points for the archivist. In his analysis of how history has been taught Healy uses the local histories written by school children as part of the 1922 jubilee of 'free,

compulsory and secular education in Victoria' to illustrate some of his points. For the archivist, Healy's observations and comments in this part of his book can help to give us a better understanding of how our readers approach their research.

Part 3, 'In the Event', focuses on two events: the Eureka Stockade and the shipwreck and subsequent rescue of Eliza Fraser. In looking at these two well known events, Healy attempts to show how history has been 'selected, recited and dispersed as social memory so that they have become, in the late-twentieth century, model historic events'.

Overall, this book makes a useful contribution to understanding how history has been written, perceived and presented. Archivists should consider reading at least Part 2 so that they may have a better understanding of their clientele.

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Katie Holmes, *Spaces in her Day: Australian Women's Diaries of the 1920s and 1930s*, Allen & Unwin, Sydney, 1995. xxix + 182pp. ISBN 1 86373 731 6. $24.95.

Spaces in her Day analyses the diaries of sixteen Australian women with a view to understanding the roles that these journals played in the lives of their creators and the insights they provide about women's experiences, especially about life-cycle phases, work and relationships. The lives of the women included cover the period from 1846 to 1984 and their diaries range from 1887 to 1965, although the majority are from the 1920s and 1930s, thus the emphasis is on the inter-war period.

Almost all the diarists discussed in *Spaces in her Day* were white, conservative, Anglo-Saxon middle class or well-to-do women. With two exceptions, they lived in Victoria, some in Melbourne, others in country towns or on the land. Some of the women remained single while others married, some had children but others

did not; between them they had a wide range of occupations and interests. Katie Holmes does not explain why she chose these particular women, but the selection represents the kind of women who were most likely to keep diaries while at the same time reflecting a diversity of life experiences despite the similarity in class, race and ethnic background.

The diaries penned by these women come from records held at the La Trobe Library (8), in private hands (6) and at the Mitchell Library (2). Some consist of multiple volumes written over many years, others were kept only sporadically or for a short period. Katie Holmes acknowledges that she first became interested in diaries because she 'assumed that women used their diaries to explore their emotions and how they felt about their lives and their daily experiences'. Using journal writing for self-therapy is common nowadays but Holmes found that her subjects' diaries were not introspective; rather they usually concentrated on 'the seemingly petty details of their daily lives'. She concludes that the women kept diaries for many reasons but that the process of writing was itself empowering: '[it] gave women the space in which to define their own lives and to shape their identities' without the fear of criticism that interaction with the wider world entailed.

As *Spaces in her Day* demonstrates, diary writing has many functions, even for the one person, even in the one volume. Many of the women used their diaries to record the transactions and processes of their lives: when they had their periods, when the children got ill and with what, when they bought or sold items and for how much, what they planted in their gardens and when. Some women recorded their feelings about the important events of their lives; others referred to them only fleetingly and unreflectively, if at all. At times women consciously wrote to provide a record for future generations, at others for the entertainment of friends and neighbours while at still others they wrote only for themselves. In their diaries some women practised their literary talents but mostly the women showed little concern for style and grammar. Some women kept diaries because it was an expected self-discipline of girls and women of their status and generation. For many the daily ritual became a life-long habit; for others, journals provided an uncensored place to confess private feelings, hopes and longings. There is also reference to the very practical use of diaries to safeguard letters and other documents of significance. Even more could probably have been gleaned about the function of these diaries if Katie Holmes had examined their physical characteristics and investigated why the volumes survived and why some of them ended up in public collections.

As well as discussing why the women kept journals, Katie Holmes looks at how their individual lives were affected by major developments of the inter-war period, as revealed by the evidence of the diaries. In particular she explores the effect of competing and conflicting beliefs about women's social role and behaviour and the impact of technology and of consumerism. She also examines how women experienced time, not only that of the workplace, but also domestic and biological time. This includes consideration of how the 'spaces' of women's lives, their places of employment, their homes, their gardens, their own bodies, and their diaries, were shaped by the intersection of private reality and public expectation. She finds the diaries a rich source for understanding how individual women resolved the questions and the dilemmas which confronted them during their lives.

Spaces in her Day is an interesting book about one of the most individual and intriguing forms of personal recordkeeping. It is difficult to generalise about the purpose and usefulness of diaries because they are so personal and so multi-functional, but they are nevertheless often significant documents even when those who kept them were not famous or well-known. Katie Holmes provides ways of looking at women's diaries which recognise their diverse uses both for their creators and their readers and hence good reasons for their preservation, in private or public hands.

Baiba Berzins

Vitaly Shentalinsky, *The KGB's Literary Archive,* translated from the Russian, edited and annotated by John Crowfoot, with Introduction by Robert Conquest, The Harvill Press, London, 1995. x+322pp. ISBN 1 86046073 9. $19.95.

In recent years we have seen a number of articles appearing in the professional literature on progress being made in opening the archives of the former USSR to researchers. Patricia Kennedy Grimsted, for example, has published a number of articles. This book provides a view from the Russian researcher's perspective of the search for records of writers who died as a result of persecution by the Soviet regime.

Shetalinsky describes his search for records that would reveal the fate of those he calls 'Stalin's writer-victims'. In doing so he brings to light the fate that beset many of these writers. Along the way he also discovers a number of important manuscripts of unpublished works. It is interesting to note that many of the writers who died were, many years later, 'rehabilitated' of their alleged crimes.

From an archival perspective it is interesting to see a book of this type. Amongst the other messages it conveys is a case study of the author's search for records. He provides us with an insight into the recordkeeping practices of the Stalinist regime and the delights and difficulties in accessing archival materials in post-communist Russia.

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Lars D Christoffersen, *ZEPHYR Passive Climate Controlled Repositories-Storage Facilities for Museum, Archive and Library Purposes*, Lund University Department of Building Physics, 1995. 139 pp. ISBN 91 88722 06 6. 200 Swedish kroner.

This book is named after Zephyrus, the ancient god of the west wind. It arose out of a thesis undertaken by Lars Christoffersen as part of his studies at Lund University.

To understand the central theme of this book, you need first to appreciate that all records, regardless of their format, need strict environmental conditions – temperature, relative humidity, light and air quality – in order to survive. What has been recognised and accepted for some time is that constant temperature and humidity levels in particular can greatly assist records protection. Frequent fluctuations in either temperature or humidity will only hasten records degradation. The key point then is that conditions must not simply be created, they need to be constantly sustained.

The fabric of most record repositories – whether it be brick or concrete – is porous and, especially in areas prone to high humidity, moisture will migrate into the storage areas. This process has to be countered. The way most institutions, particularly those in Australia, achieve stable conditions is through a sound building structure, with vapour barriers installed in the walls and floor. To this is added a full air-conditioning system.

In Europe some institutions have pursued a different path. The principle is known as 'passive climate control' or 'thermal inertia'. In essence it involves a conscious utilisation of building physics to achieve optimum storage conditions. Air-conditioning systems are generally not used. Heating is provided, but only for people comfort, and ventilation is used to ensure a regular supply of fresh air. Supporters of passive climate control cite the unreliability of air-conditioning systems and the energy saved by not using them as major advantages.

Christoffersen's book describes the process in considerable detail. He begins by discussing the typical repository in Chapter 4, the preservation requirements of record formats and the stresses to which they are subjected. He considers the different means by which records can degrade – bio, chemical and mechanical in Chapter 5. The particular effects of humidity levels on record formats are considered too in Chapter 6.

He then describes the principle in more detail in Chapter 8. Basically, it involves using materials with strong thermal mass - in essence a double cavity wall, with an air gap and a more effective use of insulation. Practical examples in Cologne and Schleswig-Holstein are provided in Chapter 9. Christoffersen acknowledges that the examples under consideration are concerned with paper storage only, not photographic or other materials.

Christoffersen reports success with the principle in Chapter 10, and at first glance it would seem to be a workable solution. It is alleged that appropriate environmental conditions are achieved, you avoid the vexations of air-conditioning systems and your energy costs are low. The best of all worlds – or is it?

However, Christoffersen's results also show that throughout the year the temperature in the storage areas regularly fluctuates from 14.5° to 20.5° Celsius and relative humidity levels between 56% and 62%. Frequent fluctuations aren't

really acceptable and the lowest humidity level, even at 56%, is still too high.

In Chapter 12 Christoffersen expounds his Zephyr model. It's a mathematical model developed to describe the thermal and moisture interactions between the outdoor climate, the building, the indoor climate and the records. This chapter is not for the faint hearted. I have long lost my understanding of calculus and found the calculations quite daunting.

In Chapter 14 Christoffersen gives an overview of the fabric that a typical repository should have. He describes exterior and interior walls as well as the roof, ceilings and floors. I found his summary to be concise and quite useful. He also expresses a very valid point: that a new archival building must be given time to acclimatise and all moisture removed from the storage areas prior to occupancy. Two weeks is an appropriate period for this acclimatisation.

At this point I should confess that I am not a great believer in passive climate control. Given the high humidity levels in Australian coastal cities, the usefulness of relying solely on building fabric as a means of maintaining stable environmental conditions must be called into question. Yet I do acknowledge an alternative view to approaches taken in this country.

In summary, *Zephyr* is a highly technical and demanding book. I think its appeal is limited to people who have a very keen interest in the design and management of archival buildings.

I should also mention that the book is a translation from an original Danish work. Though I am grateful that someone did actually translate it, it would have been helpful if they had spent more time on their grammar. There are numerous errors that, after a time, become quite irritating.

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Michael J.D. Sutton, *Document Management for the Enterprise: Principles, Techniques and Applications,* John Wiley & Sons Inc., New York, 1996. 369 pp. Paperback. ISBN 0 47114 719 2. $US44.95.

This book will be a wake-up call for many senior executives, CIOs and IT managers, not to mention attorneys and auditors, who have yet to be stung in a courtroom by not fully appreciating the importance of, and requirements for, recordkeeping functionality in enterprise document management systems (EDMS). Most EDMS products today are seriously lacking in such functionality. Developers of these products take their cues largely from CIOs and IT specialists in the organisations that constitute the marketplace for their products. It thus seems safe to assume those groups lack appreciation of recordkeeping and the risks of ignoring recordkeeping aspects of modern systems that produce electronic documents, the large majority of which constitute organisational records and evidence of the organisation's business.

Apart from being an excellent planning guide for operational managers and IT technicians contemplating or already in the midst of developing or procuring an EDMS, this book will also go a long way toward closing the knowledge gap in the area of document management in an increasingly electronic environment. The book is an eleven course meal on EDMS topics normally regarded as the fare of chief information officers or heads of IT. However, what separates this book from many others in the EDMS genre is that the author has integrated considerable archives and records management (ARM) coverage throughout. I use the term EDMS genre advisedly as searches of the reasonably current offerings of books with titles that include the words 'document' and 'management' appear to produce few when one excludes several that are in the main limited to document imaging systems. I was not able to find any others among these with coverage of recordkeeping functional requirements and related issues.

CIOs who recognise that EDM systems are producing discoverable evidence that may place the organisation, including system managers at serious legal risk will be certain to ensure that ARM specialists will be well represented in their systems requirements and development teams. These professionals are now being invited to the table by some CIOs and are struggling to understand the information management and technology (IM&T) perspective and technical jargon, and to

frame ARM needs and concerns in language that their IM&T counterparts will both understand and support. At the same time, IM&T specialists lack any foundation in recordkeeping, a form of document management that is more rigorous than that to which they are accustomed. This book offers an excellent guide for both groups, and for executives to help them catch up with the growing trend in the modern workplace toward the use of enterprise-wide knowledge and information-based technologies that bring with them profound changes in the manner in which records are created and managed.

Archives represent records of continuing or permanent value to the organisation and typically constitute around 5% of total records. The remainder must be systematically destroyed according to schedules agreed by the ARM function and operational managers responsible for the business areas that produce the records. Yet reality for most organizations is that it will not be practical to digitise the majority of information assets currently in paper form. Moreover, and often because of explicit IT storage administration policies, a growing number of electronic records are being routinely destroyed after 30-60 days with no regard for their continuing value to the organisation and often before they should be according to established record retention schedules. The result is often that records that could be more efficiently maintained in electronic form, including email, are being printed and sent to paper file centres- significantly increasing the number of new paper records and adding to the subsequent conversion to microform- or are scanned back into digital form at considerable unnecessary cost to the organisation. Thus, for most organisations there will be a continuing need to manage information stored in non-digital form and for these resources to be carefully linked to digital holdings managed in EDM systems.

The information management and information technology coverage is excellent. Texts on information management and technology often address only information technology. The author has provided an excellent balance between information management and information technology coverage. There is good coverage of *de facto, de jure*, and what Sutton refers to as *de jour* information standards. This coverage is more explanatory and descriptive than prescriptive. The IT coverage does not, however, include discussions of intranets, extranets and WWW technologies and related opportunities and risks, including opportunities to use this technology to deliver multimedia recordkeeping services. This is chiefly due to the fact that the emergence of intranets and extranets has taken off sharply since the book was

written, as new as it is. This is also a comment on the growing frailties of traditional publishing techniques when dealing with technological subjects: a book like this is written in 1995, finalised and published in 1996 and reviewed in 1997 (if one is fortunate given the very long lead time for most professional journals). Nonetheless, the planning and implementation lessons found in the book are still very relevant.

The records management sections include excellent coverage of such topics as distinguishing between document and records management, controlled vocabulary/thesauri and legal issues – all topics that will be hotly debated between IM&T and ARM professionals in any interdisciplinary EDMS development team (but maybe not otherwise). Apart from clearly identified recordkeeping chapters/sections, including some on functional requirements for recordkeeping, Sutton offers considerable insights for the IM&T specialist on the recordkeeping aspects of meta-data/document-profiles/data-dictionaries, conversion of legacy documents, OCR/ICR, multi-media and version control. Of interest to both IM&T and ARM professionals is considerable coverage of other topics of growing concern, such as e-mail, business systems analysis/process management, workflow systems, cost/benefits analysis and interdisciplinary team building. The author clearly understands that EDMS is not purely a technical endeavor.

The book is spiced with excellent asides from the author's consulting experiences. For example, providing best-practice lessons gained only through painful experiences: 'Training should be delayed until one week before a business unit is set to convert. As a general rule, you can expect 50 to 75% of training to be forgotten within two or three weeks, especially if it is not applied. The last thing an organisation wants is to train the whole staff when it will be five months before some trainees ever see the product.' (p.311) This type of practical advice provides a good balance between the author's theoretical and practical underpinnings and gives the reader a sense of his well deserved credibility.

Even the title of the book demonstrates the author's insights into the treatment of information as an organisational asset. Though for a niche professional community it stands for 'engineering document management systems', normally the abbreviation 'EDMS' means 'electronic document management system'. Although managing electronic documents alone is a daunting task to begin with, modern organisations – particularly those with a knowledge-management mandate – must manage all kinds of documents, or *documentation* to embrace the broadest

concept of documentary objects, not just electronic documents. They must do that on a global organisational or enterprise level. Sutton makes an excellent contribution, setting the stage for this kind of global information management thinking by giving to EDMS the meaning *enterprise* document management system'. He does this not just in title but in content in his commentary on conceptual, logical and physical architectures for EDMS.

Although one of its greatest strengths is its well crafted integration of records management considerations into the broader EDMS fabric, CIOs should not assume that the ARM professionals in their own organisations will agree with everything the book has to say about recordkeeping. That should not be a put-off however as there are both legitimate professional differences of opinion and differences in organisational needs with some of these topics. Moreover, it will be difficult to find other document management texts that seriously address these subjects at all. What is important is that the author provides an excellent check-list of topics for organisations developing EDM systems.

The author is fast on the draw when it comes to pointing out that ARM professionals have seen their role as passive custodian and do not keep up with important technological and workpattern changes. These are fair criticisms that are by now familiar to most ARM professionals. He is not so fast, however, in pointing out that senior executives, CIOs and IM&T professionals – even attorneys – also elevate organisational risk factors by making major technological decisions and investments without due regard for the recordkeeping and litigation risks associated with modern EDMS, or that EDMS specialists - including vendors producing these products - continue to take their functional requirements cues from RFP specifications written by IM&T specialists who have little if any understanding of recordkeeping requirements, including some that are dictated by laws or regulatory warrants. He does not point out that developers of EDMS remain largely unaware of the field of diplomatics (the study of documents and their relationships to their creators and underlying acts) and its implications for EDMS. Nor does he challenge all these groups for sharing in the risks that such ignorance has brought to many organisations.

Sutton uses the term *life cycle* on several levels: document, process, EDMS engineering and EDMS project. At the engineering level, the Sutton Enterprise Document Engineering Life-Cycle (SEDE) stipulates that all documents 'must

be managed according to a document life-cycle – an object management technique for tracking and controlling document objects [...] stages are [to] define, analyse, originate, safeguard, promulgate, and retire [...] Value added at each phase is a prerequisite for triggering the next phase. The phases are sequential and temporal, so they have limited life spans.' (p.42)

Similarly, some professionals will view the approach as too 'docu-centred' for recordkeeping, especially at a time when archivists are increasingly turning to macro-appraisal and scheduling at the system application or business process levels. Ironically, modern EDMS are likely to make macro-appraisal feasible. This may be more a matter of interpretation. Sutton espouses both a docu-centered and a macro-view when he says 'Documents are the heart and soul of an organisation. They are the lifeblood of business processes. A document is a process in motion, while a process is a document not yet at rest.' (p.34) Document management is described as 'the process of overseeing an enterprise's official business transactions, decision-making records, and transitory documents of importance.' (p.9)

IM&T and ARM professionals engaged in EDMS planning and implementation should concern themselves with the EDMS centrality issue. This is not simply a turf matter. It is a serious architectural question over which IM&T professional and librarians on the one hand, and ARM professionals on the other, may find themselves at odds in the EDMS design project. The former groups are typically accustomed to seeing documents and books as largely independent objects ('composite objects' in today's multimedia world of compound and complex documents) and to addressing relationships within documents – parts (in the SGML sense), embedded objects, versions and so on. By contrast, ARM requirements necessitate their being seen as existing in the context of other documents and bodies of documents. Where ARM specialists place emphasis on archival description, information managers may be satisfied with minimal metadata contained in document profiles. Where ARM specialists are heavily vested in document classification by file schemes, records series/groups and index terms, information managers rely more on a combination of fuzzy/full-text search, thesauri and good document profiles as a less constraining, more robust approach that is better geared to modern organisational structures, processes and realities. Where IM&T specialists tend to regard the declining storage costs as a way to eliminate some recordkeeping problems by just keeping everything indefinitely, ARM professionals are concerned about the long-term ability of organisations to

navigate through very massive textbases to find needed records, several decades hence. Moreover, they are likely to be more aware of legal problems that organisations have run into by keeping certain classes of records longer than was necessary.

Perhaps ARM professionals need to be more open to the new possibilities afforded by modern technology. They should not simply react to new technology, but learn how to put it to work for the organisation's legitimate recordkeeping needs. Similarly, EDMS designers should more fully recognise the serious risks they open their organisations to by not properly accommodating those needs. Senior managers responsible for core business aims and processes need to better appreciate their own roles in ensuring greater integration of the document and records management interests of their organisations – a major challenge to those engaged in EDMS projects. This book will serve all of these groups well in these essential undertakings.

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Report

Hartmut Weber and Marianne Dörr, *Digitization as a Method of Preservation? Final report of a working group of the Deutsche Forschungsgemeinschaft (German Research Association)*, European Commission on Preservation and Access, Amsterdam and the Commission on Preservation and Access, Washington, 1997. 27pp. ISBN 90 6984 190 8. Available in Europe from the European Commission on Preservation and Access, PO Box 19121, 1000 GC Amsterdam, The Netherlands.

Distributed in all other countries by the Commission on Preservation and Access, 1400 16th Street, NW, Suite 740, Washington, DC 20036-2217 as *Digitization as a Method of Preservation?*, 1997. 24pp. ISBN 1 887334 53 6, $10.00.

Situating this report in the context of the opportunities presented by digital technology, the authors note that 'in preservation the enormous potential of digitisation for access should be combined with the stability of microfilm for long-term storage. The present study was commissioned to investigate the relationship between the two methods and to establish how the two could be profitably combined'. The report makes recommendations in the areas of picture quality, format, compression, storage form, system requirements and financial viability and Optical Character Recognition (OCR).

The question of whether endangered books and archives should be filmed or digitised is briefly tackled in the first chapter. The authors note that microfilm is human readable, increasingly standardised, age-resistant, economic and also able to be economically digitised. For these reasons, they recommend microfilming and subsequent digitising. They note here that digitisation cannot be relied upon as a preservation technique but is useful as a mechanism for access.

Reflecting the more practical aspects of the group's project, the second chapter considers the requirements for microfilming. Film type and quality, filming technique, management of the filming process, filming system, digitisation of existing films and differing recommendations for colour microfilm are discussed. The report notes a number of additional requirements that should be addressed

in all microfilming projects to allow for the possibility of future digitisation.

Following the discussion of the requirements for filming, Chapter 3 makes recommendations for the digitisation of microfilm. The authors recommend that, because digitisation is for access rather than preservation, digitisation need only be done to a level sufficient for the intended purpose. This seems to conflict with their recommendation that efforts should be made to preserve the digitised information even when the digitised version is not a preservation medium.

Chapter 4 contains a very brief report of tests comparing microfilm and digital storage formats. The main result is that 'digital systems do not yet achieve the high resolution of microfilm' and that 'we cannot yet recommend digitising from the original'.

Despite having recommended that digitisation be conducted after microfilming, the authors, in Chapter 5, discuss the practice of digitising from the original and precautions that should be taken when it is the only copy of the information.

The authors conclude that 'microfilm has continuing priority as a recording and storage medium on the grounds of quality and 'future proofing'. As a medium of production for required documents, the digital form, with its advantages of swift and remote access, in a quality depending on the intended use, should be used. Direct digitisation can achieve a result of higher quality in only a few cases'. They note that many of the conclusions made in this report are technology, and therefore time, dependent and will not have long term validity.

While this report raises many of the issues surrounding both microfilming and digitisation, its intention is a little unclear. It addresses some of the overarching management issues but tends to provide advice at a practical rather than theoretical level. However, for many practitioners, the practical information given is unlikely to be sufficiently detailed to equip them to embark on a microfilming/digitisation project. Hence the report can be considered a useful overview on the subject of the relationship between digitisation and microfilming without being the definitive reference.

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