Records management and librarianship traditions

Supporting information architecture for intranet/portal environments
Background

• Portal implementation
  – Oracle9iAS
    • “You need a taxonomy”
      – A what?
  – Framing the solution (terminology)
    • Oracle guidelines mapped with pre/post coordination
    • Information retrieval
      – A job for our librarians!
        » (Milne, C. and MacCabe, D. 2004)
  – What citation order?
    • Subject approach not working out
    • Function, activity, transaction?
      – (Milne, 2007a)
    • Hypothesis tested (pilot)
Background

• Work experience + MSc
  – From taxonomy to information architecture
    • Are librarians shaping the (information retrieval) debate?
    • A role for records managers?
      – Functional classification
        » UAD case study: JISC infoNET award 2008

• Re-visiting information retrieval
  – Wider debate incorporating functional approaches
    • Additional influence?
    • Developing a multi-disciplinary approach?
Demystifying taxonomy: classification revisited

• Primary taxonomy
  – Pre-coordinate
  • Hierarchy Virtual taxonomy

• Virtual taxonomy
  – Post-coordinate
  • Metadata to support search


• A role for the librarian!
Applying classification?

• Task 1: create a system of organisation
  – Repeatable model
  – Future proof

• What citation order?
  – Subject approach (lacking)
  – Administrative (ruled-out)
  – Subject + document type (?)
An alternative approach

• Classifying records and documenting their content?
  – Context not subject

• Widely documented and practiced
  – ISO-15489-1:2001
  – National Archives, National Archives of Australia
  – Shepherd & Yeo (2003)
  – Local government classification scheme (UK)
An alternative approach?

“Classification by function is based on the context of a record’s creation and use, rather than on the context of the record itself. This means the record will be classified according to why it exists – i.e., its function – rather than what it is about – i.e. its subject” (National Archives of Australia, 2003, p.7)

• Deliberately distanced from the (traditional) subject approach
Out of sight – out of mind!

• “To date, the contribution of archivists and records managers in developing taxonomies and associated information retrieval solutions appears to be understated in comparison with the perceived role of the librarian” (Milne, 2007a, p.8.)
Function

- Major responsibilities undertaken by organisations in fulfilling their purpose;
- Distinct from formal organisational structures.

(Shepherd & Yeo, 2003, p.51)

- Teaching and learning
- Research
- Developing and rewarding people (human resources)
Activity

• Substantive area of work, undertaken to support its parent function:
  – Time-limited
  – An instance of a process
    • Each time a member of staff is employed a recruitment process will have been completed
Transaction

• "the smallest unit of business activity… they should be represented as tasks, not subjects or record types"
  (National Archives of Australia, 2002)

• On completion transactions normally have a singular outcome
Function, Activity, Transaction

<table>
<thead>
<tr>
<th>Function</th>
<th>Human resources (managing and developing people)</th>
<th>Activity</th>
<th>Staff development</th>
</tr>
</thead>
</table>
| Transaction | | | • Career review  
| | | | • External training  
| | | | • Induction  
| | | | • Internal training  
| | | | • Succession planning |
Function, Activity, Topic, Sub-Topic

Function → Human Resource Management

Activity → Recruitment

Topic → Pre-recruitment

Sub-topic → Authority to recruit
- Fixed term contracts

Selection
- Interview
- Practical test
Hypothesis (Milne, 2007a)

- Functional classification to support portal/intranet development
  - Stable (future proof: business functions and activities)
  - Flexible (incorporate new topics)
  - Holistic view of events

<table>
<thead>
<tr>
<th>Business Classification Scheme</th>
<th>Records Classification Scheme</th>
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</thead>
<tbody>
<tr>
<td>• Function</td>
<td>• Function</td>
</tr>
<tr>
<td>• Activity</td>
<td>• Activity</td>
</tr>
<tr>
<td>• Transaction</td>
<td>• Topic</td>
</tr>
<tr>
<td></td>
<td>• Sub-topic</td>
</tr>
</tbody>
</table>
Case study: Abertay Knowledge

• Re-development of the University QA/QE repository

• DIRKS-Methodology (Step B) reviewed

• Function definition: QE/QA

• 10 Activity areas identified

• Taxonomy schedule developed
# Taxonomy schedule

## Function: Quality Enhancement/Assurance

### Activity: Teaching, Learning and Assessment

- **Topics** (place here: Institutional strategies, policy and procedures for developing and enhancing teaching & learning and employability
  - **Sub-topics**

- **Assessment** Academic regulations and associated procedures
  - Mitigating circumstances
  - Examination rules & regulations
  - Academic appeals
  - Academic deceit
  - Code of assessment principles
  - Assessment archiving

- **Timetables / Academic calendar**
- **Enhancing teaching & learning**
  - Teaching fabric
Building the physical taxonomy
Information on academic management (Senate), executive management (SMG), financial compliance, governance (Court), health and safety, and the legal and quality frameworks of the University.

Information on the University mission and strategy, together with the planning, reporting and risk management processes in place and the outputs of these processes.

Information on the annual and periodic approval and review of modules, programmes, collaborations, external examiners, professional accreditations.

Information on the academic regulations, assessment, calendars and timetabling, enhancement and teaching space issues, and key University strategies which influence teaching, learning and assessment developments at Abertay.

Information on admission, bursaries/grant aid, complaints, discipline, financial support, induction, graduation, recruitment, registration/fees, records, special needs, welfare advice, and withdrawal from study.

Information on research ethics, funding, the RAE, the periodic review of research degrees provision, research strategy, research student regulations and procedures, and supervision.

Information on the commercial activities of the University, including the commercial activities, register and intellectual property policy.

Information and policies relating to Human resource management at UAD. Currently this section includes a link to the Human Resources portal pages as well as information on strategy and training.

Information governance and security
Strategies, policies and procedures concerning the effective use and safeguarding of the University information, records and data.

Policies, strategies and procedures relating to the physical infrastructure of the University.
Building the physical taxonomy: activity and topic

Optional Page Properties
Enter the e-mail address of the user to contact about the page. Choose a category and one or more perspectives to classify the page, and enter keywords that describe or purpose of the page.

Contact E-mail

Category
Student administration and support

Keywords

Available Perspectives
Academic regulations
Annual review
Assessment
Business development
Calendar
Collaboration
Complaints

Displayed Perspectives
Admissions
Holistic view of topics

Assessment

Information on examination rules/procedures, mitigating circumstances, academic appeals, and academic deceit (plagiarism)

Documents

- Academic appeals policy and procedure
- Academic deceit policy and procedures
- Assessment procedures
- Assessment (including examinations) arrangements for students with disabilities
- Assessment code of principles
- Assessment board guides for programme boards
- Assessment board guide for subject boards
- Examination conduct (procedures for staff)
- Examination invigilation duties
- Examination rules for students
- Mitigating circumstances policy and procedures
Did it work?

• Reasonably sound system of organisation
  – Grouping by context
    • Complete view of a task
  – No more than four clicks to content

• Stable, flexible
  – No substantive change at activity level since launch
  – New topics incorporated

• Repeatable
  – Methodology extended
    • Library, managing people, managing & developing University Estate, Finance
From taxonomy to information architecture

• MSc (records management)
  – What is information architecture?
  – Role of information professional: information retrieval

• “If you wanted to know the meaning of a word you should see how its used” (Gilchrist, 2003, p.14)

• Review of
  – IA job descriptions, person specifications
  – Information architecture course syllabi
  – Literature
  – On-line communities
<table>
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<tr>
<th>Information architecture systems</th>
<th>Allied information retrieval concepts/components</th>
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</thead>
<tbody>
<tr>
<td>Organizing systems</td>
<td>Overcoming information overload, classification, cataloguing, understanding users information seeking behaviours, hierarchy creation, entity relationships</td>
</tr>
<tr>
<td>Labelling systems</td>
<td>Subject headings, index terms, content (subject) analysis</td>
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<tr>
<td>Navigation systems</td>
<td>Hierarchical classification, indexes</td>
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<tr>
<td>Search systems</td>
<td>Post coordination, Boolean logic, metadata, controlled vocabularies, recall/precision in search, indexing</td>
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<tr>
<td>Thesauri, controlled vocabularies and metadata</td>
<td>Faceted classification, semantic relationships, thesauri, thesauri standards, controlled vocabularies, metadata</td>
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</tbody>
</table>
Functional classification: what role in developing IA?

• Hierarchical classification limited
  – Faceted classification “is the future”
    • Institute of Information Architects (Library)
    • Literature review
      – (Morville and Rosenfield, 2002) (Broughton, 2006)
    • SIGIA-L
      – Faceted classification active discussion area

• Functional classification essentially hierarchical!
Functional classification: what role in developing IA?

- Topic, product, document type, audience, geography, price
  - S.R. Ranganathan view of facets, alternative view offered
  - Business focus
  (Morville and Rosenfield, 2007, p.222-226)

- Function, activity, topic, sub-topic as facets?
  - Also rooted in the business world!
Function, activity, topic, sub-topic as facets

• Function, activity, topic
  – Derived from taxonomy structure
    • Thesaurofacet

  – Controlled vocabulary
    • Index pages, and
    • Content published to pages
**Figure 11** Search metadata derived from the (functional) classification

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University records management policy
Create Date: 01-JUL-2008 Page Group: Abertay Knowledge Information governance and security Records management

Function
Activity
Topic

University guidelines for managing enquiries: Freedom of Information (Scotland) Act 2002
Create Date: 01-JUL-2008 Page Group: Abertay Knowledge Information governance and security Freedom of information

Archiving policy student records
Create Date: 01-JUL-2008 Page Group: Abertay Knowledge Information governance and security

University records management policy
Create Date: 01-JUL-2008 Page Group: Abertay Knowledge Information governance and security Records management

Freedom of Information (Scotland) Act 2002 - handling requests for information; managing employee correspondence during periods of absence
Create Date: 03-SEP-2008 Page Group: Abertay Knowledge Information governance and security Freedom of information Legislative compliance

Data protection policy
Create Date: 13-MAR-2008 Page Group: Abertay Knowledge Information governance and security Data protection

Freedom of Information (Scotland) Act 2002: University procedures for undertaking a review
Create Date: 13-MAR-2008 Page Group: Abertay Knowledge Information governance and security Freedom of information
Key findings

• Functional classification worked
  – Case study (Abertay Knowledge)
    • Organising, labelling, navigation, search, thesauri (limited),
      controlled vocabulary and metadata
      – Evidence to support the initial hypothesis (Milne 2007a)
      – Recognised by JISC (Milne, 2007b)
    • Methodology extended at Abertay

• Function, activity, topic, sub-topic as facets
  – Suggestion that there is a limited role for hierarchical
    classification in IA
Key findings

• Information retrieval for information architecture
  – Librarianship philosophies and techniques (continue to) dominate
  • Literature
    – (Chowdhury and Chowdhury, 2007)
    – (Batley, 2007)
    – (Morville and Rosenfeld, 2007)
  • IA course design (IR elements)
Key findings

• IR philosophies and techniques allied to RM
  – Blind spot in the IR and IA subject disciplines
  – Re-assessment of multi-disciplinary input
  – Desirable to extend coverage

• Additional areas for research (RM for IA)
  – Electronic records and metadata standards
Key findings

• Professional development for RM: faceted classification
  – Hierarchical classification dominant
  – Evidence to suggest low level of awareness of amongst RM
A final word

3 [Sigia-I] RE: Function Facet? (Re) -- rank: 1000
Amanda, Could you share some pointers to good records management overviews or introductory articles that might be useful ... associated vocabulary is a very commonly used strategy for records management. There is a great deal in the records management literature about functional classification, with vocabulary as ... be better asking this question on some of the records lists - Recmgmt-L is one of the main ... that IAs don't seem to think much about records management - (I was really struck by it when ... which might be sources of IAs fails to include records managers) - and believe me, there are strong similarities between ...
Poster’s Name: Peter Morville
Poster’s Email: morville_at_semanticstudios.com
Message Date: 2005-05-01 13:18:35 EDT

4 [Sigia-I] Function Facet? (Re) -- rank: 991
... associated vocabulary is a very commonly used strategy for records management. There is a great deal in the records management literature about functional classification, with vocabulary as ... be better asking this question on some of the records lists - Recmgmt-L is one of the main ... that IAs don't seem to think much about records management - (I was really struck by it when ... which might be sources of IAs fails to include records managers) - and believe me, there are strong similarities between ...
Poster’s Name: AF Cossham
Poster’s Email: cossham00
Message Date: 2005-04-30 06:06:28 EDT
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  – Qualified librarian and records manager
• Information Manager: University of Abertay Dundee
  – Records/information management
  – Information governance
  – Risk management
  – Project management (PRINCE2)
  – Shared services/collaborative working (smartcard)
  – Information literacy
References


References


