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SI 580 Understanding Records and Archives: Principles and Practices

Week 10 – Records and Record Keeping
Systems



Themes of this presentation

Themes

- Public programming & outreach
- Communication, workflow, organizations
- Record keeping systems
- Archives in the Digital Environment



Public programs & outreach

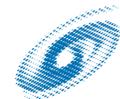
Themes

Public Programming & Outreach

Record Keeping Systems

Archives in the Digital Environment

- Efforts by repositories to communicate to the public/clientele/targeted groups:
 - archives are important to creating organization and society
 - types of unique materials held by the archives and their value
 - archivists are critical to successful management of the historical record



Purposes of public programming

Themes

Public Programming & Outreach

Record Keeping Systems

Archives in the Digital Environment

- service to society
- increased financial support
- greater use
- obtain increased understanding of clientele and their needs
- enhance image of program and value of archives



Types of public programming

Themes

Public Programming & Outreach

Record Keeping Systems

Archives in the Digital Environment

- brochures
- newsletters
- av productions
- workshops
- exhibitions
- special events
- conferences
- press releases
- educational programs
- presentations
- friends programs



Building a public outreach program - considerations

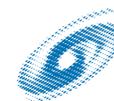
Themes

Public Programming & Outreach

Record Keeping Systems

Archives in the Digital Environment

- how well is repository known to clientele / potential clientele?
- has repository identified major user groups?
- has repository dedicated adequate resources to public programming?
- does repository understand that outreach can assist other core program functions?
- does staff understand and have commitment to public programming?



How records fit into the communications, workflow, structure of modern organizations

...1

Themes

Public Programming &
Outreach

Record Keeping Systems

Archives in the Digital
Environment

- Yates case studies demonstrating the interrelationships among:
 - management functions
 - communications technologies
 - communication genres



How records fit into the communications, workflow, structure of modern organizations ...2

Themes

Public Programming &
Outreach

Record Keeping Systems

Archives in the Digital
Environment

- **Upward reporting**
 - financial / statistical data & reports
 - fed into management planning
- **Downward reporting**
 - rules, procedures, circulars, notices
 - depersonalized office from individual holding it
- **Lateral reporting**
 - memoranda to document positions



Yates demonstrates roles of records in systematizing, rationalizing, and routinizing office work

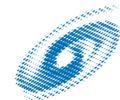
Themes

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Record Keeping Systems

Archives in the Digital Environment

- Development of routine structured reporting (blank forms, report formats)
- Development of documentary forms / genres to facilitate reporting
- Development of language conventions (formalism for internal communications)
- Development of nascent organizational memory (vertical filing, indexing, copies)



Impact of computerization

(Bikson, Bearman)

Themes

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Record Keeping Systems

Archives in the Digital
Environment

- New organizational forms
- New communications practices
- New records forms
- Increased decentralization of records
- Technology convergence



New organizational forms

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Outreach

Record Keeping Systems

Archives in the Digital
Environment

- flatter hierarchies
- broader participation
- more teamwork
- greater boundary permeability



New communication practices

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Outreach

Record Keeping Systems

Archives in the Digital
Environment

- greater speed and flexibility
- denser connectivity



New records forms

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Outreach

Record Keeping Systems

Archives in the Digital
Environment

- breakdown of familiar forms whose content, structure & context and associated generating transaction are self evident
- emergence of unfamiliar forms whose content, structure & context and associated generating transaction are not self evident
- examples?



Increased decentralization of records

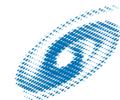
Themes

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Outreach

Record Keeping Systems

Archives in the Digital
Environment

- impairment of central filing systems
- hardware and software incompatibilities



Technology convergence

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Record Keeping Systems

Archives in the Digital
Environment

- previously separate media technologies (sound, video, text, images) are now available from a single desktop computer



Key questions

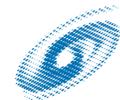
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Record Keeping Systems

Archives in the Digital
Environment

- how can we ensure that information in computer systems are records (evidence of transactions)?
- what are the attributes of "recordness"?
- how do we capture these attributes and link them to a record's content, structure and context?
- how do we create, implement, manage recordkeeping systems?



Characteristics of recordkeeping systems (AS4390; ISO 15489)

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Record Keeping Systems

Archives in the Digital
Environment

- information systems which capture, maintain, and provide access to records over time
- defines “information systems” as organized collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.
- Provides methodology for constructing recordkeeping systems



Characteristics of recordkeeping systems

(U.S. NARA)

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Record Keeping Systems

Archives in the Digital
Environment

- manual or automated system in which records are collected, organized and categorized to facilitate their preservation, retrieval, use, and disposition
- notes that an “electronic recordkeeping system” may be either a distinct system designed specifically to provide recordkeeping functionality or part of another system.



Attributes of recordkeeping systems ...1

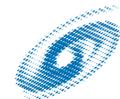
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Record Keeping Systems

Archives in the Digital
Environment

- facilitate distinction between records and non-records
- provide grouping of related records into classifications by series or programs
- permit easy and timely retrieval of individual records and files or other groupings of related records (e.g., by function or program)



Attributes of recordkeeping systems ...2

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Record Keeping Systems

Archives in the Digital
Environment

- provide access to those with proper permissions
- facilitate scheduling and disposition
- allow segregation of permanent and temporary records
- retain records in a usable format until their authorized disposition date



Recordkeeping systems must be:

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Record Keeping Systems

Archives in the Digital Environment

- **COMPLIANT**
 - with all legal and regulatory requirements
- **ACCOUNTABLE**
 - includes requisite policies and assigned responsibilities
- **FUNCTIONAL**
 - captures, maintains, and provides access to records over time



Recordkeeping systems can be enabled via a combination of

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Record Keeping Systems

Archives in the Digital
Environment

- **POLICY**
 - guidelines for use (e.g., creation, access, retention...)
- **DESIGN**
 - structuring systems specifications
- **IMPLEMENTATION**
 - training program for desired usage
- **STANDARDS**
 - use of information technology and / or other standards



Archives in the Electronic Environment

Themes

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Outreach

Record Keeping Systems

**Archives in the Digital
Environment**

- virtual objects which challenge aspects of archival administrative practices!?
- persistent technology change
- early lifecycle involvement!?
- custodial and non-custodial approaches to control (physical custody and (not versus) virtual control strategies)
- identification of provenance (functional as opposed to organizational unit identification)
- decrease in mediated access, increase in distributed access



Thank you!

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