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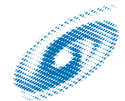
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SI 580 Understanding Records and Archives: Principles and Practices

Week 4 – Basic Archives and Records
Management Concepts

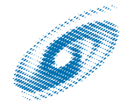


Themes of this week

Themes

- Definition of a record
- Principle of provenance
- Principle of original order
- Series
- Fonds / Records Group
- Organizational functions
- Recordkeeping requirements / warrant

“Pithy quote”



What are Records?

1 Definition of a record

2 Principle of provenance

3 Principle of original order

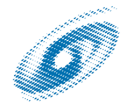
4 Series

5 Fonds / Records Group

6 Organizational functions

7 Recordkeeping
requirements / warrant

- recorded information
- in any of form or format
- created or received, and maintained / accumulated
- by an entity (person, institution, organization)
- in the transaction of business / conduct of affairs
- and kept as evidence of that transaction
- or preserved for its informational value



Principle of Provenance (aka Respect des Fonds)

1 Definition of a record

2 Principle of provenance

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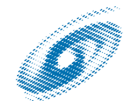
7 Recordkeeping
requirements / warrant

■ Provenance

- Organization or individual that created, received, or accumulated and used a particular set of records in the conduct of business

■ Principle of Provenance

- Records / archives of the same provenance are not to be mixed or combined with the records / archives of another provenance



Principle of Original Order

1 Definition of a record

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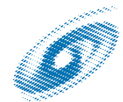
7 Recordkeeping
requirements / warrant

■ Original Order

- Order in which records / archives were accumulated and kept when they were in active use

■ Principle of Original Order

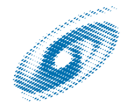
- The order in which records and archives were accumulated and kept while in active use should be preserved



Series

- 1 Definition of a record
- 2 Principle of provenance
- 3 Principle of original order
- 4 Series**
- 5 Fonds / Records Group
- 6 Organizational functions
- 7 Recordkeeping requirements / warrant

- Records / Archives having the same provenance which belong together because:
 - they are part of a discernable filing system (alphabetical, numerical, chronological...)
 - they result from the same activity / function
 - they are similar in format / form / content



Series examples

1 Definition of a record

2 Principle of provenance

3 Principle of original order

4 Series

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7 Recordkeeping
requirements / warrant

- Accounts
- Agendas
- Annual Reports
- Bank Statements
- Budgets
- By-Laws
- Case Files
- Contracts
- Correspondence
- Directives
- Invoices
- Lectures
- Maps
- Minutes
- Organizational Charts
- Payrolls
- Photographs
- Press Releases
- Proposals
- Publications
- Speeches
- Videotapes



Series example: James J. Duderstadt Papers

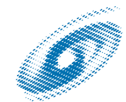
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■ Paper Documents

- Biographical / Background Material
- Speeches and Accompanying Material
- Computer Printouts of Speeches
- Position Papers
- Publications (Legacy Documents)
- Presentations
- Correspondence
- Research
- Topical Files
- Presidential Transition Files
- Strategic Planning

■ Digital Documents

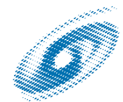
- Speeches
- Idea Files
- Strategy
- Position Papers
- Presentations
- Write Files
- Legacy Documents
- Digital Images



Series example: Republican Party (Michigan). State Central Committee

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- Annual Reports / Executive Committee Meetings
- Chairman's Files (subseries by individual chairmen)
- Staff Files / Department Files (subseries by individual staff and departments)
- Topical Files
- Campaign Files
- Convention Files (subseries by national and state conventions)
- Miscellaneous
- Sound Recordings
- Photographs



Record Group / Fonds

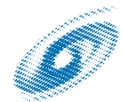
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■ Record Group

- A body of organizationally related records established on the basis of provenance by an archives for control purposes.

■ Fonds

- The whole of the records, regardless of form or medium, automatically and organically created and/or accumulated and used by a particular individual, family, or corporate body in the course of that creator's activities or functions.

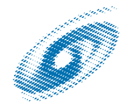


Organizational Functions

- 1 Definition of a record
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■ Function

- Activity directed at carrying out a mission for an organization
- Major responsibility that supports the mission / goals of the organization



Functions: examples

1 Definition of a record

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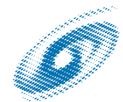
7 Recordkeeping
requirements / warrant

■ Archival functions

- Appraisal
- Arrangement & Description
- Preservation
- Reference Services
- Public Programming

■ Records Mgmt functions

- Scheduling
- Vital Records Protection
- Disaster Planning & Recovery
- Forms / Directives / Reports Management



DECOMPOSITION:

Function -> Process -> Activity -> Transaction

1 Definition of a record

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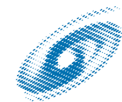
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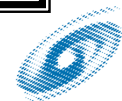
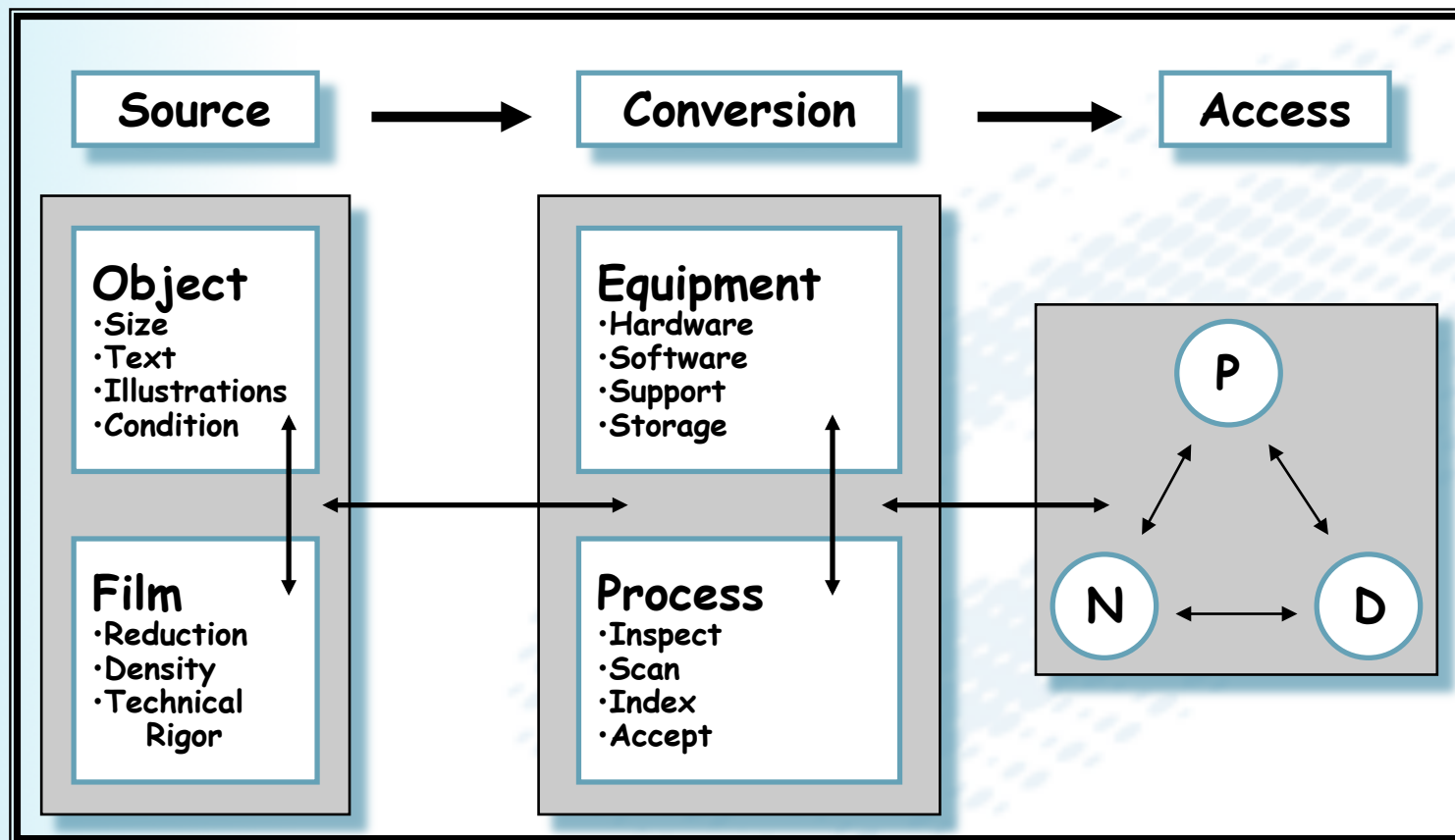
6 Organizational functions

7 Recordkeeping
requirements / warrant

- Function: major responsibility that supports the mission / goals of the organization
- Process: series of ordinal steps that combine to support a given function
- Activity: individual step within a given process
- Transaction: specific occurrence within a given activity



Process Model – Digital Scanning



Decomposition: example drawn from ISO 15489 & AS4390 ...1

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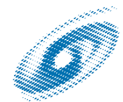
7 Recordkeeping
requirements / warrant

■ Function:

- Design and implement recordkeeping system

■ Process:

- Preliminary investigation
- Analyze business activity
- Identify recordkeeping requirements
- Analyze existing systems
- Identify strategies for recordkeeping
- Design recordkeeping system
- Implement recordkeeping system
- Post-Implementation review



Decomposition: example drawn from ISO 15489 & AS4390 ...2

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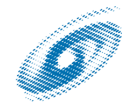
■ Activity

- Interview key staff about the performance of the new recordkeeping system via a questionnaire

■ Transaction

- Interview transcripts

■ Functional decomposition identifies link between functions and records



Recordkeeping Requirements

1 Definition of a record

2 Principle of provenance

3 Principle of original order

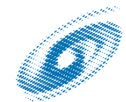
4 Series

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7 Recordkeeping requirements / warrant

- Recordkeeping practices mandated by society-identified via compilations and guidelines, legal research, organizational analysis
- Over 1,000 federal statutes and regulations govern the retention of records and there are state, county, and municipal regulations as well
- Regulated activities / industries include: agriculture, banking, communications, construction, health care, manufacturing, transportation, utilities...



Recordkeeping Requirements: examples

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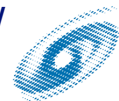
7 Recordkeeping requirements / warrant

- General U.S. Occupational Safety and Health Administration's Recordkeeping <<http://www.osha.gov/recordkeeping/handbook/index.html>>

- San Diego Air Pollution Control District, Rule 260.545. Recordkeeping Requirements <www.arb.ca.gov/DRDB/SD/CURHTML/R260-545.HTM>

- Fair Labor Standards Act Recordkeeping Requirements <www.dol.gov/esa/regs/compliance/whd/whdfs21.htm>

- Pesticide Recordkeeping Requirements for... <<http://pods.dasnr.okstate.edu/docushare/dsweb/HomePage>>



Recordkeeping Requirements: Sources

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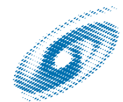
- Code of Federal Regulations

<http://www.gpoaccess.gov/cfr/index.html>

- Information Requirements, *Retention Manager* (software)

- ARMA International, *Washington Policy Brief*

<http://www.arma.org/legal/us/index.cfm>



Recordkeeping Warrant

1 Definition of a record

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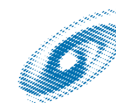
7 Recordkeeping requirements / warrant

- **Statements from:**

- laws
- regulations
- case law
- information technology standards
- auditing standards
- best practices

- **that either mandate or suggest particular recordkeeping behaviors**

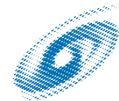
- **Relevant to lawyers, auditors, RM, IT, domain specialists**



Recordkeeping Warrant: Sources

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- American Academy of Pediatric Dentistry, *Guideline on Record-keeping* (Adopted 2004)
http://www.aapd.org/media/Policies_Guidelines/G_Recordkeeping.pdf#search=%22recordkeeping%20dentistry%22
- Australian National Audit Office, *Recordkeeping in Large Commonwealth Organisations* (2003-2004)
- University of Massachusetts, Amherst, *General Guidelines, Do's and Don't's for Keeping Lab / E-Lab Notebooks* (2004)
http://www.umass.edu/research/cvip/inventors_guidelines.html



Thank you!

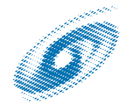
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