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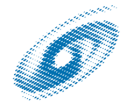
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SI 580 Understanding Records and Archives: Principles and Practices

Week 7 – Core Archival and Records
Management Functions: Part One

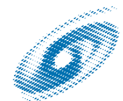


Themes of this presentation

Themes

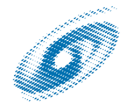
- For next week: ArchiveGrid:
 - <http://www.lib.umich.edu/>
 - General search --> find databases --> ArchiveGrid
- Last week: BHL Debrief
- Core ARM Functions: Part One
 - Analysis of organizational functions & recordkeeping requirements
 - Inventory and control
 - Appraisal and disposition

“Pithy quote”



Core ARM Functions: Part One

- Analysis of organizational functions
- Analysis of recordkeeping requirements
- Inventory and control
- Appraisal and disposition

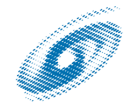


Organizational functions

- See week 4 slides and your notes!
- Activity directed at carrying out a mission for an organization (hr, finance, legal..)
- Major responsibility that supports the mission / goals of the organization
- Functional decomposition
 - function -> process -> activity -> transaction

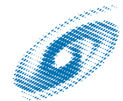
Risk Management -> Records Retention -> Records Survey -> Inventory

- establish linkages between functions and records as a means to understanding them in order to manage them



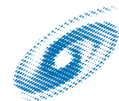
Recordkeeping requirements

- mandated by society via laws, regulations...
- examples:
 - 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>
 - Basic hospital functions - medical records services (42 CFR 482.24)
http://www.access.gpo.gov/nara/cfr/waisidx_05/42cfr482_05.html



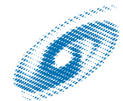
Warrant

- derived from laws, regulations, case law, IT standards, auditing standards, best practices that suggest or mandate particular rk behavior
 - 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)
<http://www.anao.gov.au/WebSite.nsf/Publications/478B4A27724E193BCA256DA50074796C>
 - 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
 - legal -- spoliation (Kozlowski v. Sears, Roebuck & Co. USDC Massachusetts (73 FRD 73; 1976 US Dist. LEXIS 11980)
 - See also: <http://www.sochaconsulting.com/decisions.php>



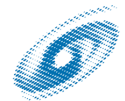
Inventory

- identify all series, their format, location, and purpose
 - determine what exists
 - format exists in
 - how stored and maintained, physical state
 - what processes & functions supported
 - user needs
 - inform retention / disposal scheduling
 - University of California Records Dispositions Schedules
<http://www.ucop.edu/recordsretention/>
 - United States Air Force Records Disposition Schedule
<http://www.afcrossroads.com/popups/pdf/AFMan37-139.pdf>
 - New York State Unified Court System, Records Retention and Disposition Schedule
 - http://www.courts.state.ny.us/admin/recordsmanagement/court_records/LOWERCRIMINAL2006NOFISCAL.pdf



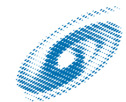
Control

- Registration, classification, indexing, tracking, authority files
 - US National Security Council
 - Keyword AAA Thesaurus
<http://www.naa.gov.au/recordkeeping/control/KeyAAA/summary.html>
 - Art & Architecture Thesaurus
http://www.getty.edu/research/conducting_research/vocabularies/aat/index.html
 - NASA Thesuarus
<http://www.sti.nasa.gov/thesfrm1.htm>



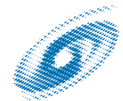
Appraisal & disposition ...1

- single most important ARM function
- identification of those few (1-5%) records worth preserving because they have continuing value
- emerged as a result of records explosion in mid-20th century
- shift from collector to selector (reduction of bulk)
- done to serve needs of records manager or archivist?
- how do we reconcile competing interests and values?



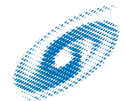
Appraisal & disposition ...2

- process:
 - identify
 - appraise
 - accession
- tools
 - records survey
 - disposition schedules
 - appraisal checklist (Ham)



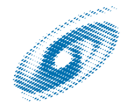
Appraisal models ...1

- archivist as keeper
- evidential value
- patterns of history and use
- mirror of society
- focus on records
- black box model



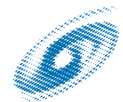
Appraisal models ...2

- intrinsic value
- sampling
- acquisition /collecting policies
- collection analysis
- reappraisal / deaccessioning
- documentation strategy



Appraisal models ...3

- risk management
- accountability
- macro-appraisal / functional analysis
- systems design & implementation
- appraisal by litigation
- keep it all revisited



Thank you!

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