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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?

- 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)

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- 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

- **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

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- 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

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- 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

1. Definition of a record
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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

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

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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

- **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

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Process Model – Digital Scanning

Source

- **Object**
  - Size
  - Text
  - Illustrations
  - Condition

- **Film**
  - Reduction
  - Density
  - Technical Rigor

Conversion

- **Equipment**
  - Hardware
  - Software
  - Support
  - Storage

  - **Process**
    - Inspect
    - Scan
    - Index
    - Accept

Access

- **P**
- **N**
- **D**
Decomposition: example drawn from ISO 15489 & AS4390 …1

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- **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 ...

- **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**

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Recordkeeping Requirements

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

Recordkeeping Warrant

- Statements from:
  - laws
  - regulations
  - case law
  - information technology standards
  - auditing standards
  - best practices

- Relevant to lawyers, auditors, RM, IT, domain specialists
Recordkeeping Warrant: Sources

  [http://www.aapd.org/media/Policies_Guidelines/G_Recordkeeping.pdf#search=%22recordkeeping%20dentistry%22](http://www.aapd.org/media/Policies_Guidelines/G_Recordkeeping.pdf#search=%22recordkeeping%20dentistry%22)


- 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](http://www.umass.edu/research/cvip/inventors_guidelines.html)
Thank you!

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