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SI 580 Understanding Records and Archives: Principles and Practices

Week 5 – Archival and Records Management Programs, Institutions, Professions
Outline

- Bentley Tour
- ARM website reviews
- ARM Programs and Institutions
  - Program missions, mandates, and functions
  - Types of archival institutions
  - Relations between A and RM
  - How ARM fits into the larger information landscape
- ARM Professions
  - Education
  - Research
  - What you can do
  - Professional organizations
Semester reality check

- Part One – (weeks 1-5) - DONE - introduction & overview; why do archives exist?; nature of archives; basic ARM concepts; ARM programs, institutions, professions

- Part Two – (weeks 6-9) - Bentley site visit; core ARM functions

- Part Three – (weeks 10-14) – record keeping systems; users and uses; legal, policy, ethical issues; the future of the past; student research papers forum
ARM Programs & Institutions

- Program missions, mandates, and functions
  - Records Management (incl. key texts)
  - Archives (incl. key texts)
- Types of archival institutions
- Relations between Records Managers and Archivists
- How ARM fits into the larger information landscape
Records Management: Program mission, mandates & functions …1

- Organizational / Records analysis: Data collection, analysis, evaluation, implementation
  - Review organizational documentation describing functions, processes, roles, responsibilities, organizational structure, decision making processes…
  - Interviews with / questionnaires to organizational members
  - Records inventorying
  - Flow charting document processes, organizational processes
  - Cost-benefit analyses
Records Management: Program mission, mandates & functions …2

- **Records Inventory**
  - Identify all series, their format, location, and purpose

- **Records Appraisal & Retention Scheduling**
  - Primary (administrative, fiscal, legal, operational); Secondary (evidential / informational value)
  - Analyze records function / importance and assign time tables for destruction or transfer to archives

- **Vital Records Program**
  - Ensure critical records are duplicated and securely stored (off-site / vault)

- **Disaster Planning & Recovery**
  - Minimize disruption of normal business operations
Records Management: Program mission, mandates & functions …3

- Forms / Directives / Reports Management
  - Oversee structuring and history of standardized documentary forms

- Active Records Systems Management
  - Schemes for organizing current organizational records

- Records Storage
  - Economics, security, access, location, and transfer issues associated with organizational records

- Records Disposition
  - Formalized destruction or transfer to archives
Archives: Program mission, mandates & functions

- Administration and Management
  - Policies, plans and procedures
  - Archives policy, mission statement, strategic plan
  - Allocation of resources

- Identification and Retention (Appraisal)
  - Why am I collecting this?
  - Why am I collecting this?

- Preservation
  - Care of holdings (space, environment, security, use...
Archives: Program mission, mandates & functions

...2

- Availability and Use (Arrangement & Description, Reference, Access)
  - Intellectual control
  - Physical access
  - Provision of reference
  - Documenting use

- Public Programs and Advocacy
  - Outreach and education
  - Cooperation
Types of archival institutions

- Historical Societies
- Government Archives (national, state, local)
- College & University Archives
- Corporate & Institutional Archives
- Religious Archives
- Subject-Oriented Archives
- Public Libraries & Museums
Relations between records managers and archivists

- Creation
- Use
- Storage
- Disposition

Records Management traditionally concerns itself with the first three phases of the lifecycle (creation, use, storage)

Archival Administration traditionally deals with the final stage of the lifecycle (disposition)
Records lifecycle revisited

Traditional Model

- Records Management:
  - Creation or receipt of records
  - Classification of records into a logical system
  - Maintenance and Use of records
  - Disposition by destruction or transfer to Archives

- Archival Administration:
  - Selection / Acquisition of records by the archives
  - Description of records
  - Preservation of records
  - Reference and Use of records
Records Continuum

- Continuum model = no records management / archives distinction
  - Creation or Receipt of records
  - Classification of records into a logical system
  - Scheduling of records & application of schedules
  - Maintenance and Use of records

- Provides a unified approach to the effective administration of records.

- Oriented towards providing service to creators and all other users.
How ARM fits into the larger information landscape

- ARM concerns
  - administration
    - evidence
    - conducting current work (primary use)
  - cultural preservation
    - memory
    - longevity
    - continuity
    - reuse (secondary use)
  - value added content
    - shared metadata
    - new digital content
ARM Profession(s)

- Nature of ARM work
- Education
- Research
- What you can do
- Professional organizations
Fleckner contends that:

- what archivists do is essential to the well-being of an enlightened and democratic society
- the archival record serves all citizens as a check against tyrannical government...The archival record...is a bastion of a just society.
- the archival record assures our rights -- as individuals and collectively -- to our ownership of our history.
Components of archival science
(Duranti)

- theory
  - ideas archivists hold about the nature of the material they work with

- methods
  - how to treat archival materials

- practice
  - applying theory and method in real situations
Archival education

Debated issues:
- where should nascent archivists be educated?
- how should nascent archivists be educated?
- is there an archival knowledge base?
Archival education

- fora
  - graduate education
  - training
  - continuing education
US archival education history ...

1938 - Modern Archives Institute
1930’s - 1970s - Single course emphasis
1960s - Three course configuration
1976 - ACA advocates separate MAS degree
1977 - SAA guidelines supporting three course sequence
1982 - Bentley Historical Library summer institute
US archival education history …2

1987 - SAA adopts certification
1988 - SAA reaffirms 1977 guidelines
1994 - SAA Guidelines for the Development of a Curriculum for MAS
1997 - SAA Guidelines for the Development of Post-Appointment and Continuing Education and Training (PACE) Programs
2002 – SAA Guidelines for a Graduate Program in Archival Studies
2003 - SAA CEPD Task Force on Education Office Guidelines
SAA Continuing Education

- Photographs
- Oral history
- Exhibitions
- Processing
- Appraisal
- DACS
- Style Sheets for EAD

- Digital Libraries / Archives
- Digital Collections
- Principles and Practice
- Copyright
- MARC & DACS
- A&D
- Electronic Records
Your Continuing Education

- workshops
- seminars
- institutes
- internships
- apprenticeships
- in-house training
- local study groups
- professional association meetings
- consulting
- mentoring
- professional literature
- distance education
- fellowships
A*Census (2003-2006): Graduate Education

- Primary means of archival education (esp. under -35 crowd)
- Masters degree increasingly minimum requirement
- Information/Library Schools ascendant over history programs
- Faculty retirement and replacement the most critical current issue (71% over 50)

- Only one MAS
- Part time ascendant over full time
- Degrees, references, graduate courses, and IT schools most desirable for entry level positions
- Explosion of full time educators since late 1970s, but....
- Tapering off of history placements; continued growth in information/lis placement
A*Census (2003-2006): Profile of the Profession

- 5,630 responses
- Wide position coverage (53% curators)
- 90% in academic, government, nonprofit sectors
- Dramatic shift in gender representation over past 50 years
- 59% started first job 1990+ (and median age well into 40s)
- 28% retiring over next decade

- 88% white
- Most salaries 30-50K range
- High association membership (@ 75%)
- Most growth in academic sector; shrinking government sector
- Pressing issues:
  - ER; access; preservation; digitization and digital preservation; advocacy and outreach; education and training
Research

- articulation of problem
- establishment of hypotheses
- collection, analysis, interpretation of data (iterative and refinement)
- reporting of results

Archives is an applied science. Sound research can provide clues to better practices and increase disciplinary knowledgebase for considering why we do what we do.
Deficit of archival research due to (Cox)

- present underdeveloped state of archival education
- lack of opportunities to undertake research
- lack of reward mechanisms
- attitude towards research by some archivists

But this is shifting…the golden age of archival research is happening…now! So keep an eye out.
Archival theory, method, and practice needs to be based on research that

- explores all archival functions
- is replicable
- is well-designed methodologically
- builds upon and refines earlier research
- draws on research from other fields
What you can do

- **Stay current**
  - Professional literature / Mass media
  - Conferences
  - Web resources
  - Lifelong learning

- **Contribute**
  - Institutionally-based research
  - Grants
  - Publish
  - Professional organizations
Professional organizations

- International Council on Archives (ICA) <www.ica.org/>
- Society of American Archivists (SAA) <www.archivists.org/>
- Association of Canadian Archivists (ACA) <archivists.ca/>
- Midwest Archives Conference (MAC) <www.midwestarchives.org/>
- Association for Information Management Professionals (ARMA) <www.arma.org/>
- Enterprise Content Management Association (AIIM) <www.aiim.org/>
- The National Association of State Chief Information Officers (NASCIO) <www.nascio.org/>
- National Association of Government Archivists and Records Administrators (NAGARA) <www.nagara.org/>
- Special Libraries Association (SLA) <www.sla.org/>
- Association of College and Research Libraries (ACRL) <www.ala.org/acrl/>
Thank you!

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Key Records Management Texts …1

- [www.arma.org/bookstore](http://www.arma.org/bookstore)
Key Records Management Texts ...

- Information Requirements, *Retention Manager* (software)
Key Archives texts …1

Key Archives texts …2

- Elizabeth Yakel, *Starting an Archives* (Society and American Archvists and Scarecrow, 1994)
- SAA Archival Fundamental Series II (Glossary, A&D, Managing, Reference, Appraisal, Understanding)