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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

- For next week: ArchiveGrid:
  - [http://www.lib.umich.edu/](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
  - 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
  - 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
    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
  - 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
    - 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
  - Art & Architecture Thesaurus
    http://www.getty.edu/research/conducting_research/vocabularies/aat/index.html
  - NASA Thesauraus
    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 ...

- 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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