

Code: JLT 05113

Name: Introduction to Records Management

**PRINCIPLES AND THEORIES GOVERNING RECORDS AND
RECORDS
MANAGEMENT**

THE PRINCIPLE OF *RESPECT DES FONDS*

Originally a French term, *respect des fonds* is often defined simply as ‘respect for the creator of the records.’ The principle of respect des fonds consists of two related concepts: provenance and original order. Provenance refers to the ‘office of origin’ of the records; original order.

Respect des fonds: Respect for the creator of the records or archives, involving the maintenance of provenance and original order.

- Provenance:
 - **the organisation or individual that created or received maintained and used records while they were still current.**

The records of separate agencies or organisations must be managed separately, even if the agencies in question were involved with similar activities or were managed by the same people. Do not combine the records of two agencies or organisations. Similarly, the private records of individuals must not be integrated, even if the individuals were related or experienced the same events.

- **Original order:**
 - the order in which documents were created, arranged and maintained by the office of origin.

RECORDS LIFE CYCLE

The life-cycle concept of the record is an analogy from the life of a biological organism, which is born, lives and dies. In the same way, a record is created, is used for so long as it has continuing value and is

then disposed of by destruction or by transfer to an archival institution. The lifecycle of records is divided into three phases namely: - current phase, semi-current phase and non-current phase.

Current phase

Every organization creates and receives records. After they have been captured, records are regularly used for the conduct of the current business of an organization or individuals.

The following are the features of records in current phase:-

- o Records are kept at Registry
- o Records are used in day to day activities
- o Always have primary value
- o Records are managed by RMA's

Semi-current phase:

Records are required only infrequently in the conduct of current business. Also known as semi-active records. Semi-current records will normally be maintained in a records centre or other offsite intermediate storage pending their ultimate disposal.

Features of records in semi-current phase:-

- o Records are kept in low-cost storage area (Record centre)
- o Records are infrequently used
- o Appraisal and Disposal activities are done
- o Records are managed by Records Centre Staffs (RMA's)

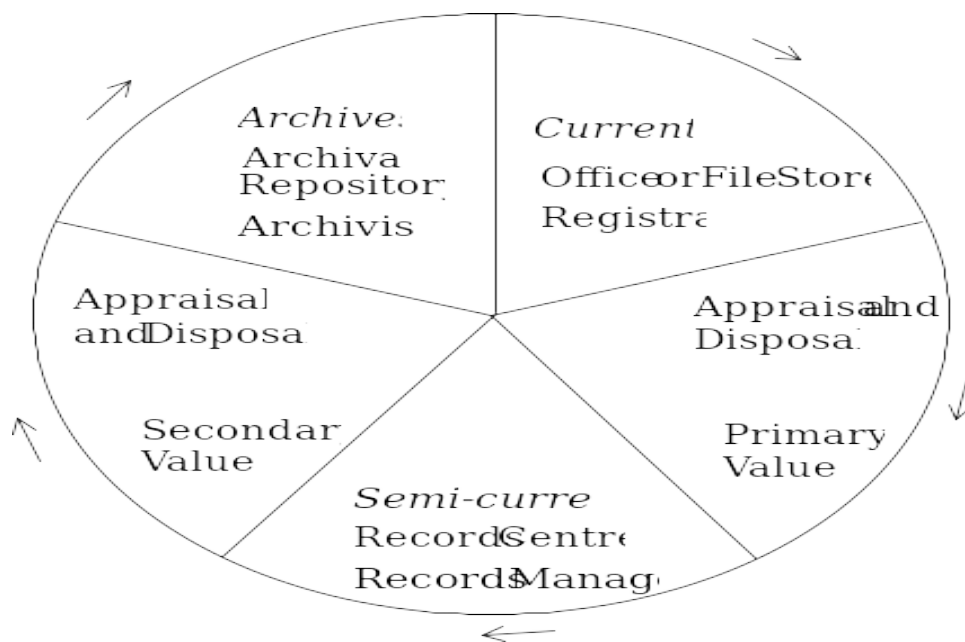
Non-current phase:

In non-current phase, records are no longer needed for the conduct of current business and are therefore destroyed unless they have a continuing value for other purposes, which merits their preservation as

archives in an archival institution. In this phase records are well known as archives. Features of records in non-current phase:-

- o They are kept in Archival Institution
- o They are no longer used in current business transaction.
- o Always have secondary value
- o They are managed by Archivist

The diagram bellow shows the records lifecycle.



Importance of records life cycle

- Help the records managers to have a clear perspective of managing records as a continuous process whereby each stage complements the other
- Helps records managers to make prior decisions whether to create records or not by making judgment of the values of the records and information that is present
- Helps records managers to make retention scheduling of records at the right time and appropriately
- Helps the records managers to understand in advance in what media the records could be created
- Recognize the values of records in each stage of its lifecycle

RECORDS CONTINUUM MODEL

Continuum concept: A consistent and coherent process of records management throughout the life of records, from the development of record-keeping systems through the creation and preservation of records, to their retention and use as archives.

According to the continuum concept, the distinction between records management and archives management need not be rigidly maintained.

LEVELS OF ARRANGEMENT AND DESCRIPTION

Arrangement:

The whole process of analysing the organisation of sets of archives, whereby their provenance and original order are understood and the archives are set into groups, series and items in an order that preserves and reflects that understanding.

Archives are organized into levels according to the principles of provenance and original order.

- ***Respect des fonds:*** Respect for the creator of the records or archives, involving the maintenance of provenance and original order.
- ***Provenance:*** The organisation or individual that created or received, maintained and used *records* while they were still current.
- ***Original order:*** The order in which documents were created, arranged and maintained by the office of origin.

These principles require that archivists;

- i) manage the records of separate agencies separately and
- ii) maintain the original order of records received.

Description:

The process of capturing, organizing, and recording information in order to identify, manage, locate and explain archives and the contexts and records systems that produced them.

It is the process of representing archival materials on paper, in order to facilitate their use by researchers.

APPRAISAL, RETENTION AND DISPOSITION OF RECORDS

Appraisal Of Records and Procedures Of Appraisal Of Records

Appraisal: The process of determining the value of records for further use, for whatever purpose, and the length of time for which that value will continue. Also known as evaluation, review or selection.

Continuing utility: The finite usefulness that records may have for the continuance of business or as evidence thereof.

Enduring value: The indefinite value that records may have for any purpose and that justifies their preservation as archives

Appraisal, which is sometimes called 'evaluation' or 'selection', has two purposes.

First, appraisal involves deciding what records need to be kept and for how long in

order to allow the organisation to continue its work. This is known as appraisal for

'continuing utility'.

Second, appraisal involves deciding what records merit permanent preservation as archives because they have an enduring value for purposes other than those for which they were created, such as historical research. This is known as appraisal for 'enduring value'

In general, however, it is agreed that, **micro-appraisal** of individual folders and documents is no longer a reasonable approach. There are simply too many records and the risk of loss is too great to allow the time required to carry out such minute analysis. Instead, the best method for appraisal of records – both paper and electronic – in a modern office environment is a **macro-appraisal approach**, based on an analysis of the functions and activities of the creating agency, a process called '**functional appraisal**.'

WHO IS RESPONSIBLE FOR APPRAISAL?

Developing clearly defined responsibilities for appraisal and disposal activities is essential to ensuring successful records management, no

matter the form of the records. Traditionally, appraisal and disposal activities were divided, with the records manager determining the time frame for semi-active retention and the archivist determining the final disposal.

Generally, it is practical for the records manager, archivist, information technology specialist and records creator to work as a team, in order to bring a range of expertise to the process of deciding which records need to be kept and which can be destroyed.

- ✓ The records creator brings knowledge of the day-to-day use of records and their importance to the organisation's business.
- ✓ The information technology specialist can advise on changes to electronic systems and best practices in IT operations.
- ✓ The records manager supports the ongoing evidential and informational needs of the organisation and can balance the user's needs for records against the resources available in order to make solid judgements about records retention.
- ✓ Archivists have the long-term management of the records in mind and are responsible for ensuring authentic and reliable records remain accessible over the long term.
- ✓ Lawyers, auditors, compliance specialists and other subject experts can also contribute important insights during the process of appraisal.

These stakeholders – along with any other appropriate representatives of the organisation – should be involved in any appraisal exercise, and their different responsibilities and areas of authority should be clearly defined and formalised in appraisal policies. The archivist may be the primary appraisal specialist, but he or she should draw on the expertise of others in the organisation throughout the process.

RETENTION OF RECORDS

Retention: The function of preserving and maintaining records for continuing use. This may be done in the agency of origin, in a records centre or in an archival institution.

Retention period: The length of time, as provided for by legislation, regulation or administrative procedure or based upon an estimate of the frequency of continuing use, that records should be retained in an office or records centre before they are transferred to an archival institution or otherwise disposed of.

Major Components Of A Successful Records Retention Strategy:

A retention schedule

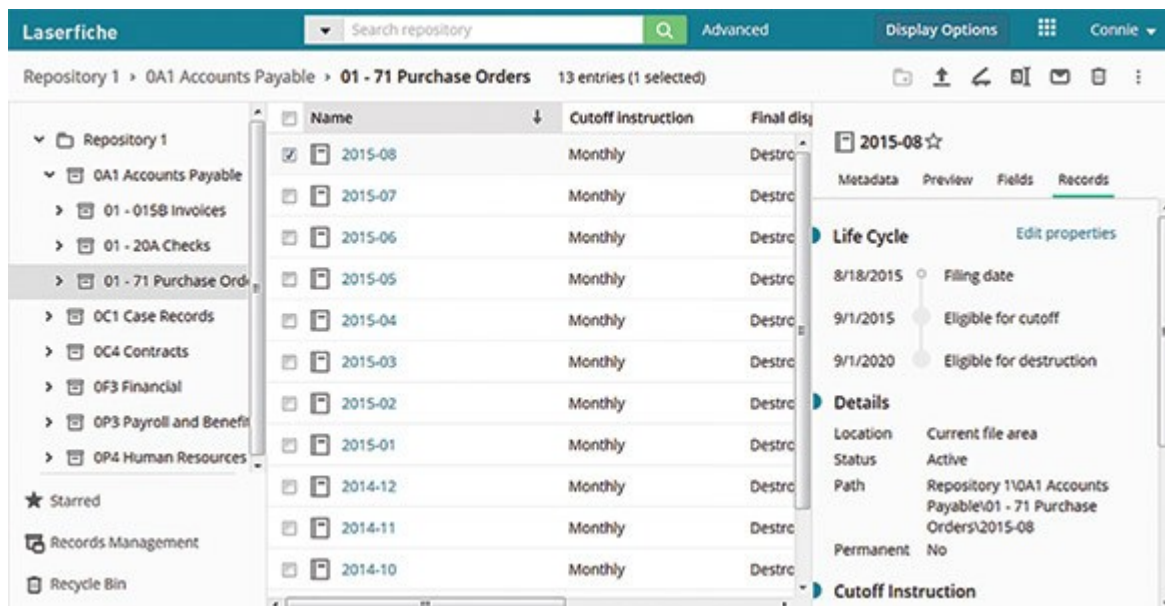
A retention schedule is a system of classification that standardizes the different types of records your organization manages and how long they need to be kept. A successful retention schedule is routinely updated to ensure that rules for records retention included in the schedule comply with all laws and regulations which pertain to them.

Code	Document	Retention Period	Retention Medium
24-10a	Admission. Applicants who are offered a place, but do not attend.	Retain current academic year + 1 year, then archive	Electronic
24-10b	Admission. Applicants who are offered a place, accept & enroll	Retain for 6 years after graduation or withdrawal. Then accession to "Academic Registry"	Electronic
28-32b	Unit Evaluation Reports	Retain 3 years after current academic year is complete, then archive	Electronic
10-16c	Academic Appeals	Retain 6 years after last action, then accession to "Academic Registry"	Electronic

Here is a simplified example of a retention schedule for a higher education institution, which includes the codes, document types, retention periods and mediums of the records in question.

Retention policies

Records retention policies govern the classification, storage, preservation and destruction of all records in an organization. These policies help to ensure that important records are not mishandled, and that temporary records are discarded promptly in an effort to reduce risk and keep the records management system clean, coordinated and secure.



Powerful records management systems enable organizations to monitor records throughout their lifecycle, specifying when a record was originally filed and when it will be eligible for destruction.

Records infrastructure

Records are only as good as they are accessible. The records your organization maintains should be easy to search, retrieve and update at all times. Whether preparing for an audit, accessing client information, or making changes to important documents, having a centralized, organized, [digital records management](#) system in place ensures that your retention schedule and policies are easily and consistently followed.

Records retention is a necessary part of a successful records management practice, supported by a system of rules, regulations and organization the helps businesses run smarter.

DISPOSITION OF RECORDS

Disposal is the action taken as a consequence of appraisal decisions

Disposal: The actions taken with regard to records as a consequence of their appraisal and the expiration of their retention periods. Note: Disposal is not synonymous with destruction, though that may be an option. Disposal is also known, especially in North America, as disposition.

The product of the appraisal function is the disposal schedule

Disposal schedule: The control document recording appraisal decisions and prescribing disposal action. Also known as disposal list, disposition schedule, records schedule, retention schedule, retention and disposal (or disposition) schedule or transfer schedule

The appraisal and disposal of records are two distinct activities, but they are

inextricably linked. They need not be undertaken together; indeed they are usually

separated by a prescribed period of retention. ***However, appraisal that is not followed***

in due course by disposal is pointless; and disposal without prior appraisal is an

unsound practice and may even be unlawful.

The aim of appraisal and disposal is to ensure that records are either destroyed or

transferred to an archival institution at the right time, as a result of the systematic

implementation of decisions made concerning the continuing utility and enduring

value of the records.

THE PRESERVATION OF RECORDS

Meaning of Record Preservation

Preservation: A term referring to the passive protection of archival material in which no physical or chemical treatment to the item occurs.

The aim of preservation is to prolong the usable life of useful information in two ways.

First, preventive preservation seeks to reduce risks of damage and to slow down the rate of deterioration. This aim is usually accomplished by selecting good quality materials, providing suitable storage environments and safe handling procedures.

Secondly, prescriptive preservation is a means of identifying and treating or copying damaged materials to restore useful access to the information.

From an archival perspective, preservation may be viewed as the totality of processes

and operations involved in the protection of records and archives against damage or

deterioration. Preservation may involve four related activities.

- i. **Maintenance:** The daily care of records and archives, particularly in the current and semi-current records environment, when they are housed in offices or records centres; maintenance ensures the general protection of records against environmental hazards or other physical dangers.
- ii. **Examination:** The preliminary procedure taken to determine the original materials and structure of an item and to determine the extent of its deterioration, alteration or loss.
- iii. **Conservation:** The intrusive protection of archival material, by the minimal physical and chemical treatments necessary to resist further deterioration, which will not adversely affect the integrity of the original.

- iv. **Restoration:** The repair of an item when aesthetics and reproduction of the original appearance is more important than the preservation of the integrity of the item. Restoration is not generally viewed as an archival activity.

METHODS USED IN PRESERVATION OF RECORDS

- i. **Lamination:** Make paper stronger by layering sheets of clear plastic over the paper
- ii. **Reprography:** Duplicating printed matter by microfilming, photocopying, microphotography
- iii. **Digitization:** Convert some information resources which are not electronic into digital form.
- iv. **Restoration (Repair):** e.g. Binding books.
- v. **Technological preservation**

This strategy aims at preserving the software and hardware environment that was used to access the resources when it was created.

- vi. **Emulation**

Emulation is the process of using one computer device or software program to imitate the behaviors of another device or program, thereby obtaining the same results when accessing or using digital objects. Emulation strategies use software or hardware –called the emulator – to recreate the functionality of obsolete technical environments on modern computer platforms. During emulation the bits of data are replicated and are not exactly as they originally were

- vii. **Migration**

Is the act of moving data or records in electronic form from one hardware or software configuration to another

Is the transfer of electronic information so that it remains compatible with current technology storage and retrieval methodologies

It must be possible to export records to other systems without the loss of information.

Migration can be in a form of software, Data, hardware and technology.

- a. **Software migration**

is the migration to newer versions of operating systems and software applications

b. Data Migration

Data migration is the process of converting a digital object from one data format to another, for example from Word v8.0 to Adobe's Portable Document Format (PDF).

It involves change in the configuration of the underlying data, without change in the intellectual content.

c. Hardware migration.

Refers to switching to a new server vendor or just upgrading to newer models, the last thing you have time for is manually reinstalling and reconfiguring them.

Move workloads from old servers to new ones, instead of rebuilding them

All too often, upgrading your server hardware means that you must rebuild and configure the entire workload on new hardware

The main aim of archivists to use migration is to ensure accessibility of a digital record when the software it depends on becomes obsolete (outdated).

d. Technology migration

It refers to switching to a different technology. This happens when the organization has outgrown its current systems or needs capabilities they can't deliver. E,g from typewriter to a computer.

viii. Encapsulation

The other preservation strategy is encapsulation which involves the grouping together of resources and whatever is necessary to maintain access to it.

This can include metadata, software viewers, and discrete files forming the digital resource. In contrast to the migration approach, the encapsulation approach helps to retain the record in its original form.

ix. Refreshing

This is an important method of digital preservation to achieve longevity, involves periodically moving data from one physical storage medium to another storage medium in order to avoid physical decay or obsolescence.

e.g. from an older CD-ROM to a new CD-ROM or from a 100MB zip disk to a 750 MB zip disk.

x. Replication:

Is a set of technologies for copying and distributing data and database objects from one database to another and then synchronizing between databases and maintain consistency.

Through this it is possible to distribute data to different locations and remote or mobile users over the local and wide area networks, dial up connections, wireless connections and intern Replication:

xi. Backup

The process of copying a computer file or collection of files to a second medium, usually on a magnetic tape or external hard drive so that the data are safe in case the original file is damaged or lost.

The resulting copy is also called a backup. Backup copies are usually stored on devices that can be removed from the computer and kept separately from the originals.

Security In Records Management

Different Types of Security In Records Management

Security threats in records management come from all directions ranging from malware and data breaches to theft, fire, or flood, making it essential to incorporate multiple types of security in records management.

What Is Records Management Security

Records management requires appropriate protections for both paper and electronic information.

There are three main parts to records management security

- i. ensuring protection from physical damage,
- ii. external data breaches, and
- iii. internal theft or fraud.

Why Using Different Security Types Is Important

Organizations face a range of security threats that come from all different angles, including: Employee theft and misuse of information, Fire, flood, and other natural disasters, Data breaches caused by viruses, trojans, and other forms of malware

Since new digital hacking threats are also constantly emerging to target different security weak spots, it's critical to use multiple types of security strategies with records management.

Types of Security for Paper Records

When it comes to paper documents there are several strategies used to handle various security risks like environmental hazards and information theft or fraud.

Locked Storage Areas

Using locks in storage areas like filing cabinets is the first and easiest method for securing paper files. By keeping them locked it will keep prying eyes away and the records safe from theft.

Fire and Flood Protection

Although natural disasters are still a risk to filing cabinets in an office even if they're locked, off-site records storage facilities use fire-suppression and climate-control systems to protect from natural disasters.

Secure Storage Facilities

In addition to natural disaster protections, off-site storage facilities also implement securities like 24/7 video monitoring, locked premises, and on-site security staff.

Types of Security for Electronic Records

Digital Records Management Security, Document management system (DMS) software and cloud storage use a range of tools and methods like access controls and encryption to protect files.

Document Redaction

While in the past papers needed to be redacted before they were scanned, today documents can be redacted during the scanning process itself to obscure sensitive parts of new digital documents.

Access Control Lists (ACL)

ACLs are used for limiting access to sensitive files for only those who need it. Predefined lists with authorized users can be configured while any other prying eyes are locked out.

File Encryption

Many electronic document management systems incorporate encryption tools. With file encryption if for example a document is intercepted over an open network, the file will be inaccessible without the decryption key.

Disaster Management

Disaster, as defined by the United Nations, is a serious disruption of the functioning of a community or society, which involve widespread human, material, economic or environmental impacts that exceed the ability of the affected community or society to cope using its own resources.

Disaster management is how we deal with the human, material, economic or environmental impacts of said disaster, it is the process of how we “prepare for, respond to and learn from the effects of major failures” . Though often caused by nature, disasters can have human origins. According to the International Federation of Red Cross & Red Crescent Societies a disaster occurs when a hazard impacts on vulnerable people. The combination of hazards, vulnerability and inability to reduce the potential negative consequences of risk results in disaster.

Aspects of Disaster Management

The International Federation of Red Cross & Red Crescent Societies defines **disaster management** as the organisation and management of resources and responsibilities for dealing with all the humanitarian aspects of emergencies, in particular preparedness, response and recovery in order to lessen the impact of disasters.

1. **Preparedness** - First, prepare to protect yourself, others and items of great importance in the event an emergency/disaster occurs.
2. **Response** - When there is an actual occurrence, administer first aid or get medical attention for victims if necessary. Attend to other emergency procedures that must take place in order to lessen the impact.
3. **Recovery** - After things are under control, begin the clean up or repair any damage and if necessary, call in professional restoration services.
4. **Mitigation** - Finally, ask how did this disaster, accident or emergency happen and how can any problems that occurred in handling the incident be lessened.