



# RECORDS MANAGEMENT

*An Introduction*

**Presentation:**

**Staff Development Programme  
Caribbean Centre for Development Administration (CARICAD)**

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# Objectives

- **Definition of Records Management**
- **Records Life Cycle**
- **A Brief History of Records Management**
- **Records Management as a management tool**
- **Future Trends in Records Management**
- **Questions**

# Definitions

## Records

1. Records are recorded information regardless of medium or characteristics. Records can be defined as "Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". (ISO 15489-1, 2001)
2. All recorded information, regardless of media or physical characteristics, made or received and maintained by an organization or institution in pursuance of its legal obligations or in the transaction of its business. In machine-readable records/archives, two or more data fields in predetermined order and treated as a unit. (International Council on Archives General International Standard Archival Description (ISAD(G)) 1993)

# Definitions cont'd

## Records Manager

- A records manager is responsible for the effective and appropriate management of information produced in and received by organizations, irrespective of the medium in which it exists. The role is developing in scope due to increased understanding of the value of effective knowledge and information management, particularly within the public sector. The demands of legislation, such as FOI, and SOX have also broadened the range of settings in which records and information management professionals work.

# Definitions cont'd

## Records Management

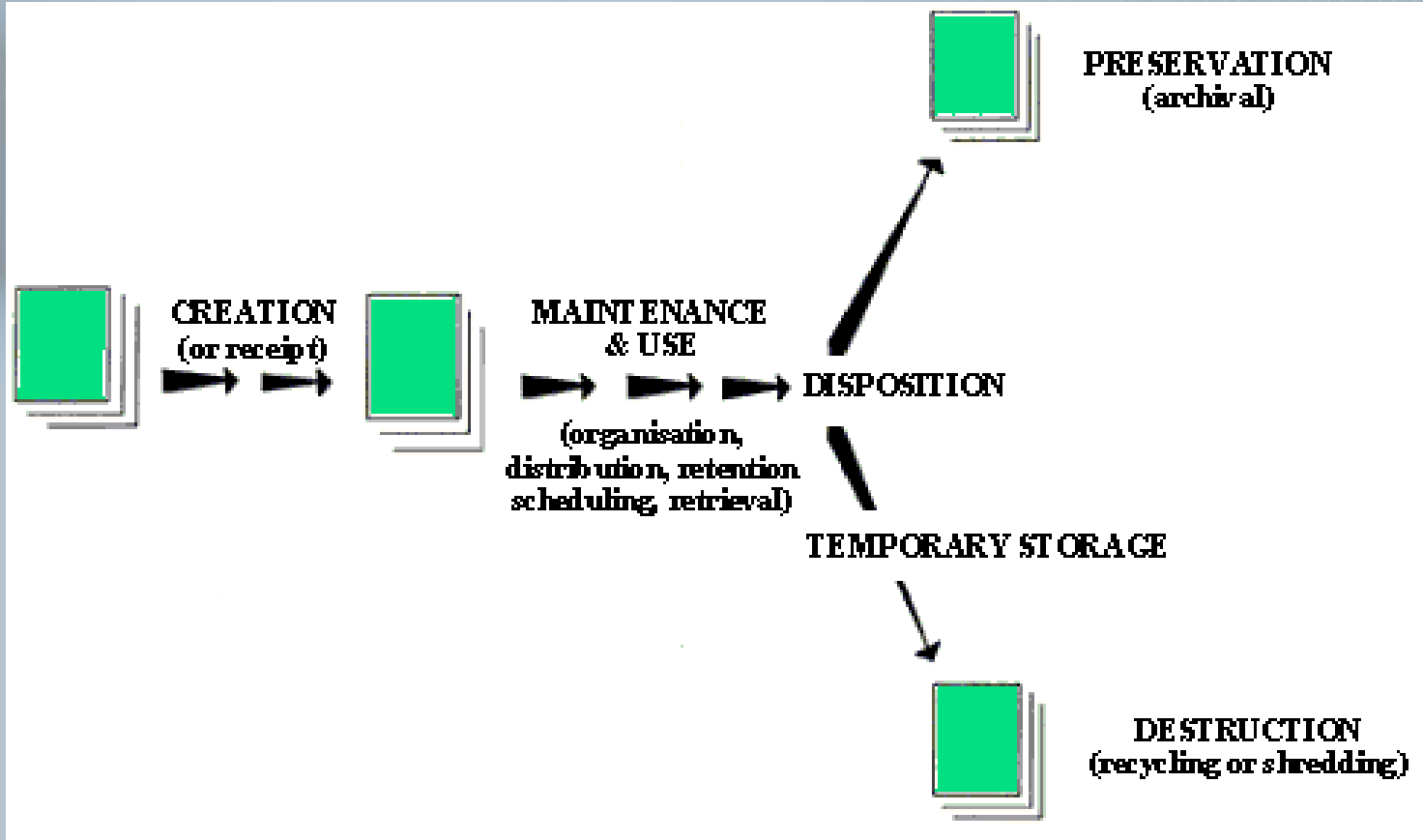
1. A professional discipline that is primarily concerned with the management of document-based information systems. The application of systematic and scientific controls to recorded information required in the operation of an organization's business. (Robek et al, 2000).
2. Systematic and consistent control of all records throughout their life cycle. (Parker, 1999)
3. A discipline in itself that is devoted to the systematic creation, organization, control, evaluation, classification, storage, protection, retrieval, and destruction of records. (Samaras, 1978)

# Records Life Cycle

A basic concept in Records Management is the records life cycle. The life of a record goes through phases starting from when it is created or received by the Agency, through to its use, maintenance and temporary storage before finally being destroyed or archived permanently.

# Records Life Cycle cont'd

## Diagram of Records Life Cycle



# Records Life Cycle cont'd

- **Creation:** The first phase of the Records Life Cycle involves records being created, collected or received through the daily transactions of the Business Unit or Department and can include printed reports, emails or even phone messages, documents that detail the functions, policies, decisions or procedures of the agency.
- **Maintenance & Use:** The next phase of the life cycle is the maintenance and use of the record. This can include filing, retrieving, use, duplication, printing, dissemination, release or exchange of the information in the record.



# Records Life Cycle cont'd

- **Disposition:** At the disposition phase records are assessed to determine their retention value using General Disposal Schedules or Records Disposal Schedules. This leads to either the preservation or destruction of the record.
- **Preservation:** When a record has been determined to be of permanent value to the Organization, then it is transferred to the Archives for permanent archiving and preservation.

# Records Life Cycle cont'd

- **Temporary Storage & Destruction:** If a record still has ongoing value to the Organization it will be temporarily stored either onsite at the Secretariat or offsite with an approved Provider. When the retention date of these records is reached, permission will be sought from the Organization for their destruction.

# A Brief History of Records Management

Some important landmarks in records management history were:

- The representation of specific/ special events by man in pictorial or graphical/ hieroglyphic form;
- The introduction of the alphabetic script, which replaced hieroglyphics during the 5th millennium B. C.;
- The use of papyrus as a format to record information by the Ancient Sumerians;
- The invention and use of printing presses to mass produce books and documents;

# A Brief History of Records Management cont'd

- The introduction of the Registry System in Britain, which came out of Ancient Rome;
- The recognition of the need to have Archives from as early as 2300 B C.
- The invention and use of the typewriter as a business tool;
- The introduction of the commercial electronic word processor in the business workplace environment;

# A Brief History of Records Management cont'd

- The establishment of records and information management as a bona fide profession and discipline with the offering of advanced professional courses and degrees in the Records and Information Management field by recognized universities, colleges and other training institutions;
- The invention of the computer and the development of software/hardware specifically designed for the management of information, and for the records and information field;
- The birth of the World Wide Web/ Internet and its electronic mailing, and instant messaging service and its information sharing potentials and challenges; and

# A Brief History of Records Management cont'd

## WAR!

- The global conflict in the “Concert of Europe” and the Orient involving the major powers in what was known as World Wars I and II, generated a lot of documents involving military affairs such as: espionage, intelligence, military concept weapons, and tactical strategies. This created the environment for a proper management system for military information. And so, the discipline has ironically benefited from this manner of treating important information.
- Currently there have been certain RM requirements as a result of military activity, e.g. standards on use of the Internet, email management, ERM, and information security. Also types of books used at a library: **US Patriot Act 2000.**

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# A Brief History of Records Management cont'd

## War cont'd

- The introduction of espionage prepared the way for Information Security management;
- The Internet and the use of electronic mail were both made possible by the US Military computer technology;
- The new standard on RMS software: DoD: 5015.2;
- The US Patriot Act;
  - Monitoring of information used within libraries, emails, IMs exchange, personal documents etc.
  - Personal Information within databases;
  - Content being exchanged over networks etc;
  - New data storage and processing devices, etc. biometrics in passports, driver's licenses, etc.

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# Records Management as a management tool

## Perception of Records and Information Management as a Management tool

- People managing official records and information were often hired as clerks and given the responsibility of following 'age-old' policies and procedures for filing and storing paper records from a variety of sources. They were usually not hired to think, plan or evaluate, but instead, to do the established routine, and to remain in the back rooms and storage areas while doing so.



# Records Management as a management tool cont'd

## Now it is a Managerial Responsibility

In the US, UK, Canada and Australasia it is now possible for records managers to face severe penalties for not complying with legislation around Records Management (e.g. SOX (US), FOI (UK), and ATI (Jamaica)).

# Records Management as a management tool cont'd

## Others

- Nixon-Watergate Scandal
- Sarbanes-Oxley (SOX) Act (US)
- SEC Rules (US)
- HIPAA – Health Insurance Portability and Accountability Act (US)
- Sandals Whitehouse Westmoreland Scandal (Jamaica)
- Access to Information Acts (Belize, Jamaica, and Trinidad and Tobago)

# Records Management as a management tool cont'd

## Benefits of a Records Management Program

### Some benefits may be:

- *To increase efficiency and productivity;*
- *To protect the organization from litigation;*
- *To have evidence of transactions/ events for audit purposes;*
- *To preserve the institutional memory of the organization;*
- *To facilitate the resumption of operations in the event of a disaster;  
and*
- *To ensure that employee benefits can be supported via information  
maintained in personal records.*

# Records Management as a management tool cont'd

## Records and Information Management Program

**This includes the following sub-components:**

- *Forms and Correspondence Management;*
- *Active Files Management;*
- *Records Retention and Disposal;*
- *Mail Management;*
- *Vital Records Management;*
- *Records Center Operations;*
- *Automation; and*
- *Electronic Records Management*

# Records Management as a management tool cont'd

## Records Centers and Archives

The difference between a Records Center and an Archives is that a Records Center is a building specially designed for low-cost storage and maintenance of semi-current records pending their ultimate destruction or transfer to an archive repository.

An Archive may be either a collective of records, usually but not necessarily non-current records of continuing value selected for permanent preservation or a building housing such a repository.

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# Records Management as a management tool cont'd

## *Records Centers*

**The Purpose and Functions of the Records Center (and an Archive, as well), is to ensure that correspondence are properly arranged and stored, so that they can be located easily and promptly.**

**To achieve this objective, both perform the following functions:**

- receiving and dispatching of correspondence;
- classifying, numbering, docketing and filing correspondence;
- monitoring the movement of files;
- reviewing of files;
- shelving and maintenance of files;
- maintaining index/ indices to files.

# Records Management as a management tool cont'd

## *Archives*

Unlike a records center, an archive may perform the following specific processes:

- *The Appraisal Process*, where records are assessed and then designated as either temporary or permanent records. NB. As an archive will usually only accept records that have been passed as permanent.
- *The Accessioning Process*, this is where the transferring of the legal and physical custody of archival records from their Offices of Origin to the archival facility; also the creation of records documenting receipt, and the acceptance of the records into the archives.
- *The Preservation Process*, this is where the specific steps undertake to maintain, repair, restore, or otherwise conserve archival records in the appropriate facilities and with the specialized equipment that can facilitate: lamination, encapsulation, and microfilming of documents and records in order to preserve them.

# Records Management as a management tool cont'd

## File Classification System and Development

The aim of this is to sort and arrange files and records in both dictionary and encyclopedic arrangement and to learn about the major tenets of the File Series system of classification, which are:

- papers are classified by subject headings drawn from pre-prepared master list of subjects;
- most correspondence require more than one subject heading to adequately define or describe their subject matter;
- these subject headings are used in various combinations to form '*file series*', i.e., groups of related files;
- separate files may be created under each file series;
- each file is given an individual file title to define and limit the contents.

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# Records Management as a management tool cont'd

## Information Security Management

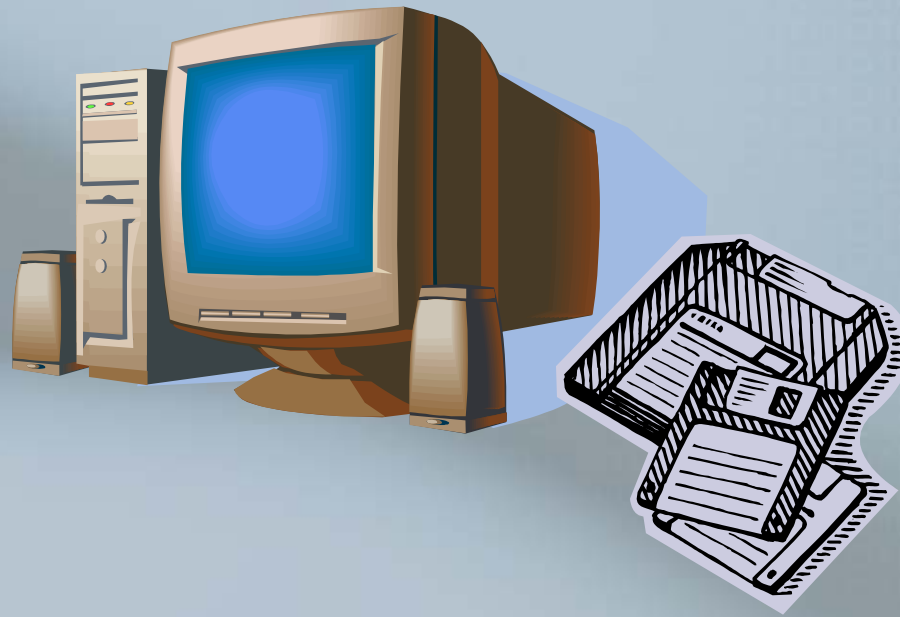


# Records Management as a management tool cont'd

## Information Security Management

*Systems and procedures designed to protect an organization's information assets (throughout their life cycle), from disclosure to any person or entity not authorized to have access to that information, especially information which is considered sensitive, proprietary, confidential or classified, and which protects the integrity of an organization's information.*  
(ARMA)

# Records Management as a management tool cont'd



## Electronic Records Management

# Records Management as a management tool cont'd

## Electronic Records Management

- Easily applied rules for the creation, maintenance, and disposition of documents created, stored, and transmitted in electronic format do not exist. The use of electronic media may present documentation problems for the organization since records created electronically can become the basis for official policy decisions. When this is the case, traditional records management practices must be modified to avoid problems of unauthorized disposal of records.

# Future Trends in Records Management

- The concept of new information theories and professions such as: Knowledge Management, Strategic Information Management, Content and Document Management, Chief Information Manager, eGovernance/ eGovernment, and Information Resources Management are testimony to the future and continuing developments in this dynamic field.

# Future Trends in Records Management cont'd

Records management is increasingly seen as an element of Enterprise Content Management, an increasingly popular term (used in KM in particular) to encompass various aspects of information, knowledge and content management. Records management forms the fundamental basis of all these initiatives: information, knowledge and content can all be found embedded in business records, and if these records are not managed effectively, leveraging the value from records will be far more difficult

# So where next?

No one knows.. Technology is moving a very rapid pace.



# Further Readings

- Benedon, William. Records Management. California State University: California, 1969.
- Diamond, Susan Z. Records Management – A practical approach. 3rd ed. AMACOM: New York, 1995.
- Parker, Elizabeth. Managing your organization's records. Library Association Publishing: London, 1999.
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## Further Readings cont'd

- Ricks, Betty R. et al. Information and Image Management – A Records System Approach. 3rd ed. South-Western Publishing Co.: Ohio, 1996.
- Robek, Mary F. et al. Information and Records Management: Document-based Information System. 4th ed. Glencoe/ McGraw-Hill: Ohio, 2000.

# Questions?

- Thank you!

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