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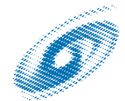
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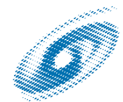
# SI 580 Understanding Records and Archives: Principles and Practices

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



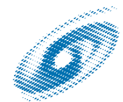
# Outline

- 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



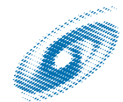
# Semester reality check

- 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



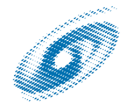
# ARM Programs & Institutions

- 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



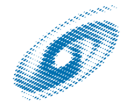
# Records Management: Program mission, mandates & functions ...1

- 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



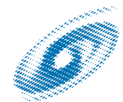
# Records Management: Program mission, mandates & functions ...2

- **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 e
- **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

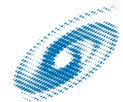




# Archives: Program mission, mandates & functions

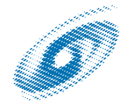
## ...1

- 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...)



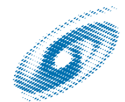
# Archives: Program mission, mandates & functions ...2

- 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

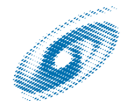


# Relations between records managers and archivists



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

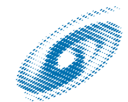
## ■ Traditional Model

### – 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

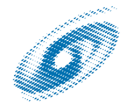
### – Archival Administration:

- Selection / Acquisition of records by the archives
- Description of records
- Preservation of records
- Reference and Use of records



# Records Continuum

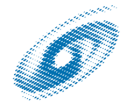
- Continuum model = no records management / archives distinction
  - Creation or Receipt of records
  - Classification of records into a logical system
  - Scheduling of records & application of schedules
  - Maintenance and Use of records
- Provides a unified approach to the effective administration of records.
- Oriented towards providing service to creators and all other users.



# How ARM fits into the larger information landscape

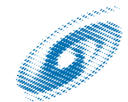
## ■ ARM concerns

- 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)

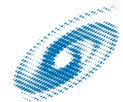
- Nature of ARM work
- Education
- Research
- What you can do
- Professional organizations





# Nature of archival work

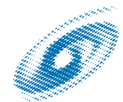
- Fleckner contends that:
  - what archivists do is essential to the well-being of an enlightened and democratic society
  - the archival record serves all citizens as a check against tyrannical government...The archival record...is a bastion of a just society.
  - the archival record assures our rights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



# Components of archival science

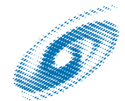
(Duranti)

- 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



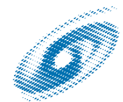
# Archival education

- 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 ...1

1938 - Modern Archives Institute

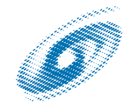
1930's - 1970s - Single course emphasis

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

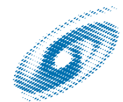
1988 - SAA reaffirms 1977 guidelines

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

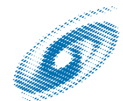
2002 – SAA Guidelines for a Graduate Program in Archival Studies

2003 - SAA CEPD Task Force on Education Office Guidelines



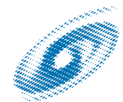
# SAA Continuing Education

- 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

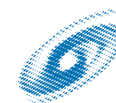
- workshops
- seminars
- institutes
- internships
- apprenticeships
- in-house training
- local study groups
- professional association meetings
- consulting
- mentoring
- professional literature
- distance education
- fellowships





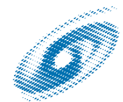
# A\*Census (2003-2006): Graduate Education

- 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

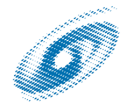
- 5,630 responses
- Wide position coverage (53% curators)
- 90% in academic, government, nonprofit sectors
- Dramatic shift in gender representation over past 50 years
- 59% started first job 1990+ (and median age well into 40s)
- 28% retiring over next decade
- 88% white
- Most salaries 30-50K range
- 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

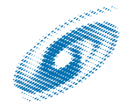
Archives is an applied science. Sound research can provide clues to better practices and increase disciplinary knowledgebase for considering why we do what we do.



# Deficit of archival research due to

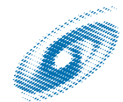
(Cox)

- 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.



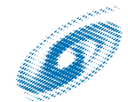
# Archival theory, method, and practice needs to be based on research that

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



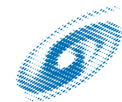
# What you can do

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



# Thank you!

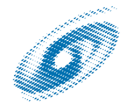
**Paul Conway**

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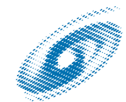
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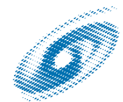
# Key Records Management Texts ...1

- [www.arma.org/bookstore](http://www.arma.org/bookstore)
- Elizabeth Shepherd and Geoffrey Yeo, *Managing Records: A Handbook of Principles and Practice* (London: Facet Publishing 2003).
- William Saffedy, *Records and Information Management: Fundamentals of Professional Practice* (ARMA International, 2004).
- Mary F. Robek, Gerald F. Brown, and David O. Stephens, *Information and Records Management, Fourth Edition* (Glencoe, 1995)



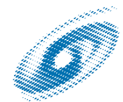
## Key Records Management Texts ...2

- Ira A. Penn, Gail B. Pennix, and Jim Coulson, *Records Management Handbook, Second Edition* (Gower, 1994)
- Michael J.D. Sutton, *Document Management for the Enterprise: Principles, Techniques, and Applications* (John Wiley & Sons, 1996)
- Donald Skupsky, *Recordkeeping Requirements* (Information Requirements, 1991).
- Donald Skupsky, *Records Retention Procedures* (Information Requirements, 1990).
- Information Requirements, *Retention Manager* (software)



# Key Archives texts ...1

- <http://www.archivists.org/catalog/index.asp>
- Gregory Hunter, *Developing and Maintaining Practical Archives: A How-to-do-it Manual*, 2nd ed. (Neal-Schuman Publishers, 2003)
- Judith Ellis (ed.), *Keeping Archives, Second Edition* (D.W. Thorpe, 1993)
- James Gregory Bradsher (ed.) *Managing Archives and Archival Institutions* (University of Chicago Press, 1988)
- T.R. Schellenberg, *Modern Archives: Principles and Techniques* (University of Chicago, 1956)
- Thornton W. Mitchell, *Norton on Archives* (SAA: 1975)



# Key Archives texts ...2

- Richard J. Cox, *Managing Institutional Archives: Foundational Principles and Practices* (Greenwood, 1992)
- Bruce W. Dearstyne, *The Archival Enterprise* (American Library Association, 1993)
- Elizabeth Yakel, *Starting an Archives* (Society and American Archivists and Scarecrow, 1994)
- SAA Archival Fundamental Series II (Glossary, A&D, Managing, Reference, Appraisal, Understanding)

