

SCHEDULING A CLOSER LOOK:

A BRIEF INTRODUCTION TO
THE WORK OF RECORDS
MANAGEMENT

Eira Tansey

Digital Archivist
/Records Manager
University of
Cincinnati

WHAT IS RECORDS MANAGEMENT?

- SAA's definition: "The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition." (archivists.org/glossary/terms/r/records-management)
- ISO 15489-1:2016: "field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and [disposition \(3.8\)](#) of records, including processes for capturing and maintaining [evidence \(3.10\)](#) of and information about business activities and [transactions \(3.18\)](#) in the form of records" (iso.org/obp/ui/#iso:std:iso:15489:-1:ed-2:v1:en)

WHY DOES IT MATTER TO ARCHIVISTS?

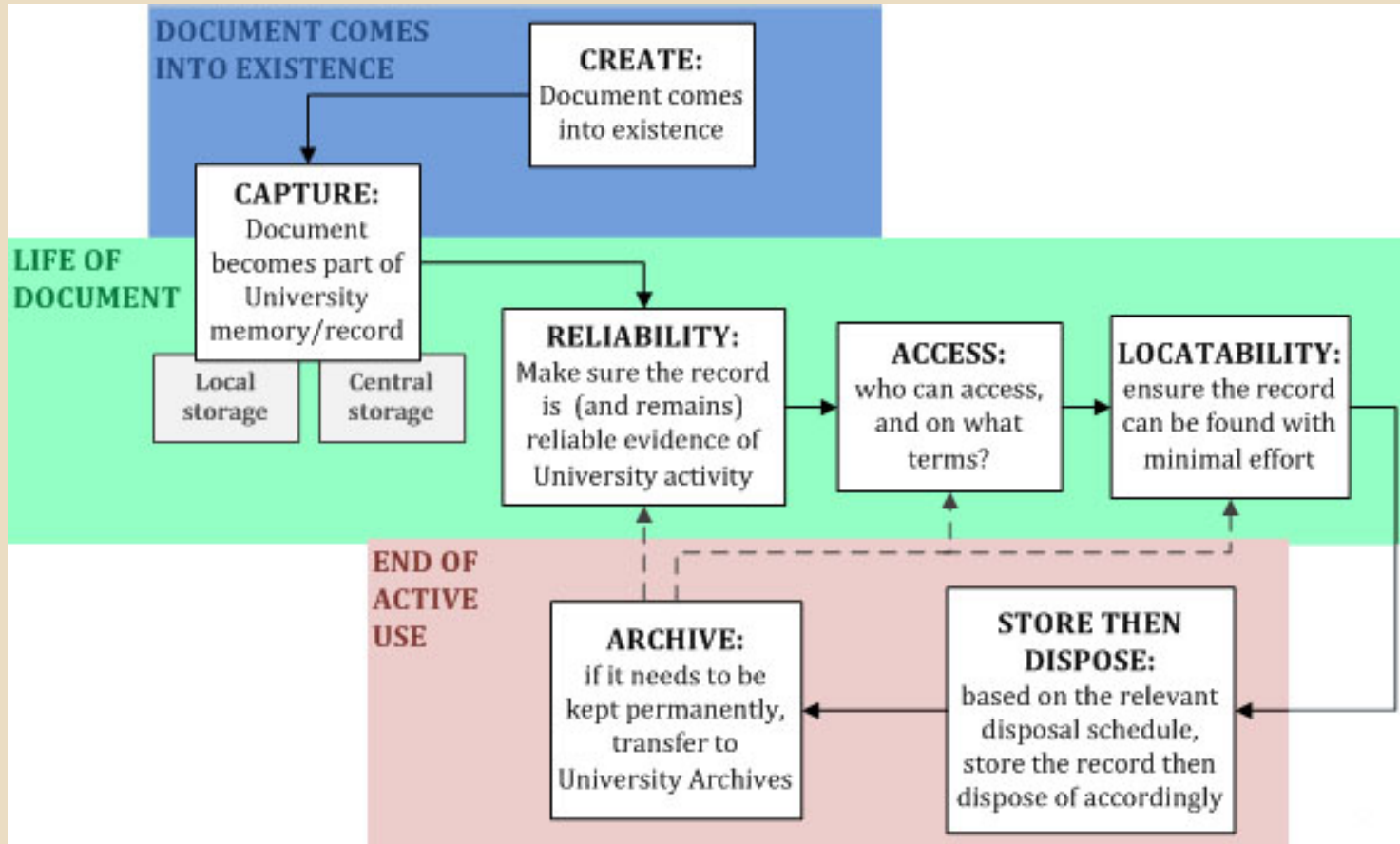


Image via The University of Adelaide <https://www.adelaide.edu.au/records/handbook/lifecycle/>

WHY DOES IT MATTER TO ARCHIVISTS?

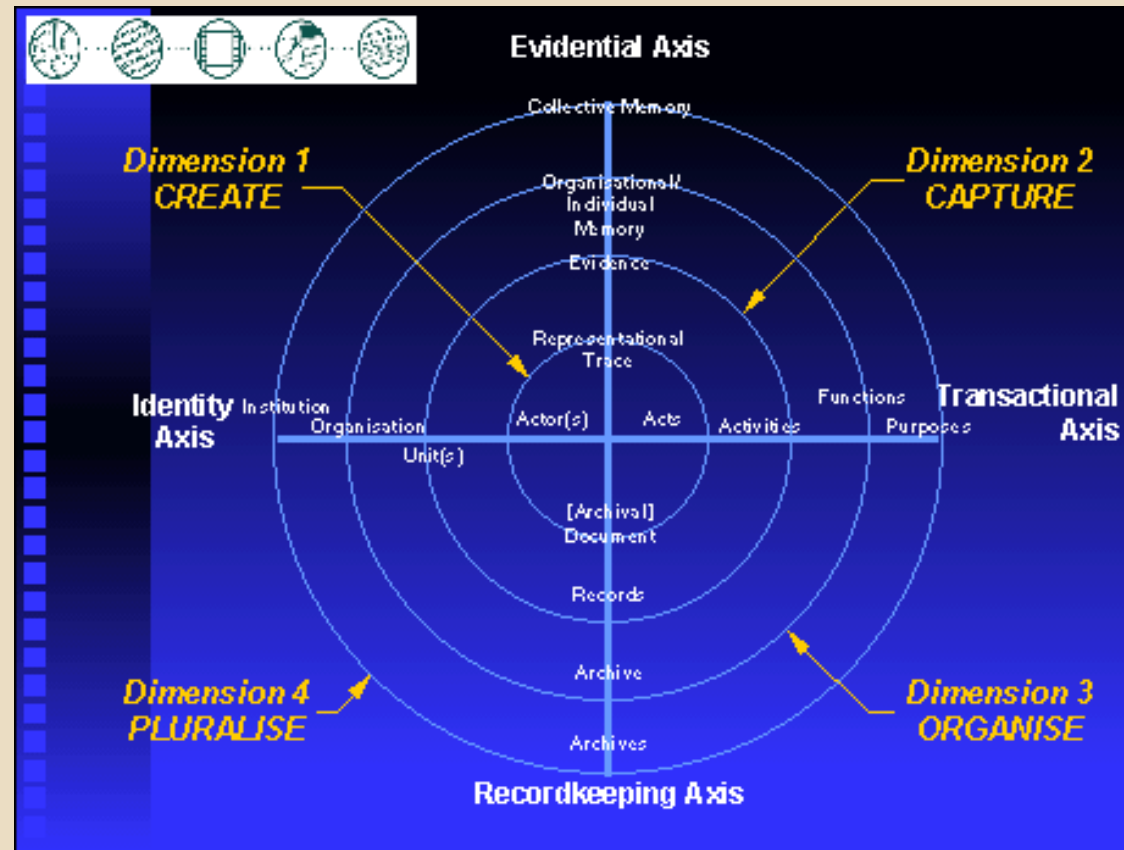


Image via **Sue McKemmish, Monash University**
<http://www.infotech.monash.edu.au/research/groups/rcrg/publications/recordscontinuum-smckp2.html>

RM IS INSTITUTIONAL, BUT NOT ALWAYS “CORPORATE”

Places where Records Management Section members work:

Allstate Insurance Company
American Civil Liberties Union
Archdiocese of New Orleans
Arkansas Electric Cooperative
AstraZeneca
Baltimore Museum of Art
Buffalo Bill Center of the West
Buffalo Exchange
Caterpillar Inc.
Chicago Transit Authority
Church of Jesus Christ of
Latter-day Saints
City of Newark
Colonial Williamsburg
Foundation

Corning Incorporated
Department of Justice
Fidelity Investments
Getty Research Institute
Harper Collins Publishers
Howard University
International Atomic Energy
Agency
Jimmy Carter Presidential
Library
Kaua'i Historical Society
Kimberly-Clark Corp
Mashpee Wampanoag Tribal
Archives
MillerCoors Company

National Archives at College
Park
Oregon Shakespeare Festival
Pacific Gas & Electric
Pi Kappa Alpha Fraternity
Refinery 29
Robert Wood Johnson
Foundation
Rotary International
South Dakota State Archives
The Museum of Modern Art
United Mine Workers of America
University of Montana
US Navy
Yellowstone National Park

RETENTION SCHEDULING

Campus Services -- Campus Recreation Center

Schedule Number	Records Series	Series Description	Authority/Explanation	Minimum Retention	Disposition
07-40I-01	Accounting/ Financial	Credit card statements and receipts. Copies of receipts for purchases made by Campus Recreation staff on purchasing cards, payment on account, purchase orders, petty cash expenditures, A114s, NIU, and travel reimbursements. Campus Services holds the record copy of Purchase Orders and supporting documentation.	ACC1000: Accounts Payable/Receivable	4 years	Destroy
07-40I-02	Incident Reports	Incident Reports of each injury, accident, theft, or problem that occurs in the Recreation Center.	ADM4000: Safety/Security	3 years	Destroy
07-40I-03	Lease Agreements	Facility Lease Agreements	LEG2000: Contracts/Agreements	ACT+5 years	Destroy
07-40I-04	Legal Contracts	Copies of contracts for sponsorships, outside organizations, services rendered.	LEG2000: Contracts/Agreements	ACT+5 years	Destroy
07-40I-05	Member Forms	Membership forms, locker purchasing forms, and reconciliation records from each student's drawer each day.	ADM9910: Subject Files	ACT+3 years	Destroy

EFFICIENCY AND HISTORY...



Just after 11:00 a.m., boxes of records to be shredded were already piling up.

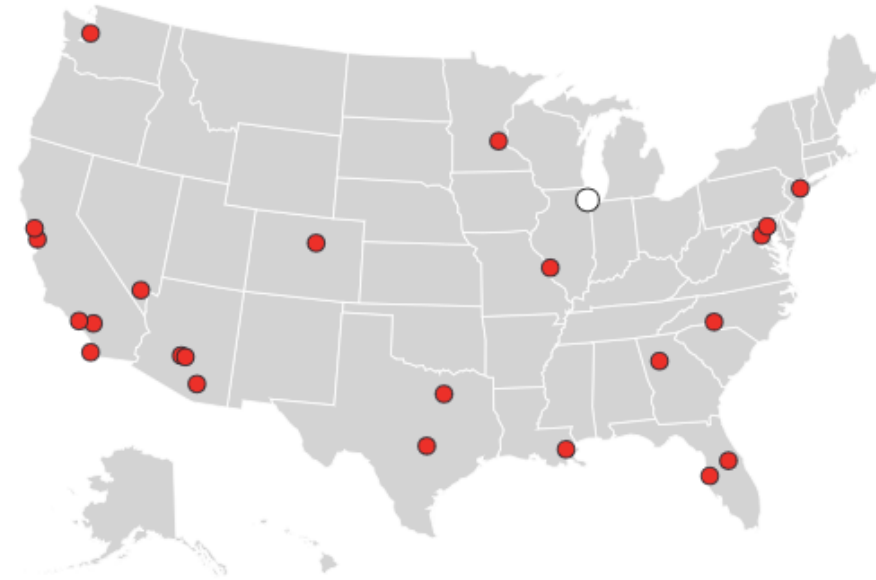


...BUT ALSO GREAT POWER

- Case study: Police body-worn video (BWV) records
- Challenge: Many states have not passed adequate laws re: public record status and/or retention of BWV
- Under-retention risks: No large corpus of records to analyze for trends
- Over-retention risks: Potential invasion of privacy

Image from brennancenter.org/body-cam-city-map

POLICE BODY-WORN CAMERA POLICIES BY CITY



Chicago (Pilot)

Time non-evidentiary video kept: 90 days

Limits on recording victims, witnesses, or private situations: Officer must stop recording victim of "sensitive" incident upon request. Recording limited in places with a heightened expectation of privacy, but not in homes.

Can officer view video before making report or statement? Yes

Public access to records: Recordings available under limited circumstances. If shows victim or witness with reasonable expectation of privacy, permission is needed. Subject of recording may always request. (Source: [IL Police and Community Relations Act](#))

...BUT ALSO GREAT POWER

- Case study: Complaint records related to fracking in Pennsylvania
- Challenge: Many regulations – and associated recordkeeping- lag behind fracking technology
- Under-retention risks: No large corpus of records to analyze for trends
- Over-retention risks: Storage costs for under-funded agencies

Image via Public Herald

COMMONWEALTH OF PENNSYLVANIA
 819-58 (REV 11-07)

INSTRUCTIONS: Submit one original copy to the Pennsylvania Historical and Museum Commission, Division of Records Administration and Image Services (PHMC/DRAIS), along with the original, signed copy of the Request for Records Action (STD-58), if a new series is being added, also submit the original copy of the Records Inventory and Analysis Form (STD-57). When adding new records, use consecutive record series numbers.
 PRINTING INSTRUCTIONS: Before printing, specify pages to be printed.

RETENTION AND DISPOSITION SCHEDULE
 ADDITION, DELETION OR AMENDMENT

DEPARTMENT CODE: 035
 ORGANIZATION CODE: 3550900
 MULTIPLE COPY NUMBER CODE: 000

FORMAT CODES:
 1- PAPER
 2- MICROFILM
 3- ELECTRONIC
 4- PHOTOGRAPHIC
 5- PHOTOGRAPHIC

DISPOSAL CODES:
 1- BURNING
 2- SPECIAL HANDLING
 3- RETURN TO AGENCY
 4- DELETE
 5- REVIEW BY AGENCY & ARCHIVES
 6- RETAIN

ARCHIVE CODES:
 1- REVIEW
 2- RETAIN

AGENCY (INCLUDE BUREAU, DIVISION OR OTHER MAJOR UNIT):
 DEP Bureau of Oil and Gas Management

DATE: [] [] [] [] [] []

VITAL RECORD Y = YES

SCHEDULE RECORD SERIES NO.	RECORD SERIES TITLE AND DESCRIPTION	SCHEDULE NO.	RETENTION				REC'D	STAMP
			Yrs.	Mo.	Yrs.	Mo.		
588	Complaints Consists of written complaints against oil and gas or coal operators alleging violations of the laws. NOTE: Information to be shredded due to confidential information such as complainant name, address, etc. Originals held in Regional Offices *5 years after resolution or letter of determination, then shred	1	5*		0		3	
[REDACTED]	[REDACTED]	A	0		100		1	
[REDACTED]	[REDACTED]	A	100		0		1	
[REDACTED]	[REDACTED]	1	5		0		1	
[REDACTED]	[REDACTED]	1	*		0		2	
[REDACTED]	[REDACTED]	1	Y	1*	0		1	
[REDACTED]	[REDACTED]	A	Y	0	100		7	
[REDACTED]	[REDACTED]	A	Y	100	0		7	
[REDACTED]	[REDACTED]	D	Y	0	100		7	

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[AND YES THAT CAN BE CONTRADICTIONARY]



- “The Digital Fireplace” – what about record creators who sanitize their records, or don’t comply with RM mandates?
(<https://saarmrt.wordpress.com/2013/12/05/archivesrm-ethics-co-opting-and-digital-fireplaces/>)
- RM and archivists’ interests can diverge as much as they intersect – especially depending on the institutional setting

Image from The New York Public Library,
<http://digitalcollections.nypl.org/items/510d47db-72df-a3d9-e040-e00a18064a99>

THINK YOU MIGHT BE INTERESTED?

- SAA Records Management Section:
<https://www2.archivists.org/groups/records-management-section>
- ARMA: <http://arma.org/> (check if you have a local ARMA chapter – many offer great programming)
- Records Management listserv: <https://lists.ufl.edu/cgi-bin/wa?A0=RECMGMT-L&X=367DA60384B465E7AE>
- AIIM (Association for Information and Image Management):
<http://www.aiim.org/>
- Academic journals:
 - Records Management Journal
 - International Journal of Information Management

WHERE TO LEARN MORE

- Records/Information Professional certificates and certification: <http://www.slideshare.net/JMerrifield/career-path-for-next-generation-records-manager>
- Overview of various approaches to appraisal: <http://www.slideshare.net/sapullen/appraisal>
- Smart blogs on records management issues:
 - SAA RMRT's The Schedule: <https://saarmrt.wordpress.com/>
 - NextGenRM: <https://nextgenrm.com/>
 - ThinkingRecords: <https://thinkingrecords.co.uk/>
 - The Signal: <http://blogs.loc.gov/thesignal/> (The Signal is more explicitly about digital preservation, but occasionally it spotlights RM issues, like this: <https://blogs.loc.gov/digitalpreservation/2016/04/a-beginners-guide-to-record-retention/>)