Recordkeeping Standards

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(updated March 2004)
The Presentation

- Evolution of RM standards:
  - Development of AS 4390
  - Development of ISO 15489 and AS 15489
- Records Continuum frame of reference
- Policies & responsibilities, strategies, system design and implementation, monitoring and auditing
- Adoption of standards by governments and private sector in Australia
- Australian Records and Archives Competency Standards
Overview of AS 4390

 Origins and development

 Purpose

 - voluntary code of *best* practice
 - applicable to all sectors
 - link to ISO 9000 quality standards and certification

 Structure:

 - General Principles, Responsibilities, Strategies, Control, Appraisal and Disposal, Storage
Definition of recordkeeping

Making and maintaining complete, accurate and reliable evidence of business transactions

Not province of records managers, archivists or system administrators alone - essential role of all employees

Includes:
- creation of adequate records in course of business activity
- design, establishment and operation of RK systems
- management of records used in business and as archives
Definition of Recordkeeping System

- records practitioners and users
- authorized policies, assigned responsibilities, delegations of authority, procedures and practice
- policy statements, procedural manuals, guidelines and other documentation
- the records themselves
- information and records systems
- software, hardware and other equipment
Concept of a Record

- Recorded information in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity

- Evidential purpose

- Transactional context

- Accountability framework
Identification of attributes of records as evidence (AS 4390 Pt. 3)

Full and accurate records are:
- compliant
- adequate
- complete
- meaningful
- comprehensive
- accurate
- authentic
- inviolate

Note: based on Pittsburgh “Functional Requirements for Evidence in Recordkeeping”
Concept of Records Management

Records management is the discipline and organizational function of managing records to meet operational business needs, accountability requirements and community expectations.

Concerned with:
- managing the records continuum
- providing a service to an organization and its clients
- managing records to meet legal, evidential and accountability requirements
- managing records as an asset & information resource
- promoting efficiency and economy
Records Management as Steering Activity

- RM as steering activity for whole-of-organisation
- Standard setting, policy development, system design, guidelines for system implementation, specifications for records systems, consultancy and advisory services ...
- Records Management as operational activity - implementing policies, systems, procedures, and recordkeeping processes; managing staff and resources

Role of Records Management

- Supports policy and decision making
- Supports consistency, continuity and productivity
- Enables organization to meet legal obligations
- Protects interests of organization and rights of employees, clients, citizens
- Supports better performance of business activities
- Provides protection and support in litigation
- Supports risk management
- Documents corporate activities and achievements
- Supports R&D
Coverage of electronic and traditional records

- AS 4390:
  - Challenged popular perception of RM as paper-based, limited to centralized filing systems
  - Addressed management of electronic records as well as conventional physical records
  - Electronic records not treated as a peculiar type of record, but as mainstream, just as conduct of business electronically has become mainstream
Links to ISO Initiative

- Response to world wide agreement to internationalise AS4390

- Scope:
  - recordkeeping principles, assigning recordkeeping responsibilities, production of records, management and control of authentic, reliable, useable, full and accurate records

- Built on and extends many of features of AS 4390
Comparison of AS 4390 and ISO 15489

- Similar definition of records
- Defines characteristics of records and records systems (a better construct)
- Definition of records management extended to include concept of recordkeeping and recordkeeping system as per AS 4390 (does not use terms recordkeeping or recordkeeping systems)
- Extended definition of RM role and purposes
ISO definition of records

- Documents created, received, and maintained as evidence and information by an agency, organization, or person, in pursuance of legal obligations or in the transaction of business
ISO characteristics of records & records systems

Records characteristics:
- authenticity (record is demonstrably what it purports to be), reliability (record content is full and accurate), integrity (record is complete and unaltered), useability (record is locatable, retrievable, renderable and meaningful), completeness (content, structure and context)

System characteristics:
- reliability, integrity, compliance, comprehensiveness, systematic implementation
ISO definition of records management

- Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence and information of business activities and transactions in the form of records

- Scope of records management as per AS 4390 definition of recordkeeping system
Extended definition of role of Records Management

- Incorporates roles as per AS 4390
- Adds:
  - provide evidence of business, personal and cultural activity
  - establish business, personal and cultural identity
  - function as corporate, personal and collective memory
Further Comparison of AS 4390 and ISO 15489

- Not overtly cast in records continuum framework & specifically states it does not relate to the management of archival records within archival institutions
- Also envisages RM as steering & operational activity
- Similar provisions re compliance regime, policies & responsibilities, strategies, system design & implementation, monitoring & auditing
- Much higher level view of RM operations (determining what to capture as records and how long to retain them; records capture; registration; classification; storage & handling, access & retrieval; movement tracking, applying disposition authorities; documenting RM processes
AS 4390 Records continuum frame of reference (1)

• Focus on business functions and activities
• A continuum based approach which recognises the need for:
  ▪ an integrated regime of management processes for the whole of the records existence - from the time of records creation (and before creation in the design of recordkeeping systems) through to preservation and use as archives
AS 4390 Records continuum frame of reference (2)

- Appraisal defined as:
  - the process of evaluating business activities to determine which records need to be captured and how long they need to be kept, to meet business needs, the requirements of organisational accountability and community expectations

- Classification serving multiple purposes:
  - involving devising & applying schemes based on business activities that generate records
AS 4390 Records continuum frame or reference (3)

- Conscious rejection of:
  - life cycle view
  - American text book models of records management
  - image of records managers as file clerks/janitors/“caretakers in the bone-yards of information”
More on the Continuum Frame of Reference

- The Records Continuum Model
- Appraisal – traditional vs continuum view
- Description – traditional vs continuum view
- Access – traditional vs continuum view
The Records Continuum Model

- **Evidential Axis**
- **Identity Axis**
- **Transactional Axis**
- **Recordkeeping Axis**

**Dimension 1**
- **CREATE**

**Dimension 2**
- **CAPTURE**

**Dimension 3**
- **ORGANISE**

**Dimension 4**
- **PLURALISE**
Example: The Ryan Case

(1) Create

* Refer to copies of the newspaper coverage relating to the Ryan Case.

* Records Dimension First Dimension View
  - The letters from the jurors and note for file were created by the individual jurors and Governor Sir Rohan Delacombe in relation to their roles and actions as jurors on the Ryan trial, and the constitutional officer with the power to grant a pardon from the death penalty respectively. They are archival traces of the actions of the jurors in seeking mercy for Ryan, and of the decision of Delacombe not to take the letters into account.
Example: The Ryan Case
(2) Capture

The letters from the jurors and the Governor’s note for file were captured into the records system of the Governor’s Office, linked to other documents relating to the Ryan Case and the Governor’s activities relating to the request to grant a pardon. They provide evidence of the Governor’s actions relating to this activity.
Example: The Ryan Case

(3) Organise

- Together with the records relating to all the other activities of the Governor, the jurors’ letters and the note for file are organised in records systems that document the function of the Office of the Governor of Victoria, and form its corporate archive and memory.
The jurors’ letters and Governor’s note for file can today be found in the records of the Governor’s Office of Victoria held in the Public Record Office of Victoria. There they have been pluralised by incorporating them into an archival framework that encompasses the collective archives of the Government of Victoria, documenting its purposes. The collective archives function as part of the collective memory of the State/former Colony of Victoria.
Appraisal - traditional vs Continuum view

- Process of evaluating records to determine which are to be retained, which kept for specified periods & which destroyed

- Process of evaluating business activities to determine which records need to be captured & how long they need to be kept to meet business needs, the requirements of organisational accountability & community expectations
Description - traditional view

Process of recording standardised information about the arrangement, contents and formats of the records [in custody] so that persons reading the descriptions will be able to determine whether or not the records are relevant to their research.
Description in the Continuum

A complex multi-layered recordkeeping function that is carried out through a series of parallel and iterative processes that capture and manage recordkeeping metadata.

Recordkeeping metadata is defined broadly to include all standardised information that identifies, authenticates, describes, manages and makes accessible documents created in the context of social and business activity.
Access - traditional view

... the terms and conditions of availability of records or information maintained by an archives for examination and consultation by researchers. Administering access to archives involves establishing procedures which will ensure that legislative requirements and donor agreements are upheld, and that the records are protected from theft, damage or rearrangement.
Access in the Continuum

Access is the process of establishing terms and conditions which govern the uses and views of records according to the rights of the individuals involved in the transactions, the business purposes of the transactions and community expectations.
Recordkeeping policies & responsibilities

- RK responsibility exists at all levels of organization (CEOs, managers, records managers, system administrators, individual employees) - needs to be identified & specified
- RM program should be in compliance with requirements of regulatory environment
- RM policies, standard procedures & practices should be documented, promulgated & implemented
- Best practice RK systems should be implemented, monitored and reviewed
- Training programs should address RM roles and responsibilities of all employees
Regulatory environment = juridical context

- Recordkeeping requirements in general and specific law (re creation, evidence, retention and disposal, custody, access, privacy)
- Industry self-regulation, standards and codes
- Professional standards, codes, best practice, ethics
- Technical standards and codes
Recordkeeping strategies

- Design RK systems that capture and manage full and accurate records
- Document RK systems
- Train records practitioners and other employees
- Convert records to new systems
- Set standards
- Measure compliance and performance
Recordkeeping system design and implementation

- Investigate
- Analyse business activity
- ID RK requirements
- Assess existing systems
- ID strategies for satisfying RK requirements
- Implement RK system
- Review

See Appendix A, AS 4390 Pt. 3 - Model Implementation Plan
Monitoring and auditing (1)

A compliant organization can demonstrate:

- developed strategies
- identified accountability requirements
- identified RK requirements
- identified RK related risks
- assigned responsibilities
Monitoring and auditing (2)

- RK requirements integrated into policies, business rules, procedures, work processes, and information, business application and communication systems
- RK procedures and practices ensure capture and management of full and accurate records
- RK system(s) established and functioning in accordance with best practice
- All records captured in RK systems
- All systems regularly performance tested
Adoption of AS & ISO by Australian governments

- The Standards are endorsed by the National Archives of Australia, State Records Authority of NSW and other state archives
- AS 4390 and the later ISO/AS form the basis of a radical transformation of recordkeeping in the Australian government sector
- Archival authorities are reinventing themselves as proactive promoters of best practice recordkeeping - their core business spans the entire records continuum
NAA and SRA NSW as lead agencies

- NAA and SRA NSW are promoting ISO and AS compliance
- They are developing various detailed manuals and standards that expand upon the ISO and AS
- Check out these developments by browsing:
  - www.naa.gov.au (click on Services to Government and check out policies, standards, guidelines re electronic recordkeeping and records management)
Standards-based toolkit for government agencies (1)

• DIRKS Manual - Designing and Implementing Recordkeeping Systems
  ▲ 8-step methodology drawn from AS 4390
  ▲ Analysis of functions and activities leading to a business classification scheme

• Recordkeeping Metadata Standards
  ▲ Records registration, classification and management metadata at/from point of creation within an agency domain
Standards-based toolkit for government agencies (2)

- Keyword AAA Thesaurus of General Administrative Terms - a *functions*-based thesaurus for classifying general administrative records
- Guidelines for preparing agency-specific functions thesauri based on a BCS
- Functional analysis/business classification scheme as basis of new functions-based agency disposal authorities
Standards-based toolkit for government agencies (3)

- New General Disposal Authority for general administrative records based on the functions identified in Keyword AAA
Standards-based toolkit and software vendors

- Software vendors have been consulted in the development of many of the new manuals and standards.
- A key objective is to exert a positive influence on the software market.
- Detailed standards and manuals of archival agencies provide the basis for auditing product and system compliance with the ISO and AS Standards.
RM Standards in the private sector in Australia

- KPMG
- BHP
- Link to ISO 9000 Series of Quality Standards

(For discussion of links between records management standards, ISO 9000 and metadata standards, see Duff and McKemmish, “Metadata and ISO 9000 Compliance”, on reserve in Lab)
Australian Records and Archives Competency Standards

- Developed within Records Continuum Framework
- Basis for recognition of records and archives educational programs
- Basis for development of workplace based training, recognition of prior learning, etc.
- Authoritative source for job description and classification