

The Evolution of Records & Information Management Its Impact on Evidentiary & Archival Considerations



Outline

- Traditional RIM
- Current & Anticipated Trends
- How These Affect Evidentiary & Archival Requirements
- An Example of Accommodating RM & Archives
- How All Goals Can be Achieved



Traditional RIM

- Paper
- Concentrated on classification, custody, retention, space, time for using
- Complex, cumbersome controls that required subject experts
- Not an operational imperative



Current & Anticipated Trends

- Multi-media
- Privacy & governance
- Operational imperative covering all information assets
- Versioning, technology obsolescence, national & international standards
- Integration with all corporate applications
- Business records vs. non-business records



Evidentiary & Archives

Evidentiary

- Records integrity, custody & control much more pervasive
 - Authenticity
 - Integrity of the system
 - Usual and ordinary course of business
- Can be a nightmare or an answer to a prayer



Evidentiary & Archives

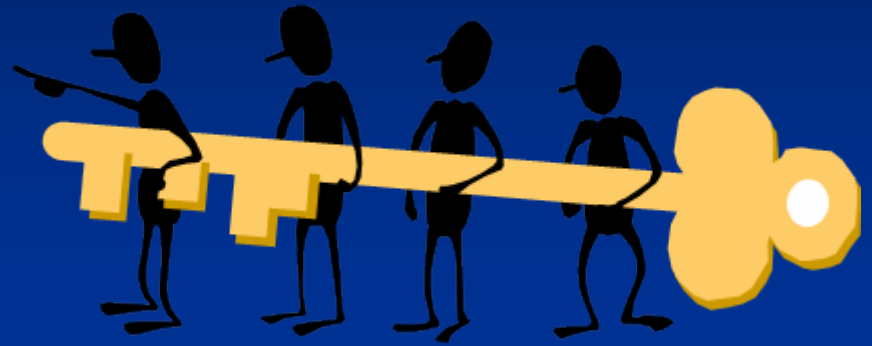
Archives

- Technology obsolescence
- World-wide availability
- Access much earlier in lifecycle
- Multi-media
- Accommodating RIM & Archival requirements
- Multiple ways of providing access



RM vs. Archives

- 5 Keys
 - Corporate Priorities
 - Access and Permissions
 - Intellectual Foundations
 - Ownership
 - Search and Retrieval



Corporate Priorities

	RM	Archives
Priorities	<ol style="list-style-type: none">1. Legal requirements to maintain records or fear of litigation2. Convenient method of access based on business needs3. Media conversion often driven by desire for more cost effective storage	<ol style="list-style-type: none">1. Media instability2. Frequency of use3. Intrinsic value

Access and Permissions

	RM	Archives
The Client	Usually internal, FOI can be both	Both internal and external, can be anyone
Multimedia records	Records kept together as a unit	Separated for storage in different environments for preservation reasons

Intellectual Foundations

	RM	Archives
Guiding principle	Right info to right person at right time	Content, Context Structure ? (create flexible tools to accommodate future unknown needs)
Needs for retrieval	Governed by User	Often subsumed by arrangement & description

Intellectual Foundations

	RM	Archives
Intellectual control vs. physical control	Integrated with physical in 1 tool; classification ideally integrated with retention	Not always integrated; fonds concept / notion; classification after the fact
Series identity	Series identity can change while records active, typically assigned to only one owner	Usually does not change once assigned, can be assigned to more than one creator

Intellectual Foundations

	RM	Archives
Dept	Many levels of hierarchy	Hi-level record grouping only, e.g. RG 1, F 1
Class	Alpha, Numeric, Alphanumeric, Chronological	Fonds, series, sub-series, item, e.g. RG 1-1-1, F 1-1-0-1
Retention	Linked to record series / class	Needed only to transfer custody
Media	Specific media	GMD - broader classes

Ownership Key

	RM	Archives
Ownership	Department identified as “office of record”	More like a library but with stricter rules for access
Org. structure	Updated to remain current, series/file classification often moves with org. unit	Need to track changes over time, with intellectual link to series/file classification

Search and Retrieval


	RM	Archives
Links	Box → File → Document	Container identity only (box, folder, item)
Retrieval	Box, or file, or document	Container level only
Restrictions on access	Org. based, FIPPA	Conservation holds, FIPPA, Legal holds
Copyright	Not usually an issue	Can be an onerous requirement

AO CIP Project

Situation

- 300,000 containers of records stored at 3 facilities
- Indexing most likely inaccurate
- Disparate applications for indexing & tracking

Drivers

- Gain an accurate database that will meet RIM & Archives needs
 - Create proper storage formats for paper, film, maps, etc.
 - Transfer collection to new, state-of-the-art facility
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Project Objectives

- 100% of all containers linked to a barcode and searchable by multiple access points
- 100% of holdings stored in appropriate containers and temperature environment
- 100% of holdings can be searched by an online interface at the container level



Success Factors

- Turnaround time for filling requests reduced by a significant margin
- Reference requests for known materials are filled 100% of the time
- A side benefit - ability to manage program with better hi-level collections information to support on-going operational priorities



Data Gathered During CIP

- Container ID
- Container condition
- Media type
- Conservation issues?
- Other issues – box overfull, almost empty, etc
- Verify classification
- Verify dates
- Verify ranges
- Verify content description
- Assign barcode



Some Processes

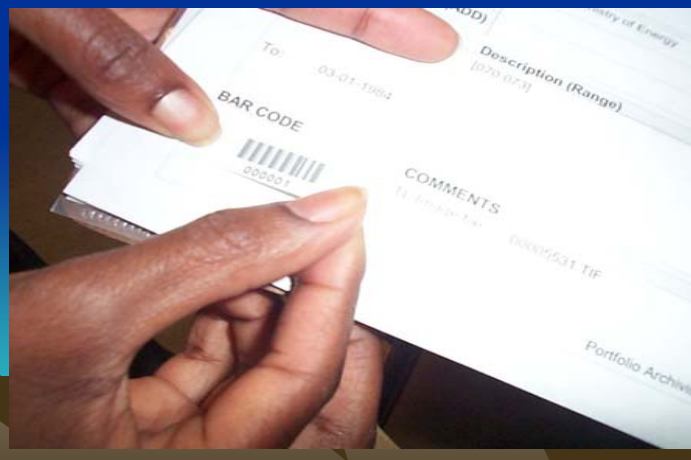
- Labour intensive tasks for special media were done at the downtown Toronto public service facility, e.g.
 - Separated photographic negatives and prints by future storage environment
 - Flattened and encapsulated panoramic photographs
 - Stabilized and protected rolled maps by rolling in plastic sheeting and tying with twill tape



Some Processes

- Off-site specialized tasks were also done, e.g.
 - Cleaned and wrapped bound ledgers/volumes in polyethylene sheeting
 - Wrapped mylar strips around front cover and affixed bar code to mylar to avoid contact with surface of the record
- Flagged individual containers that showed evidence of mould, pest or deterioration
- Replaced damaged containers





Some tools created along the way

- 100% series listing, for all government and private holdings
- Interim database, available over the Web
- Data sheet with duplicate bar code approach
- New processes for archivist follow-up



Functionality Added

- To master series listing, added access codes populated as part of the Series table in CTS - these typically indicated the number of years the records remained closed
- Using retention calculation function, CTS calculates date records available for access (as opposed to date of disposition)
- Used Circulation Hold function for conservation holds



Issues

- RM software is missing the functionality of tracking organizational history over time
- But, the tools are sophisticated enough now that this can be done
- Future integration of CTS and ADD will illustrate one way to do this
- There are other ways



Things Found

- Bloody butcher knife used in a murder
- Environmental sample jar – empty – sample leaked out
- Salted paper prints – very rare early photographic process



Some Data

- 6 minutes to inspect a container with data;
12 minutes without
- More accurate at commercial vendor but slower
- 30% of containers were replaced
- 1,023 inspected per day
- Data entry – 100 per operator per day



RMs Can Help

- Records managers can help by
 - Adding a sentence to each series scope note
“These records are used by the organization to...”
 - Tracking the start and end dates of every series
 - Documenting organizational responsibilities
 - Documenting when changes occur
 - Modifying classification structures to capture these changes so that backtracking can be done for future software functionality



Archivists Can Help Too

- Archivists can help by
 - Demystifying archival theories and practice for their clients
 - Admitting the huge gap between theory and practice which exists
 - Doing the physical control piece first *or* in conjunction with the intellectual control piece



We Can All Help

- **Accountability**
 - By applying project management principles and practices that show goals, work accomplished and realistic resource requests to complete a chunk of work (why should we be exempt?)
- **Cost effectiveness**
 - By exploring contracting out portions of the work (outsourcing can be a good thing) (why should we be immune?)
- **Marketing**
 - If you can demonstrate value, do so - ivory towers do not exist anymore, and no one is protected

