



Records Management and Archives Training Advisory

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The value of Information
is directly related to its
accessibility.

Overview



- Principles of Records Management
- Goals for Records Management
- Records Management Terms
- Records Keeping Challenge
- Resources
- Build on Success

The Principles



- **Principle of Compliance**

The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.

- **Principle of Availability**

An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

- **Principle of Retention**

An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational, and historical requirements.

<http://www.ama.org/r2/generally-accepted-br-recordkeeping-principles>

The Principles



- **Principle of Accountability**

An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel, and ensure program auditability.

- **Principle of Integrity**

A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability

- **Principle of Protection**

A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity

<http://www.ama.org/r2/generally-accepted-br-recordkeeping-principles>

The Principles



- **Principle of Disposition**

An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

- **Principle of Transparency**

The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.

<http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles>

Goals for Records Management



- **Policies and Procedures:** Produce a written document that outlines your records management and archival policies. Produce a second (or attached) document that outlines the procedures that you will use to fulfill your policy.
- **Records Inventory:** Do a general records inventory to find out:
 - **What** records offices are producing and keeping.
 - **The** record types and the approximate volume of records stored in each office.

Goals for Records Management



- **Designate a filing system:** Decide what type of filing system (paper in filing cabinets, film, electronic or some combination) best suits your needs, and follow it to the degree that it is practical.
- **Records Storage Facility:** Choose a facility for the storage of records that are useful, but are no longer needed in the office. Be sure that the facility is secure and protects the records.

Goals for Records Management



- **Records Retention Schedule:** Prepare a document that states your record retention policy and the procedures needed to follow it. Keep that document with your retention schedule.
- **Vital Records:** Your vital records are records without which you could not operate. Create a document that lists the criteria a record must meet to be considered vital and the procedures that will be used to preserve those records

Questions so far?



Records Management Terms



Migration:

- Moving information from older media to newer media to avoid
- media instability and/or media format obsolescence.

Backward Compatibility:

- The ability of newer versions of products to read the information
- of the older versions.

Archiving:

- To an archivist it is the long term storage of information for future
- historical research.
- To an information technology professional it is moving on-line
- information to near-line or off-line storage.

Records Management Terms



- **RIM:** Record and Information Management
- **ERM:** Electronic Records Management
 - Storage and retrieval of electronic records
 - Applying of retention to electronic records
- **EDMS:** Electronic Document Management System
 - Work flow
 - Collaboration
 - Version Control
 - Web site management
- **ECM:** Enterprise Content Management
 - Manages the information, media, and business process of the full organization

Records Management Terms



- **Cloud Computing:** Using a third party (vendor) for storage or any computing not done in house
- **SaaS: Software as a Service:**
Offers ECM services with lower start up and deployment costs because organizations subscribe to software applications over the web rather than own them and they pay only for what they use. Though these services have improved a great deal in the past few years some issues are difficulty in integrating SaaS with existing applications, lack of customization, problems with scalability, and a significant escalation in subscription costs as the organization grows.
- **PaaS: Platform as a Service:**
Hardware, Software, and Operating Systems that are the basis of business process systems. The pros and cons are the same as above.
- **BYOD: Bring Your Own Device:**
Transacting business and keeping records on personal devices such as smartphones, netbooks, and tablets.

Records Keeping Challenges



- Managing various records media
- Record Retrieval
- Record Storage Space
- Records Retention
- Maintaining the security & integrity of records
- Social Media
- Dynamic Documents
- BYOD such as smart phones & tablets
- Archiving Web sites
- Archiving electronic data such as E-Journals

Questions so far?

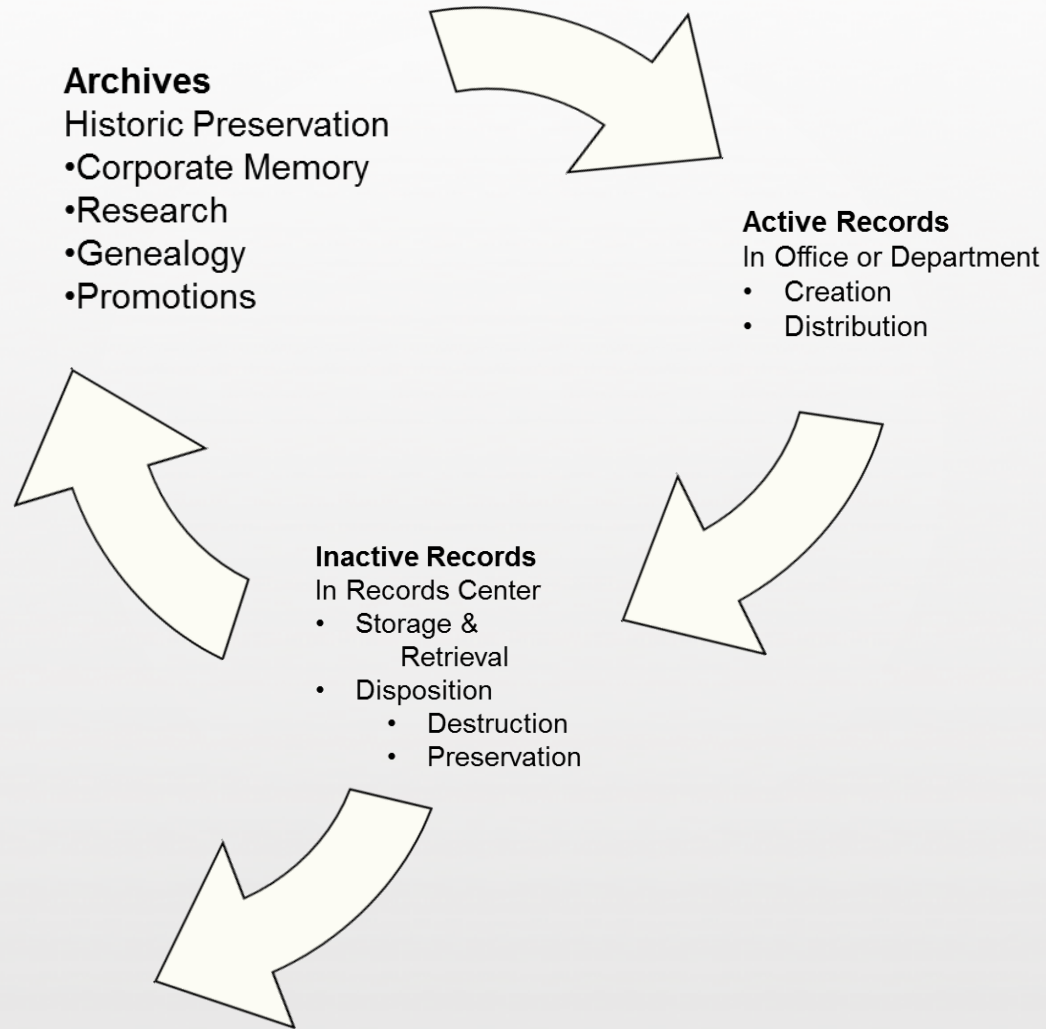


Retention Issues

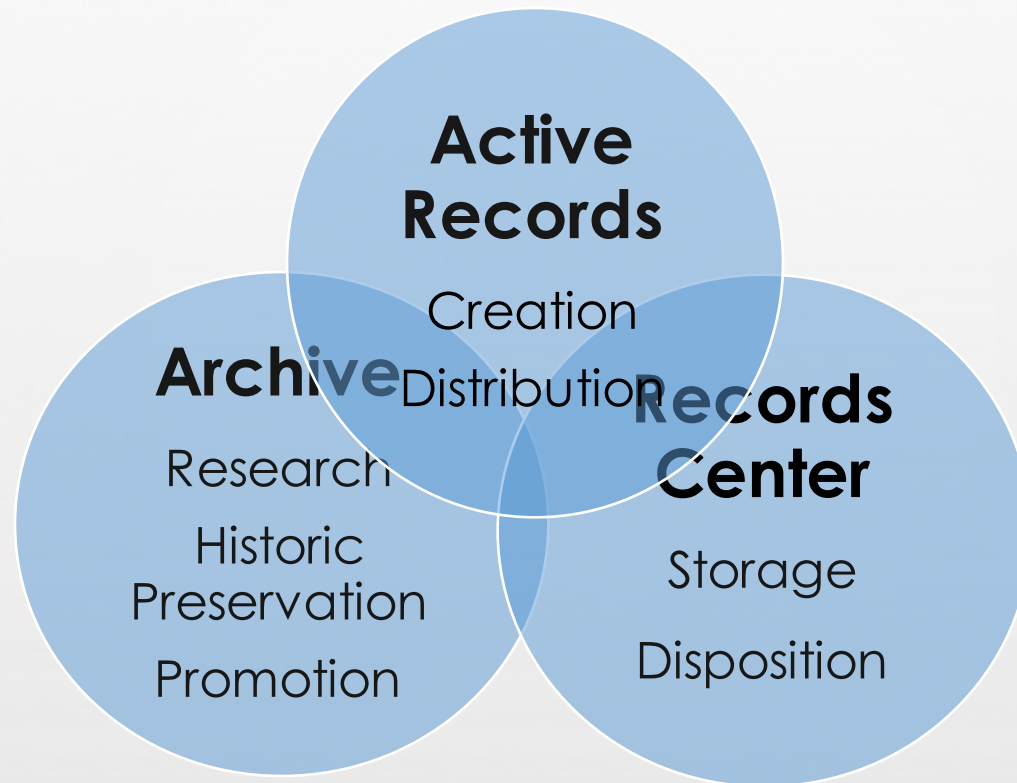


- Records Media
- Storage issues
- Retention Issues
- Creating a retention schedule & sample forms
- What to keep, what to toss, & what to archive

Records Life Cycle



Records Life Cycle





Records Media



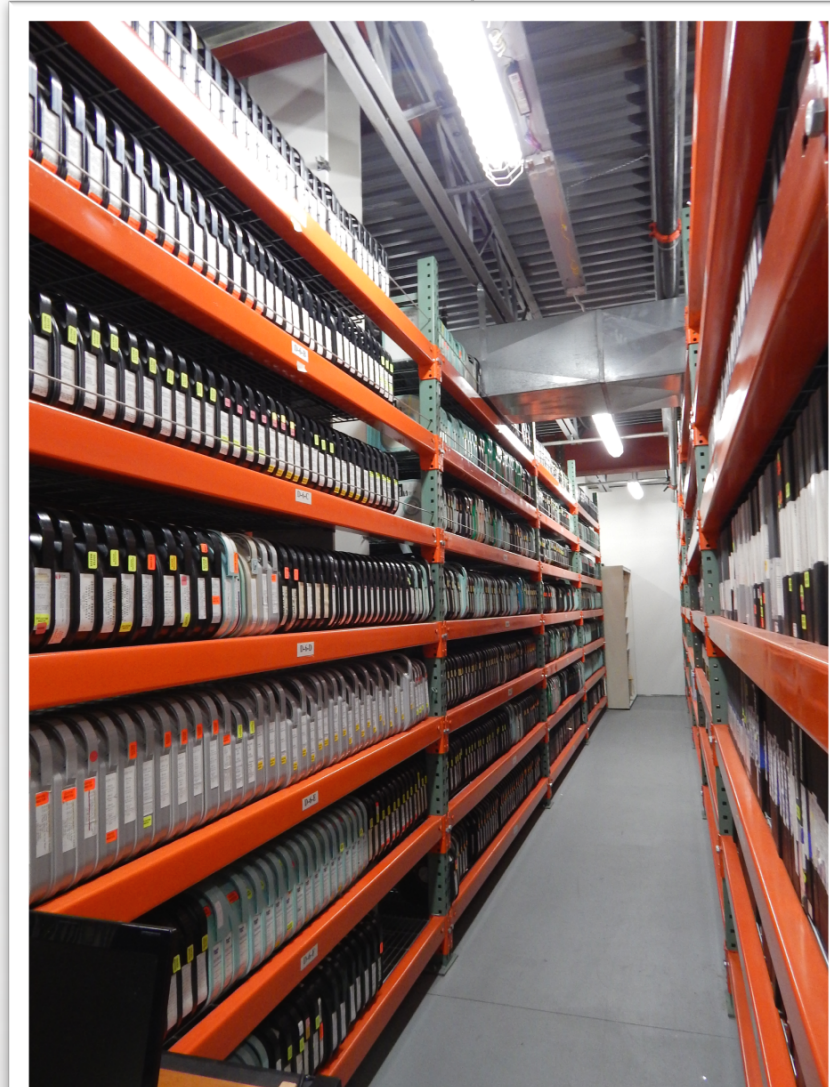
We've gone from this . . .



Records Media



have ended up with this.



Records Media



Paper

- Readable – Person
- Storage -- Bulky & high volume
- Life -- 20 to 100 year with minimum care
- Retrieval -- Labor intensive
- Distribution -- Slow & limited

Records Media



Microfilm/Microfiche

- Readable -- Person + magnification
- Storage -- 98% less than paper
- Life -- 100 years if stored under proper conditions
- Retrieval -- Labor intensive
- Distribution -- Limitations similar to paper
- Document preparation -- Necessary
- Quality Control – Automated

Records Media



- Electronic -- CD, DVD, Flash drive, Hard drive, etc.
 - Readable -- Machine readable only
 - Storage -- Stores records in less space than microfilm
 - Life -- 5 to 30 years; however, the rapid advance of technology makes electronic media obsolete in about 5 years
 - Retrieval -- Rapid and not labor intensive
 - Distribution -- Rapid, many recipients, vast area
 - Document Preparation -- Necessary (if scanning)
 - Quality Control -- Visual on a per image basis

Records Retrieval Issues



- Create and maintain an index of records in the Records Center/Archives.
- Organize the records index by department and record type that will help when doing searches and retrievals.
- After processing records into the Records Center/Archives send a report to the department or office that sent the records.
- Store the boxes in the Records Center/Archives by box number rather than by department; boxes will be easier find and it will result in a more efficient use of space.

Storage Issues



- **Record Use** – The more frequently a record is used the closer it needs to be to the office using it. Records that require immediate retrieval should be stored electronically.
- **Records Media** – Different records media have different storage requirements that need to be considered.
- **Hazards** – Records are threatened by a variety of hazards, some more likely than others. Some of the most common hazards are: fire, water, mold, theft, vandalism, vermin, and the mishandling or misfiling of records. In order to use your resources to their fullest, evaluate the threats to your records and protect against the most likely threats.

Storage Options



Self-storage

- Pros – retain control of records, easier & more immediate access to records
- Cons – need to find and maintain adequate, secure space, personnel and administrative costs

Commercial records storage

- Pros – lower administrative costs, lower cost per box for storage -- depending on volume
- Cons – higher cost of retrieval, access to records less convenient, no physical control of records, cost to retrieve records if you discontinue service

Cloud Storage

- Pros – no cost for server, records readily available over wide area
- Cons – Security, don't control records, reliability of service provider

Retention Issues



Time

- **Permanent or indefinite:** If it is already decided that a particular set of records is to be kept indefinitely, the only other consideration for that set of records is how and where to store them.
- **Regulations:** Applicable National, State/Provincial and even Municipal regulations establish the minimum time period a set of records MUST be kept.
- **Business Use:** The business use that a record supports often determines where and for how long a record is kept.
- **Media:** The media on which the record is stored or produced is NOT a determining factor in deciding how long a record is kept (i.e. electronic correspondence and paper correspondence would have the same retention time).
- **Legal holds:** Any records that have been subpoenaed, any records for which there is knowledge of impending litigation, or any records for which there is even reasonable suspicion that there will be litigation must not be destroyed. After the close of the litigation the records may then be re-evaluated for purposes of retention.



Retention Issues

Storage

- **Business Issues:**
 - **Frequency of retrieval:** Frequent retrieval and refilling would call for keeping files close by or even kept in digital form on line.
 - **Need for wide distribution:** Records can be distributed quickly and economically when they are kept in digital form.
- **Retention time:** Longer retention requirements are better met by stable media less dependent on technology for readability. Retention periods longer than 10 years will require a migration strategy for digital records.

Retention Issues



Vital records

Mission critical records without which the organization could not function (about 2% to 7% of organizational records)

Examples: charters, minutes, service records, property records, insurance policies, donor lists, and accounts receivable

Protection:

- **Redundancy:** Keeping copies of vital records in a safe off-site location.
- **Vaulting:** Keeping vital records in a location that is safe from physical hazards such as fire, water, mold and theft.

Retention Issues



Budget

- **Paper:** Costs: printing, distribution, retrieval time, and storage space Note: In some cases it may cost less to store paper in commercial storage than to microfilm it.
- **Microfilm:** Costs: document preparation, filming, distribution, retrieval, reader/printer, climate controlled storage.
- **Electronic:** Costs: document preparation, quality control, indexing, computer workstation & server, periodic record migration.

What to Keep



- **Correspondence**

Dealing with policies, administration, personnel, projects, statistics, final travel itinerary, set of original form letters

- **Minutes**

Produced by your department or for which someone in your department is the chair

- **Case files**

- **Topical files**

- **Material published by your department**

A/V material (videos, photos, pod casts), a copy of reports or brochures

What to Toss



- **Routine requests** – catalogs, brochures, Services
- **Circular memos** from other offices
- **Correspondence** concerning travel planning
- **Non-SDA** published or duplicated material
- **Temporary financial records** – phone bills, purchase orders, monthly financial statements

What to Archive



- Think of the Archive as the corporate memory.
- You would want to save records:
 - portraying beginnings, changes, endings
 - dealing with cases, events, problems, projects that reveal the purpose and function of the organization
 - documenting the relationship with other denominational organizations

Archives Web Site

SEVENTH-DAY ADVENTIST CHURCH

astr
Office of
Archives, Statistics,
and Research

ASTR HOME

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YEARBOOK

ONLINE ARCHIVES

STATISTICS



ASTR brings together the Seventh-day Adventist Church's past and present in order to inspire for the future

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"This Week in Adventist History" (April 18, 2014)

Dr. Benjamin Baker chronicles the Seventh-day Adventist church's responses to the...



"This Week in Adventist History" (April 11, 2014)

Dr. David Trim speaks on the history of the Hope Channel, the Instituto Adventista...

IMPORTANT ANNOUNCEMENTS

January 2014 TOSC Papers Now Available

NEW!

Now available online: reports to the January 2014 meeting of TOSC from the 13 Division Biblical Research Committees; new research papers to be added shortly.

[READ MORE](#)

Adventism and Adventist History: Sesquicentennial Reflections

Conference with cutting-edge papers on Adventist history and historiography

[READ MORE](#)

Summit on Nurture and Retention, 2013

Now available online: the program of the Global Summit on Nurture and Retention, 2013, "Discipling, Retaining and Reclaiming", which will be held at the World Church Headquarters on November 18-20.

[READ MORE](#)

Records Center Web Page



- ABOUT THIS SITE
 - LATEST GENERAL CONFERENCE DOCUMENTS
 - THEOLOGY OF ORDINATION
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 - RESEARCH, EVALUATION AND STRATEGIC PLANNING
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- 27
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- Adventist Archives @GCArchives
2/2 GC Archives at #ASDAH2016 (Assoc. SDA Historians) conference March 17-19. Dr. David Timm will give a plenary.
-

- ASTR HOME
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Home > Records Center

Records Center

The General Conference of Seventh-day Adventists has established a Records Center in the Office of Archives, Statistics, and Research for the purpose of providing for the proper arrangement, storage, and preservation of the records produced throughout the denomination's headquarters. In addition to serving the General Conference offices, the Records Center also serves in a similar manner for the North American Division. It is the policy (Working Policy BA 70) of the Seventh-day Adventist Church that all denominational organizations and institutions implement a records management program.

Each of the functions or departments, in consultation with the Records Manager, is to develop a records retention schedule that identifies each of the types of records or files, the time they will be retained as active records in the office as well as their time in the Records Center, and what their eventual disposition will be. This varies from permanent preservation in the original form to microfilming and/or destruction. Each of these entities should assign a Records Coordinator to oversee the implementation of the records policies.

The GC Records Manager is available for consultation within the headquarters complex on questions related to records management. Depending on time availability, additional consultations are provided upon request to other denominational organizations and institutions.

The following information related to the Records Office is available for viewing and downloading:

- [Records Management Manual](#)
- [Retention Guidelines](#)
- [General Conference Model Retention Schedule](#)
- [Archives & Records Center Policies](#)
- [Agreement for Researchers](#)
- [Application to Conduct Research](#)
- [ASTR Fee Schedule](#)

FAQ

- [What are Records and Records Management?](#)
- [GC Policy for Records Retention and Safeguarding](#)
- [Frequently Asked Questions Regarding Records Management](#)
- [Role of the Departmental Records Coordinator](#)
- [Recommended Filing System](#)
- [What to Keep? What to Toss?](#)
- [Types of Records to be Transferred to the Records Center](#)

If you have further questions about the Records Center, please address them to Peter Chionenti.

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Resources: Web Sites



General Conference

- General Conference Web site: <http://www.adventist.org>
- Archives Web page: <http://www.adventistarchives.org/>
- Records Center Web page: http://www.adventistarchives.org/records-center#.U1_lmYOU-T8
- Online Archives: <http://documents.adventistarchives.org/default.aspx>
- Yearbook page: <http://www.adventistyearbook.org/default.aspx?>
- Organizational Directory page: <http://www.adventistdirectory.org/>
- Statistics page: <http://www.adventiststatistics.org/>

Archives & Records Management

- ARMA International: <http://www.arma.org> (Association of Records Managers & Administrators)
- Society of American Archivists: <http://www.archivists.org>
- National Archives and Records Administration (US): <http://www.archives.gov>
- National Archives (Australia): <http://www.naa.gov.au>
- UNESCO Archives Portal: <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/unesco-archives-portal/>

Resources: Web Sites



Disaster Recovery

- Disaster Recovery Journal: <http://www.drj.com>
- Disaster Recovery World: <http://www.disasterrecoveryworld.com>
- Disaster Recovery Guide: <http://www.disaster-recovery-guide.com>
- Contingency Planning & Disaster Recovery: <http://www.disasterplan.com>

Electronic Records

- Long Term Preservation: <http://www.interpares.org/book/index.htm>
- Overview of Technical Approaches:
<http://www.clir.org/pubs/reports/pub107/thibodeau.html>
- Authenticity in a Digital Environment:
<http://www.clir.org/pubs/reports/pub92/contents.html>
- Preserving Authenticity: <http://www.dlib.org/dlib/july00/eppard/07eppard.html>

Build on Successes



- Start small, one department or one record group at a time. One way to ensure failure is to try to do everything all at once.
- Make the retention schedule as generic as possible.
- Make the retention schedule as well as your records management system as transparent and easy to follow as possible. The measure of its success is the degree to which it is understood and followed.