Contents

Preface ix

Editorial note x

Introduction xi

Why keep records? xi
Why is good records management important? xii
How can this book help? xiii

1 Understanding records management 1
Defining the key terms in records management 1
The life of the record 5
Records as evidence and as sources of information 10
Records, documents and data 13
Records management and related disciplines 17
Managing paper and electronic records: the hybrid environment 20
Records management programmes, systems and standards 22
Managing the life of the record 27

2 Analysing the context for records management 30
Using analytical techniques 31
The organization and its environment 35
Understanding organizational cultures and structures 41
Understanding organizational systems, functions and activities 49
Analysing and modelling systems 57
Elementary and aggregated records 64
Surveying records and records management systems 66
From analysis to implementation 70
### 3. Classifying records and documenting their context 72
- Understanding the context of records 72
- Designing a classification scheme 74
- Organizing and classifying records in paper-based systems 81
- The architecture of a paper records system 86
- Metadata for paper records 89
- Classifying electronic records 91
- Classifying records in hybrid systems 99

### 4. Creating and capturing records 101
- Principles of records creation and capture 102
- Creating records 105
- Capturing records into a records management system 108
- Ensuring that records are captured systematically 112
- Capturing records of routine processes 114
- Capturing records of creative processes 115
- Capturing information products in a records management system 124
- Capturing data records and datasets 127
- Capturing dynamic digital objects 128
- Registering records 130
- Assigning unique identifiers 134
- Assigning metadata 138

### 5. Managing appraisal, retention and disposition 146
- The need for retention controls 146
- The development of appraisal: theory and practice 147
- Appraisal strategy: a framework for decision making 153
- Appraisal criteria 155
- Documenting and applying retention decisions 162
- Reviewing retention decisions after the creation of records 166
- Retention of ‘legacy’ records 169
- Disposition 170
- Quality control and documentation 171

### 6. Maintaining records and assuring their integrity 173
- Storage systems for paper records 173
- Establishing and managing a records centre 175
- Options for electronic records 182
- Managing archives 183