CHAPTER 1

What Is Records Management?
What do I Need to Know About Records Management?
What Is Records Management?

- Information explosion
- Increase in information causes a growing problem for individuals, organizations, institutions, businesses, and countries
- How is information managed?
- Records and information management is the first step to manage the information explosion
Why Is Records Management Important?

- Records and information are important resources for an organization.
- Business must have up-to-date information in the right form, at the right time, in the right place to make management decisions.
Records Management Is More Important than Ever

- Terrorist attacks
- Corporate scandals
- ISO 15489
What Are Records?

- **Record**—stored information, regardless of media or characteristics, made or received by an organization that is evidence of its operations and has value requiring its retention for a specific period of time
How Are Records Classified?

<table>
<thead>
<tr>
<th>By Use</th>
<th>By Place of Use</th>
<th>By Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction documents</td>
<td>External records</td>
<td>Vital records</td>
</tr>
<tr>
<td>Reference documents</td>
<td>Internal records</td>
<td>Important records</td>
</tr>
</tbody>
</table>

- Transaction documents
- Reference documents
- External records
- Internal records
- Vital records
- Important records
- Useful records
- Nonessential records
Why Are Records Used?

- Records serve as the memory of a business
- Records are retained because they have one of four values:
  - Administrative
  - Fiscal
  - Legal
  - Historical
What Is the History of Records Management?

- Hieroglyphics on rock and cave walls
- Before 1600 records were based upon simple trade transactions
- Invention of the printing press and typewriter
- Until the 1950s records were usually on paper
- Computer records added since 1950s
Electronic Records

- Essential characteristics of all records
  - Authenticity
  - Reliability
  - Integrity
  - Usability
Electronic Commerce

- **E-commerce** is an electronic method to conduct business communications and transactions over networks and through computers.
- Records of communication and transactions are created electronically.
- Cooperative effort among the records and information management, information technology, and legal departments.
Enterprise Content Management (ECM)

- ECM is the technologies, tools, and methods used to capture, manage, store, preserve, and deliver content or information across an enterprise.
  - Technology
  - Business processes
  - People
What Are the Legal Considerations for Records Management?

- Federal government pioneered the study of records management and created the General Services Administration (GSA)
- Legislation balances and protects
  - An individual's right to privacy
  - Public's access to information
  - Quest for national security
What are the Legal Considerations for Records Management?

- GSA
- Freedom of Information Act
- Privacy Act
- Copyright Act
- Intellectual Property Protection Act & Court Amendments of 2004
- Right to Financial Privacy Act
- Paperwork Reduction Act
- Video Privacy Protection Act
- Computer Matching & Privacy Protection Act
- E-SIGN
- Fair Credit Reporting Act
- HIPAA
- Patriot Act
- Sarbanes-Oxley Act
What Are the Records Management Functions?

- **Planning**—establishing goals and the methods required to achieve them
- **Organizing**—arranging tasks, people, and other resources needed to meet the goals
- **Leading**—managerial behavior that supports the achievement of goals
- **Controlling**—measuring how well the goals have been met
Life Cycle of Records

- Creation
- Distribution
- Disposition
- Use
- Maintenance
Programs for Managing Records

- Well-defined goals understood by all workers
- Simple, sound organizational plan
- Efficient procedures for managing each of the five stages in the record life cycle
- Well-trained staff
Problems in Records Systems

- Management
- Human problems
- Inefficient filing procedures
- Poor use of equipment
- Inefficient use of space
- Excessive records costs
Careers in Records Management

- **Opportunities**
  - Every type and size of office has records
  - Records supplies and storage equipment for businesses

- **Positions**
  - Records managers
  - Records supervisors
  - Records clerks
Typical Job Levels and Job Titles

- Records Manager
- Director of Records Management
- Records Administrator

- Forms Supervisor
  - Forms Analyst

- Records Center Supervisor
  - Records Analyst

- Micrographics Services Supervisor
  - Micrographics Technician

- Reports Supervisor
  - Records Clerk
ARMA International

- Association of Records Managers and Administrators, Inc.
- An important professional group for records and information managers
  - Improving educational programs in schools and industry
  - Providing on-the-job knowledge about records and information management
National Archives

- What are the most requested files?
  - Military Service Records
  - Declaration of Independence
  - Constitution of the United States
  - World War II Photos
  - Genealogy/Getting Started
  - Recovering from Disaster