

Contents

Preface		xi
Chapter 1: Records Management as a Business Discipline		1
Conceptual Foundations		3
Ownership of Records		4
Records as Assets		6
Record Formats		7
Information Life Cycle		8
Records versus Non-Records		9
Deteriorative Nature of Recordkeeping Problems		11
The Business Case for Records Management		11
Programmatic Principles		12
Record Retention		14
Cost-Effective Management of Inactive Records		15
Organization and Retrieval of Active Records		17
Protection of Essential Records		18
The Records Management Function		18
Organizational Placement		18
Executive Sponsorship		20
Advisory Committee		21
Staffing and Duties		22
Record Coordinators		22
Program Maturity Model		23
Records Management and Related Disciplines		24
Information Governance		25
Information Technology		26
Information Security		26
Compliance		27
Risk Management		27
Legal Affairs		28
Data Science		28
Knowledge Management		29
Library Science		29

Archival Administration	30
Summary of Major Points	30
Notes	31
Chapter 2: Preparing Retention Schedules I: Collecting Data	37
Data Collection Plan	38
The Record Series Concept	39
Identifying Program Units	40
Defining the Scope	40
Management Support	41
Interviews versus Questionnaires	42
Data Collection Timetable	44
Special Issues for Electronic Records	45
Interview Techniques	46
The Survey Instrument	48
Series Title	50
Summary Description	50
Dates Covered	51
Format	52
Arrangement	55
Quantity	55
Estimated Growth	56
Storage Conditions	57
Reference Activity	57
Retention Requirements	58
Nonpublic Information	58
Duplication	59
Hardware and Software Requirements	59
Related Records	60
Essential Records	60
Summary of Major Points	60
Notes	61
Chapter 3: Preparing Retention Schedules II: Making Retention Decisions	63
Preparing Retention Schedules	64
Program-Specific versus Functional Schedules	64
Granular versus Aggregated Retention Schedules	67
Retention Triggers	68
Media-Neutral Retention Schedules	69

Flexible Retention	69
Retention Concepts	70
Retention Criteria	70
Official Copies versus Duplicate Records	71
Legally Mandated Recordkeeping Requirements	73
Tax Records	76
Accounting Records	77
Employment Application Records	78
Personnel Records	78
Employment Contracts	80
Employee Medical Records	81
Occupational Health Records	81
Workers' Compensation Records	82
Payroll Records	82
Employee Benefit Plan Records	83
Record Retention and Data Protection Laws	83
Formats for Official Copies	85
Admissibility in Evidence	86
Authentication	87
Statutes of Limitations	89
Pretrial Discovery	90
Legal Holds	94
Operational Retention Requirements	95
Determining Operational Need	95
Retention and the Information Life Cycle	96
Retention of Drafts and Documents of Transitory Value	97
Special Considerations for Electronic Records	98
Implementation Issues	100
Importance of Implementation	100
Implementation Principles	101
Implementation Actions	101
Secure Destruction	102
Training Requirements	103
Compliance	104
Revision of Retention Schedules	104
Summary of Major Points	105
Notes	106
Summary of Major Points	202
Notes	203

Chapter 4: Managing Paper Records		111
Filing Systems for Active Records		112
Alphabetic Arrangements		112
Sequential Numeric Arrangements		113
Nonsequential Numeric Arrangements		114
Chronological Arrangements		115
Phonetic Filing		115
Geographic Files		116
Subject Files		117
Central Files		119
Filing Equipment and Supplies		121
Vertical Filing Cabinets		121
Lateral Filing Cabinets		122
Shelf Files		123
Drawing Files		125
File Folders		126
Color Coding		126
Filing Accessories		127
Some Filing Guidelines		128
Storing Inactive Records		129
Record Center Characteristics		131
Record Storage Containers		132
Shelving		133
Material Handling Equipment		134
Environmental Controls		135
Air Quality		136
Fire Protection		136
Pest Control		138
Services		138
Record Center Software		140
Commercial Record Centers		141
Services and Costs		142
Cloud-Based Record Storage		144
Summary of Major Points		144
Notes		146
Chapter 5: Document Imaging		151
Document Preparation		152
Digital Document Imaging		154
Document Scanners		154

	Image Inspection	157
	Image Formats	157
	Media Stability	158
	Image Organization and Retrieval	159
	Micrographics	160
	Reduction	160
	Types of Microforms	161
	Microfilm Cameras	163
	Computer-Output Microfilm	164
	Microfilm Processing and Inspection	164
	Microform Duplication	165
	Media Stability	166
	Microform Display and Printing	167
	Microform Scanners	168
	Retrieval of Microimages	168
	Imaging Service Companies	169
	Legal Acceptability	169
	Summary of Major Points	171
	Notes	172
Chapter 6:	Managing Digital Documents	177
	Document Indexing Concepts	179
	Indexing versus Filing	180
	Key versus Non-Key Fields	180
	Index Values	183
	Full-Text Indexing	184
	Automatic Categorization	184
	Document Retrieval Concepts	185
	Retrieval Functionality	186
	Federated Searching	188
	Predictive Coding	189
	Digital Document Technologies	190
	Enterprise Content Management	191
	Records Management Application Software	194
	Email Archiving Software	196
	Digital Asset Management	198
	Website Archiving	200
	Social Media Archiving	201
	Summary of Major Points	202
	Notes	203

Chapter 7: Protecting Essential Records		207
Essential Records Program		208
Legal Considerations		209
Protection as Insurance		210
Management Responsibility		211
Identifying Essential Records		213
Essential Records versus Important Records		213
Survey of Essential Records		214
Risk Analysis		215
Threats and Vulnerabilities		215
Qualitative Risk Assessment		218
Quantitative Risk Assessment		219
Risk Response		221
Preventive Measures		221
Protective Measures		223
Implementation and Compliance		224
Summary of Major Points		225
Notes		226
Index		229
About the Author		239
Record Center Characteristics		132
Record Storage Containers		132
Shelving		133
Material Handling Equipment		134
Environmental Controls		135
Air Quality		136
Fire Protection		136
Pest Control		138
Services		138
Record Center Software		140
Commercial Record Centers		141
Services and Costs		142
Cloud-Based Record Storage		144
Summary of Major Points		144
Notes		146
Document Imaging		151
Document Preparation		152
Digital Document Imaging		154
Document Scanners		154