

InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Italy

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1. Overview

This case study was carried out at ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property). ICCROM is an intergovernmental (IGO), scientific and autonomous organization, with a worldwide mandate to promote the conservation of all types of cultural heritage, both movable and immovable. It was founded by UNESCO in 1956 and established in Rome in 1959. Currently, ICCROM staff is composed of 36 people.

The main goal of the case study was to design and implement a records management system for the entire organization, considering both paper and electronic records.

A working group was created for this case study within InterPARES 3 Team Italy. The working group was composed of the following people:

- ICCROM staff:
 - María Mata Caravaca (Archivist).
 - Roberto Nahum (Manager, Information Systems).
- Resource people:
 - Vincenzo De Meo (Archivist, free-lance).
 - Prisca Giordani (Archivist).
 - Giovanni Michetti (Researcher, Università degli Studi di Roma “La Sapienza”).
 - Lucio Rocchetti (Computer consultant).

The initial planning foresaw two main project phases:

- Analysis and system design (2008-2010)
- System implementation (2010-2012)

Currently (March 2012), the project is still ongoing. The customization phase is being concluded and first testing with selected staff will be carried out soon. Later, training of all staff and the system implementation will take place.

2. Methodology

2.1 Analysis (2008)

Following InterPARES analysis templates, the project started by gathering contextual information about the organization (ICCROM) and its procedures and practices for records management.

A report was then elaborated containing data on ICCROM's foundation, legal status, mandates, functions, vision, governance, funding, physical resources (infrastructure and equipment), regulations and recognitions or awards. The report also included information related to records creation (both paper-based and electronic), such as documents resulting from ICCROM activities, existence of a records management programme (analysis of the mail workflow, record-making and record-keeping practices, including individuals responsible for records maintenance and maintenance strategies), legal or normative requirements and constraints, and also technological requirements and constraints impacting the creation and preservation of records. The report is available in the InterPARES Researchers' area:

[TEAM Italy-CaseStudy01 ContextualAnalysis v1.0 ENG.pdf](#) (English)

[TEAM Italy-CaseStudy01 ContextualAnalysis v1.0 ITA.pdf](#) (Italian)

A second report was produced containing the previous contextual analysis structured according to five contexts: provenancial, juridical-administrative, procedural, documentary, technological. Detailed analysis on existing record-keeping systems, and records and archives policies and procedures was carried out. The report was also accompanied with a bibliography and a glossary of terms. Finally, the report presented a plan of action for developing the project. The report is available in the InterPARES Researchers' area:

[ip3 it CaseStudy01 Template-Report v1.0.pdf](#) (Italian)

2.2 Project phases (2009-2012)

The project has followed the different steps that were identified in the action plan after concluding the first analysis phase.

2.2.1 Records classification scheme, and records retention and disposal schedule (2009)

This phase consisted of creating a records classification scheme for the whole institution, integrated with a records retention and disposal schedule. With the help of a consultant, analysis of the documentary typologies and archival units produced by ICCROM, and also interviews of staff (managers and administrative assistants) were carried out. A draft of the records classification scheme, which included the retention period of the record series, was produced and discussed within the case study working group.

The final scheme proposal was approved by ICCROM's Management Team, which is composed of the Director-General and Head of Units/Offices/Services.

2.2.2 Records management software (2010-2012)

This ongoing phase consists of identifying and adopting a records management software for records management.

2.2.2.1 Functional requirements (2010)

The first step was to identify the software functional requirements, both archival and technological. The main archival requirements for the software were as follows:

- Registration
- Classification and filing
- Retention and disposal
- Security controls (users access, back-up and recovery)
- Search and retrieve
- Elaboration of reports and statistics

The main technological requirements were related to:

- Application platforms
- Management of e-mails
- Formats
- Records authenticity
- Others, such as records transfer and export, remote work, single sign on.

For both archival and technological requirements, more specific requirements were identified within these main ones.

Requirements were qualified as: MUST / SHOULD / COULD. It meant that some requirements were absolutely necessary (MUST); others were recommended (SHOULD); and others were desirable but not indispensable (COULD).

The functional requirements were based on international standards and specifications (ISO 15489-1/2:2001, InterPARES 2, MoReq2), and also national technical documents (those produced by the Italian national entity for information technology in the public administration). The consulted bibliography is included in Appendix 1. The list of functional requirements was discussed within the case study working group.

2.2.2.2 Market survey of software (2010)

A list of current software for electronic record / document management systems (ERMS / EDMS) was produced. A search was carried out on the Internet, and other software were indicated by members of our case-study working group. The list of software is as follows: Alfresco, KnowledgeTree, Doqui, Paflow, Nuxeo EP5, ArchiFlow, ProteusPA, ProtocolloASP, Folium, Oracle Content Management SDK, SharePoint, QRMS QUEST, GoupWise, FileSurf / CA Records Manager, Livelink.

Some of this software was installed and tested: open-source software (Alfresco, KnowledgeTree), and one proprietary software used in-house for e-mail management and collaboration (GroupWise). A checklist was compiled with the functional requirements qualified as a MUST. The checklist was filled out for the software that were installed and tested.

The above mentioned proprietary software used in-house for e-mail management (GroupWise) included a module for document management, which was tested. The main requirements that the system could not accomplish were:

- Resetting the protocol number at the beginning of a new year.
- Holding and managing the records classification scheme, and the records retention and disposal schedule plan.
- Managing the file folders retention period.

Other proprietary software could not be evaluated because it was necessary to directly contact the software vendor to analyze the product. Frequently, little technical documentation was available on the Internet about them and their specifications did not make clear the boundary between records management and document management.

The high costs of proprietary software (initial license, implementation and configuration services, ongoing license fees for new versions and upgrades, product changes) and the user dependency to the software vendor policies were fundamental reasons not to analyze these products in-depth.

The expenses are considerably reduced with open-source software. Expenses are mainly

related to the services required to customize and implement the software, and also to the maintenance costs for new developments or additions. The main advantages are:

- No initial cost of the software.
- No dependency on private company marketing strategies.

Italian software that follows Italian law for records management was considered, but most of them were proprietary software and free only for agencies of the Italian Public Administration. They all were in Italian, so translation of software into English had to be done for our specific needs. Moreover, some software was offered using an Application Service Provider (ASP) model, which meant paying each records transaction or an annual fee, and not having the server in-house. We preferred to avoid these conditions. Some examples are ArchiFlow, ProteusPA, ProtocolloASP and Folium.

The results of this first analysis determined that the software selection was based on three critical parameters:

- Open-source software, as opposed to proprietary.
- Records management software, as opposed to document management.
- International standards, as opposed to national regulations due to the juridical nature of ICCROM.

At this point, the number of records management software was drastically reduced to two software types, which are commercial open-source (Alfresco and KnowledgeTree). These software types work with open source technologies, offering a free downloadable version and a commercial one with additional features or additional technical support.

The final selection was to Alfresco. This decision was made after attending an Alfresco Road-Show, in which some Italian software companies presented experiences and applications of Alfresco in specific projects of Italian institutions. Alfresco free version seemed to have more records management functionalities than KnowledgeTree and appeared to be more customizable.

2.2.2.3 Software customization (2010-2012)

The Alfresco Road-Show became an opportunity to meet companies with specialized knowledge of Alfresco. Some of these companies were contacted and were requested to present a feasibility study according to our specific functional requirements, and a cost estimate. The final selection was approved by ICCROM's Management.

The software customization project foresaw the following phases:

- Analysis
- System development
- Release and testing
- Final test
- Staff training

Analysis

During this analytical phase, the software company requested the following actions at ICCROM:

1. To answer a basic questionnaire with around 30 questions related to records registration and classification, type of records, descriptive metadata, workflows to be implemented, user groups and permissions, and hardware platform. The company then produced a document with the system requirements.
2. To identify the access levels of user groups in relation to our records classification scheme.
3. To produce registration metadata. Metadata were then identified for incoming, outgoing and internal records, and also for media material.

System development

After having this documentation, a first prototype was presented. Many tests and modifications were carried out since the first prototype, and the final system version is almost ready.

Setbacks during customization

The customization project has been considerably delayed due to different setbacks encountered:

- Initial inadequate allocation of human resources by the software company. Even if the customization process initiated in November 2010 and was supposed to end in March 2011, the software company could only allocate specific human resources to this project in February 2011. At the same time, the software company changed their project coordinator.
- Underestimation of the project complexity and costs by the software company. A critical period for the project was reached in July 2011, when the system was apparently released but during testing, the prototype didn't fit totally our needs and had major technical problems, such as:
 - The incoming registration workflow for paper records was not working as desired. In fact, this workflow was not analyzed in detail from the beginning and this blocked our work. The company did not want to make more customization.

- Two bugs: CIFS and IMAP.

During the testing phase, we discovered that two main functional requirements had bugs in the Alfresco's open-source version:
CIFS (integration of Alfresco with operating system's native file management),
and IMAP (integration of Alfresco with standard e-mail client).

Fortunately, Alfresco released a fix for CIFS, but to solve the IMAP bug we needed to allocate more financial resources to allow the company to hire an Alfresco expert programmer to work on the core source code.

- Unforeseen functionalities were encountered during the system tests, such as the possibility by Head of Departments of delegating registration and classification actions to their administrative staff.

Lessons learned

- Functional requirements should be as detailed as possible, and should in particular include an in depth analysis of records workflow.
- Pay attention to the software company marketing. In our case, Alfresco open-source was marketed as having the same functionalities as the commercial version. The only difference between them was supposed to be the additional technical support that the commercial version had.

We later discovered that both versions did not have the same functionalities; we found critical bugs in the open-source version that we verified were not present in the commercial one (IMAP, CIFS).

In the open-source version, we could also verify that the IMAP bug appeared only when the Alfresco records management module was installed; IMAP worked well with the document management module alone.

- Plan a surplus of 20-40% of the total project budget for unforeseen contingencies, such as needed functionalities and requirements that can come out during the system customization.

2.2.3 Manual for Records Management

From June to July 2011, an ICCROM intern, Kathryn Pierce, produced our Manual for records management, which contains a records management policy and records management procedures. The Manual is still a draft and is made available in Appendix 2 to illustrate the ICCROM case study in progress.

A digital preservation and access policy is in preparation and should be added to the manual.

4. Conclusions

Even for small organizations, the implementation of a records management system which takes into consideration archival principles and preservation strategies is surrounded by complexity.

Above all, it is difficult to put theory into practice. It is not only a question of economic and human resources; many other factors have to be taken into consideration: the knowledge and experience available for these specific projects, the type of communication established with IT people or other collaborators, the support needed from the Management and staff, etc.

To define functional requirements is extremely important, as well as to identify records workflow that have to be implemented in the software. Metadata needs to be automated as much as possible. It should be limited to genuinely necessary and essential information to be sure that users are able to fill out all of the required fields.

Currently, we still need to finalize customization and to initiate testing with some staff. This test will provide useful feedback and help to identify problem areas. Targeted strategies for staff training need to be planned to strengthen the system use. The system implementation phase needs to be carefully studied and developed in order to be successful.

Appendix 1: Bibliography used for elaborating the software functional requirements

- Authenticity Task Force (2002), "Appendix 2: Requirements for Assessing and Maintaining the Authenticity of Electronic Records", in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, Luciana Duranti, ed. (San Miniato, Italy: Archilab, 2005), 204-219. Online reprint available at http://www.interpares.org/book/interpares_book_k_app02.pdf
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- International Organization for Standardization, ISO 15489-1/2:2001: Information and Documentation – Records Management Part 1: General, Part 2: Guidelines.
- McLellan, Evelyn Peters (2007), General Study 11 Final Report: Selecting Digital File Formats for Long-Term Preservation, InterPARES 2 Project. [www.interpares.org/display_file.cfm?doc=ip2_file_formats\(complete\).pdf](http://www.interpares.org/display_file.cfm?doc=ip2_file_formats(complete).pdf)
- Michetti, Giovanni and Pensa, Stefano (2002), Ministero dell'Economia e delle Finanze: Case Study sui Requisiti Tecnici del Sistema Documentario (versione 4.2). [Unpublished].

Appendix 2: Draft Records Management Manual

[This draft document is not yet finalized and has not been tested -- it is meant to illustrate the ICCROM case study in progress.]

Records Management Manual



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Glossary

Attachments [These are not appended for confidentiality reasons.]

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- Appendix B: Reference rules/procedures
- Appendix C: Records classification scheme and retention schedule
- Appendix D: Quick Reference for ICCROM Document types
- Appendix E: Metadata for incoming, outgoing, and internal records
- Appendix F: Alfresco software manual

1 Introduction

1.1 Purpose

The ICCROM records management manual communicates policies and procedures for management of current records, both analogue and digital, produced by the different ICCROM offices. It includes an introduction to the records management system at ICCROM, a policy that provides a framework for creation, management and ongoing preservation of records on any media that are authentic, reliable and accessible for current and future use, and a procedures guide for records registration, classification, retention, transfer, and disposal using records management software. Raising awareness about records management and training ICCROM staff is integral to creating an effective recordkeeping system and preserving institutional records with enduring value.

1.2 Scope

The policy and procedures outlined in the Records Management Manual address all records created or received in the course of institutional activities at ICCROM. Records should be managed as evidence of ICCROM programmes, projects, missions, technical support, training, finance, and the administrative work of the General Assembly, Council and Office of the Director-General.

1.3 Background

The Records Management Manual is the first formal records management policy or procedures for ICCROM. The Archives and the Information Systems Department has been developing a records management system as part of the InterPARES 3 Project (International Research on Permanent Authentic Records in Electronic Systems) TEAM Italy (TEAM = Theoretical Elaborations into Archival Management).

1.4 Audience

The Records Management Manual is an internal document for use by all ICCROM personnel.

2 Records Management Policy

2.1 Policy statement

ICCROM recognizes that effective management of its records is essential to support the activities and functions of the organization. The Records Management Policy provides a framework for creation, management and ongoing preservation of records on any media that are authentic, reliable and accessible for current and future use. The policy is guided by the mission of the organization to preserve cultural heritage.

2.2 Purpose and objectives

The purpose of the ICCROM Records Management Policy is to formalize and communicate the principles guiding the development of a records management program within the organization.

Objectives

- Outline the roles and responsibilities of individuals and offices within the organization.
- Define key records management terms as they apply to the ICCROM context.
- Describe the reasons for managing records, the overall retention plan, and the lifecycle of records at ICCROM.
- Raise awareness about the long-term preservation of records.

2.3 Roles and responsibilities

Role	Responsibilities
All Personnel	▪ Create and maintain active records that document the ICCROM activities and functions. ▪ Use and keep records in software and systems provided by ICCROM. ▪ Follow the policies and procedures outlined in the record management manual.
Office/ Department/ /Programme Head	▪ Oversee records management within the unit or office. ▪ Communicate with Archivist regarding transfer of semi-active and in-active records.
Records Centre and Historical Archives staff	▪ Advise departments and individuals on the retention and management of their records. ▪ Manage and provide access to semi-active records. ▪ Arrange, describe, and preserve records with historical, legal, and administrative value. ▪ Provide access to historical archives for research purposes.
Governance	▪ Communicate ICCROM policies and guide personnel in maintaining records management practices.

2.4 Record Definition

A record is “a document made or received in the course of a practical activity as an instrument or a by-product of such activity, and set aside for action or reference.”¹ ICCROM’s records are documents created or received and maintained, whether electronic or on paper, in the conduct of business.

2.5 Records Lifecycle

A record’s lifecycle includes the following phases:

- Active record: “Records needed by the creator for the purpose of carrying out the actions for which they were created or for frequent reference.”² Records become active through creation or receipt at ICCROM. The records lifecycle begins the moment a record is created and comes into active use in the course of activities at ICCROM. Each person at ICCROM creates and manages records in the active stage of the lifecycle.
- Semi-active record: “A record which is no longer needed for the purpose of carrying out the action for which it was created, but which is needed by the records creator for reference.”³ Once the record is no longer in regular use, it is declared semi-active. Semi-active records are transferred to the Records Centre. ICCROM staff will work with the Archivist to transfer records. Access to semi-active records is controlled through the Archivist and Departmental Heads.
- Inactive record: “A record that is no longer used in the day-to-day course of business, but which may be kept and occasionally used for legal, historical, or operational purposes.”⁴ Inactive records are disposed of following the records retention schedule or are transferred to the Archives for long-term preservation.

Records should be managed over their full lifecycle: from creation by ICCROM personnel to eventual disposition (destruction or retention for long-term preservation). At ICCROM, the Archivist is also the Records Manager, and is responsible for managing, preserving, and providing access to materials in the ICCROM Records Centre and Historical Archives.

The Records Centre is the repository for records that temporarily have administrative value, but are no longer necessary for the everyday functions and activities for which they were created.

ICCROM’s Historical Archives preserves records with enduring historical, legal, and administrative value. The Historical Archives is the long-term preservation repository of ICCROM’s institutional

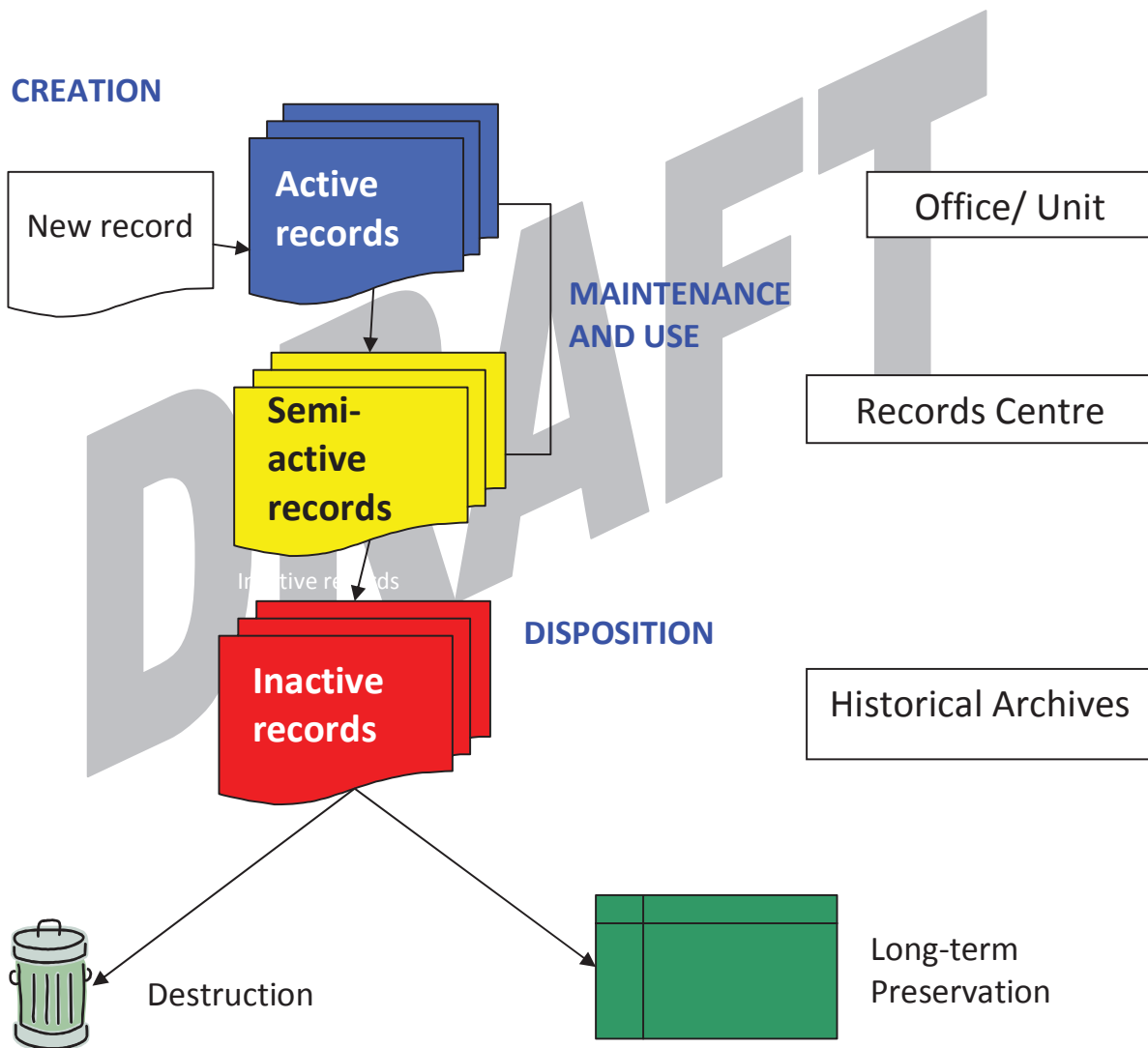
¹ Authenticity Task Force. "Authenticity Task Force Report." In *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, 21. Edited by Luciana Duranti. San Miniato, Italy: Archilab, 2005. Also available online at <http://www.interpares.org/book/index.cfm>.

² Duranti, Luciana, ed. *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, 356. San Miniato, Italy: Archilab, 2005. Also available online at http://www.interpares.org/display_file.cfm?doc=ip1_glossary.pdf.

³ Duranti, Luciana, Terry Eastwood, and Heather MacNeil. *Preservation of the Integrity of Electronic Records*. Dordrecht, Netherlands: Kluwer Academic Publishers, 2002.

⁴ Pearce-Moses, Richard. *A Glossary of Archival and Records Terminology*. Chicago: Society of American Archivists, 2005. <http://www.archivists.org/glossary/index.asp>.

records, including records concerning its administration, activities and functions. Records with enduring value related to ICCROM programmes, projects, missions, technical support, training, finance, and the administrative work of the General Assembly, Council and Office of the Director-General are preserved for scholarly purposes and to document the history of the organization.



2.6 Why do we keep records?

Records are maintained and managed as evidence of ICCROM institutional activities. ICCROM programmes, projects, missions, technical support, training, finance, and the administrative work of the General Assembly, Council and Office of the Director-General should be documented for legal, administrative, and historical purposes. All personnel at ICCROM generate records in the course of their work everyday. Informed practices will ensure that ICCROM's records are easily retrievable for use, accurate and up-to-date, and authentically document the functions of the organization. Preserving ICCROM's history, practices, and institutional legacy depends upon effective records management.

2.7 How long do we keep records?

The length of time ICCROM retains records depends upon their legal, administrative, and historical value. A records retention schedule (see Appendix C) has been created to define how long records should be kept and to delineate which records will be permanently retained. The retention/disposal period is effective from the file closure date. Most files are retained for 2, 4, 6, or 10 years unless they have been designated permanent records. Files should be transferred to the Records Centre 2-5 years after their closure date. An exception may be made for records produced in conjunction with long-term programmes at ICCROM, which may be managed by the department up to the programme closure date. At the end of the programme, these records must be transferred to the Records Centre.

2.8 Software and services usage

ICCROM staff should use software and systems provided by the institution and should not use external programs to create, manage, or store email and other documents received or created in the course of ICCROM activities. Email providing evidence of ICCROM business should be placed in the designated institutional system, so that these records can be:

- accessible for as long as required,
- secure from unintentional or unauthorized access, modification and deletion,
- related to other relevant records that support institutional activities, and
- preserved as documentation of ICCROM functions.

Forwarding email to an external service, such as Gmail, removes ICCROM records from the system designed to manage and preserve institutional records. Many web-based cloud environments lack documented technical standards explaining how records are stored and manipulated, including which governmental jurisdiction covers data storage locations. Removal from ICCROM systems threatens the long-term trustworthiness and sustainability of the data. Going forward, ICCROM staff will use the webmail functionality of ICCROM's service provider to access their email and the web-based records management system to manage their work-related communication. Maintaining records using the software and services provided by ICCROM maintains functionality and integrity throughout the records' full lifecycle.

2.9 Preservation

At ICCROM, the Archivist is the dedicated records preserver. It is important for ICCROM staff to work with the Archivist to ensure that records are well-maintained, adequately described, and effectively transferred during their lifecycle. An increasing number of ICCROM's current records are created electronically. In order to ensure continual accessibility of these records, preservation considerations must be integrated into record creation and maintenance processes. In line with the InterPARES methodology, ICCROM is committed to following archival principles - reliability, accuracy, and authenticity - in the use of an electronic records management system.

Reliability can be defined as a record's trustworthiness and relates to authorial control over the completeness of the record and the record-keeping process. "The degree to which a record can be considered reliable is dependent upon the level of procedural and technical control exercised during its creation and management in its active life."⁵

The record creator is responsible for generating and maintaining records that can be identified and considered reliable documentation of their professional activities at ICCROM. Appropriate and informed use of hardware and software to create and manage records contributes to the trustworthiness of ICCROM documents. Staff should apply meaningful filenames and metadata that will allow for the identification of records throughout their lifecycle. Following procedures for creating, registering, classifying, and transferring records and coordinating efforts with the ICCROM Archivist will help maintain control over the chain of custody and access to files that document institutional activities. Reliable records contain accurate and relevant content.

Accuracy is "the degree to which data, information, documents or records are precise, correct, truthful, free of error or distortion, or pertinent to the matter."⁶ Maintaining control throughout the lifecycle of a record will help ensure that records retain their accuracy and usefulness as valuable assets for the continual conduct of business and as evidentiary documentation. A record's accuracy diminishes when records are transmitted improperly and run the risk of unintended or inappropriate modification, truncation, or alteration of the record's content. An action to update or intentionally modify a record should be noted. An accurate, reliable record is authentic when it is intact, identified, and has maintained its integrity over time.

An authentic record "is what it purports to be and that is free from tampering or corruption."⁷ Authentic records can serve as evidence of ICCROM activities when they have retained their integrity over time, remaining complete and unaltered. A records' authenticity as documentation of ICCROM activities can be demonstrated through careful management throughout its lifecycle. ICCROM personnel can maintain the authenticity of their records by adhering to the policy and procedures described in the records management manual and by working within the records management program. Security measures and access rights to records are designed to provide methods for ensuring the authenticity of ICCROM records as institutional documentation. Maintaining consistent records management practices will help ensure the reliability, accuracy, and authenticity of records created or maintained by ICCROM.

A forthcoming long-term digital preservation policy will include strategies for developing an infrastructure to collect, manage, preserve and provide access to ICCROM's digital archival records.

⁵ Anne J. Gilliland-Swetland and Philip B. Eppard, "Preserving the Authenticity of Contingent Digital Objects: The InterPARES Project," *D-Lib Magazine* 6:7/8 (July/August 2000).

Available online at <http://www.dlib.org/dlib/july00/eppard/07eppard.html>.

⁶ Luciana Duranti and Randy Preston (eds.). *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experimental, Interactive, and Dynamic Records* (Rome, Italy: Associazione Nazionale Archivistica Italiana, 2008), 796.

⁷ Luciana Duranti and Randy Preston (eds.). *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experimental, Interactive, and Dynamic Records* (Rome, Italy: Associazione Nazionale Archivistica Italiana, 2008), 706.

2.10 Security

ICCROM personnel should protect records from unauthorized action that results in the inappropriate modification or manipulation. It is important to establish permissions and audit access to records. ICCROM personnel will access the records management system using an individual password, which they should keep confidential for security purposes. Passwords should not be shared amongst staff as the system is designed to set up access rights to records based on roles within the organization. Sharing your password could restrict the ability to accurately audit who has accessed files. Periodically, the records management system will prompt staff to change their password. Maintaining a confidential password and updating it when requested will help prevent unauthorized access and activity.

2.11 Version Control

The Records Management Policy is the first official policy issued at ICCROM for the creation, management, and preservation of institutional records. All subsequent policies should provide reference to the original policy.

Version history			
<u>Version</u>	<u>Date</u>	<u>By</u>	<u>Version notes</u>
1.0	2011-07-18	Kathryn Pierce, Intern María Mata Caravaca, Archivist	Draft prepared during summer internship, June-July 2011.

2.12 Policy Review

The ICCROM Records Management Policy will be reviewed every two years by the Archivist. The policy is subject to approval by the Director General.

3 Records Management Procedures

3.1 Purpose and objectives

The purpose of the Records Management procedures is to guide ICCROM personnel in creating and managing records. It will outline the processes for records registration, classification, retention, transfer, and disposal using records management software.

Objectives

- Identify records by type, with regard to whether the record is created or received at ICCROM.
- Outline the workflow for registration and classification based on record type.
- Provide guidelines for creating consistent and meaningful filenames.
- Explain the registration process.
- Describe ICCROM's record classification scheme and how it should be applied.
- Describe how to transfer semi-active records.
- Explain records retention and disposition.
- Identify the functions of the Archives.

3.2 Record type and workflows

- **Incoming record:** a record produced by a creator outside of ICCROM that has been received and retained by ICCROM personnel due to relevance and/or evidentiary value to the functions and activities of the organization. Workflow of incoming records:
 - Paper mail/ institutional email (to iccrom@iccrom.org): Registrar begins registration and reassigns to the appropriate staff member for action. The staff member is responsible for completing the registration and for classification.
 - Email that comes to an individual's ICCROM account: Each staff member is responsible for registering and classifying their incoming email.
- **Outgoing record:** a record produced in the course of activities at ICCROM and used to communicate with parties outside of the organization. Workflow of outgoing records:
 - Each individual staff member is responsible for registering and classifying their outgoing records.
- **Internal record:** a record produced in the course of activities at ICCROM. The record may be used to communicate between offices or departments or may be created and maintained for use within a department.
 - Each individual staff member is responsible for registering and classifying their internal records.

3.3 File creation

Individuals at ICCROM create records in the everyday course of their work.

File Naming

The goal is to use filenames that provide enough information that they can be readily understood by those other than the record creator. Filenames that provide department information, document type, and date can provide context. Brief descriptive keyword or subject elements should allow for further content description and make sense to others who access the records.

- Include pertinent information –
Date: follow ISO standard 8601 (ex. YYYYMMDD)
Document Type: see Appendix D
Short title: Keyword or subject: (name/location/topic – descriptive)
- Use underscores as separators between the three elements above and dashes between the two to three word title.

EXAMPLES 20110725_manual_records-manage.doc
 20110715_pho_interns-ICCROM-2011.tif

- The file name may include only letters from 'a' to 'z' and 'A' to 'Z' (excluding any accented character), digits from '0' to '9', hyphens and underscores.

Rationale: Accented character used in various languages can be difficult to read, depending on programme support and available fonts. Many operating systems and programmes are unable to correctly process characters outside the above ranges (usually called ASCII character set). Punctuation and other characters not listed here may have special meanings, depending on the context; filenames containing other characters may cause unexpected problems and result in inaccessible files – if transferred, shared, or opened within a later system.

- The file name must contain one full stop directly proceeding the extension specific to the type of file. The extension should consist of three letters (e.g., jpg, txt, xml, tif), but in some cases longer extensions are used (e.g., html, tiff, djvu, aiff).

Rationale: Some programmes assume that there is only a single full stop in a file name, and will behave strangely if multiple full stops are present. Full stops are used to denote the beginning of a file extension.

- File names must not include spaces.

Rationale: There are many instances where using a space in a file name can cause programmes to misbehave. Automatic processing as well as human access to the file becomes more difficult when spaces are involved.

- **Keep the filename as brief as possible.**

Rationale: Programmes and operating systems have limitations on how many characters they will process, so extensive filenames can decrease the readability of files.

Consistency is important to ensure that documents are reliable, accurate, and authentic over the lifecycle of the record. Records that are consistently and logically named are easier to locate, access, and use in the future.⁸

3.4 Registration

Records that document the activities and functions of ICCROM should be registered to maintain control and ensure their reliability over time. Using the system to register records will increase your ability to find documents you need in the future, share information with colleagues, demonstrate your professional activity, and provide evidence of ICCROM functions.

Registration Process

Begin registration ➡ Add metadata ➡ Classify ➡ Mark as official

Incoming records

Incoming paper mail, fax messages, and institutional emails (to ICCROM@ICCROM.org) are centralized, meaning that they come to ICCROM staff through the registrar, who begins registration then reassigns records to appropriate staff members to provide classification in the file plan or records classification scheme. A unique registration number is applied by the system once the record is classified. Registration numbers will be progressive throughout each calendar year (ex. 201100001).

An email will alert the person responsible for action that there is a record that needs attention. Individuals who are copied on the incoming record will receive notification as well. If you receive a notification that you are responsible for action, but feel that another person is the more appropriate recipient, you can re-assign the record. Attachments should be registered along with incoming records.

Paper mail – The registrar receives all paper mail except that which comes to the Library, such as book requests. If the mail is marked “Personal,” “Confidential,” or “c/o,” the registrar delivers it to the addressee without opening. Otherwise, the registrar digitizes paper mail, including any attachments, and begins registration. The recipient will get both the paper copy and the digital copy for managing the document, while it is an active record.

Fax – The registrar monitors the fax machine throughout the day, as faxes can reach ICCROM at any time. Generally there is the addressee specified on the fax received; in the event that no addressee is mentioned, it is not readable, or there is no reference, the fax is re-assigned to the administrative assistant of the Unit concerned.

Email to iccrom@iccrom.org – ICCROM’s mailbox is the account that receives, in principle, all

⁸ See Administrative circular 2007/5, “Best Practices for Naming Files,” November 21, 2007.

the generic email addressed to ICCROM. The registrar begins registration for these emails then reassigns to the appropriate staff member.

Email to individual staff members – the person who receives the email is responsible for registration and classification.

Outgoing records

All outgoing mail is not centralized, so everyone must register and classify their outgoing paper mail, faxes, and email. The record creator initiates registration, fills out the obligatory metadata, and selects a destination following the records classification scheme. A unique registration number is applied by the system once the record is classified.

Internal records

Internal records created and maintained for use within ICCROM will be registered and classified by the record creator. The record creator initiates registration, fills out the obligatory metadata, and selects a destination following the records classification scheme. A unique registration number is applied by the system once the record is classified.

Records that are registered

All records that document activities and functions at ICCROM should be registered within the records management system. Many of the records at ICCROM will be created through a series of drafts. ICCROM staff will register the final/official record, unless there is a need to keep evidence of the significant document changes, in which case drafts may also be registered in the system. These records include:

- Preparatory work and final documentation of the General assembly, the Council, and the Bureau
- Correspondence, speeches, articles of the Director-General
- Regulatory documentation, reports, policies, and procedures
- Biennial Programme and Budget
- Working Group agendas, minutes, and correspondence
- Liaison documentation between the Office of the Director General and Units/Services
- Mission reports, forms, administrative, technical, and audiovisual documentation
- Membership application materials and correspondence
- Correspondence with Member states and partners
- Legal financial claims, advice documentation, and case materials
- Budget allocation and reports
- Accounting documentation – registries, invoices, travel correspondence, reports
- Banking information (Contracts, Cheques, Cheque registry, Statements)
- Financial statements
- Audits
- Insurance documentation
- Personnel records
- Job applications
- Expert rosters
- Salary, social security and pension documentation

- Collaborator agreements
- Library acquisitions, correspondence, project documentation, statistics
- Archives inventories, correspondence, project documentation
- Publications
- Publication sales documentation
- Website correspondence, project documentation
- E-News
- Photographic documentation used on the web
- Website statistics
- Public lectures
- Promotional material
- Press releases
- Information requests
- ICCROM visit documentation
- Logo permission documentation
- Marketing materials
- Database records
- Hardware, software, and IT infrastructure project documentation
- Supply contracts and correspondence
- Purchase orders
- Building management documentation
- Security and services documentation
- Programme/Project administration, correspondence, budget, planning, management
- Programme/Project applications, participant selection/rejection documentation
- Programme/Project activity documentation, A/V materials, reports
- Laboratory equipment, maintenance, and activities documentation
- Technical advice
- Fellowship, internship and visiting researcher documentation

Records that are not registered

Some records are created in the course of everyday activities at ICCROM and do not need to be registered. These records include:

- Requests for books, publications, articles
- Correspondence from ICCROM's travel agent
- General mail that arrives to everyone at ICCROM
- Preliminary drafts which do not represent significant steps in the preparation of a record document
- Duplicate copies of documents preserved only for convenience
- Personal materials which are the property of the custodian and which have no relation to official duties

Obligatory registration metadata

Incoming	Outgoing	Internal
Registration number Registration date Date received Name Subject Sender name Registrar Responsible for action	Registration number Registration date Name Subject Author Recipient name Registrar	Registration number Registration date Name Subject Author Registrar

Records with special registration

Document type	Workflow
Contracts Invoices Cheques MoUs	For incoming contracts, invoices, cheques, and MoUs, the registrar will begin registration and re-assign to the Finance and Administration office (FinAdm) for special registration. FinAdm staff will complete registration and assign an inventory number by type. When created internally, FinAdm staff will register and assign an inventory number by type.
Administrative circulars	Internally created by ICCROM offices, they are issued by the Office of the Director General. The ODG will register and classify the AC, and apply an internal inventory number.
Purchase orders	Internally created by Logistics staff. Logistics will register and classify the record and apply an internal inventory number.

Cancellation

Once a record is classified within the system, it is not possible to delete the record. Changes to the record, including deletion, should be done from within “My Repository” in the records management system.

3.5 Classification scheme – A classification scheme is “A plan for the systematic identification and arrangement of business activities and records into categories according to logically structured conventions, methods and procedural rules.”⁹ Within the records management system, records are classified by selecting the appropriate destination within the file plan. The software has been customized for the ICCROM Records classification scheme and retention schedule (See Appendix C). The first level of classification is listed below. There are two other levels of classification within the scheme. Files and sub-files are also identified.

1. Governance
2. Regulatory activity
3. Planning
4. Management
5. Liaison with Member States, Institutions, and Partners
6. Legal Affairs
7. Financial Administration
8. Human Resources
9. Communication and Information
10. Information Systems Management and Development
11. Logistics and Support Services
12. Laboratory
13. Technical Advice
14. Activities Implementation
15. Training and Fellowships Programme

3.6 Transfer of semi-active records

Records are closed when the current business activity has ended. ICCROM records that are no longer necessary in the daily course of business will be transferred to the Records Centre 2-5 years after their closure date or as indicated on the Records Retention Schedule. In order to successfully carry out this work it is necessary for ICCROM staff to carefully adhere to the Records Management Policy and Procedures and use the records management system.

For paper records, transfers will be documented using the transfer form (shown below) to collect data about the files. For digital records, transfers will take place automatically within the records management system.

⁹ InterPARES 2 Terminology Database. http://www.interpares.org/ip2/ip2_terminology_db.cfm

TRANSFER OF RECORDS					
To (Staff Name, Unit/Office):				Date:	
From (Staff Name, Unit/Office):				Note: The following records are hereby transferred from this office to your custody and control on the understanding that our concurrence will be obtained before any final disposition is made.	
Subject Code	Title and Description	Volume	Date Period		
			Start	End	

The integrity and reliability of records, and therefore their claim to be authentic records, depends on the proper documentation of the transfer process, as responsibility for the records passes from the creator (both individual as well as ICCROM office or unit) to the archivist, who manages records that are semi-active or inactive. Coordinating efforts with the ICCROM Archivist will help maintain control over the chain of custody and responsibility of the lifecycle of records.

3.7 Records retention and disposition

The ICCROM Records Retention Schedule is integrated into the classification scheme (see Appendix C). It indicates how long records should be retained beyond their active life, typically 2 years, 4 years, 6 years, 10 years, or permanently. ICCROM staff should familiarize themselves with the classification scheme and retention schedule and communicate with the Archivist regarding the retention or disposition of their records. Record creators and users within the unit or office in which records are actively maintained will be knowledgeable about the content, context, and significance of records. The Archivist will collaborate with the Unit, Service, or Office in which the record is created or received to differentiate the records that will be destroyed from those that will be retained for long-term preservation.

3.8 Archives and long-term preservation

Records will be appraised and selected to be of enduring value will be transferred to the Historical Archives for long-term preservation. All records relating to the same function/activity will be submitted to the archive together. Records are organized in the Archive following the internationally accepted principles that respect the provenance and original order of the material.

ICCROM archival records will be described following General International Standard Archival Description (ISAD-G).

3.9 Version control

The Records Management Procedures are the first official guidelines issued at ICCROM for the creation, management, and preservation of institutional records.

Version history			
<u>Version</u>	<u>Date</u>	<u>By</u>	<u>Version notes</u>
1.0	2011-07-19	Kathryn Pierce, Intern María Mata Caravaca, Archivist	Draft prepared during summer internship, June-July 2011.

3.10 Procedures review

The Records Management Procedures should be reviewed every year, or as needed when technology usage at ICCROM changes.

Resources

Authenticity Task Force. "Authenticity Task Force Report." In *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*. Edited by Luciana Duranti. San Miniato, Italy: Archilab, 2005. Also available online at <http://www.interpares.org/book/index.cfm>.

Duranti, Luciana, ed. *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*. San Miniato, Italy: Archilab, 2005. Also available online at <http://www.interpares.org/book/index.cfm>.

Duranti, Luciana, Terry Eastwood, and Heather MacNeil. *Preservation of the Integrity of Electronic Records*. Dordrecht, Netherlands: Kluwer Academic Publishers, 2002.

Duranti, Luciana and Randy Preston (eds.). *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experimental, Interactive, and Dynamic Records*. Rome, Italy: Associazione Nazionale Archivistica Italiana, 2008.

Gilliland-Swetland, Anne J., and Philip B. Eppard. "Preserving the Authenticity of Contingent Digital Objects: The InterPARES Project." *D-Lib Magazine* 6:7/8 (July/August 2000). Available online at <http://www.dlib.org/dlib/july00/eppard/07eppard.html>.

ICCROM Administrative circular 2007/5, "Best Practices for Naming Files," November 21, 2007.

InterPARES 2 Terminology Database. http://www.interpares.org/ip2/ip2_terminology_db.cfm

Pearce-Moses, Richard. "A Glossary of Archival and Records Terminology." Chicago: Society of American Archivists, 2005. <http://www.archivists.org/glossary/index.asp>.

Glossary

Active record: Records needed by the creator for the purpose of carrying out the actions for which they were created or for frequent reference.

Archives: Materials created or received in the conduct of their affairs and preserved because of the enduring value or as evidence of the functions and responsibilities of their creator. At ICCROM, the Historical archives are those in-active records that have enduring value and document the history of the organization.

Classification scheme: A plan for the systematic identification and arrangement of business activities and records into categories according to logically structured conventions, methods and procedural rules.

ICCROM personnel: All staff and temporary personnel (including interns, fellows, and visiting researchers) that create and receive records in the course of their everyday business activities at ICCROM.

Inactive record: A record that is no longer used in the day-to-day course of business, but which may be kept and occasionally used for legal, historical, or operational purposes. Inactive records are destroyed or transferred to the Historical archives at the point of disposition.

InterPARES: A three-phase research initiative aimed at producing strategies for long-term digital preservation.

Lifecycle of records: A records management model that describes the lifespan of records through a series of phases. At ICCROM, the lifecycle of records includes active, semi-active, and inactive records moving through the following stages: creation, maintenance and use, transfer, disposition, and destruction or long-term preservation.

Metadata: "Data describing context, content and structure of records and their management through time."

International Organization for Standardization. *Information and Documentation: Records Management*. 15489-1. Part 1. Geneva: ISO, 2001.

Obligatory metadata: Metadata required for registering a record within the records management system. See Appendix E for the full metadata for incoming, outgoing, and internal records.

Policy: A formal statement of direction or guidance as to how an organization will carry out its mandate, functions or activities, motivated by determined interests or programs. Strategy Task Force. "Strategy Task Force Report." In *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*. Edited by Luciana Duranti. San Miniato, Italy: Archilab, 2005. Also available online at <http://www.interpares.org/book/index.cfm>.

At ICCROM the Records Management Policy is designed to be independent of the technology used to manage records and focuses on guiding principles and definitions for records creation, maintenance,

and preservation.

Preservation: “The whole of the principles, policies, rules and strategies that controls the physical and technological stabilization and protection of the intellectual form of acquired records intended for their continuing, enduring, stable, lasting, uninterrupted and unbroken chain of preservation, without a foreseeable end.”

InterPARES 2 Terminology Database. http://www.interpares.org/ip2/ip2_terminology_db.cfm

Procedures: Formal guidelines that outline the processes for records registration, classification, retention, transfer, and disposal using records management software. The procedures portion of ICCROM’s Records Management Manual is technologically dependent and will be updated as new records management technologies are introduced at the organization.

Record: A document made or received in the course of an activity and set aside for action or reference.

Records management: “The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.”

International Organization for Standardization. *Information and Documentation: Records Management*. 15489-1. Part 1. Geneva: ISO, 2001.

Records retention schedule: “A document providing description of records series and/or classes and specifying their authorized dispositions.”

Modeling Cross Domain. *Chain of Preservation*.

[http://www.interpares.org/display_file.cfm?doc=ip2_COP_diagrams\(complete\).pdf](http://www.interpares.org/display_file.cfm?doc=ip2_COP_diagrams(complete).pdf).

At ICCROM, the records retention schedule is integrated into the classification scheme.

Registration: The introduction of a record into a records management system which applies a unique registration number to the record.

Semi-active record: A record that is no longer needed in the conduct of everyday business or in the context for which it was created, but which may be occasionally consulted by the records creator for reference.