



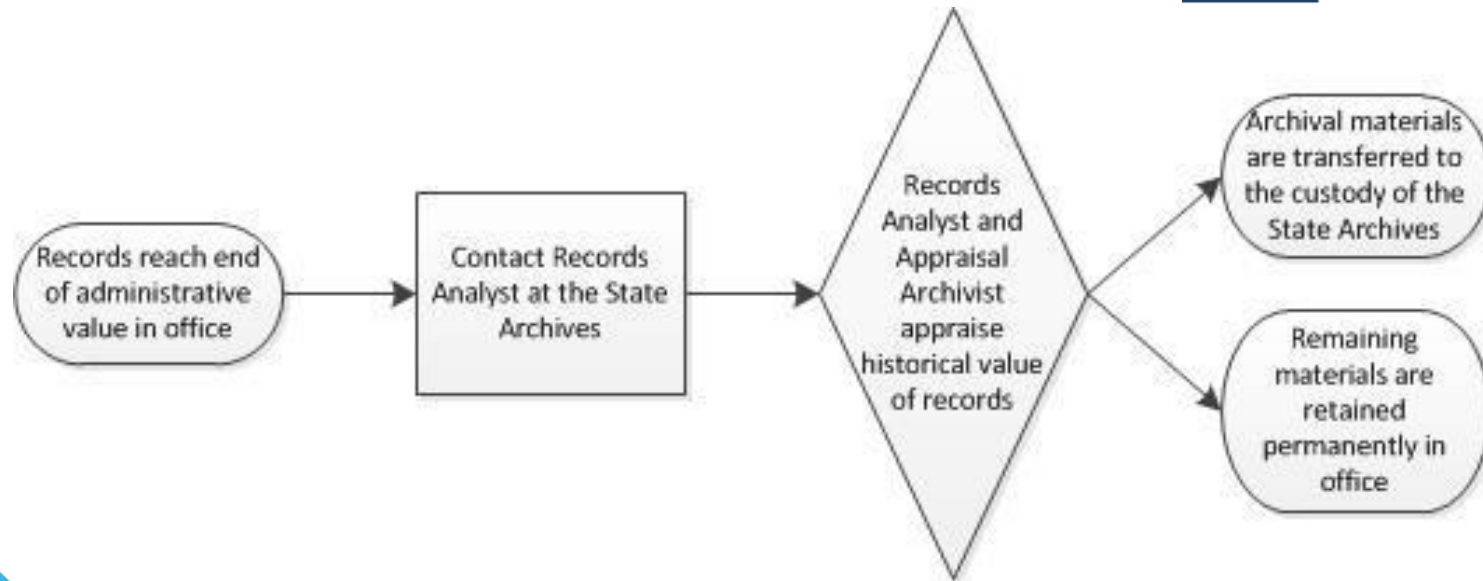
National Archives
Ministry of Education, Culture and Science

Appraisal for managing records – a strategic instrument

IRFD Network Conference, Jan 18th 2019, Wout van der
Reijden



**"To keep, or not to keep:
That is the question, T.R. ..."**



A rather traditional view of (archival) appraisal



ISO 5127:2017 about appraisal:

‘The process of determining the value of records or other documents for the purpose of determining disposition or acquisition actions, or in some cases, financial value ’



ISO 15489-1:2016 Records management – Concepts and principles

‘Appraisal is the process of evaluating business activities to determine which records need to be created and captured and how long the records need to be kept.’

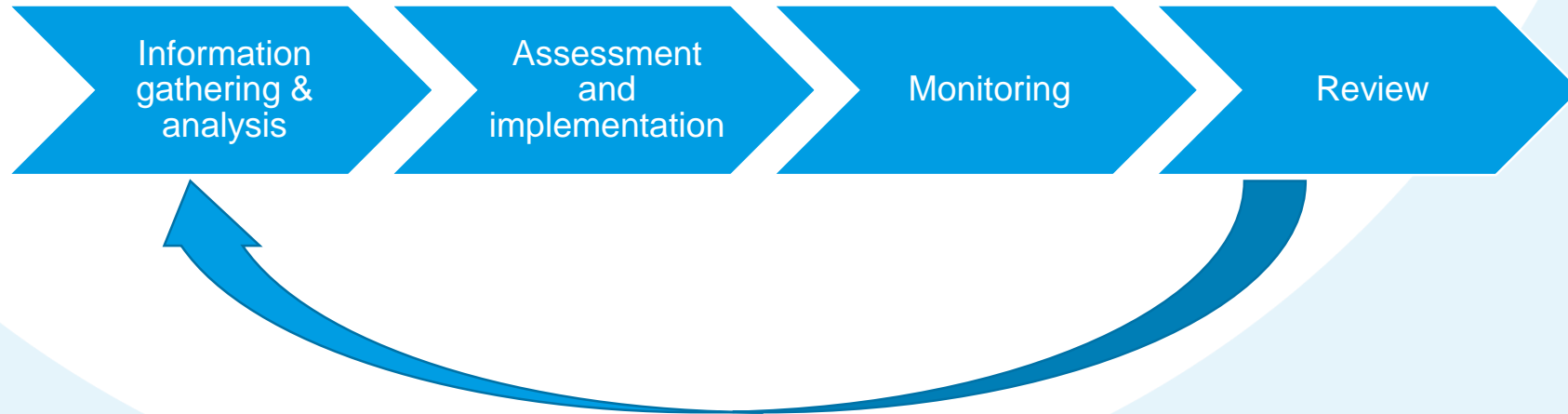


ISO TR 21946:2018 Appraisal for managing records:

‘Appraisal for managing records is the recurrent process of evaluating business activities to determine which records need to be created and captured as well as how and how long the records need to be kept.’



The appraisal process





Information gathering and analysis

- Scoping
- Who to involve
- Analysis
- Identification of agents
- Identification of business critical areas
- Determining records requirements



Scoping

- Influenced by events triggering appraisal and those doing the appraisal
- May be major or minor:

After a \$66 billion merger, Monsanto is disappearing – sort of

**Replacement CMS Erasmus University
Rotterdam**





Who to involve

- Records professionals (likely to plan and lead)

Typically:

- Business representatives
 - Legal representatives
 - ‘Allied’ information professionals
 - IT specialists
-
- External agents and stakeholders



Determining records requirements

- Business needs

Informed decision-making comes from a long tradition of guessing and then blaming others for inadequate results.

(Scott Adams)

- Legal and regulatory requirements
- Community and societal expectations

Transparency can help ease panic over vaccine scandal: China Daily Editorial

Geneva expenses scandal sparks calls for more transparency



Assessment and implementation

- Linking requirements to business functions and work processes
- Risk assessment
- Documenting the appraisal process
- Using the results of appraisal



Risk assessment (and treatment)

- Helps organizations to decide which requirements to meet
- In line with ISO TR 18128 and ISO 31000
- Not only about risks, but also about opportunities
- Tangible / non-tangible



Examples of events

Verizon continued to charge this woman for her dad's account, even after he died

Top McGuinty aide wasn't trained in record keeping, court hears

Shell fined over reserves scandal



Risk matrix example

Requirement	Risk if not met	Likelihood* (L)	Impact* (I)	Level of risk (L x I)	Cost of not meeting requirements – (non)tangible	Treatment option	Cost of treatment - (non)tangible
Invoices retained as PDF documents	Files in non-sustainable formats may no longer be accessible for customers	Low(1)	Medium(2)	2	Reputation damage (customers complaining on social media, for instance), loss of customers	Introduction of a standard step to capture invoices in PDF format in the accounts receivable work process	Work process change, additional step may require up to 1 minute of extra time
Provide right authorizations for customer services employees	Employees unable to help customers	Low(1)	High (3)	3	Reputation damage (customers complaining on social media, for instance), loss of customers	Creation and implementation of an authorization schedule	Creation and implementation of an authorization schedule is estimated to cost 5000 USD at maximum
Accounts receivable data defined as required records to be linked and retained at least 5 years	Non-compliance with disposition requirements as stated in Taxation Act	Low(1)	Medium (2)	2	Penalty up to 50.000 USD according to Taxation Act	Routine audits of the Finance Department's cloud-based financial tracking and reporting system to ensure records are retained in line with disposition requirements	Retention audits could be part of existing audits on the financial tracking and reporting system

* Possible values: High(3), Medium(2), Low(1) – to be defined by the organization



Documenting the appraisal process

- Appraisal needs to be accountable
- Parts of the process and results may be reused
- Results are confirmed



Results of appraisal

What could be results

- Documentation of the business and its context(s)
- Functional and/or sequential analysis
- Assessed risks and mitigation strategies
- Authorized records requirements



Using the results

- Use depends on its purpose, scope and people involved
- Wide range:
 - Design and implementation of records systems
 - Design and implementation of records controls
 - Identification of records which are suitable to be shared publicly (linked data)
 - Development of policies and procedures



Monitoring

- Continuous cycle
- Focus on both changes in context and requirements; and
- usage of tools developed with the use of appraisal results
- Strategy for monitoring is required



Review and action

- Results of monitoring may lead to action
- Action needs to be authorized

- Action may be mitigation measures; or
- Commencing a new appraisal process



Conclusions

- Appraisal may have different purposes and scopes;
- Appraisal is necessary recurrent and proactive;
- The requirements it delivers are derived from the business, the regulatory and societal contexts;
- Risk is a major factor
- Appraisal is a strategic instrument



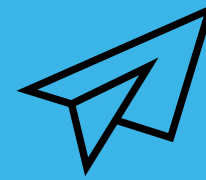
114,000 requested items in the reading room



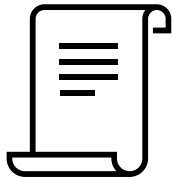
15,000 visitors reading room



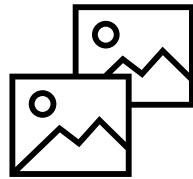
1,6 million visitors website



10,200 requests by email



85 miles of paper



15 million photographs



30,000 visitors exhibition



15,000 visitors educational programs



300,000 maps and drawings



1.2 PB digital data

Rating

7.8

Out of 10

Rating

8.7

Out of 10