

Recordkeeping for Good Governance Toolkit

Guideline 10: Starting an Appraisal Programme

Tuvalu
June 2013





Programme

| | |
|-------------|---|
| 9.15 - 9.40 | What is appraisal? Why develop this guideline? |
| 9.40 | Appraisal exercise / discussion |
| 10.00 | Morning tea |
| 10.20-12pm | Walk through the guideline and steps to appraisal |

Appraisal

Recordkeeping for Good Governance Toolkit

GUIDELINE 10: Starting an Appraisal Programme



What is Appraisal?

- The process of determining which records are kept, and for how long, which are destroyed
- Based on an established methodology
- Take into account many factors
 1. Needs of creating organisation
 2. Needs and expectations of community
 3. Needs and rules of national archives

What is Appraisal?

There are different types of appraisal

1. Appraising the functions and activities
 - produce disposal schedules
2. 'one-off' appraisal
 - used for a specific set of records
 - produce a appraisal report and list



Retention and Disposal journey

Why Develop this Guideline?

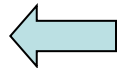
- We dealt with other appraisal type in guidelines 7-9
- The problem most organisations face is the backlog. Therefore it's more likely to be used.
- It is very good practice
- Quick wins
- Most national archives use both methods, though the 'one-off' most used



One-off Appraisal Produces....

1. *An appraisal list*, that lists each record or each type of records and the disposal action to be applied to the record (archive or destroy)
2. *An appraisal report* that sets out the reasons for the appraisal, describes the records, and documents and provides justification for the disposal actions that have been recommended
3. *A final approval* of the appraisal by the National Archivist that signifies that the disposal actions have been agreed.

The ultimate result of an appraisal is the transfer to National Archives or to archival storage of records of permanent value and the destruction of records of low or short-term value.



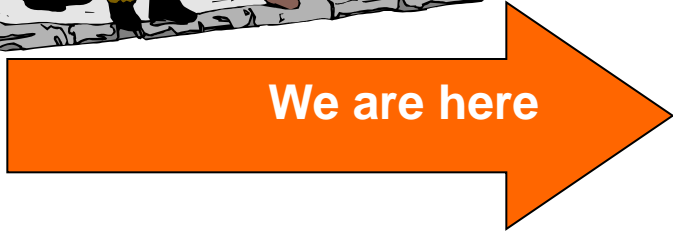
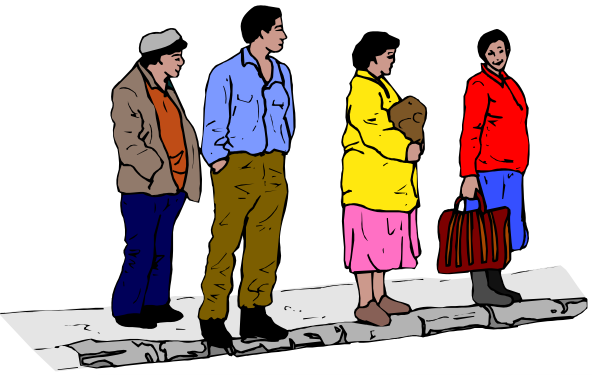
Archive
OR
Destroy



When to do a one off appraisal

- When records are inactive
 - *no longer in current use.*
- When storage areas are full of inactive records.
- When records are at risk of damage
- When you don't know what some records are

Information management life-cycle



Creation & Control

Distribution

Active Use & Management

Inactive Storage

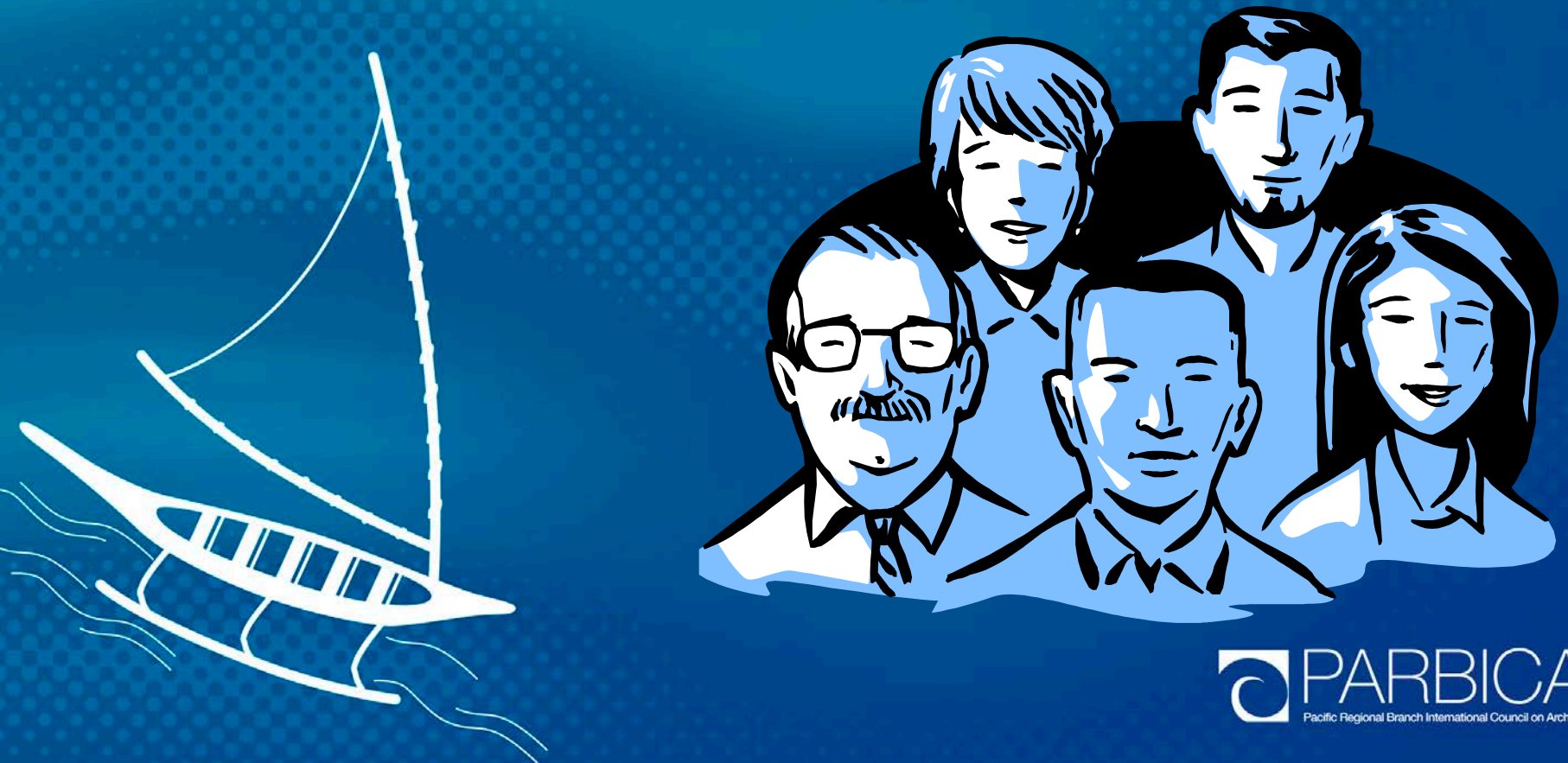
Final Disposal Decision

Destruction

Permanent Retention

Appraisal and Disposal in Action in Niue

Group activity: Let's discuss why doing appraisal is a good idea



Benefits of using a disposal schedule

- Save space
- Save money
- Save time (retrieval)
- Meet legal requirements
- Keep the right records
- Save records from accidental destruction
- Get rid of records you don't need at the right time



Group activity: Archive or Destroy?





Permanent Retention Exercise

- Why would you keep a record forever?



Destruction exercise

- Why would you destroy a record?

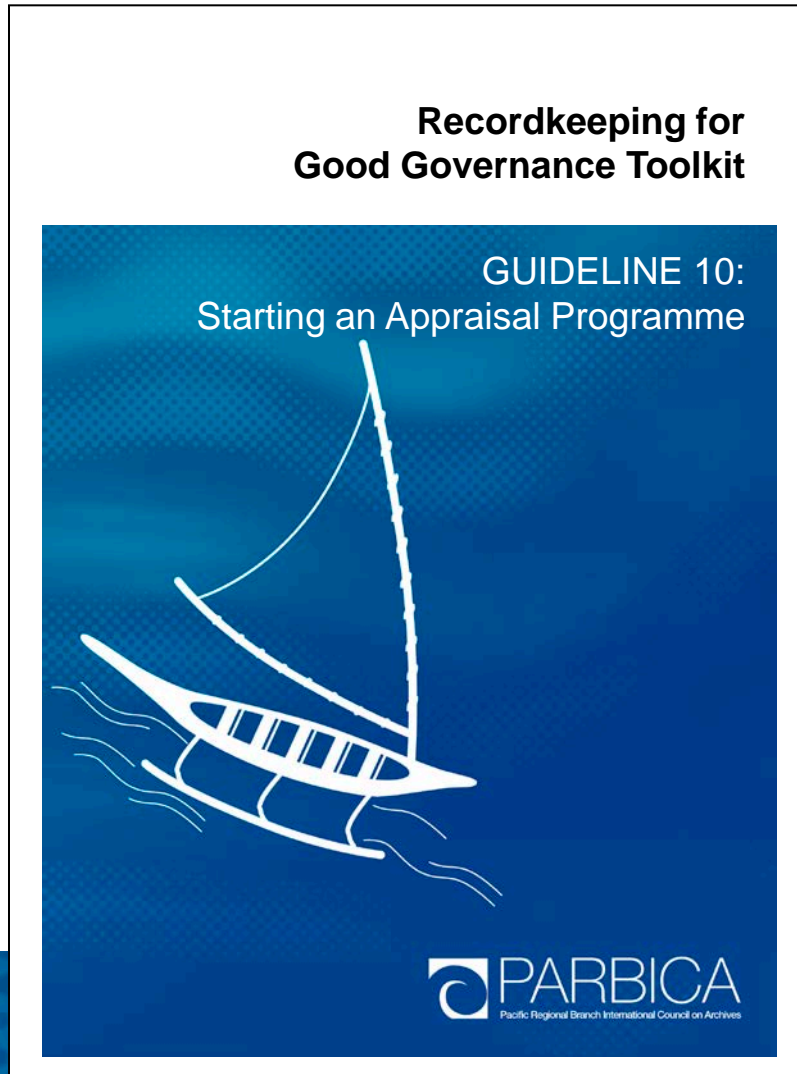


Disposal criteria

- Let's look at the disposal criteria developed by the PARBICA working group



The Appraisal Steps



Let's walk through
the guide, starting
on page 7



Step 1: Determine roles and responsibilities

1. Who performs the appraisal?
2. Who agrees to the appraisal list and report?
 - are there different levels required
3. Who gives final approval?



Step 2: Research the organisation and it's functions/records

- Helps determine the value of records
- What are some of the common sources of this good information?

Question? How detailed does this research have to be?

Step 3: Survey the records

- Do the records have some control indexes?
- Physical examination of records
- Fill out the survey forms
- You'll use as many as you need, but use appropriately
 - Don't survey every file!

4. Decide which records to appraise

- Inactive records only
- Some of them or all of them?
 - Q. Why would you only do some?
 - Q. Why would you do them all?
- Give us some examples.



5. List the records

- Only if you have to
- Have at least the minimum set
- Use box numbers if you will get confused
- List at the appropriate level
 - Q. Why would you list at document level?
 - Q. Why would you list at box level?
 - Q. What other level could you list at?





6. Assess the value and mark the list

- Use the existing criteria

Q. Now that we've looked at the criteria and thought about how it applies in this situation, how does it work for your country?

- let's look at them again.

Disposal criteria

- Two basic characteristics that determine whether or not records should be archived –
 - evidence value
 - Information value





7. Consult with stakeholders

Q. Who are your stakeholders?

Q. What questions would you want to ask them?



8. Write the appraisal report

- Using the template
- Incorporate all information you've gathered so far
- It can be as long or as short as it needs to be

Let's look briefly at an appraisal report completed using the template.



9. Gain approval

- The various levels of approval
 - organisational and national.

Q. Who would you need to get approval from in your organisation or country?

IMPLEMENT!

- Yahoo.

Summing up and close of session