

FOUNDATION OF RECORDS MANAGEMENT (IMD 161/123)

CHAPTER 9 APPRAISAL & DISPOSITION OF RECORDS

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LEARNING OUTCOME

- **At the end of the course, students should be able to:**
 - ✓ **Differentiate the appraisal and disposal process.**
 - ✓ **Understand the Public Records Disposal Procedures.**
 - ✓ **Determine the preparation of retention inventory and records retention schedule.**
 - ✓ **Determine the ways of removing records from registry.**

APPRAISAL

- Appraisal is a process of evaluating value to determine whether the records have value for preservation and disposition permanently or temporarily. It involved with the process of distinguishing records of continuing value from those of no value so that it can be eliminated.
- By determining the value of collections, it helps to:
 - i. Assist organization to provide efficient and effective administration.
 - ii. To make decision making and policy development based on current information.
 - iii. To be accountable in terms of the management of resources, as a well as legal and financial.
 - iv. Understand which records are likely to have wider historical value.
 - v. Help the interested parties to ensure the essential evidence is created, identified, scheduled and managed as long as needed.

OBJECTIVES OF APPRAISAL

Determine the value of records

- Decide the **types** of records (active, semi-active or in-active).
- Decide the **values** of records (primary or secondary value) either to be kept permanently or disposed.

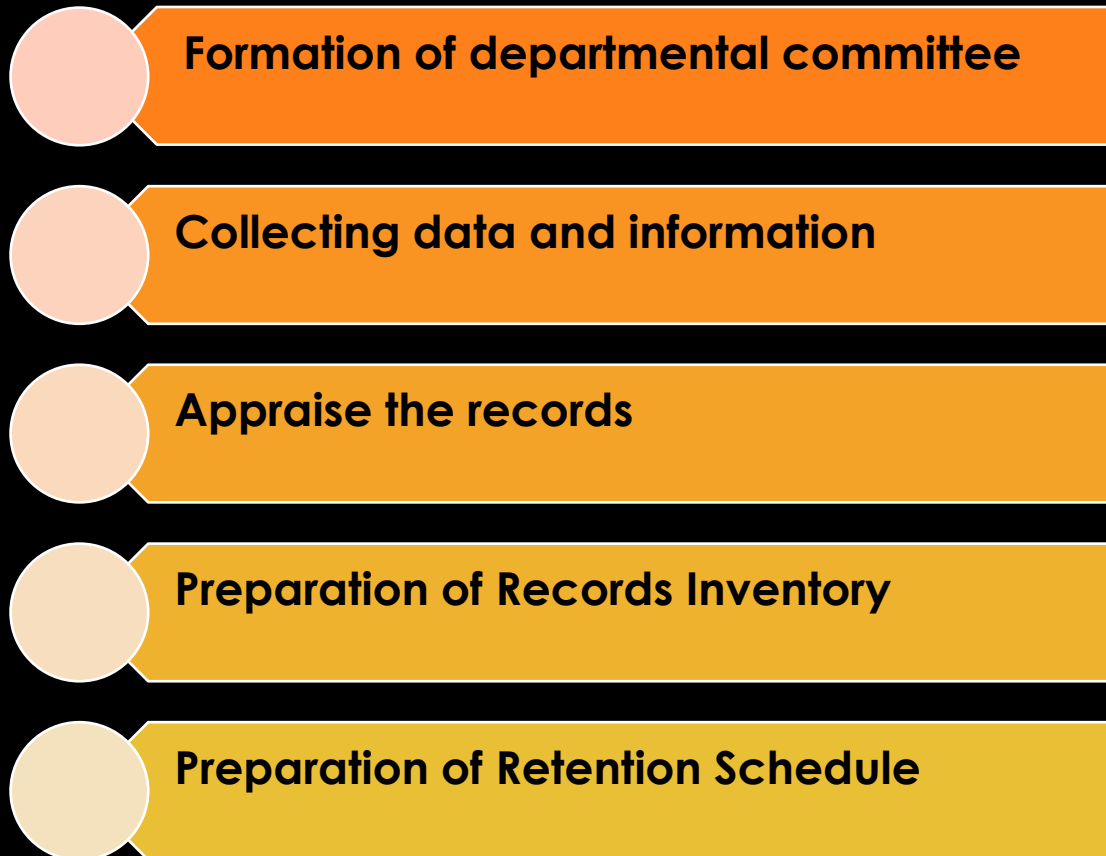
Determine the two basic appraisal categories

- Records of permanence nature are **to be preserved**.
- Records that is **disposable**.

IMPORTANCE OF APPRAISAL

- i. Ability to provide evidence of the source of authority, foundation and machinery of the government and its institutions.**
- ii. Ability to provide evidence of the deliberations, decisions, and actions of the government and its institutions relating to key functions and programmes and issues in governing the administrations.**
- iii. Ability to provide information essential for the protection and future well-being of citizens and environment.**
- iv. Ability to provide records that have substantial capacity to enrich knowledge and understanding of history, society, culture and people.**
- v. Ability to provide records that have special capacity to illustrate the condition and status of government activities and the interactions of people with government.**

RECORDS APPRAISAL PROCESS



FORMATION OF DEPARTMENTAL COMMITTEE

- Head of the department/agency appoint:
 - Officer and staff who prepare the records retention schedule.
 - Head of all divisions within the department. Exp. Legal and financial advisor, Archivist.

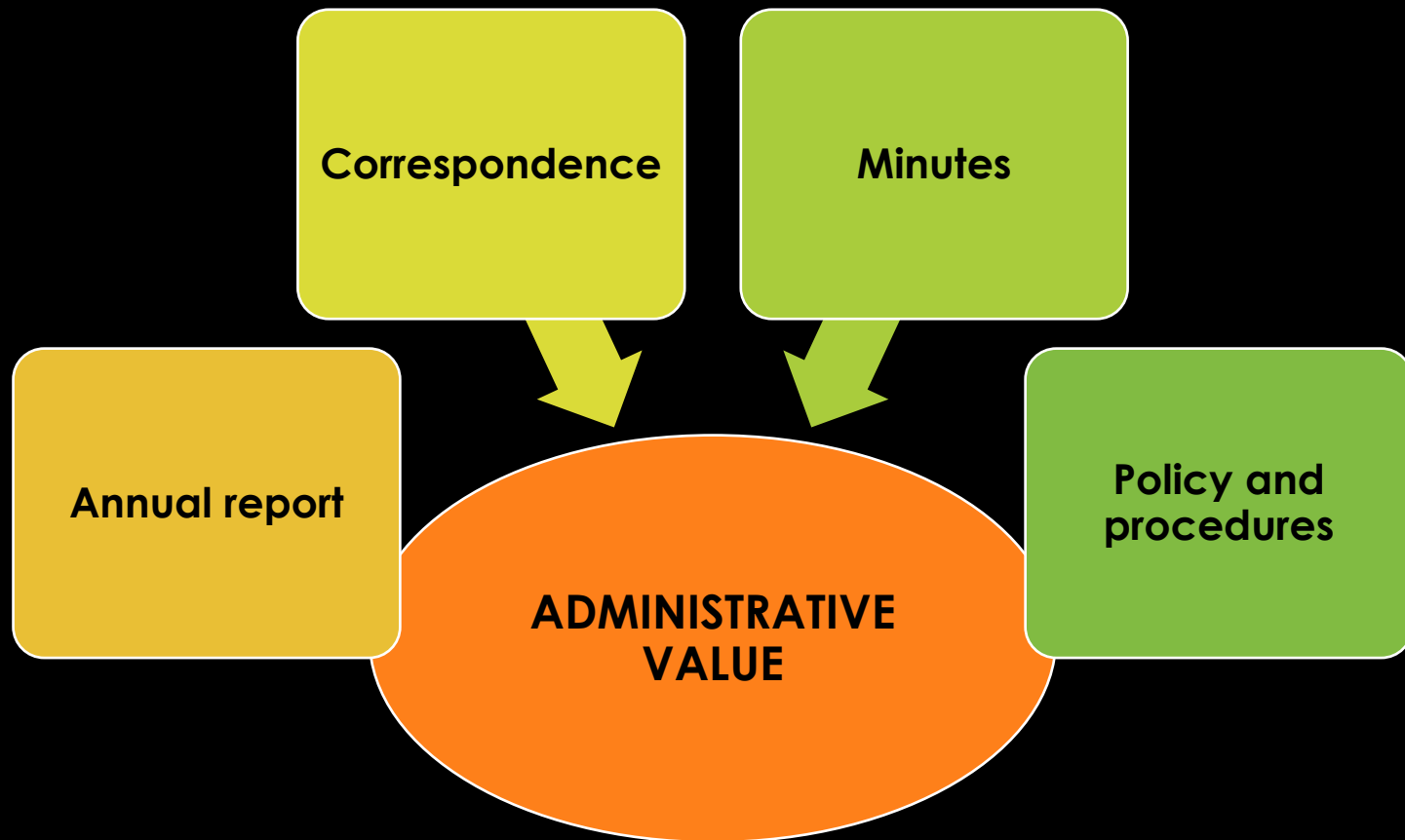
COLLECTING DATA & INFORMATION

- It can be done by conducting record survey. Exp: Interview or questionnaires.
- The records survey will enable appraisal team to
 - Understand the **functions** of the agency
 - Identify the various **types of records created and used**.
 - Identify the **frequency use of information**.
 - Identify **current, semi current and non current** records.
 - Identify **records management legislation**.
 - **Locate** the records and **understand** how they are used.
- Identify the **value** of records.
- Prepare **records inventory**.
- Develop **retention/disposal schedule**.

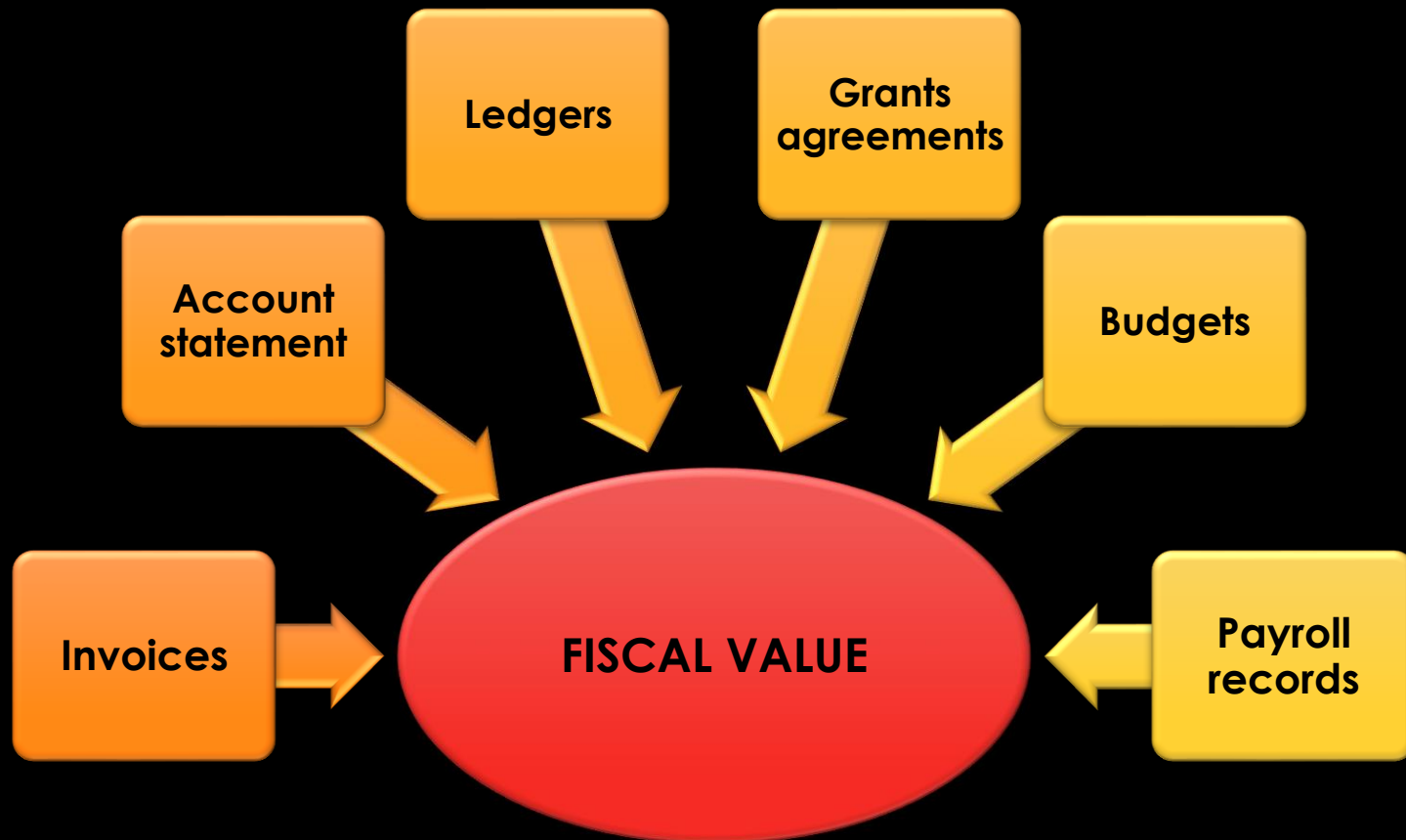
APPRAISAL OF RECORDS

- From the information gathered by appraisal team, the committee will appraise the records according to the following appraisal criteria:
- Primary value
 - : Administrative
 - : Fiscal
 - : Legal
- Secondary value
 - : Research
 - : Informational
 - : Evidential
 - : Historical/Cultural/National

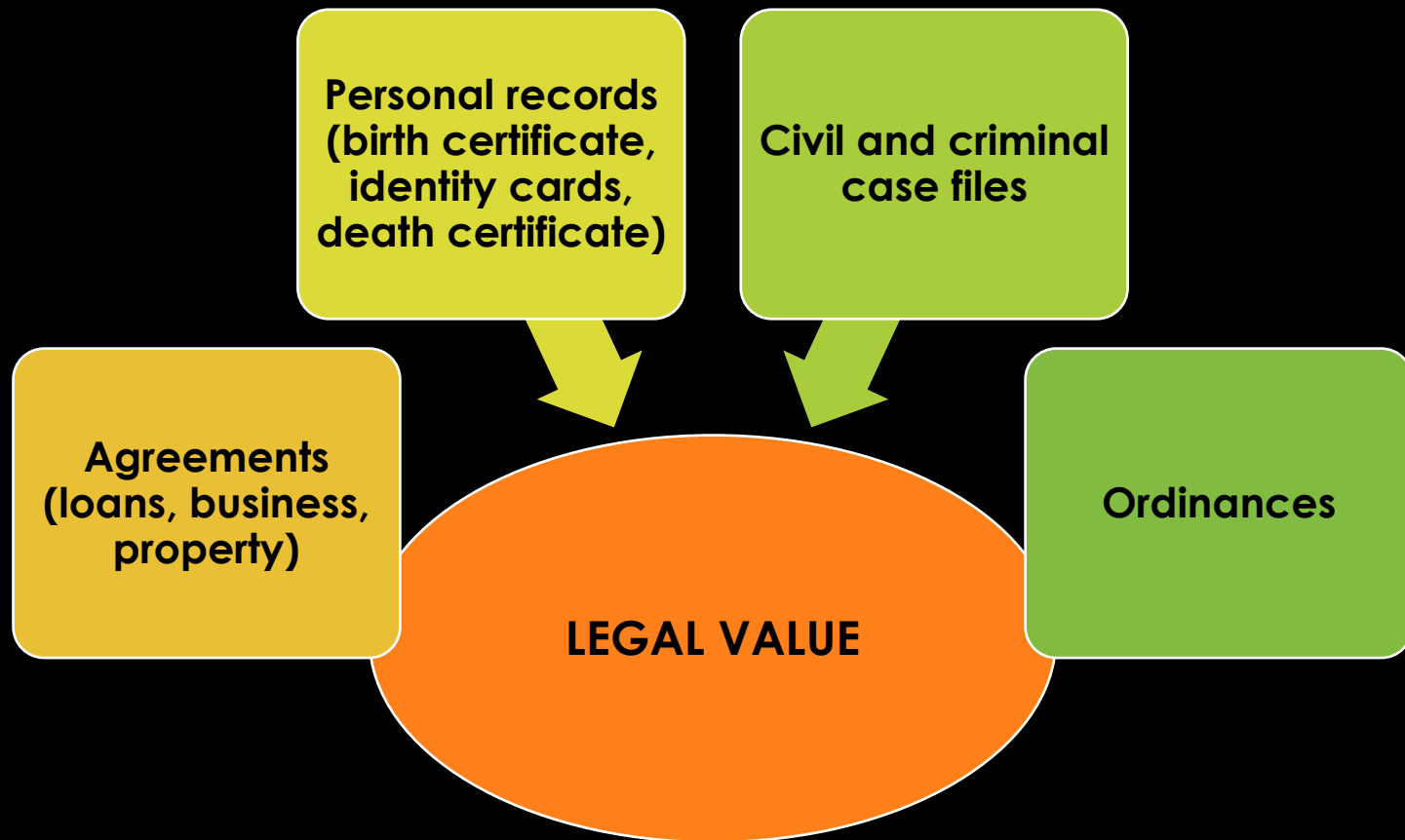
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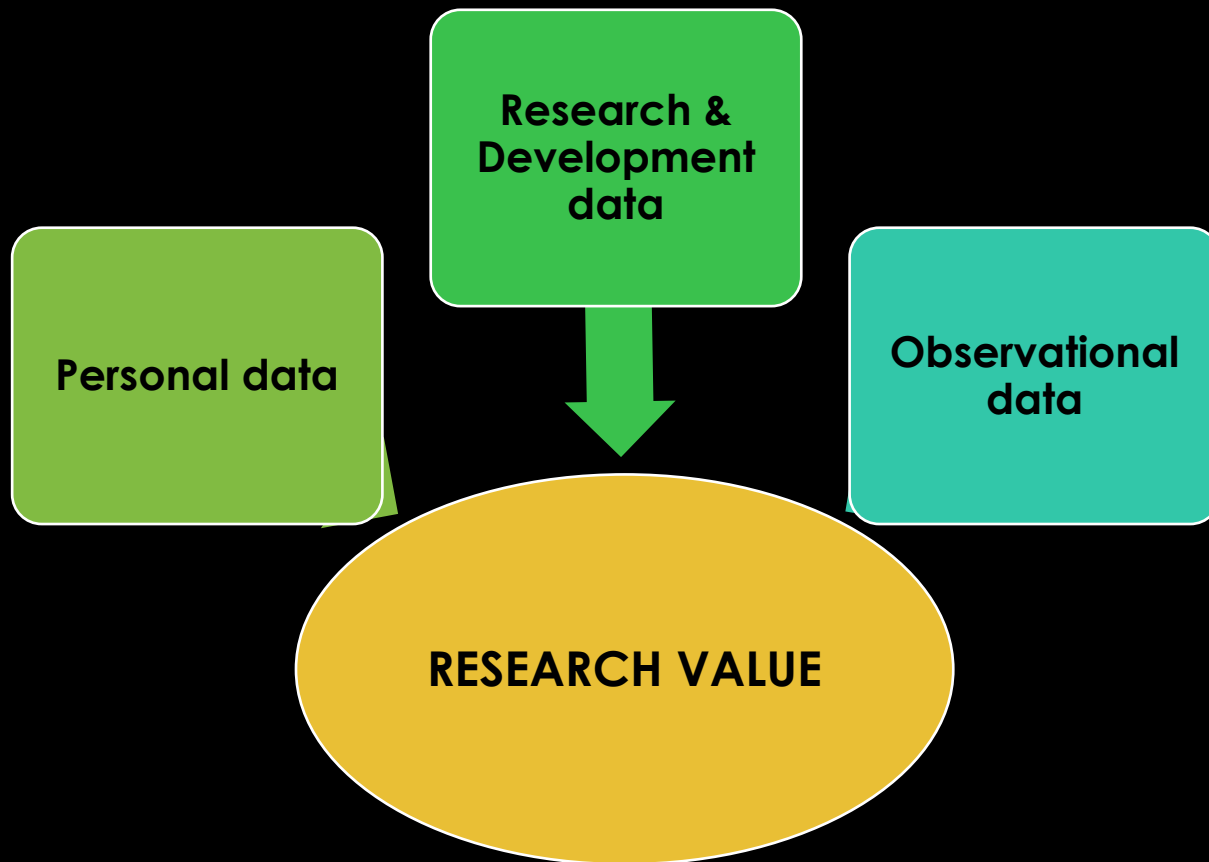
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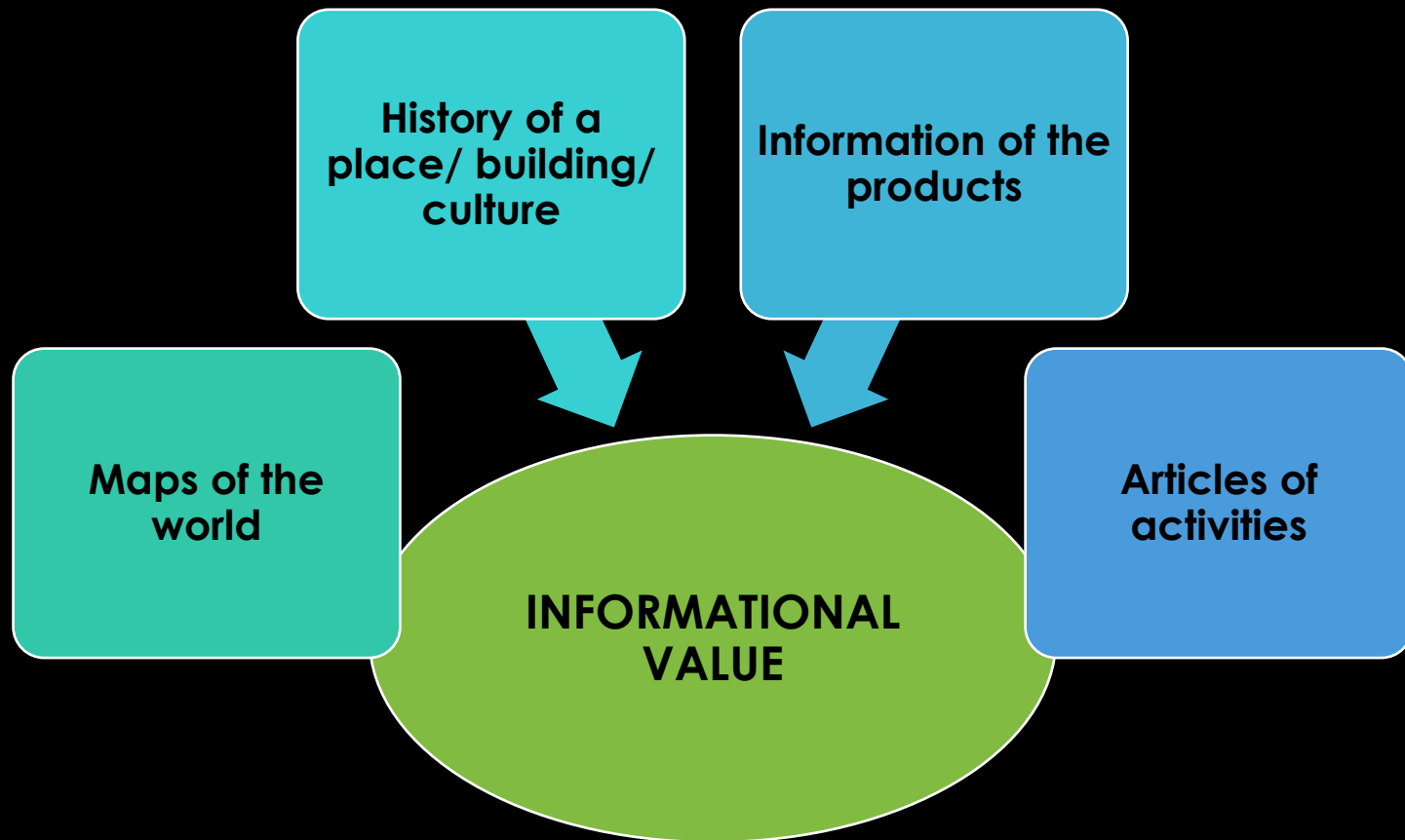
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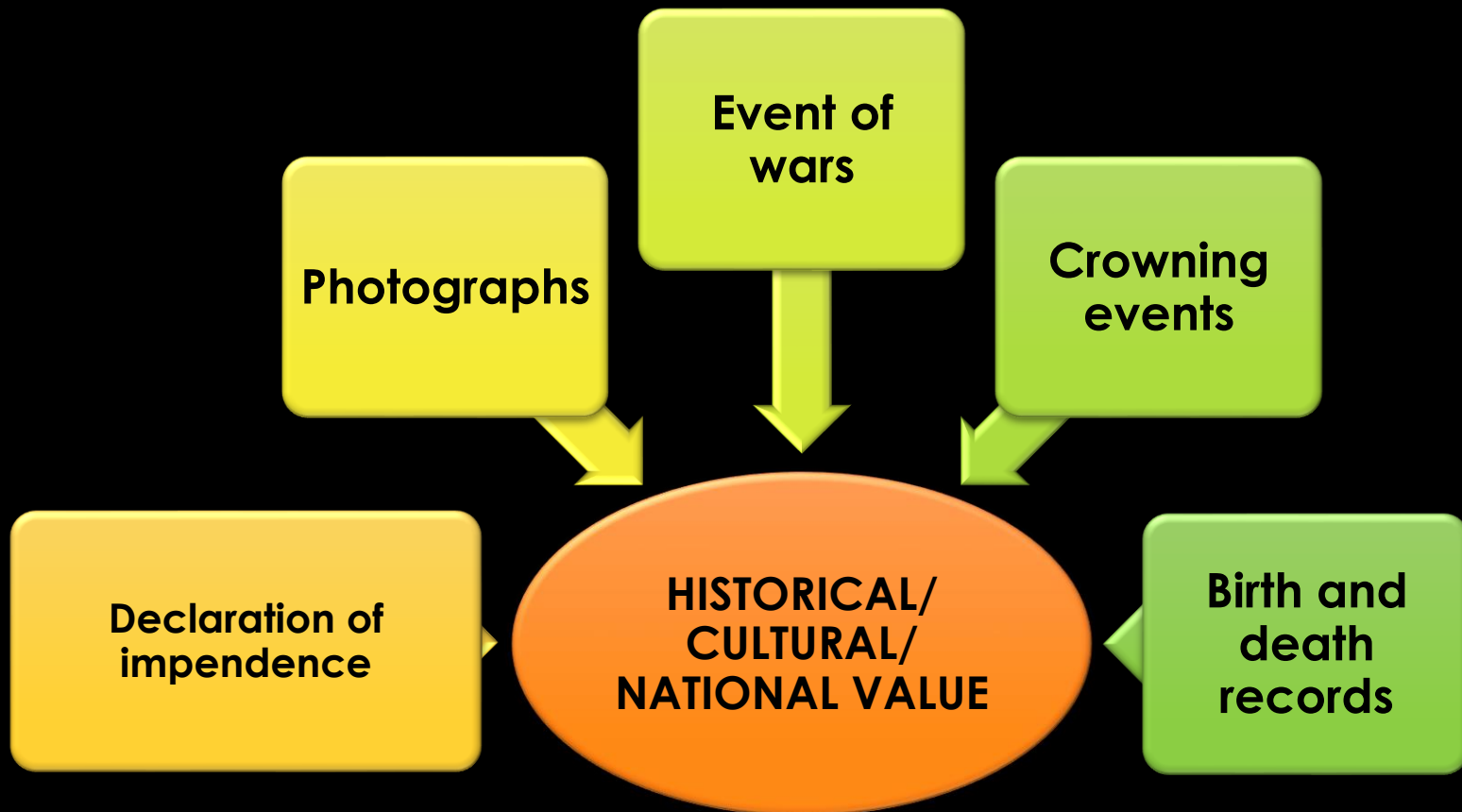
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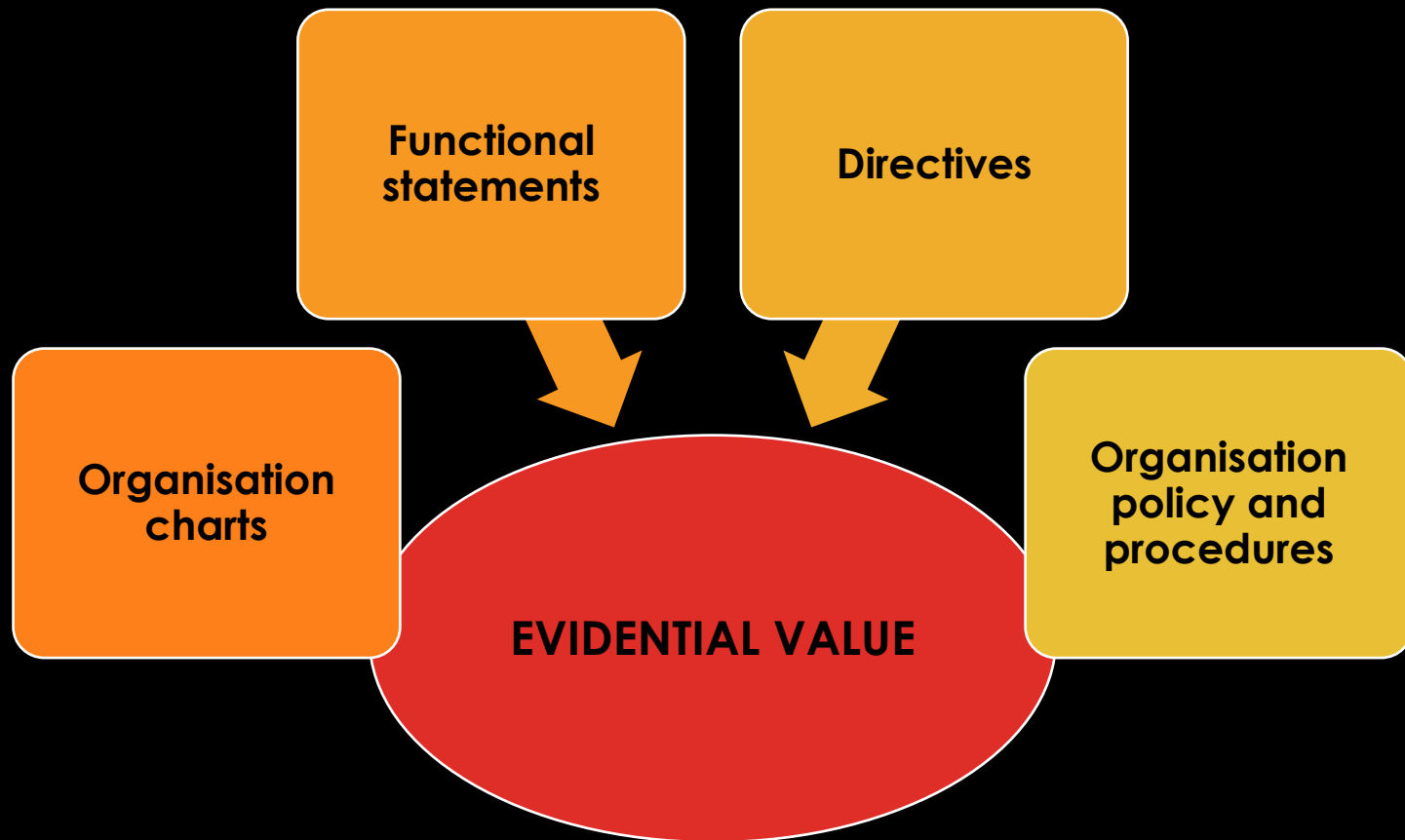
APPRAISAL OF RECORDS



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DISPOSAL

“How to manage record segregation with purpose destruction, transfer or otherwise (suspension transfer) ”.

Section 2 (Interpretation), National Archives Act 2003 [Act 629].

DESTRUCTION

“The act of destroying or erasing any kind of record in accordance with prescribed procedure”.

Section 2 (Interpretation), Act National Archives 2003 [Act 629].

OBJECTIVE OF DISPOSITION

1.

- Records of permanent values (will be kept permanently) normally involved:-
 - 1. Evidence of structure, functions, decisions, and actions of government and public sector bodies.
 - 2. Evidence of legal status and fundamental rights and entitlements of individual and groups.
 - 3. Contributing to the knowledge and understanding of communities and society.

2.

- Records of temporary values, to be retained for long periods of time (ex data from clinical trials).

3.

- Records of temporary values, to be retained for short periods of time (ex short term research project with assessment purpose).

4.

- Records that immediately destroyed (ex lack of context).

IMPORTANCE OF DISPOSITION

**Reduce capacity to
access and
manage (space,
money and staff).**

**Ensure official
records systems are
reliable and
efficient.**

**Reduce
maintenance and
storage costs.**

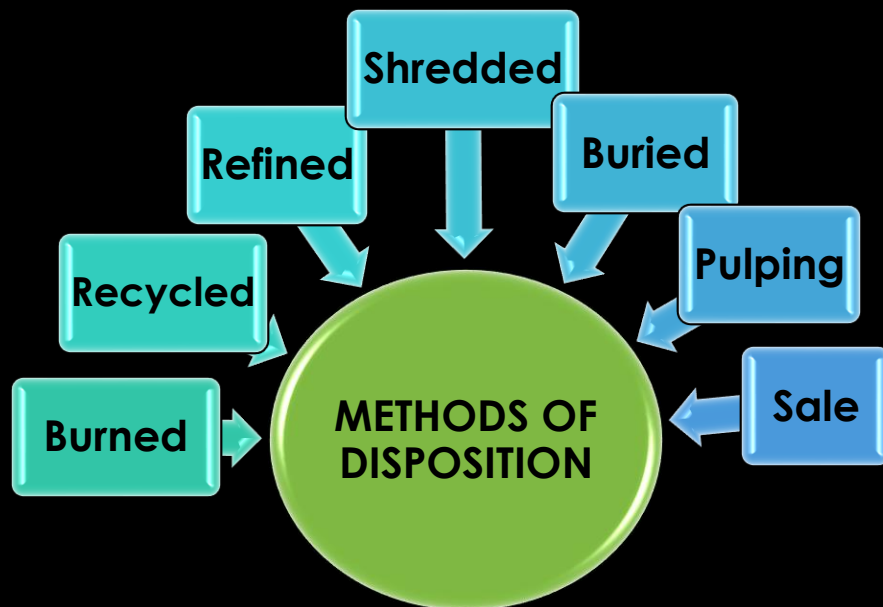
**Maintaining a
credible, reliable,
and effective
record system.**

**Reduce the risk of
sensitive or
personal
information fall into
wrong hands.**

PRINCIPLES OF DISPOSAL



METHODS OF RECORDS DISPOSITION



- Records must be destroyed either by sale through quotation, burned or any other appropriate means based on a reference letter from the Ministry of Finance KB557 / 97/54 Vol. 4 (47) dated 3 November 1993 concerning Disposal of Printed Materials / Used Paper From Ministries / Government Departments / Statutory Bodies.
- However, the department may use other means appropriate such as refined, recycled, deleted or planted for record destruction.

PUBLIC RECORD DISPOSAL PROCEDURES

- **Public record disposal applications must use the format form which was gazette on 13 October 2008 in accordance with Section 45 (2) (C) of the National Archives Act 2003 [Act 629] and P.U. (A) 377 National Archives Regulations (Determination of Forms For Disposal of Public Records 2008).**

**Application For
Destruction Of Public
Records Stated In
Record Disposal
Schedule (JPR)**

**No Public Record
Disposal Application
Stated In Record
Disposal Schedule**

**Public Record Transfer
Application**

Delay Of Transfer

PREPARATION OF RECORDS INVENTORY

- **Records inventory – list of every records series in department/ agency. It consists of:**

Records committee are responsible to:

- Locate all records of the organisation or function concerned.**
- Covers all records in whatever physical format.**
- Give clear and brief records descriptions and disposition instructions.**
- Tell how often the records are used.**
- Assign retention periods of for records.**

List of every record series should consists of:

- Categories of records.**
- Contents and values of records.**
- Total volume of records.**
- Different format of records.**
- Retention period.**

PREPARATION OF RETENTION SCHEDULE

- The **disposal action** suggested in records retention schedule must be clearly worded.
- The committee should suggest the most suitable **retention period** for every records series that are inventoried.
- The complete retention schedule must be **endorsed by the Appraisal Committee**, approved and **signed** by **Director** of the Department /Agency and then implemented.
- A records retention schedules ensures that:
 - i. Important records are maintained according to their legal and business requirements.
 - ii. Storage of inactive records is done in a cost effective and organized manner.
 - iii. Historical records are preserved.
 - iv. Records are promptly and securely disposed when no longer needed.

WAYS OF REMOVING RECORDS FROM REGISTRY

Store the records for a period of time and destroyed when retention period has expired.

Transfer to RC after expiry date.

Transfer to archival unit or archival institutions.

Duplicate in microfilm copies and destroying the original records to save storage space.

Immediate destruction of records.

Destruction after complying with the retention periods specified in the records disposal schedule.

SUMMARY

Chapter 9 has introduced the classification which covered the following terms:

- Appraisal
- Objective of appraisal
- Importance of appraisal
- Records appraisal process
- Disposal
- Objective of Disposal
- Importance of Disposal
- Principles of Disposal
- Public Records Disposal Procedures
- Methods of Disposal
- Preparation of records inventory
- Preparation of records schedule
- Ways of removing records from registry