

Archival	Recorded information and other items of enduring value that are worthy of permanent retention and special management because of the importance of the information they contain for continuing administrative, operational, legal, or fiscal purposes or for historical or other research.
Auto-Delete	The process whereby a machine-driven process will automatically delete a document, without any human intervention, once a condition has been satisfied. Example – “Delete 3 years after Last Modified Date ” or “Delete 2 years after receipt”.
Case Category	A category containing documents whereby the business activity has a defined end date. Typically a <i>Person, Place, Event, or Thing</i> . Disposition is triggered by a date, such as “ <i>End of Useful Life</i> ” (A machine), or “ <i>Close of all Legal Matters</i> ” (A workplace Accident). Example – employment files, typically qualified for disposition 3 years after termination of employment. All records within a case file reach disposition and are processed as a complete, intact group – they are never separated or processed as individual records. Many organizations have 50% or more of all business records as case files.
Category	A node in the hierarchical file plan. Denotes a set of records of similar subjects, i.e. <i>Travel Requisitions</i> . All categories are linked via a child/parent relationship.
CCM	Case Classification Metadata. A metadata field of a document used to identify the case category to which the document must be classified. The value of the metadata field determines the particular case against which the document is classified. For example, a field EMPLOYEE with the value <i>Rubble, B</i> specifies the document is classified against the employee <i>Rubble, B</i> .
Classify	The process whereby a user assigns a formal retention rule to a document, as part of the Declaration process. Classification can be achieved <i>explicitly</i> (the user selects and assigns a category), or <i>implicitly</i> (by virtue of selecting a storage location such as a folder, that matches the subject of the document, and which bears the appropriate retention rule for that subject).
Classification Accuracy Rate	The percentage of a specified quantity of declared electronic records that are known to be classified correctly. Ideal target rate = 100%, i.e. all declared records are classified correctly. Key performance metric of an EDRMS.
CSI	Case System Integration. An integration between an EDRMS and a system that supplies key data about case categories. Through such an integration, the donor case system supplies the EDRMS with case identifiers when a new case is created, as well as the event date, i.e. the event date that triggers the cases retention period. For example, an employee management system could populate the EDRMS with a new Employee name/number upon hiring, and populate the retention triggering date with the termination date when terminated. A CSI is generally required when the volume of case creation is too great for the EDRMS Administrator to keep up with by manually entering new case creations and terminations.
Declare	Make a document a record. Once declared, a document is tracked by EDRMS software, and prevented from deletion (locked), except via a formal disposition process.
Declaration Rate	The percentage of a specified quantity of electronic documents that meet the criteria of a record, which are declared within an EDRMS as a record. Desired declaration rate is 100%, i.e. all documents that are records are declared. Key performance measure of an EDRMS.
Deletion	As distinguished from Disposition . An arbitrary deletion by a person or process. Deletion of a document by any method other than Disposition. Some examples of deletion: <ol style="list-style-type: none">1) A system allows a user to specify (arbitrary) criteria for retention. A document’s retention criteria has been met, and the system automatically deletes the document, with or without any human intervention.2) End user with deletion privileges deletes the document3) A system administrator deletes a document
Disposition	As distinguished from Deletion . Formal, structured process of determining what happens to records at the end of their retention period. The process is human-initiated, and the decision as to what is destroyed/transferred is ultimately governed by an approved retention schedule. A records administrator provides oversight of the process. Disposition yields (3) possible outcomes following the expiration of the retention period:

- 1) **Destroy**
- 2) **Transfer** to outside agency for permanent archival storage
- 3) **Unknown**. Retain until disposition is known. Some possibilities:
 - Held for legal review
 - In Dispute
 - Disposition simply not yet known or decided

Disposition Review List **DRL**. A list of records qualified for Disposition, presented on screen in a form convenient for review and edit.

Document A single piece of recorded information, in any form, physical or electronic. May or may not meet the criteria of a record.

Document State *Record State*. At any point in time, a given document is considered to be in one of the following three states:

Record. Known to meet the criteria of a record. Does not imply that the document is being managed as a record. Critical to this state is that it is "known" by the RIM Manager, so appropriate management can be applied to the document.

Unknown. It is not known (for whatever reason) by the RIM Manager if this document is a record or a non-record. May be a record or a non-record. Critical to this state is that it is "unknown" by the RIM Manager.

Non-Record. Known to not meet the criteria of a record. Does not meet the criteria of a business record, according to the organization's definition of a record. Critical to this state is that it is "known" by the RIM Manager, so appropriate management can be applied to the document.

Document Status The **Status** of a document as declared by the user during declaration into an EDRMS. The user declares the document status to be one of the following three possibilities:

Work In Progress (WIP). Official business, but not yet ready to be declared as a record. This implies the document is a record, and must eventually be declared as such.

Record. The user believes this to meet the criteria of a record, and/or is choosing it be managed as a record in the EDRMS. Once declared, it will be subject to formal recordkeeping control.

Reference. The user believes this document does not meet the criteria of a record, but needs it to be retained as long as needed for the completion of the business activity.

DoD 5015.2 A US Government standard specifying minimum capability of software for the purpose of managing electronic records. Can be found at <http://jtc.fhu.disa.mil/recmgt/standards.html>.

EAP (**Enterprise Adoption Plan**). A series pre-planned educational and motivational activities designed to encourage enterprise-wide adoption of EDRMS usage.

EDRMS (**EDRMS**). A business information system in which the records of an organization are created, captured, maintained, and disposed of. Such a system also ensures their preservation for evidential purposes, accurate and efficient updating, timely availability, and control of access to them only by authorized personnel. An EDRMS includes rules and procedures governing the storage, use, maintenance and disposition of records and/or information about records, and the tools and mechanisms used to implement these rules.

An EDRMS delivers specified recordkeeping controls. Most systems can manage electronic and physical records. Many are comprised of general-purpose content management systems that deliver recordkeeping capability. Some are certified compliant with recordkeeping standards such as US DoD 5015.2 or ICA Module 2. An EDRMS can be configured to store exclusively records, however it will typically store all three of the following categories of items:

- Declared Records
- Non-Records
- Non-Declared (unmanaged) records

Essential Records See *Vital Records*.

Event Date The date that triggers the Disposition of a set of record(s) in a case file. Suppose for example a retention rule for Contracts is "*Destroy 2 years following contract end*". The trigger date for records about contracts is therefore the contract end date. If the contract for *Safe-Tee Security* for instance ends Jan 15 2009, the records are qualified for disposition on Jan 15 2011.

File Multiple meanings:

- 1) An electronic document (recorded information in digital form, any format)
- 2) A collection of related documents (the "contract file"). Could represent one or more physical folders of related documents.
- 3) A physical folder
- 4) The act of placing an electronic document into a storage or management system (to "file" a document into an EDRMS).

In an EDRMS setting, a "file" most closely relates to a *category*, as distinguished from a *document* (recorded electronic information).

F1000

RIMtech term referring to the subset of DoD 5015.2 capabilities required to satisfy the recordkeeping needs of most organizations.

Folder, Heterogeneous A folder containing documents of different, unrelated subjects.

Folder, Homogeneous A folder containing only documents of the same, related subject.

Hold Directive (Legal Hold, Suspension). Process which an organization uses to preserve all forms of relevant information when litigation is reasonably anticipated. Suspends the normal disposition or processing of records. A legal hold is typically issued as a result of current or anticipated litigation, audit, government investigation or other such matter to avoid evidence spoliation

LRO (**Local Records Officer**). A person within a business unit (e.g. department/division) who has been delegated with specified recordkeeping duties on behalf of the business unit. The duties are delivered in support of the EDRMS project. Such duties could include measuring and reporting daily critical performance measurements, creating new case categories as they emerge, etc.

OPR **Office of Primary Responsibility**. The "home" location of the (electronic or paper) records of a specific category. These records are considered the "master" records, as distinguished from secondary (transient) records classified to this specified category. Constituent records contributing to this category may well be stored outside the OPR's location. Typically the OPR represents the business unit with the most operational need for these records, and the hence the most authoritative position regarding their storage, use, and disposition. It is a common practice to apply the official applicable retention rule to OPR records and a different, more temporary retention rule to records of the same category stored outside the OPR (such as 2 years then destroy).

Module A piece of functionality within an EDRMS (e.g. SharePoint) that has to be custom developed. Could be a script, a custom-configured input screen or query, a workflow, a script, or a complete application.

Non-Record A document that does **not** meet the criteria of a record, i.e. does not have enduring business value. Examples include transient, redundant, or duplicate copies of documents. . Also includes documents not related to business (non-work documents).

Physical A document that is not electronic, e.g. document, folder (of documents), box, or artifact. Not managed or tracked as a record by an EDRMS.

Electronic The body (content) of the record is in electronic form, e.g. word processing documents, PDF files, spreadsheet, digital images, etc. Not declared as a record in an EDRMS.

Non-Work Electronic Documents an employee creates and stores on an office computer system which are not related to the business. Such documents may be stored in an EDRMS, co-mingled with records, non-records, and undeclared records. Should be subject to deletion. Not subject to disposition.

Physical Records Those records that are not electronic. The content (body) of the record is not stored within the EDRMS. Physical records typically take the following three forms:

Box Contains multiple physical documents. A box is numbered via an affixed label. Typically a barcode is applied for tracking purposes. The box typically contains folders (of individual documents). A box is considered to be a single record for disposition purposes.

Folder A file folder (jacket) containing a set of documents. Folders are typically numbered and often have a label affixed to them for retrieval purposes. They are usually stored on numbered shelves. A folder is considered a single record for disposition purposes. A folder often will have a Start and End date, representing the oldest and newest correspondence, respectively. A folder may be part of a series of multiple folders containing records on a given topic. Folders are sometimes called *volumes*.

Non-Electronic Document. (N-Doc). A physical record where the content (body) of the record is not stored within the EDRMS, however the record is tracked and managed by the EDRMS in the same manner as an electronic record. An electronic record has its content and metadata stored in the EDRMS, whereas an N-Doc has only metadata stored in the EDRMS. Some examples may be large maps, historical artifacts, leather-bound books, core samples, microfiche rolls, etc.

Some EDRMS systems offer full physical records management capabilities, which include labelling (typically bar code or RFID), circulation control (loans and returns), storage space management, etc. An EDRMS with physical records management capability will manage physical records (boxes, folders, N-Docs) alongside electronic records and apply the same retention rules to them. It will also include electronic and physical records in searches and legal holds.

Qualification, Record Determination that a document is a business record. The criteria will vary among organizations. Common criteria:

- Records a decision
- Created in the conduct of the business of the organization
- Necessary for the conduct of the business
- Constitutes evidence that a legal or policy obligation was followed
- Etc.

Qualification, Disposition Determination that a document is eligible for its end-of life disposition, i.e. can be destroyed or transferred following the end of its designated retention period.

Qualification Rate The percentage of a defined collection of documents that meet the criteria of a business record, i.e. have business value. A key measure of performance in an EDRMS system.

Record A document or artifact that meets the criteria of a record (*Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business*). Either physical or electronic form:

Physical A document that is **not** electronic, e.g. document, folder (of documents), box, or artifact. Identified as a record and therefore has recordkeeping controls applied to it. May optionally be recorded within (tracked by) a EDRMS.

Electronic The body (content) of the record is in electronic form, e.g. word processing documents, PDF files, spreadsheet, digital images, etc. If declared as a record in a recordkeeping system (EDRMS), it is subject to recordkeeping control.

A document that is being managed as a record. Smallest atomic unit that can reach disposition.

Characteristics of a record:

- 1) It is assigned a retention rule from the official retention schedule
- 2) It may only be deleted or transferred, in accordance with the formal records disposition process
- 3) Metadata is recorded about the record

One of (3) possible choices of **Document Status** (along with *Reference* or *Work In Progress*) specified during document declaration in an EDRMS.

Record, State See *Document State*.

Record, Undeclared See also *Record, Unmanaged*. A document stored in an EDRMS that meets the criteria of a record, and therefore is a business record, but is not subject to recordkeeping control. It has not been declared to be a record to the EDRMS, and therefore may not be known to be a record. Because it has not been declared, it is not subject to the recordkeeping controls of the EDRMS.

Record, Unmanaged See also *Record, Undeclared*. A physical record that meets the criteria of a record, and therefore is a business record, but is not identified as a record, and therefore is not subject to recordkeeping control.

Retention Schedule Also known as a **File Plan**. The list of approved retention periods and disposition rules for each business activity or subject are within the organization. Driven by legislative obligation (various laws and regulations that apply to the business), and operational corporate policies. Also identifies which records are vital.

Real-Time Deletion Process of an EDRMS whereby documents with an assigned retention period, where the conditions for end-of life have been met, are automatically destroyed without any human intervention.

Records Folder An EDRMS folder specifically designated for the storage of declared records. The folder has been tagged with a retention policy, and is (supposed to) contain exclusively declared records.

Reference One of (3) possible choices of **Document Status** (along with *Work In Progress* or *Record*) specified during document declaration in an EDRMS. Does not meet the criteria of a record. Generally, a reference document is needed for the conduct of business, therefore needs to be retained for a specified period of time. Sometimes created outside the organization. Not subject to formal disposition. Will typically be retained for as long as needed, then deleted.

RIM	(RIM Manager, RM Manager, Records Manager, Records Administrator). Recorded Information Manager . The person responsible for oversight and implementation of the recorded information management program, including the EDRMS system.
Schedule	Two meanings: <ol style="list-style-type: none"> 1) Noun. The "schedule". The retention schedule (list of categories and their retention rules) 2) Verb. To "schedule". The act of applying the retention rules to qualified records.
SAC	(S ystem A ssisted C lassification). A software capability whereby documents are classified against a pre-determined classification scheme, without user intervention. The analysis is carried out by software that determines the document's subject matter, then proposes the best match against the classification scheme.
SFD	(S ystem F acilitated D eclaration). The methods, techniques and (sometimes proprietary) EDRMS product features that are designed to minimize user interaction during the classification and declaration of electronic records.
State, Document	See <i>Document State</i> .
Status, Document	See <i>Document Status</i> .
Administrative Category	A category containing documents whereby the business activity is ongoing without any defined activity end date, e.g. "Travel". Documents are qualified for disposition once they reach a certain age, i.e. after 2 years. Individual documents reach disposition and are processed independently of the other documents of the same subject. Individual documents can reach the age of disposition, while those not yet aged to disposition are left behind.
Transfer	Move records of historical value to a physically separate storage location for permanent storage. In the case of an electronic record, the original record is removed from the EDRMS. Also known as "accessioning".
Unknown	One of (3) possible choices of Document State (along with <i>Non-Record</i> or <i>Record</i>) specified during document declaration in an EDRMS. Unknown Disposition. Disposition Status is Unknown. See <i>Disposition</i> .
Upload	To load a document into the EDRMS, from outside the EDRMS. You are presumed to be in the EDRMS (logged in).
Vital Records	Recorded information required to re-establish or continue an organization in the event of a disaster; containing information necessary to recreate an organization's legal and financial position and preserve the rights of the organization and its stakeholders. The informational value is so great, and the consequences of loss are so severe, that special protection is justified in order to reduce the risk of loss. Vital records are often duplicated off-site.
Work In Progress	(WIP). One of (3) possible choices of Document Status (along with <i>Reference</i> or <i>Record</i>) specified during document declaration in an EDRMS. Presumed to be a record (meets the criteria of a record), but not yet ready to be declared as a record (i.e. incomplete, not yet approved, etc.). A document stored in an EDRMS in a WIP state must later be declared as a record.
Working Folder	Any EDRMS folder that is NOT a file plan folder, i.e. used to store documents.