Catalogue of knowledge and training programme for employees who manage records and archives at creators

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1 Introduction

The creation of this document is based on the result of the KC1.3.1 task – document Training plan for employees who manage records and archives. The document described domestic and foreign practice in this field and concluded with a suggestion to prepare an examination catalogue of knowledge with detailed descriptions of skills. The present document thus presents themes, which candidates must have knowledge of to pass the professional competence test. Basing on this knowledge set, a training programme for employees who manage records and archives has been created. Training is a condition for acceding to the exam.

2 Legal basis

8th paragraph of the 39th article of the Protection of Documents and Archives and Archival Institutions Act (PDAAIA) defines that: "*Employees of entities under public law who manage documents, and contracting staff of service providers of capture and storage in digital form and accompanying services, must have at least a secondary education and should have passed the professional competence test with the competent archival institution*." The content and training programme, which are issued by the Board of Directors, are defined in detail in the 2nd paragraph of the 3rd article of the Rules on the professional competence for managing records.

3 Examination catalogue of knowledge

Training purpose:
Preparation for the professional competence test for managing records (2nd paragraph of the 3rd article of the Rules on the professional competence for managing records).

Candidates, preparing for the professional competence test, must possess the following knowledge:

FIELD / TITLE	Knowledge description
Slovene public archival service	• Public archives - to know the definition of archives and their meaning • Activities of the public archival service - to list activities of public archival institutions and understand the purpose of the public archival service - to differentiate between archival and other institutions from the field of cultural heritage protection • Public archival institutions network - to list public archival institutions in Slovenia - to differentiate between the state and regional archival institutions – to know the competences and activities of both • Other persons or institutions, which keep archives - to list other persons or institutions, which keep archives
Regulations	• Regulations from the field of records and archives protection - to list PDAAIA and all accompanying regulations • Regulations from the field of records management - to list regulations from the field of records management, which are in force for public administration, judicature and other organizations of the public sector • Regulations from the field of protection and use of archives

	- to list national and European regulations from the field of data protection with an emphasis on the protection of personal and secret data, copyright and access to public information • General and field regulations which define the management of specific types of records - to list at least three regulations connected to the candidate's work environment
Managing records and archives	• Records and archives - to know definitions and explain the meaning of both, differentiate between both • Proper handling of records for operation, legal security and protection of cultural monuments - to present the effects of proper handling of records and archives • Capture - to explain the meaning of capture in the process of managing records and archives • Storage - to present the goals which have to be achieved by effective storage in the process of managing records and archives • Records and archives management as a condition for the protection of archives - to know which legal act defines the management of records and archives in an organization - to list the procedures of records management - to present the procedure of keeping a register of records and archives and its purpose: ○ to know which documents must be registered, ○ to understand the meaning of a document as a building block of records, ○ to be familiar with the purpose of aggregating records into aggregated sets (content connected units of documents, like subjects, files, dossiers) ○ to understand the identification sign of a document and aggregation ○ to understand the meaning of a register – its purpose, where and how registers are kept - to present the meaning of managing access rights to records and archives and the manner of granting them - to present the meaning of classification of records and archives by content: ○ to know the elements of the filing plan ○ to understand the use of the plan when forming aggregation sets and their signs ○ to know who prepares and who confirms the plan ○ to know who defines archives in the plan - to present retention periods – types, how they are defined, when they begin to run - to present the procedure of removal and destruction of records with expired retention periods ○ to know in which cases the destruction of records is not allowed ○ to know when and which records can be destroyed

	○ to know what is the time period for destruction of documents, the procedure before and during destruction ○ to know in which cases the intention of records destruction must be reported to the competent archival institution and how long to wait for feedback ○ to know the requirements for appointing the work of the commission, competent for removal and destruction of records: ▪ who appoints the commission ▪ who are the members ▪ what are the commission's tasks ○ to know which elements are obligatory for the creation of a disposal minutes before destruction and what is the obligatory appendix to the minutes ○ to know the procedure of outsourcing disposal services ○ to know whether archives can be destroyed and under which conditions
Archives – creators of archives and procedures from defining archives to the transfer to the competent archival institution	• Register of creators of archives - to know where to access the register - to know its purpose • Public and private archives - to differentiate between public and private archives - to know whether legal persons under private law can be creators or owners of public archives - to know when and how private records can be declared as private archives • Duties of entities under public law, considering the protection of records and archives, defined in article 39 of PDAAIA - to list and explain duties of entities under public law - to define the manner of fulfilling duties from the law in the candidate's organization • Appraisal of records - to know criteria for appraisal and list at least four considering the candidate's organization - to know the main types of records, which are always selected as archives - to list at least five types of archives from the candidate's organization - to present the procedure of appraisal • Written professional instructions of the competent archival institution to the creator of public archives - to list all instructions issued to the creator/owner of archives by the competent archival institution and differentiate among them - to present the content and purpose of the written professional instructions for the selection of archives from records - to present two basic legal foundations for the creation of written professional instructions for the selection of archives from records - to be familiar with the concept of unified written professional instructions for legal persons who operate on the whole state territory and are under the competence of more archival institutions - to be familiar with the concept of additional professional-technical instructions and know for which type of archives they should be issued

	• Selection of archives from records - to know who must be notified before any selection begins - to know which form of a record with the same content is the subject of transfer to the archival institution - to know when the selection of archives should be carried out - to know how to manage documents in the events of winding up of entities under public law, status changes of entities under public law and winding up of private law entities - to know which legal acts are foundations for selecting archives - to know how to prepare archives in physical form for transfer - to know how to prepare archives in digital form for transfer • Transferring archives to the competent archival institution - to know the legal deadline for the transfer of archives - to know which are mandatory elements of the list of archives - to know who prepares the list of archives - to know which is the key information that should be stated at the transfer (considering further access, use and copyright of the transferred archives) - to list essential documents created in the process of the transfer of archives to the competent archival institution - to know the elements consisting the transfer minutes • Exceptionally extended deadline for the transfer of archives - to be familiar with the possibility of exceptionally extending the deadline for the archives transfer - to know the procedure of its approval • Outsourcing selection and preparation of archives for transfer - to know which requirements must be met by the provider (professional knowledge and preservation) • Selection and transfer costs - to know who covers the costs connected to selection, technical equipment and transfer of archives to the archival institution, including transport
Preservation of archives	• Materials and archives - to know how materials consisting the archives affect the manner of preservation - to be familiar with the protection of archives and the use of the most suitable materials - to explain the term reproduction of archives and list at least three types • Microclimatic conditions - to be familiar with factors which affect the microclimatic conditions for the storage of archives - to know that microclimatic conditions must be adapted to different types of archives - to understand the codependence between temperature and humidity and know practical ways of how to influence it • Archival repositories and damage to archives - to be able to describe an archival repository and the equipment in it - to list and describe risks in archival repositories - to list and describe risks at the use of archives - to describe preventive measures when equipping a repository and shelving archives

	- to know the measures for damage, destruction and loss prevention - to be familiar with procedures of rescuing large quantities of archives
Documents in digital form	• Documents in digital form - to list examples of systems for managing digital records, which are the foundations for defining basic types of digital records - to list examples of different types of records in digital form - to differentiate between born digital and digitized records • Principles of safe storage of records in digital form - to list principles of safe storage of records in digital form and interpret them - to understand and present risks connected to individual principles • Instruments for regulating the field of long-term e-storage according to PDAAIA - to list instruments for the guaranteeing of the protection of records in digital form, which are defined by the PDAAIA - to explain the difference between registration and certification - to list subjects of certification - to list conditions for guaranteeing that digital copies are identical to original records, as defined by the PDAAIA - to list phases of capture and storage of records in digital form • Duties of entities under public law - to list requirements which must be met by entities under the public law which capture and store documents (records and archives) in digital form - to be familiar with the obligation to report to the competent archival institution about the protection of records in digital form, as defined by the PDAAIA • Rules on unified technological requirements - to explain the purpose and status of unified technological requirements - to know who prescribes them - to be familiar with key fields regulated with unified technological requirements - to know which entities must use unified technological requirements • Conditions for providers of services connected to records in digital form - to list conditions which must be met by providers of services, connected to records in digital form • Certification of equipment and services and confirmation of internal rules - to be familiar with the Register of electronic storage and its purpose - to explain how costumers achieve that providers fulfil the requirements - to present the purpose and key phases of Preparation for capture and e-storage • Risk assessment and management - to present the purpose of risk assessment and management - to present the purpose and elements of risk management plan • Internal rules - to explain the term internal rules - to know which entities must adopt internal rules and what is their legal status - to know which entities must submit their internal rules to the Archives of the Republic of Slovenia for confirmation

	- to list fields which must be regulated with internal rules, as defined in article 8 of the PDAAIA - to explain model internal rules and the difference from internal rules - to present activities of entities which adopt model internal rules - to present activities of entities after adopting internal rules • Capture and storage - to describe differences between the procedures of capture and conversion - to describe the procedure of digital records capture and explain the process of proving the correctness of the procedure - to list and explain key elements of a reliable conversion from physical to digital form - to list and explain key elements of a reliable conversion from one to another digital form - to present conditions which allow the destruction of original records after conversion • Long-term e-storage - to explain the term long-term e-storage - to list the required number of storage locations for records and archives in digital form and why they need to be geographically separated - to list restrictions for records stored in computer cloud - to know when and why redaction of records must be performed - to explain key elements for long-term e-storage and list at least two measures, defined by regulations for guaranteeing long-term e-storage - to explain when we can talk about a trustworthy long-term e-storage • Metadata - to explain why metadata is needed • Data carriers (media) - to present key risks connected to data carriers - to present measures which lower the risks connected to data carriers • Formats - to present key risks connected to formats - to present measures which lower the risks connected to formats

Information infrastructure and security	• Guaranteeing information security - to present the purpose and goal of guaranteeing information security - to list and explain the basic principles of guaranteeing information security - to list at least three examples of organizational and technological measures for guaranteeing information security and present one of them - to present at least three examples of organizational and technological measures for guaranteeing information security • Protection from malware and intrusions - to present how risks from malware and intrusions can be lowered - to explain the danger of frauds • Managing information resources - to explain the purpose of creating a list of information resources and defining their managers - to explain the purpose of safety classification of information resources - to explain the meaning of rules for managing information resources - to list at least three measures for managing the risk of loss or damage of records, connected to the information infrastructure and its management, and present one of them • Physical and technical protection - to explain which are the basics for defining measures for physical and technical protection of spaces, equipment and records in digital form - to list at least three measures for guaranteeing physical and technical protection of spaces, equipment and records in digital form and present one • Managing access to the information system - to list at least three measures for managing the risk of loss or damage to records, connected to access to records and present one • Security and human resources - to list at least three measures for managing the risk of loss or damage to records, connected to human resources and present one • Managing communication infrastructure and operational functioning - to explain the reasons for environment separation (development, test, production) - to explain the reasons for managing changes - to explain the reasons for synchronizing system time - to explain the term audit trails and why they are needed - to explain why audit and security checks are necessary and present the reasons for guaranteeing records on system functioning • Managing security events (incidents) - to explain the term security event - to present the manner of action in case of a security event (incident) on a case • Development and maintenance of applications - to explain what factors are important when developing own software and when buying a finished product • Guaranteeing business continuity - to explain on how many locations entities should store e-records: private sector, entities under public law, e-storage service providers - to list at least three key elements of a business continuity plan and present one of them

	- to present the procedure following an event which destroyed the primary storage location • Outsourcing services - to list at least three key fields, which have to be resolved in the contract relation between the customer and e-storage service provider and explain one of them - to explain how the customer enforces its requirements towards the service provider - to present the key legal requirement for providing services connected to records in digital form to entities under the public law

4 Training programme for employees who manage records and archives

1. Slovene public archival service
2. Regulations
3. Managing records and archives
4. Archives – creators of archives and procedures from defining archives to acquisition
5. Preservation of archives
6. Records in digital form
7. Information infrastructure and security

Slovene public archival service
- Public archives
- Activities of the public archival service
- Public archival institutions network
- Other persons or institutions, which keep archives

Regulations
- Regulations from the field of records and archives protection
- Regulations from the field of records management
- Regulations from the field of protection and use of archives
- General and field regulations which define the management of specific types of records

Managing records and archives
- Records and archives
- Proper handling of records for operation, legal security and protection of cultural monuments

- Capture
- Storage
- Managing records and archives as a condition for the protection of archives

Archives – creators of archives and procedures from defining archives to the transfer to the competent archival institution

- Register of creators of archives
- Public and private archives
- Duties of entities under public law, considering the protection of records and archives
- Appraisal of records to define archives
- Written professional instructions of the competent archival institution to the creator of public archives
- Selection of archives from records
- Transferring archives to the competent archival institution
- Exceptionally extended deadline for the transfer of archives

Preservation of archives

- Materials and archives
- Microclimatic conditions
- Archival repositories and damage to archives

Documents in digital form

- Types of documents in digital form
- Principles of safe storage of records in digital form
- Instruments for regulating the field of long-term e-storage according to PDAAIA
- Duties of entities under public law
- Rules on unified technological requirements
- Conditions for providers of services connected to records in digital form
- Certification of equipment and services and confirmation of internal rules
- Preparation for capture and storage of documents in digital form
- Risk assessment and management
- Internal rules
- Capture and storage
- Long-term e-storage
- Metadata
- Data carriers (media)
- Formats

Information infrastructure and security

- Guaranteeing information security
- Protection from malware and intrusions
- Managing information resources and information infrastructure
- Physical and technical protection
- Managing access to the information system
- Security and human resources
- Managing communication infrastructure and operational functioning
- Managing security events (incidents)
- Development and maintenance of applications
- Guaranteeing business continuity

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- Outsourcing services