

**State Electronic Records Initiative, Introductory Electronic Records Institute
July 8-12, 2013, Indianapolis, Indiana
Electronic Records Workflow Lab Exercise Instructions
Instructor: Cal Lee**

This lab focuses on modeling workflows for several essential activities related to electronic records. You should imagine that you've been tasked by your institution with bringing drafts of each workflow to the next meeting of their management team.

Processes to Represent in your Workflow Models

1. **Generate Archival Information Package (AIP)** – “transforms one or more SIPs into one or more AIPs that conform to the archive’s data formatting and documentation standards” (OAIS)
2. **Negotiate Submission Agreement** – “solicits desirable archival information” for the archive, “negotiates Submission Agreements with Producers” and “negotiates a data submission schedule with the Producer” (OAIS)
3. **Develop Preservation Strategies and Standards** – “developing and recommending strategies and standards to enable the archive to better anticipate future changes in the Designated Community service requirements or technology trends that would require migration of some current archive holdings or new submissions” (OAIS)
4. **Monitor Designated Community** – “interacts with archive Consumers and Producers to track changes in their service requirements and available product technologies” (OAIS)
5. **Detachment of Digital Objects** - separating data and metadata from physical medium without violating their integrity in the process

Lab Assignment

1. Break into ten groups with three or four people in each group (1a, 1b, 2a... 5a, 5b); each group is assigned a process from the above list.
2. Consider the process that you have been assigned with and identify 5 to 10 sub-processes that are directly related to your process.
 - Try to follow the guidelines from Sharp and Dermott regarding naming processes and sub-processes¹
 - i. Name it
 - *Verb-noun* (i.e. harvest website)
 - *Verb-qualifier-noun* (i.e. generate descriptive information)
 - *Verb-noun-noun* (i.e. assign file permissions)
 - ii. Ensure that there is a clearly intended result
 - Test: *noun is verbed* form (i.e. website is harvested)
3. Write each sub-process on a sticky note
4. Arrange the sticky notes into a workflow, using arrows to connect them on the large papers
5. When possible, label the arrows between the sticky notes to clarify how the sub-processes are linked
6. If you have time, begin thinking about the “Three R’s” for each of your processes²
 - Roles (who are the actors who complete steps in the process?)
 - Responsibilities (what are the individual steps that each actor performs?)
 - Routes (what are the flows and decisions that connect the steps and define the path?)

¹ Sharp, Alec, and Patrick McDermott. *Workflow Modeling: Tools for Process Improvement and Applications Development*. 2nd ed. Boston, MA: Artech House, 2009. p.40-41.

² *Ibid.*, 203.