



Cincinnati Chapter
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History, Authenticity & Business Processes

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Introduction

- Authenticity and GARP®
- Why is authenticity a problem?
- What does history teach us?
- Business process and authenticity

Authenticity and GARP®

History, Authenticity & Business Processes

GARP® Generally Accepted Recordkeeping Principles®

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

Authenticity & GARP®

Integrity

- A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.

Transparency

- The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.

Principle of Integrity

- “To achieve a suitable level of reliability, attention must be given to the entire life cycle of the records in the system and to the overall development and management of the system itself.”

Generally Accepted Recordkeeping Principles® Overview
ARMA International, 2010

Principle of Integrity

- The system ensures
 - Document is created appropriately
 - Chain-of-custody is preserved
 - Document enters and exits the business process efficiently
 - Document is protected

Principle of Integrity

- “The information that must be recorded as part of the record of a transaction or occurrence
- Metadata, such as relevant dates or parties
- Classification data or structures that locate a record within the system
- Key search terms
- Security and access controls
- Audit and security trails”

Generally Accepted Recordkeeping Principles® Overview

ARMA International, 2010

Principle of Transparency

Process-specific

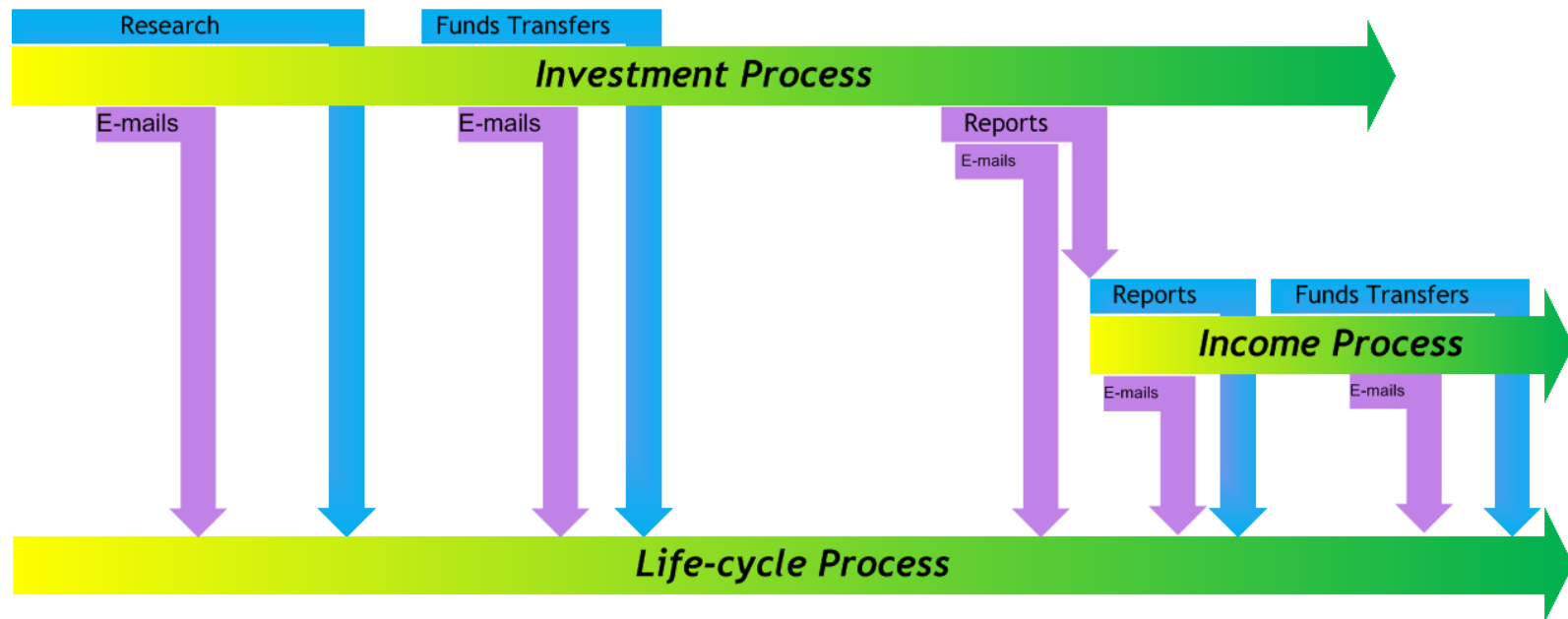
- “Some part of the process or transaction set does not occur in a standard or predictable way, or it occurs under unknown or uncertain circumstances.”

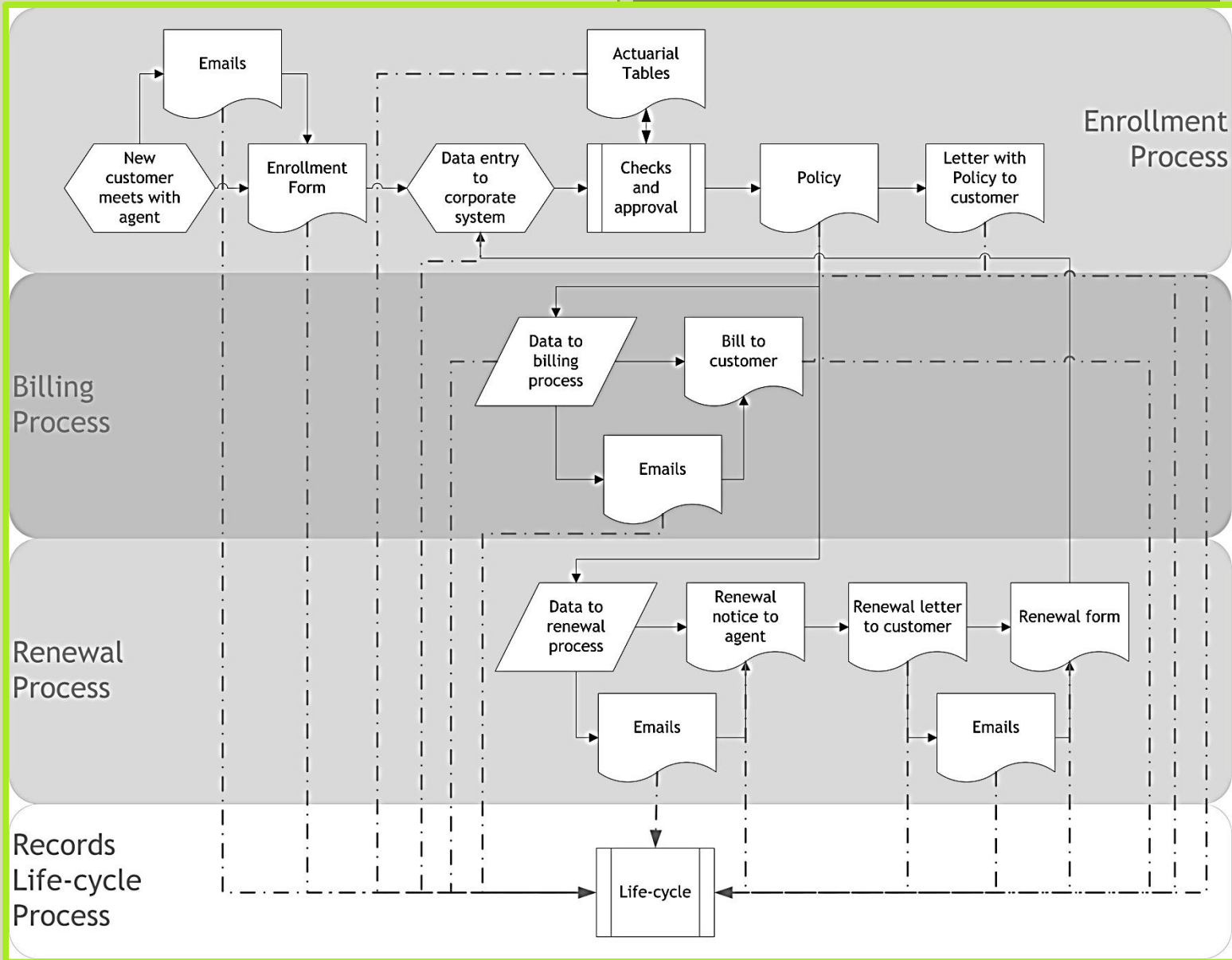
Organizational

- “Organizational lack of transparency occurs when there is no or inadequate centralized understanding of how a process occurs and no easy way of finding out.”

Generally Accepted Recordkeeping Principles® Overview
ARMA International, 2010

Business processes & life-cycle





Authenticity according to GARP®

- Requires both
 - Principle of Integrity
 - Principle of Transparency
- Also requires Principles of
 - Compliance
 - Protection
 - Availability
 - Accountability

Why is authenticity a problem?

History, Authenticity & Business Processes

Views of authenticity

Forensic

- Forgeries
 - Diplomatics
 - User authentication
 - Law

Business process

- Chain-of-custody & authority
 - Archaeology
 - History
 - Law

What does history teach us?

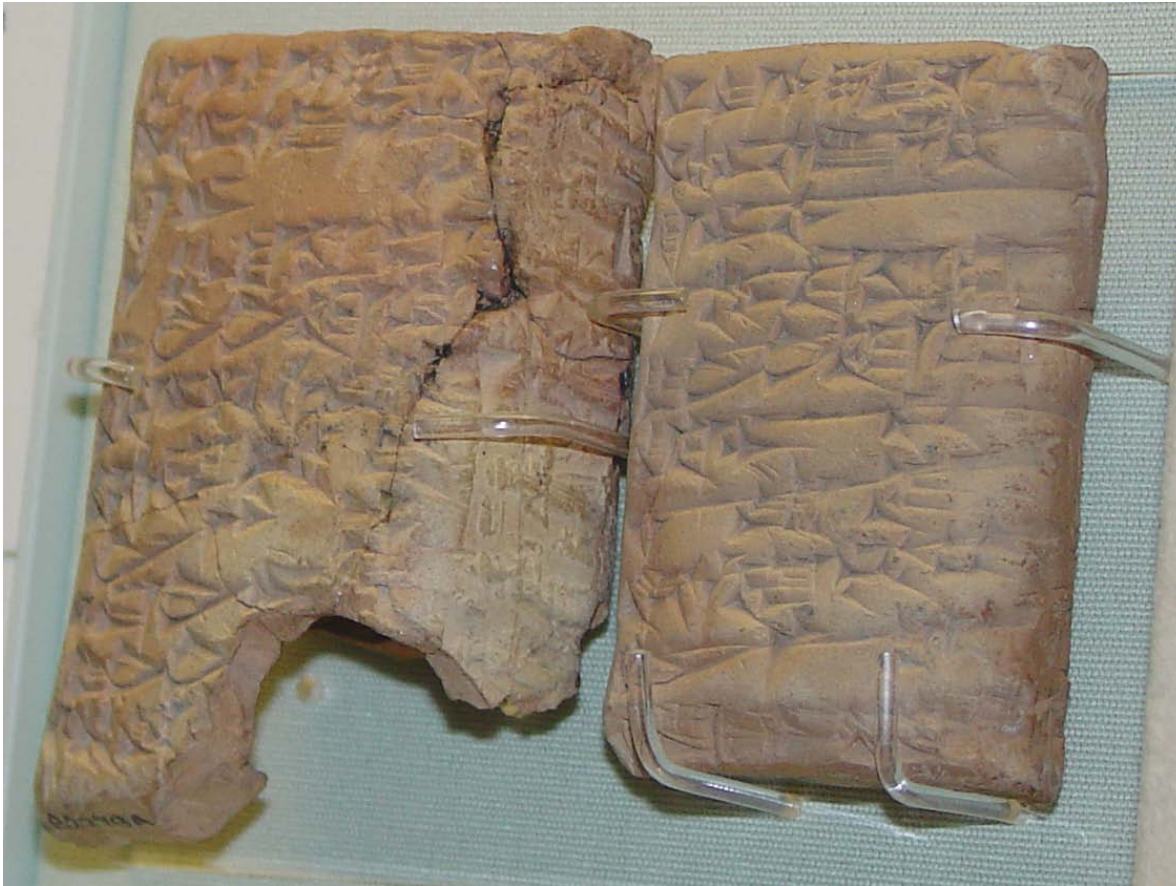
History, Authenticity & Business Processes

Contracts 5000 BCE to 3500 BCE

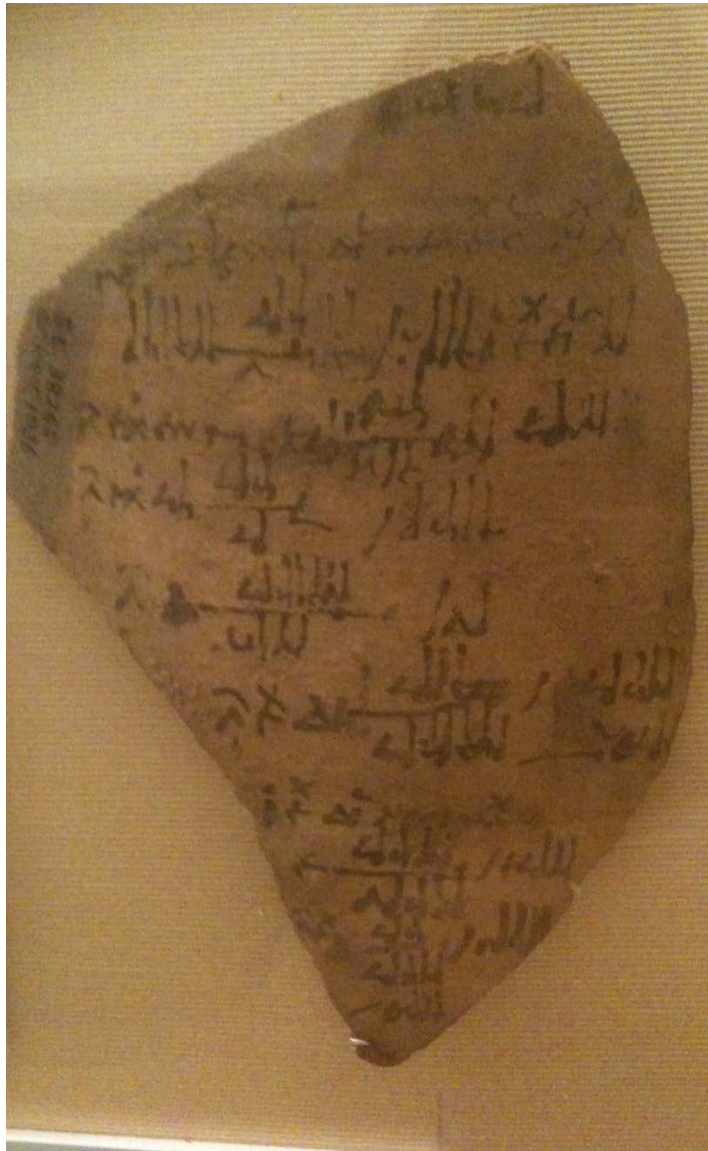
http://dfm.idaho.gov/factoid/mar07_lg.gif

http://en.finaly.org/index.php/The_earliest_precursor_of_writing

Loan from the temple of Shamash 1823 BCE



© Carol E.B. Choksy, from the British Museum

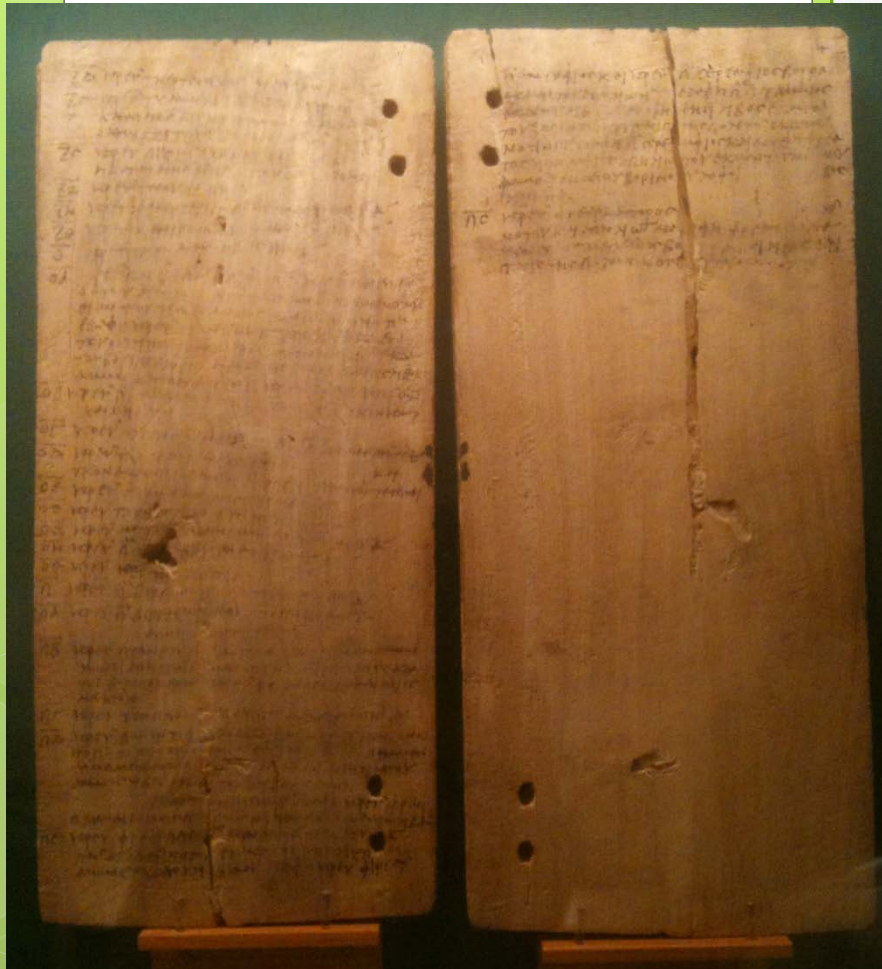


Ostraca

2nd century CE

Greek tax report of owners, locations, and sized of seven fields.

Note: this is complete, not a fragment



Roman-Egyptian writing boards Tabela, 240s CE

Draft inventory of water
reservoirs in the Western Desert
of Egypt.

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Choksy, IRAD Strategic Consulting, Inc.



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Roman Military Diploma Bronze 88 CE

Given to a non-Roman citizen after 25 years of military service granting Roman citizenship.

Two pieces were bound with wire and sealed with multiple personal seals. A copy was kept at the Capitoline Hill in Rome



© Carol E. B. Choksy, Getty Museum

Jewish Roman Copper & Gold 200-300 CE

Syrian prayers for healing

Cairo Papyrus apx 100 CE

recto

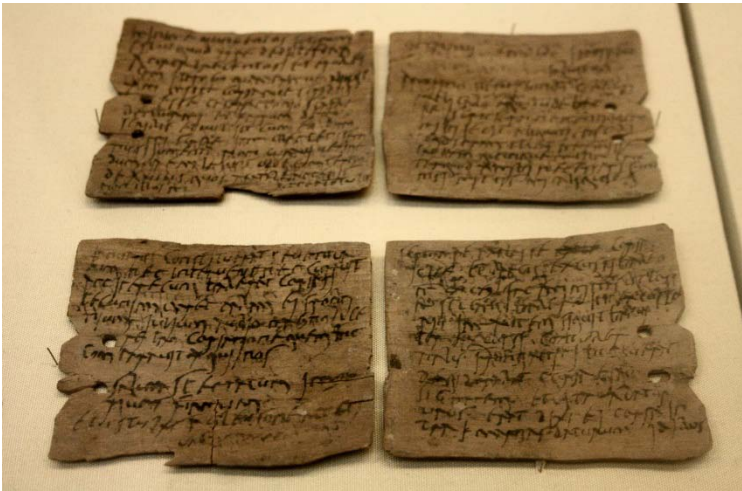
verso

Egyptian papyrus, 7th Century

Recto

Verso

Unsealing the papyrus



© Carol E.B. Choksy, Ashmolean Museum

Vindolanda tablet

Business process

Vindolanda wax tablet 85 CE

Roman last wills and testaments were written on wax tablets then bound and sealed by the witnesses

Merovingian, 650 CE

French, lease of an abbey

Anglo-Saxon apx 800 CE

Land charter

British documents

Chirograph 1013 CE

Indenture 1552 CE

What is Authenticity in these documents?

Concept

- Document is properly formed
- Document is where we expect it to be
- Process of creation is clear in its current form & location

Contradiction

- Last will & testament
- Mis-filing or mis-tagging
- ?

Business process & authenticity

History, Authenticity & Business Processes

Business

- Used to process materials to create products
- Now also process information to create knowledge
 - Key information components
 - Database based systems
 - Documents

Processes

- Methods that use database based systems can work well
 - ERP
 - CRM
- Methods that used documents are still poorly understood & executed
 - Some exceptions like check processing

Business processes

- The Principle of Transparency
 - Not just making documents available to stakeholders
 - Document processes to show that documents are
 - Well-formed
 - Have appropriate indexes and descriptive tags
 - Are where they are supposed to be

Authenticity

- The Principle of Integrity
 - A state that is arrived at through
 - Well-formed processes
 - Descriptive context, including what is added to the document
 - Principle of Protection
 - Not just the document
 - The process
 - A state that should be measurable



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Thank you! Questions?

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