

NHPRC Conceptual Framework Functional Scenarios

Function	Types of Documents/Scenarios	Departments Involved
1. Confer Credentials		
1.1. Recruiting	<ul style="list-style-type: none"> • Marketing material to attract applicants • Formulation & implementation of admissions policies • Tracking & evaluating applications, modification of application forms • Deliberation and selection of applicants • Statistics of students admitted • Directory of incoming freshman • Application forms and supporting documents 	Faculty of individual Departments (Grad) Talent ID Program (D) Undergraduate Admissions (C,D) Recruitment and Talent Management (D)
1.2.Financial Aid	<ul style="list-style-type: none"> • Records of development, raising funds for scholarships • Publications for perspective students about aid available • Annual report of funding given to students • Documentation for each grant or loan given out. 	Development Scholarships and Student Aid Office of Student Loans
1.3.Advising	<ul style="list-style-type: none"> • Notes on advising sessions, advise given through email • Letters of Recommendation • Resume books of students by career office 	Office of Student Affairs Career Services Faculty of individual Departments Career Management Center Office of Student Development
1.4 Graduating	<ul style="list-style-type: none"> • Planning and carrying out commencement • Decisions regarding honorary degrees • Choice of guest speakers and activities • Creation of commencement program, list of graduates and degrees • Theses submitted for graduation requirements 	Registrar Individual Departments Commencement Committees
2. Convey Knowledge		

2.1. Curriculum	<ul style="list-style-type: none"> • Educational goals of the institution • Addition, deletion, modification of courses • Sr academic officials & faculty id of courses & philosophy, requirements • Negotiations surrounding approval/implementation of curriculum changes • Minutes of department meetings regarding curriculum 	Individual Departments Curriculum Committees (School-wide) Academic Affairs?
2.2. Teaching	<ul style="list-style-type: none"> • Correspondence related to faculty members course offerings • List of teaching staff (departmental directory) • Published information about faculty – areas of research, etc. • Info regarding faculty salaries, benefits, tenure, leave, sabbaticals, grants, etc. • Course info – what is taught, reading lists, syllabi, problem sets, exams • Lecture notes, course handbooks 	Individual Department Faculty HR
2.3. Learning	<ul style="list-style-type: none"> • Student papers, essays, reports, exams & assignments • Grades 	Faculty, along with students
2.4 Evaluation	<ul style="list-style-type: none"> • Policies regarding evaluation of faculty • Evaluations of teaching • Summaries, analysis prepared for tenure decisions • Policies regarding evaluation of students • Grading and testing policies • Remarks, informal notes on students for student files • Final grades 	Sr. Academic Officials Faculty/Faculty committees Students Registrar
3. Foster Socialization		
3.1.Academic Rules & Regulations	<ul style="list-style-type: none"> • Evolution, modification, intent, formulating and overseeing of regulations • Student handbook or college catalog which conveys regulations • Discipline committee correspondence, notes • Police reports 	Dean of Students? Administration Police Department Office of the Dean of Univ. Life
3.2. Housing	<ul style="list-style-type: none"> • Policies on where students are allowed to live • Rules for common areas (meeting rooms, laundry, etc) • Subsidized housing for faculty and staff • Literature regarding housing options 	Housing Department Housing Administration Department Residence Life

	<ul style="list-style-type: none"> • Procedures for selecting housing • Studies of housing needs • Interactions with community – impact of housing on neighbors 	
3.3. Services	<ul style="list-style-type: none"> • Contact negotiations for contracted services • Advertising/marketing efforts of services • Student patient records 	Facilities Management Student Stores Student Health Center
3.4 Government & Activism	<ul style="list-style-type: none"> • University correspondence with students regarding student government • Allocation of space and funds for activities and groups • Agenda, meeting minutes for student government meetings • Institutional policies for oversight of student government and other groups 	Office of Student Affairs (D)
3.5 Performing Arts	<ul style="list-style-type: none"> • Campus calendar of events • What was presented, when, and by whom • Reservations for space, practice rooms, etc. 	
3.6 Publications & Broadcast Media	<ul style="list-style-type: none"> • Creation of student newspapers, faculty newsletters, etc. • Creation of schedules for radio stations, tv stations, etc. • University PR??? 	Publication Services? Duke University Press? Office of News & Communication?
3.7 Community Service	<ul style="list-style-type: none"> • Guide to service activities • Records of who participated, what was done, benefits of service 	
3.8 Social	<ul style="list-style-type: none"> • College handbooks, student guides, list what social groups are available • Bulletin boards of upcoming social events 	
3.9 Sports	<ul style="list-style-type: none"> • Policy issues regarding athletes, finances, education • Negotiations with athletic associations • Controversies, suspensions of athletes • Team statistics 	Athletics
3.10 Religion	<ul style="list-style-type: none"> • Records of services/activities 	Catholic Student Center (D)

	<ul style="list-style-type: none"> • Texts of sermons, programs of worship 	Chapel (D)
4. Conduct Research		Institutes, Centers, and Departments Office of Research & Support
4.1. Framing the Problem	<ul style="list-style-type: none"> • Research notes • Correspondence with colleagues to determine research plan • Grant proposals 	
4.2. Planning & Carrying Out	<ul style="list-style-type: none"> • Administrative records • Research records • Research plan, design, techniques • Process of analysis and interpretation • Progress reports 	
4.3. Data	<ul style="list-style-type: none"> • Raw and analyzed data files • Articles, published works 	
4.4 Staff	<ul style="list-style-type: none"> • Descriptions of staff for reports • Lists of authors for published works • Personnel records • Job descriptions and responsibilities 	
4.5 Funding	<ul style="list-style-type: none"> • Allocation and availability of internal funds/ Financial reports, policy documents • Sr. Officer of Research reports on finances • Budget information in project proposals • Budget statement (monthly, closing, opening) 	
4.6 Dissemination of Results	<ul style="list-style-type: none"> • Published reports, articles, (Drafts, revisions, edits) 	
5. Sustain the Institution		
5.1. Founding & Incorporation	<ul style="list-style-type: none"> • Founding documents, records of legislative and admin processes 	
5.2. Statewide Governing Boards	<ul style="list-style-type: none"> • Communication with governing boards 	

	<ul style="list-style-type: none"> • Minutes and reports of board meetings 	
5.3. Accrediting Organizations	<ul style="list-style-type: none"> • Studies, documentation and materials prepared for and submitted by departments to accrediting organizations • Committees for accreditation • Reaccreditations reports and recommendations 	
5.4 Internal Governing Boards	<ul style="list-style-type: none"> • Minutes of board meetings • Published materials, position papers, data, correspondence • Budgets • Proposals for curriculum revisions 	
5.5 Admin of Governance	<ul style="list-style-type: none"> • Organizational charts • Policies and procedural manuals that indicate responsibilities and authority of each unit. • Starting and ending of university programs • Selection of staff • Establishment of university goals • Records of school wide committees. 	Office of the President
5.6 Acquiring Revenue	<ul style="list-style-type: none"> • Evidence of Lobbying activities • Acquisition of grants • Fundraising • Correspondence with legislators, committee chairmen, etc. • Institution's policy on fundraising • Determination of development goals • Basic strategy, staff, activities and presentations for annual giving campaigns • Summary of total funds received, names, donations, annual report of treasurer • Official Gift records – names of donors, relevant bio information, amounts, date, etc. • Information regarding potential donors 	University Development Annual Giving

5.7 Investment Management	<ul style="list-style-type: none"> • Policy decisions made by investment committees of governing board • Reports of president and treasurer with results of investments 	
5.8 Budget	<ul style="list-style-type: none"> • Budget guidelines and instructions for preparation • Individual unit budget proposals • Authorized budget from governing board • Periodic statements monitoring the budget throughout the year. 	Office of Budgets & Analysis (D) Financial Planning and Budgets (C)
5.9 Financial Accounting	<ul style="list-style-type: none"> • Tracking of payment of individual bills and receipt of income 	
5.10 Financial Reporting	<ul style="list-style-type: none"> • Chart of accounts and general ledger • Annual published report of treasurer • List of revenue fund accounts by unit to which they are assigned 	
5.11 Auditing	<ul style="list-style-type: none"> • Official external auditing reports • Internal auditing reports 	
5.12 Personnel	<ul style="list-style-type: none"> • Personnel policies and procedures • Job descriptions and salary ranges • Analysis of composition of staff • Institutional benefits package • Records on former employees • Records of search committees 	HR – Admin Compensation Payroll Services
5.13 Labor Relations	<ul style="list-style-type: none"> • Correspondence b/w administration and unions, employee bargaining groups, etc. 	
5.14 Faculty	<ul style="list-style-type: none"> • Policies and procedures, handbooks for faculty • Reports of the composition of faculty • Personnel records – dates of employment, positions, etc. • Annual reviews • Annual course assignments • Curriculum vitae and bibliographies • Promotion and tenure records 	

	<ul style="list-style-type: none"> • Peer and student evaluations 	
5.15 Buildings and Facilities	<ul style="list-style-type: none"> • Construction process – planning, designs, drawings, specifications • Floor plans • Records of maintenance and repair of buildings 	Construction Management Facilitates Planning
6. Provide Public Service		
6.1. Programs & Institutes	<ul style="list-style-type: none"> • Goals, policies, funding decisions, general management of activities • Descriptions of major programs 	
6.2. Continuing Education	<ul style="list-style-type: none"> • Catalogs, brochures, annual reports • Curriculum 	Continuing Education (C)
7. Promote Culture	<ul style="list-style-type: none"> • Mission statements • Collection policies and procedures • Access policies • Statistics on holdings • Administrative records regarding the history of the collections • Provenance records • Statistical reports on use of books, # of users of the collection 	Perkins Library Medical Library Law Library (C, D) Museum of Art (D) Sarah P Duke Gardens Academic Affairs Library Ackland Art Museum Botanical Gardens Moorehead Planetarium