

THE RECORDS MANAGER

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Records Management Roundtable

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**SOCIETY OF
American
Archivists**

JACKIE ESPOSITO TO SPEAK TO ROUNDTABLE AT SAA 2007 IN CHICAGO

Penn State University archivist Jackie Esposito has accepted an invitation to give a presentation at the 2006 roundtable meeting in Chicago from August 29-September 1. Jackie will speak about the advantages to using a function-based classification system for university records at Penn State and discuss the dilemmas and challenges the staff had to overcome to create and utilize this system.

Esposito is a long-time member of SAA, serving on the steering committee of the privacy & confidentiality roundtable and on the program planning committee. She has also been active in the college & university archivists section, serving on

the nominating committee and as a coordinator for study-discussion groups. She was secretary of the Mid Atlantic Regional Archives Conference and co-chair of the local arrangements committee for the MARAC meeting in May 1999.

She holds an MA in history and is working toward a D.Ed. in higher education administration at Penn State. She has been a certified archivist since 1989. Jackie has served on the staff of the archives department at Penn State since 1986. She has been a reviewer for NEH grants and is an expert in sports archives.

We are all looking forward to Jackie's presentation and look forward to learning

more about the cutting edge paradigm shift from structural to functional classification of records and its real-life application in a working university archives.

T. R. Schellenberg (as well as the great Dutch Trio of 1898) wrote about appraising, arranging, and describing archival materials by the function of the university. Canada and Australia have adopted this strategy and in the process have revolutionized provenance.

Please plan to join us in Chicago for this informative meeting of our roundtable.

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NEW ROUNDTABLE NEWSLETTER

Back in July, I emailed the roundtable listserv and asked if there was a current newsletter. Chair Margaret Merrick replied, saying no, and asked me if I wanted to edit the newsletter. Since I both had newsletter experience and was looking for

something to do for SAA, I accepted the offer. At the SAA meeting in August I was also voted on the steering committee.

This newsletter is a new one. A vote on the roundtable listserv resulted in the naming of this newsletter.

The newsletter will be published in November, February, May, and July. Contributions from roundtable members and non-members alike are always welcome. Photographs are also encouraged for submission.

Special points of interest:

- Check out the Roundtable minutes from the SAA Annual Meeting on page 2.
- Instructional materials found on pages 4 and 7.
- Three university records managers/archivists sent reports to us on their activities.

REPORT FROM THE CHAIR

The RMRT met on August 3rd during the SAA Annual Meeting in Washington D.C. Margaret Merrick, out-going Chair of the Roundtable opened the meeting by introducing Ed Galvin from Syracuse University who discussed the status of the SAARMRT Listserv. At this point, the List has 398 people signed on. The consensus was that this is a valuable resource and Margaret pledged to utilize this resource to promote the Roundtable during the next year.

Ed reported that the newsletter GRIST that is mounted on the RMRT website: <http://archives.syr.edu/saarmrt/> has not had a new edition since 2001. The position of newsletter editor on the Steering Committee has been empty for well over three years and the Committee had good news concerning this position. Russell James, a MLIS student currently at Louisiana State University is now the SAARMRT Grist editor. He graciously volunteered to become the editor. Please submit news items and articles to Russell that will be of Roundtable interest. We look forward to your entries. Russell can be reached at: rjames8@lsu.edu Entries may include news of personnel changes, projects that members are working on; case studies; new resources; upcoming meetings and professional speaking engagements.

The SAARMRT also has minutes and information on the SAA/ARMA Joint Committee. Margaret will forward the minutes from the February, May and August 2006 of the Joint Committee to Ed who will mount them on the site.

James Cassedy, the incoming Chair of the SAA/ARMA Joint Committee gave a presentation of the Committee's meeting and activities. The Joint Committee will be reexamining its Mission Statement in the next few months and define its role as a committee. This initiative emerged during the meeting of the Committee on August 2nd.

The committee has completed a new brochure that will become available in October. The brochure is a combined effort of the committee and the final copy was distributed to the attendees of the Roundtable meeting. The Committee hopes to begin distribution of the new brochure at the ARMA International Conference and Expo in San Antonio, October 25th-28th.

Also during the meeting, a representative from the SAA 2007 Program Committee provided guidelines for submitting session proposals. The deadline for submitting session proposals is October 9th, 2006. Submission after that date will not be considered. A new development for next year is that

Chairs are not required for traditional panel sessions during which two or three formal papers are presented followed by a question and answer period. The understanding is that one of the presenters can assume the duties of the chair. We were urged to "think outside the box" while developing session ideas. Each Section or roundtable may endorse two proposals.

The Roundtable members discussed various ideas for session proposals and topics of interest. Ideas included: reappraisal projects; Electronic Content Management, particularly in university settings; joint sessions with our counterparts in NAGARA; worst practices records managers have encountered and case studies on how they corrected them; the impact of HIPAA and new regulations on electronic recordkeeping and the Certified Records Manager examination process. The latter engendered a lively discussion on the perceptions and actualities of this lengthy certification process.

As Chair, I would like to thank everyone who attended the Roundtable meeting after a long day of sessions. It was a pleasure to meet with you.

The meeting adjourned at 5:45

Margaret

SAA/ARMA JOINT COMMITTEE MEETING 2006

The Joint Committee met on August 2 at the Hilton during the annual meeting of SAA. Susan Adkins, President Elect of SAA and Susan McKinney, President of ARMA International joined the meeting and opened the discussion on the continuance and mission of the committee.

A lively discussion ensued and the two association presidents and committee members outlined the advantages of continuing the Joint Committee versus disbanding it completely. The consensus of the Committee was to continue its work while recognizing the need to

examine the Mission Statement of the Committee in order to redefine its mission with measurable activities. This work will continue through the rest of this year.

The Committee also had the opportunity to review the final draft of a brochure "Identifying Archival/Permanent Records in Records Management Programs." The brochure will be printed in October. The committee also discussed ideas for session proposals and several concerning standards and metrics and benchmarks by which to measure the

effectiveness of records management programs.

The SAA/ARMA Joint Committee will meet during the ARMA International Convention and Expo in October.

The Chair elect is Judy Huenneke who will assume her duties in 2007.

New Records Coordinator System in Place at Syracuse University

This past spring Syracuse University's Department of Archives and Records Management [ARM] reestablished its Records Management Coordinator system for administrative and academic departments. Records Management policy states that all University departments and offices are to designate a staff member to be the primary liaison to the Records Management Program.

According to ARM Director Edward L. Galvin, this system will streamline the production of department records retention schedules and better manage the flow of paper and electronic records to and from the University Records Center. Each department is designating one staff member (and one back-up) to serve as records coordinator for that department whether or not they store their records in the Records Center.

The SU Records Coordinators will:

- Serve as primary liaison between their department and Records Management
- Coordinate any records deposited into the Records Center
- Act as central control point for any files or boxes retrieved from the Records Center
- Facilitate disposition of records at the end of their legal retention periods
- Coordinate access to department records by non-department staff
- Review any department retention schedule for required updates and changes

Records Management has created a listserv for coordinators to keep them abreast of procedural changes, changes to existing retention schedules and to allow coordinators to assist each other with records concerns. All coordinators are being automatically enrolled.

As part of this overall process, over 100 existing University Record Retention Schedules are being reviewed this year. These schedules provide record holders with recommended retention periods for records (paper and electronic) to ensure that departments are in compliance with federal and state record keeping requirements. The department schedules supplement the two major University schedules for academic and administrative records which are available at:

<http://archives.syr.edu/recman/retention.htm>

SAA/ARMA JOINT COMMITTEE

Jim Cassedy, Chair 2006-2007 (SAA Appointee)
NARA

Judy Huenneke (ARMA Appointee)
The Mary Baker Eddy Library

Jeff Carter (ARMA Appointee)
US Holocaust Memorial Museum

Cliff Muse (SAA Appointee)
Howard University

Bill Millican (ARMA Appointee)
ARMA International

David Best (ARMA Appointee)
Harvard University Archives

Randy Jones (SAA Appointee)
NARA

Tywanna Whorley (SAA Appointee)
Simmons College

Nancy Beaumont,
Society of American Archivists

Margaret Merrick (liaison for Records Management Roundtable)
Presbyterian Church (U.S.A.)

Christine M. Figueroa (ARMA Appointee)

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Supporting Government Records Management in New York State

The New York State Archives provides advisory services to local governments and state agencies in every part of the Empire State through its Government Records Services (GRS) unit. Services to local governments are delivered primarily through nine regional offices located throughout the state. In addition to publications, workshops and an outstanding website, local government clients enjoy on-site consultation services from field staff and the benefits of a grants program.

State agencies, with the exception of a grants program, once enjoyed a similar level of service but through employee attrition, hiring freezes, and reorganizations over a decade long period, state agencies services dwindled to a point where the only services provided were records retention scheduling and records storage at the state records center. At one point even these vital services became strained for lack of resources.

Two years ago the Archives began an initiative to rebuild state agency services. First problem to solve was the fact that the state records center, which holds 235,000 cubic feet of records, was at 105% capacity with a handful of staff to transfer, catalog, retrieve, re-file, and destroy records. The Archives worked hard to increase record center staff to meet the demands of state agencies, and the Archives is now setting up a new satellite storage facility that will eventually increase storage capacity for the records center by 100,000 cubic feet. Further, new staff were added to the scheduling unit to aid agencies in the development of retention schedules.

Most recently, the Archives hired Sarah Durling to provide consultation services to state agencies. Sarah comes to the Archives from the National Archives and Records Administration, where she worked on the Electronic Records Archives (ERA) project.

Her strong background in electronic records and information management will prove integral in the Archives' efforts to rebuild state agency services and to provide technical advice in records management.

The Archives will continue its efforts to expand services to client state agencies through the pursuit of more resources, including employees like Sarah Durling who provide consultation services. For information on the New York State Archives' services to government, visit our website at

http://www.archives.nysed.gov/a/nysaservices/ns_mgr.shtml.

David Lowry
Manager

Records Advisory Services
New York State Archives

OPTIMIZING INFORMATION MANAGEMENT SERVICES

Consider utilizing a reputable off-site Information Management firm. The best off-site vendor for your organization should not only save you office space but also time: purging, packing, protecting, managing, accessing, filing and shredding your information (which is less costly than doing all this yourself). They should also be a part of your disaster recovery plan to ensure a seamless transition. This is very easily outsourced and it's comforting to know that a team of dedicated professionals are at your service.

Get all internal departments involved in your business continuity and disaster recovery program. You will obtain a wealth of ideas and get greater participation when all departments have a stake in the company's future. On a regular basis; review, update and test your recovery plan. Evaluate the test for effectiveness and participation—then make changes to the plan as necessary.

Consider hardcopy storage instead of document imaging. The cost for scanning a box of documents is ap-

proximately equal to 50 years of storage! Consolidate records by year when packing boxes but don't go beyond the maximum weight capacity per box (specified by your vendor). Buy your boxes from your archive vendor—usually boxes they sell will be better quality and 1/3 less than anywhere else.

Destroy records that no longer need to be retained. Saving records too long is just as bad as destroying them prematurely. A pattern of regular annual destruction is required if records are subpoenaed but destroyed within accepted retention period.

Ask for a copy of the vendor's mission statement and customer bill of rights. Use those documents to remind your vendor of what they have promised to you. For example, if a box or file is not delivered on time or to the wrong office, there should be no cost to you.

When having a single file retrieved, it could be faxed or scanned instead of physically delivered. Schedule pick-ups at the same time as deliveries to avoid additional costs.

Obviously, pay your monthly invoice on time. If you are closing your firm, pre-

pay for the life of the contract—including final destruction. Ask if there is a client incentive program in place for referrals.

Join your local ARMA International chapter and attend their seminars. Visit them at www.arma.org. They are a great professional resource. Subscribe to their magazine, The Information Management Journal.

Examine the Firelock™ brand of vaults for the ultimate in protection of your computer media. Learn more at www.firelock.com. Protecting your information assets the right way will ease the transition should a disaster strike your company.

BIO: Clara O'Boyle is the Marketing Manager for Allstate Information Management. Allstate uses state-of-the-art facilities, technology and personal service to provide comprehensive solutions for every information management need. O'Boyle can be reached at info@allstat.com or 800-225-1080, ext. 268.

- Clara O'Boyle

Theory and Practice, an Excellent Combination: Western Washington University's Archives and Records Management Program

Just south of the Canadian border lies the little town of Bellingham, Washington. Bellingham boasts a desirable location with close proximity to both Vancouver, BC and Seattle, while its residents enjoy beautiful mountain and waterfront views, and the comfort associated with the community feel of a small town. Bellingham is also home to Western Washington University, whose graduate program in archives and records management has been training professionals in those fields for nearly thirty-five years. One of only three located in the western part of the United States, Western's program falls under the university's history department, and is headed by former SAA president, Dr. Randall C. Jimerson. In regard to RIM, Dr. Jimerson and department faculty offer both hands-on and theoretical preparation for the discipline by including regional conferences and internships into the otherwise traditional curriculum of research and academic inquiry.

Western's courses cover a broad history of the profession, the principles upon which it was founded, and classes that provide a more focused approach to specific topics or practices such as *Arrangement and Description* or *Preservation of Archival Materials*. The program's mixture of practical and theoretical study enables students and faculty to keep apprised of current trends and/or changes in the discipline. The

growing and inevitable focus on electronic records, for example, has caused a shift in course curriculum. The complexity of this issue becomes clear when students are exposed not only to recent RIM journals and texts, but also to the discipline itself—as in an internship or practicum environment, or when attending sessions at a professional conference. The ARMA International Great Northwest Region Conference, 2006 in Seattle provided students with an excellent illustration of the pervasiveness of electronic records and the impact of new technologies on the discipline. In addition, it allowed students the opportunity to put faces to the names of prominent individuals in the field, and familiarized attendees with topics—such as the Enron-Arthur Anderson debacle—that received a great deal of media attention, and captured the interest of the American public. This topic continues to foster a stronger appreciation for RIM both inside and outside of the discipline, which in turn helps support broader advocacy efforts.

The other key component of Western's program is the internship requirement, completed in the spring and summer quarters of the first year of study. This practical experience proves invaluable to students entering the field, not only as hands-on training, but also as a rare networking opportunity. Seen from another angle, internships benefit both

parties involved in the arrangement. While the student gains insight into the everyday goings on of the field and develops professional contacts, the host institution and staff reap the benefits of a fresh academic perspective as well as information on (or possible expertise in) the latest technological developments.

In spite of its size and relative remoteness, Western's graduate program in archives and records management offers students valuable preparation for a career in the field by providing a balance between the practical and theoretical approach to RIM. Records Managers stand to benefit from the students in their midst, while at the same time, students gain connections and insight into the field by attending conferences and experiencing the ebb and flow of the work environment as professional interns. For both the aspiring and practicing professional, Western's emphasis on both theory-based study and applied experience results in an excellent combination of skills.

RECORDS MANAGEMENT AT INDIANA UNIVERSITY-SOUTH BEND

I have been the archivist at Indiana University South Bend for two years now. I began in November of 2004. Prior to my arrival at IU South Bend, there had not been an archivist for ten full years – since 1994. There had been a couple of part-time, untrained people stopping in to put some things into the Archives in the meantime. The most attention that the Archives had received in that interim period of ten years was about a year and a half in which an excellent freelance archivist who is still practicing in the area volunteered her time to make big progress in processing several collections and making some finding aids for those collections.

I am a lone arranger in the Archives, and have had the help of some very good student workers along the way. But for the most part, my time as archivist here has been a matter of diving right in and a tremendous amount of learning on the job. My position previous to this was as a reference archivist at the American Jewish Archives – work that I loved, but work that was totally different in nature than what I do here at IU South Bend. Furthermore, at the AJA, I was one of a team of archivists. I had also worked at the Walter P. Reuther Archives at Wayne State University also – another situation where I was one of several professionals.

I inherited an archives that had absolutely no policies. One of the first goals that I had when I arrived was to get records management policies written.

For I knew that records management is the key to getting records that the Archives has lacked in the past. Such policies are crucial to making sure that the records of IU South Bend are collected in the future. There have been enough gaps in record keeping here in the past. I knew that creating, implementing, and publicizing records management policies were of utmost importance.

I used the records management policies of the archives of our main Indiana University campus, in Bloomington, as my template. Further, I consulted with Philip Bantin, IU Bloomington University Archivist.

I created records management policies and retention and destruction schedules for the following areas: Academic Personnel Records, Student Records, General Campus Records, Records of the Office of the Registrar, and Financial Records. I've posted the records management policies to the IU South Bend Archives webpage (the webpage is, of course, a product since my arrival). See: <http://www.iusb.edu/~libg/archives/recmgmt.shtml>

Over the period of a year and a half, I have appeared at several campus administration board meetings to promote the policies. Further, a colleague here is this year's Academic Faculty Senate President – the body that is the governing arm of the faculty – this librarian "gets it", and makes sure I receive a copy of the faculty records that are cre-

ated through this body.

I have played an active part in the campus' efforts for accreditation. The campus is in the usual fervor for accreditation that any campus undergoes – ours will happen in 2007. The Archives has been called upon numerous times to assist, consult, and supply documents that the working groups need.

I have had a number of consulting visits to assist different parts of the campus community with their records. I have made trips to departments and administrative offices on campus to look at years' worth of records as well as to student groups to look at their records. Such trips do a tremendous amount of good-will work to build relations to ensure that these records – and future records – are deposited in the Archives.

It's been a tremendous learning experience here at Indiana University South Bend in a number of ways. I've grown so much as a professional, and records management is a most important part of that growth!

BLOGS, ROUNDTABLE LISTSERV, WEBSITE

There are many records managers and archivists who deal with current and semi-current records who have started blogging. Many of these can be found at <http://archivesblogs.com/>. Not all of the blogs on this webpage deal with records management, but roundtable members might want to bookmark it.

Caution!!!! Check the page every few days or you will miss a lot of materials. The number of blogs covered in this RSS

feed is large and is being added to weekly.

We are interested in finding more records management blogs. If you are a records manager who is blogging about your work or know someone who is, please contact me at rjames8@lsu.edu and I'll put the blog on an RSS feed just for RIM blogs.

Also, please remember that our roundtable has a listserv that serves the SAA

records management community. Please go to our roundtable website and join the listserv. The website is <http://archives.syr.edu/saarmrt/>

Please also send subscriptions to our webmaster, Ed Galvin, at elgalvin@syr.edu.

SELECTING THE BEST OFF-SITE RECORDS CENTER

BY CLARA O'BOYLE

Here's an interesting fact — there are *no* national standards for offsite information management. As such, choosing the best vendor with the right combination of solutions can be a challenge. Most firms select a vendor to save valuable office space. But by sending your inactive records off-site, you can also optimize staff productivity and thereby increase revenues.

It's also important to involve all of your internal departments. You'll get a wealth of ideas and greater participation when all departments have a vested interest. The following six-point checklist can help you in an off-site records vendor selection process:

1. Location - When considering who will protect your information assets, visit each potential vendor's site. Examine the street location of the building. It needs to be above street level and not in a flood zone. If a company does not encourage you to tour the areas where your records will be stored, move on to the next vendor.

2. Safety and Security – The building's structure should appear sound and well maintained. Beware of cracked walls and foundations, peeling paint, water leaks, etc.

Check for security breeches like open windows and doors. Review how access is controlled. Are all entrances locked? Which areas and vaults are restricted by keys, combination locks and access cards? Are the employees bonded? Have they signed confidentiality agreements?

Fire suppression should be designed to not only extinguish fires but to limit collateral damage. Some complexes have in-rack sprinklers. Vault doors should have a time and temperature rating, not just

a fire rating. Paper should be kept in UL Class 350-4 hour vaults and media should be kept in UL Class 125-2 hour vaults. To limit fire damage, the building should be compartmentalized with multiple fire walls.

Environmental levels for vital documents held longer than 10 years should be approximately 65°F with 35 percent relative humidity. Inappropriate temperature and humidity will damage records very quickly. Some companies offer document vaults for the special needs of vital paper records

3. Access - If you need 24/7 access to your information, make sure access is available and understand the procedures for after-hours service. Storage companies with a dynamic filing system can find your files quickly. Some vendors offer viewing rooms where you can examine your files. Look for viewing rooms that are secure and large enough to handle pallets of boxes.

4. Customer Service - An exceptional information management company will have a responsive customer service department. With files stored off-site, it is critical to have a professional, knowledgeable and courteous person on the other end of the phone. If a problem or an emergency were to arise, a well-trained employee should keep you informed through the resolution of any issues.

5. Warranties - Inquire about guarantees for service or a client bill of rights. If a promised service is not as specified, the vendor should make it right.

If you are closing your firm, you may be able to prepay for the life of the contract so that you don't have to deal with ongoing payments.

6. Going Forward – Periodically evaluate the firm's services. Off-site information management is a key component of business continuity and disaster recovery plans. As such, regularly review, update and test your company's recovery plan. Evaluate its effectiveness and make changes when necessary.

A few secondary considerations: What other value added services are offered:

- Scanning
- Consulting
- Shredding
- Document vaulting
- Backup tape vaulting
- E-Vaulting
- Transcription

When having a single file retrieved, it could be faxed or scanned instead of physically delivered.

Schedule pickups along with any deliveries to avoid additional costs

Inquire about hardcopy storage versus scanning. The cost for scanning a box of documents, on average, is equal to 50 years of storage!

Ask about incentive programs for referrals.

The aforementioned checklist will help you select and thoroughly evaluate information management companies. The best data management company should not just free up space but add to your firm's bottom line.

Written by Clara O'Boyle, Marketing Manager for Allstate Information Management. Allstate uses state-of-the-art facilities, technology and personal service to provide comprehensive solutions for every data storage need. O'Boyle can be reached at info@allstat.com or 800-225-1080, ext. 268.

The next issue of The Records Manager will be published in February. Deadline for submissions is February 15th. Submissions from members and non-members are welcome and photographs of RIM activities are encouraged. Please send submissions to Russell James at rjames8@lsu.edu. The roundtable steering committee and the Society of American Archivists reserve the right to edit or refuse submissions.