Society of American Archivists Records Management Roundtable

The Records Manager

Volume 1, Issue 3 | Summer 2007 | Russell D. James, editor

Inside this issue:

Esposito to Perform Functional Magic at SAA

Jackie Esposito, archivist at Penn State University, will give the featured program at the annual meeting of the SAA Records Management Roundtable in Chicago on August 29th at 6:00pm.

Esposito works with a collection that in both the records management and archives processes is based on function instead of the normal, everyday structural classification systems most U.S. records centers and archives use.

Functional classification for records has been around for a long time. The Three Dutchmen talked about it in 1890, but before that, for at least a few years, the Biblioteque Nationale in Paris used the system. Schellenberg talked about the merits of using functional classification at the U.S. National Archives, but his suggestions were never put into practice.

A few years ago, the Australian National Archives developed a system called DIRKS (Developing an Integrated Record Keeping System) and the concept took off like wildfire, being used by many national governments, by a few U.S. state governments, and in colleges and universities around the world.

Esposito will discuss the advantages and disadvantages of using such a system in her presentation. She has titled her presentation "Organizing Files By the Job They Do." Jackie has twenty years of experience as a records manager and archivist at Penn State, where she has served in many capacities since 1991. She is the author of many publications.

Come see Jackie's presentation in Chicago!!!

Annual Meeting News

The annual meeting is set on August 29th from 6:00pm until 8:00pm at SAA Chicago. It may prove to be the best one yet!

More steering committee members are needed and we will need to elect a new vice-chair/chair-elect, who will serve for two years as the vice-chair and coordinate programs for the next two annual meetings and then serve for two years as roundtable chair. The position is open, so anyone who wants to help the roundtable grow, please notify chair Margaret Merrick of your interest in becoming the vice-chair.

I have enjoyed editing this newsletter and will do so next year, if necessary. But if someone wants to take it over so I can focus more clearly on the duties of chair, we all would sure appreciate it. The newsletter creation is easy if you can cut-and-paste and can use MS Publisher or a like-minded program. The creation of the newsletter takes about one hour to do, so not much time spent helping a good professional cause. If you'd like to take over the editing of this newsletter, please let me know.

Margaret Merrick, Chair

I was born in Germany and ended up in Kentucky because my father retired from the Army and wanted to settle near Fort Knox.

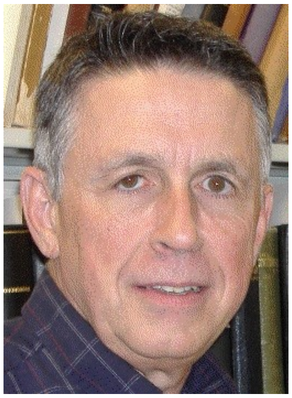
I went to the University of Kentucky and majored in Political Science. After completing my undergraduate degree, I attended the University of Western Ontario in London Canada and received a Master of Arts in History and a Masters of Library and Information Science.

As with many in our profession with degrees in library science and history, I moved into the archival and records management fields and began my career with the Kentucky Department for Libraries and Archives on the Kentucky Guide Project. The project, funded by the NHPRC was an initiative to survey archives and archival collections throughout Kentucky. After this project, I became a Regional Administrator for KDLA's Local Records Program for several years. My next position was with the University of Louisville and for fourteen years, I served as Associate Archivist and Records Manager for the university. My present position since 2001 is with the Presbyterian Church (U.S.A.). I am on the staff of the Presbyterian Historical Society in Philadelphia but I am based in the Center located in Louisville.

My husband Robbie is retiring from the school system in September. We live in Louisville on a street called "Possum Path" with four cats. One activity we really enjoy is traveling and a favorite destination is the Smokey Mountains to enjoy the elk in Cataloochie Valley.

In this section, we thought we'd introduce the rest of your steering committee. Member Matthew Eidson was introduced in volume 1, issue 2 (Spring 2007)

Ed Galvin, Past Chair and Webmaster



Edward L. Galvin serves as listserv manager and webmaster for the SAA Records Management Roundtable. Ed has been with the group since its founding at SAA in San Diego in August 1996. He served as the first chair of the Roundtable from 1996 to 1998, but has stayed on as an ex-officio member because of his work on the listserv and web site.

Ed has been Director of Archives and Records Management at Syracuse University for the past twelve years. He is responsible for Records Management including the survey and scheduling of records and operation of the university's inactive records storage facility. Ed is responsible for the University Archives which holds nearly 17,000 cubic feet of historical records.

Prior to joining SU he spent seven years as Records and Information Manager for The Aerospace Corporation in California, and before that was Chief of the Local Government Records Bureau at the New York State Archives and Records Administration in Albany, NY where he directed a program to provide records management and archival advice to over 4,000 units of local government across the state. Before moving to New York he held the position of Corporate Archivist for the MITRE Corporation, a nonprofit systems engineering firm in Bedford, Mass., and was the first Town Archivist for his home town of Winchester, Massachusetts.

Ed holds both undergraduate and graduate degrees from Northeastern University. He is a member of the Academy of Certified Archivists, and has been active in archival and records management associations during his 32 years in the profession. He is currently treasurer and webmaster of the Central NY ARMA Chapter and has been twice named Chapter Member of the Year. He is also a member of Steering Committee of MARAC, the Mid-Atlantic Regional Archives Conference; and a board member of NYAC, the New York Archives Conference. He just completed service as a SAA Key Contact representative for New York State, but still manages the KEY-CONTACT listserv.

Ed resides in Fayetteville, NY with his wife, three children and basset hound named Sallie, and is devoted to his off-time avocation of family history.

Bradley J. Wiles

Bradley J. Wiles holds a B.A. in History and Political Science and a M.A. in Modern European History from Western Illinois University in Macomb, Illinois.

He is currently completing a M.A. in Library and Information Studies at the University of Wisconsin in Madison, Wisconsin, with a focus in Archives and Records Management.

Mr. Wiles recently chaired a panel at the annual meeting of the Society for the History of Authorship, Reading, and Publishing (SHARP) in Minneapolis, MN, and is one of the founding members and coordinators of the Wisconsin Print Culture Society.

In his leisure time Mr. Wiles likes to read, write, play golf, and spend time with family.

Brad is the newest member of our steering committee, creating a tradition by being the second student member of the steering committee.

Russell D. James

Russell is a native of Colorado, transplanted in the American South. He holds a bachelor of arts degree in political science from Colorado State University, a master of arts degree in history from the University of West Florida, and a master of library and information science from Louisiana State University.

Russell is the vice-chair of the roundtable and recently completed a stint as the founding president of the SAA student chapter at Louisiana State University, where he led the effort to become the first student chapter to co-host an SAA continuing education workshop.

Since he is a recent MLIS graduate, he is still exploring the concept of free time.

Are you interested in presenting a session at SAA 2008 in San Francisco on a records management topic? If so, please email Russell James at rjames8@lsu.edu to discuss the SAA Records Management Roundtable submitting your program to the program committee.

WHAT IS HAPPENING WITH OUR MEMBERS?

Texas A & M Records Center Moves

Meg Carpenter, CRM

The University Records Center at Texas A&M University – College Station campus recently moved from the Sterling C. Evans Library Annex on campus to a renovated space in the Purchasing and Stores Building north of campus. The library facility was approximately 9,000 sq ft, while the new space is about 14,000 sq ft. The move took place over the course of the last two weeks of May.

We initially moved 711 boxes of archival material that had been stored in the Records Center to a new space set up for University Archives in the library.

The next step involved moving the main body of University records – about 7000 boxes – and the shelving. Since we were not getting any new shelving, we palletized each section of boxes, dismantled the shelving, placed it on top of the boxes, and then labeled and shrink-wrapped each pallet. That translates into approximately 185 pallets that were then transported to the new facility. Shelves were re-assembled and the boxes were re-shelved as they arrived.

The last sections to be moved contained the papers of former Senator Phil Gramm (about 850 boxes) and former Texas governor William P. Clements (1,150 boxes). These were also palletized and shrink-wrapped, but the re-shelving was complicated by the fact that we had to take five rows of fourteen sections of shelving and turn them into four rows with seventeen sections. That meant that these collections had to be realigned to the new configuration.

We were never totally shut down during the two weeks that it took to move. Some requests for pickups were postponed until June, but any requests for delivery of materials in storage were completed.

What Brings Visitors to RM Facilities?

By Nancy Freeman and Barbara Messineo

Ice cream or cookies! That was the big question for this year's Records and Information Management Week. I am the records manager and archivist for the National Wildlife Research Center (NWRC), a wildlife research facility for the USDA. For the past six years, the records management/archives staff has held a Records and Information Management Week and dealt with the weighty question of what type of food to provide for the event.

I am extremely committed to outreach activities here at NWRC, so we also declare an October Archives Week, as well. Since we are mainly an internal archives, all outreach activities are for staff only. It is so important to let fellow employees know what the archives and records management functions are at NWRC. Often the by-product of our outreach efforts is not only increased awareness, but also education and changes in behavior. For instance, after Records and Information Management Week, I've had employees come up and ask for help or inquire about what to do with certain records. The week serves as a perfect opportunity to assist employees and educate them about basic records management and electronic records management. Outreach activities should be non-threatening, fun ways to interest and enlighten people.

Records and Information Management Week activities have been varied, but always involve food. Let's face it, everything goes better with food. For the past five years, we've had an ice cream social in our lunchroom. In addition to ice cream, we provided handouts and games or puzzles that were records related. This year several of us set up small tables at various building entrances for two hours in the morning to greet employees. We offered cookies and, again, provided the ubiquitous informational handouts. Money for all our outreach activities comes from our "coffee fund," a totally employee-generated fund that is managed by a committee and used for activities that benefit all NWRC employees.

I firmly believe the archives and records program here has more visibility because of our outreach efforts. While the two weeks per year can be labor intensive, we've become accomplished at minimizing work, while yielding great benefits. We often re-use handouts and puzzles, though we do make sure to update and keep activities fresh.

Next year for Records and Information Management Week, who knows if we'll do cookies or ice cream. Whichever it is, I'm confident we'll have an entertaining and educational outreach activity!

DOCUMENTING PRACTICE DOWN UNDER

By Stephanie McCutcheon, CRM

Faced with a decision as to where I wanted to do my practicum for my Masters in Library and Information Science, I chose to move outside my local box (way outside!) and visit the State Records Office of Western Australia.

My visit to Perth came about through ARMA International and its LINC (Linking International Communities) program. This international exchange program is designed to facilitate global outreach to RIM professionals outside of North America. In 2005, when I was President of the Mile High Denver chapter of ARMA International, the chapter agreed to sponsor an international member – one Tony Caravella, CEO of the State Records Office of Western Australia.

The idea of doing my practicum internationally came together after several months of email correspondence with Tony. Having discovered that I was working on my MLIS at the University of Denver, with a concentration in Knowledge Management, he asked if I would consider a practicum placement in his office. Later, I met up with Tony when he presented at the ARMA conference in San Antonio last October. His presentation, *The State Records Act of Western Australia (2000)*, was my first introduction to an entirely different recordkeeping regime than what I was used to. My experience in Records and Information Management (RIM) has been in manufacturing and financial services, the latter in my current role as a Senior Compliance Analyst – Records for an investment company. So, the chance to observe the work within another jurisdiction, and within an entirely different administrative context, seemed the perfect learning opportunity.

While in Perth I had the great good fortune to meet with RIM colleagues from state, local and commonwealth government; academia; and private enterprise. I sat in on a Basic Recordkeeping course at Curtin University and checked out a graduate-level online unit at Edith Cowan University. It was also my privilege to speak to a joint meeting of the RMAA (Records Management Association of Australasia) and the ASA (Australian Society of Archivists) with a presentation titled, *RIM Issues and Challenges in the U.S.*

Some things remain the same the world over – America, in all sectors, has compliance issues very similar to Australia. However, most action in the U.S. is driven not by legislation but litigation. In our highly litigious society, the risk assessment quite often revolves around what we have to do to keep ourselves out of court. This is not to say we don't employ best practices for good governance sake; we do. Our recordkeeping practices have simply evolved in a different way. Ours has grown at the grassroots level, out of private enterprise and court decisions, and not so much from the top-down approach of legislation. Usually, business works out what works, others take note and use it, and things roll from there.

As in the case of the Sedona Principles, a guiding framework for electronic document production was developed this way. A group of attorneys, jurists, consultants and others experienced in electronic discovery matters assembled of their own accord a few years ago to develop this core set of principles for addressing electronic data and document production. It was from these principles that the Honorable Shira A. Sheindlin borrowed heavily to craft the highly regarded Zubulake checklist. This checklist involves the duty to preserve and produce evidence in court and stems from the case of Zubulake v. UBS Warburg (2005) – a landmark RIM case. In addition to this, the revised Federal Rules of Civil Procedure, which went into effect December 1, 2006, place a very early focus on existing retention practices, and the preservation and discovery of information. These two forces have combined to drive current RIM practice in America.

This focus on early retention and preservation of information are the hallmarks of the Australian continuum model. Until very recently, this model was foreign to us. We typically haven't thought through the capture of records from creation, thus we've often had issues trying to classify, organize and retrieve them later. Yes, RIM in the U.S. has its records life cycle, but no one worries too much about how or what to archive until we get to the end! Records managers and archivists are truly on the opposite ends of the spectrum in America and don't often work together. In this, we have a lot to learn from Australia where there seems to be a continuum between the two pro-

DOCUMENTING PRACTICE DOWN UNDER (continued)

fessions of recordkeeping which is both productive and professionally rewarding.

Many RIM practitioners in the U.S. see Australia as the land of best practice. With its long-standing series registration system, forward-thinking legislation (State and National Records Acts) and excellent standards development (from which the international community borrows heavily), we often look to the land down under for guidance and framework. During my practicum, I discovered Western Australia's comprehensive recordkeeping plans which are sturdy foundations on which government departments can build their records programs. I was fortunate to be at the State Records Office of WA the week that marked the completion of all the recordkeeping plans, as well as the first round of retention and disposal schedules for all state and local governments. It was an extraordinary achievement and one I hope that we in America will hear more about. Particularly well built, in my view, was the City of Perth Recordkeeping Plan. (Many thanks to Mr. Kye O'Donnell for taking the time to show me.)

The benefits of international exchanges such as I've been privileged to have are enormous on both sides. The sharing and transfer of knowledge is what knowledge management is all about. It is heartening to find that folks halfway (literally!) around the world face some of the same challenges as I. It is also enlightening to see the differences and offer fresh approaches to problems. There is nothing like travel to broaden perspectives!

This trip has increased the breadth and depth of my RIM career. I will be forever grateful for having had this opportunity. My appreciation extends to all of the RIM professionals who generously gave of their time, whether in government, the private sector or in education. My greatest thanks go to Tony Caravella and his excellent, professional staff at the State Records Office of Western Australia, who took me under their wing and gave me the benefit of their very considerable knowledge and experience. It is my desire to encourage global outreach such as this whenever and wherever possible.

REFLECTIONS FROM THE CHAIR

by Margaret Merrick

I work as Records Manager for the Presbyterian Church (U.S.A.). I report to the Presbyterian Historical Society, the Archives for the denomination, located in Philadelphia, but I am based in the Presbyterian Center in Louisville, Kentucky. Before coming to the PC (USA) six years ago, I was Records Manager and Associate Archivist for the University of Louisville and prior to that, I worked for the Kentucky Department for Libraries and Archives Local Records Project. All of these positions have provided me a great deal of personal satisfaction as well as opportunities to grow professionally. And throughout my career, I have enjoyed attending SAA meetings for the professional development it provides, as well as the chance to connect with other records managers who work closely with archives.

The 2007 SAA meeting marks my last time as Chair of the Records Management Roundtable. I know that I will miss participation in the Steering Committee but welcome Russell James as the new Chair. We also have two new members of the Steering Committee: Matthew Eidson from NARA and Bradley Wiles, an MLS student from the University of Wisconsin. Russell has arranged for this year's program, Jackie Esposito from Penn State and I do hope that Roundtable members will attend the meeting on Weds. August 29th from 6:00-8:00. I have also appreciated Ed Galvin's service as the SAARMRT listserv coordinator and Webmaster. This is a great way to connect with other records managers and I urge you to sign on and post questions and comments.

I have mentioned it many times before that serving on a steering committee is an excellent way to become more involved in SAA. The contacts and the professional growth will hold you in good stead as you continue in the profession. Please consider service with the Records Management Roundtable. It has been a lot of fun working with the RMRT from my first year as Chair during the Boston meeting in 2004 to my last at the upcoming meeting in Chicago and I look forward to enjoying the meetings in the coming years in the audience!

E-DISCOVERY CONFERENCE NOTES

by Meg Duncan, CRM

I went to this conference not knowing what to expect. Was it just going to be more rehashing of already known facts or was it new and completely different information. It was new and not quite completely different.

Both days were full of information. Each session covered specific areas of the new Federal Rules of Procedures (FPRC) and also some information on how to follow the new rules. Some of the topics discussed included:

- Communication Strategies for Better Collaboration RIM, Legal, and IT
- Impact on the New Federal Rules of Civil Procedure:
- E-Discovery Management
- Top Ten Tips for Electronic Discovery
- IT RIM & Legal – A collaborative approach to IM
- Actively managing your ESI: ECM as the cornerstone
- Architecting a secure compliant infrastructure

Linking E-Discovery & Enterprise Security Programs

There were several good points made over the course of the conference. Communication between the litigating parties was stressed, as well as communicating with your legal and IT department. During the top ten tips of electronic discovery it was stressed to communicate with the judge and to keep the lines of communication open. Also always keep in mind that someone will forget a PDA or an important file.

Whether you when or loose the case can be dependant on your records management program. How you train your employees, how you make them aware of the program, how you implement it and audit is very important in a case. One speaker said that if you don't audit your program, all the rest is meaningless. Most judges are looking for reasonableness in your program and in your implementation.

We also came away with a new acronym. "ESI" which stands for electronically stored information. This acronym comes from the new FRCP. The session on ESI spoke about production of documents. The speaker said to keep your options open so that you can produce in native format if needed or as a PDF file if not needed. It was said that not every case needs the metadata that is associated with electronic documents. The meet and confer process of litigation should cover what is needed for production. If it doesn't, the new FRCP, has a default list of production requirements.

E-DISCOVERY CONFERENCE (part 1)

by Meg Duncan, CRM

One of the impacts of the new FRCP is that the whole timetable for the litigation has been sped up. You need to have quicker turn around on meeting with the plaintiff and discovery aspects of the case. Some of lessons learned that were shared are:

- Know your stuff;
- Know your infrastructure (leverage the sox processes);
- Be prepared;
- Have a good legal hold process.

The recent decision on Cache La Poudre Feeds, LLC v. Land O' Lakes, Inc., 2007 WL 684001 (D. Colo. Mar. 2, 2007) highlighted everything that was right in Land O'Lakes records management except for one thing. The gap identified that Land O'Lakes did not properly manage departing employee records was fined for this oversight.

The E-Discovery management session was very informative. The session talked about making sure your RM policy can be implemented. Your RM program should be about identifying how long you must keep your records not about finding out what you can't get rid of [thru litigation].

This session also mentioned WIKI's as a possible source of records that may be outside the records management program. A fact mentioned in this session was that in 1990 electronic documents accounted for **10%** of all documents, in 2000 electronic documents accounted for **93%** of all documents. ESI is critical to most cases today and it was recommended to read the Sedona conference committee notes.

E-CONFERENCE (part 2)

When you can't produce documents because of "undue cost or burden" you must provide specifics as to why. You will need the IT person that can explain it in layman terms why something is inaccessible. Also prove the cost of producing the object. Its not just a matter of pulling the tapes, but loading the tapes, possibly building the server, time spent on this project as opposed to regular work which is stopped. All these have costs associated with them and if you can put it on paper, then you might have the chance that judge will say ok you don't have to produce it. It is by no means a magic bullet, the judge might say produce it anyway.

My take away from this is that most judges are looking for reasonableness in your records program, how you implement it and how you audit it. Also they are looking for the defendant to know what information they have, where they have information and how to access it. Another take away is to build a team that can communicate before, during and after litigation. Build a plan to tackle litigation before it comes in the door and test the plan as you would your disaster recovery plan.

They are planning to have it again next year. I encourage you to go to it, if you can. I thoroughly enjoyed the conference even though it was short.

RFID Brings Records Under Control

Ken Neal, Oce Business Services

Combining records management best practices with radio frequency identification (RFID) technology offers a powerful methodology for bringing records under control. A case in point involves a global law firm that, over 40 years, created a morass of files and folders, many of which were often misplaced.

The Challenge

The firm's expenses were skyrocketing; the loss in profitability could be traced directly to an ineffective records management program. Dozens of files were misplaced daily, costing thousands of dollars in lost productivity. This situation led to a number of problems. The firm was often forced to request court filing extensions, while the files were located. Administrative costs ballooned because of the number of hours staff spent repeatedly searching for files.

Additionally, client relationships were in jeopardy due to the delays and the partners were becoming embarrassed. Because signing out files was a manual process, compliance with the procedure was low – leading to numerous instances of misplaced and outdated sign-out cards remaining on the shelves. The firm was not conducting file audits because it took too much staff time. Audits are essential for verifying file locations – without them, the records management process was not going to improve.

The Solution

Our project team combined technology with best-practice procedures to improve the firm's records management program. After assessing the records program, the team determined that the firm required a system that would be easy to use, with a simple check-in/out process. It was also critical to implement a simple no-line-of-sight process for conducting file audits.

The best solution was an RFID system with simultaneous reading functions. An RFID desktop reader was installed in the file room, automating check-in/out. Simply waving a user ID card with the file over the reader eliminated the manual process. The file is linked with the attorney creating an audit. The team also deployed a portable RFID reader for simultaneous reading of multiple files when searching or auditing records. A weekly procedure was implemented to track file locations, and Crystal Ball® reports were implemented for management. These reports outlined audit trails, and record retention and destruction schedules.

The Results

The RFID records management system met the firm's needs while improving ease of use and convenience. RFID technology increased efficiency, enabling one person to complete the file inventory process in just three to four hours instead of days. Recordkeeping process improvements resulted in the following benefits:

• A 90% reduction in lost files

• Less than 4 hrs to conduct file audits

• Fewer court date extensions

• Easy walk by check-in/out with audit trail

• Better staff compliance with the records management policy

All businesses look to succeed, to grow, and to effectively serve their customers. Implementing superior records management practices combined with RFID technology helped the law firm go a long way toward meeting these goals.