



SOCIETY OF American Archivists

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The Records Manager

The Newsletter of the Society of American Archivists Records Management Roundtable

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Debra Kimok, Editor

Notes From the Chair, Russell D. James, CA



Nineteenth century British prime minister Benjamin Disraeli was once asked why he wrote so many books. He answered, "if I want to read a good book, I write one." My approach to

leadership is much the same—if I want something to be done, I do it.

I took over the records management roundtable chairmanship in early September and began an aggressive program to start some projects that I wanted to see done. I knew that if any of them were going to be successful, we had to start right away. I'd like to mention of the projects.

The Functions Thesaurus Working Group is working on a thesaurus of function terms that can be applied by records managers and archivists when classifying or describing archival record groups. The thesaurus will be compatible with MARC21, EAD, and EAC, and will be useful to records managers trying to implement ISO-15489 and ISO-23081 standards.

The Records and Information Management Bibliography Working Group is being headed by our own Brad Wiles of Wisconsin. His group is formulating the best plan of attack to create a bibliography of published sources to aid records managers.

Alison Stankrauff, our vice chair, is heading a working group to work with other sections and roundtables and get their old records transferred to the SAA Archives in Milwaukee. See her column in this newsletter.

We have one more working group in the till, but we are ironing out a charge for this group at this time and won't be announcing anything or calling for members until late October, at the earliest.

We also have some committees working. The operations committee, consisting of our newsletter editor, web liaison, and listserv liaison, will be developing guidelines for all three of these areas. We have an ad hoc committee developing a recruitment brochure for our roundtable. We also have an exciting group that is putting an idea of the steering committee to work—nominating two of our own to become SAA Distinguished Fellows. Who are these two? Ed Galvin and Elizabeth Fairfax, both former RMRT chairs. We feel they meet all the necessary qualifications and are hopeful that they will be selected for this honor.

I am committed to doing, not just being. I stand on the shoulders of six men and women who served in this position before me and who gave strong roots to this roundtable. I believe, and someone can prove me wrong (or try!), that we are the most active roundtable in SAA. Not only do we have the groups working on projects I mention above, but we have over 35 people working on these projects! When the last project (and any others that pop up) are put into motion, this number will hopefully climb higher indeed.

Russell D. James, CA
rjames8@lsu.edu

Executive Committee**The Executive Committee**

Russell D. James, CA

Alison Stankrauff

Margaret Merrick

Edward L. Galvin, CA

Bruce Ambacher



Russell D. James, CA

Chair

Coordinator, Functions Thesaurus Working Group

Serves, ex-officio on all committees and working groups

The Steering Committee

The Executive Committee and

Matthew Eidson, CA

Jackie Esposito, CA

Elizabeth Fairfax, CA

Greg Johnson

Debra Kimok

Lorraine Stuart, CA

Bradley Wiles

Jennifer Young



Alison Stankrauff

Indiana University-South Bend
Vice-chair/Chair-elect

Coordinator, Records Retention
Compliance Working Group
RIM Bibliography Working Group
Serves ex-officio on all committees
and working groups

Alison has served as the Campus Archivist at the Indiana University South Bend campus since 2004. She is a lone arranger there, and inherited an archives that had not had an archivist for ten years.

She has created all of the archives' policies and has seen records management on the Indiana University South Bend campus as one of her primary goals. She has done much work establishing ties with departments and offices across campus and collecting records.

Previous to her current position, Alison served as a reference archivist at the American Jewish Archives, and previous to that, as a technician at the Reuther Labor Archives at Wayne State University. She interned at the Rabbi Franklin Archives at Temple Beth El in metropolitan Detroit. Alison graduated with her Masters in Library Science with Archival Administration concentration in 2002 from Wayne State University, and has a Bachelors degree in history from Antioch College.

Archives/Special Collections, Indiana University-South Bend:

<http://www.iusb.edu/~libg/archives>



Margaret Merrick
Presbyterian (USA) Historical Society
Immediate Past RMRT Chair
Nominating Committee

See Margaret's articles, "Margaret Rides Off Into the Sunset!" on page 8 and "Final Meeting of the SAA/ARMA Joint Committee" on page 16.

Presbyterian Historical Society: <http://www.history.pcusa.org>



Edward L. Galvin, CA
Syracuse University Archives & Records Management
Ex-officio
Past Chair
Past Web Liaison/Newsletter Editor
Founding Member

Ed is currently Director of Archives and Records Management at Syracuse University. He has also served as Records and Information Manager for The Aerospace Corporation in California, Chief of the Local Government Records Bureau at the New York State Archives, and Corporate Archivist for the MITRE Corporation.

He is a member of the Academy of Certified Archivists, and is currently treasurer and listserv/webmaster of the Central NY ARMA Chapter and has been twice named Chapter Member of the Year. He is also a member of the MARAC Steering Committee, and a board member of NYAC. He just completed service as a SAA Key Contact representative for New York State, but still manages the Key Contact listserv.

Syracuse University Archives & Records Management:
<http://archives.syr.edu>

Greetings from Bruce Ambacher SAA Council Liaison to our roundtable



As your new SAA Council liaison I have been asked to introduce myself. I was given this liaison assignment because of my long interest and activity in the area of records scheduling and appraisal, especially in electronic records. I began work at the National Archives in 1976 in the relatively new electronic records custodial unit; the unit had written its first records schedule just six years earlier. My major responsibilities were scheduling and appraising electronic records. In 1980 I was one of the team leaders for the three year appraisal of the records of the Federal Bureau of Investigation, the largest scheduling and appraisal effort undertaken by the National Archives. I also was involved in several records management evaluations of federal agencies including the U.S. Courts and the Central Intelligence

Agency.

A second major area of records management activity has involved the development of standards for managing and preserving records. These include working on the development of the first version of General Records Schedule 20 for electronic records, NARA's first efforts at metadata standardization, serving as NARA's representative on the development of the Open Archival Information Systems Reference Model (ISO 14721), and co-chairing the recent RLG-NARA task force that developed Trusted Repositories Audit and Certification (TRAC) released in January 2007.

I have been teaching about archives and records management since 1984, first as an adjunct professor at George Mason University (1984-2006) and the University of Maryland (2000-2006) and more recently as a Visiting Professor at the University of Maryland since my retirement from NARA in January 2007. Some of you may remember me from the Modern Archives Institute where I taught about electronic records for several years and served as co-director for three years.

Over my career I also have tried to share what I have learned with the archival community and others

through service. I have been the president of both MARAC and the National Archives Assembly, chaired or co-chaired SAA's Government Records Section, the 1988 Program Committee, and the 1995 Host Committee, and served on Membership, Appraisal and Acquisition, and the Posner Committee. I also have published about archives and records management in "non traditional" venues such as *Of Significance*, *Photogrammetric Engineering and Remote Sensing*, *OAH Newsletter*, and *New Directions for Program Evaluation*.

I look forward to working with the Roundtable's leadership over the next three years. The effort to lead all sections and roundtables to adhere to SAA's records schedule by transferring all appropriate records to the SAA archives and the Functions project show you have dynamic leadership who want to contribute to the profession.

Please send news and articles for the March Issue of *The Records Manager*
to Debra Kimok
debra.kimok@plattsburgh.edu

**Matthew Eidson, CA**

Washington National Records Center, NARA
Functions Thesaurus Working Group

Matt Eidson, is a Certified Archivist and graduate of the Archival Studies program at the University of Pittsburgh. He earned a Bachelors Degree in History from Georgia State University, Atlanta, Georgia. He currently works as the Director of Operations at the Washington National Records Center in Suitland, Maryland. He joined the National Archives and Records Administration in 2003 as an Appraisal Archivist in the Life Cycle Management Division. Prior to working with the Federal government he worked as an Assistant Reference Archivist at the Georgia Archives.

He is member of the National Archives Assembly serving as the Vice President and has been a member of the Society of American Archivists since 2001.

Washington National Records Center:
www.archives.gov/dc-metro/suitland

**Jackie Esposito, CA**

Penn State University
Ad Hoc Committee on Roundtable Brochure Creation
RIM Bibliography Working Group

Jackie has over twenty years of archival and records management experience. She has been serving as both faculty and administrator for the Penn State University Archives since 2001. She joined the faculty of the University Libraries in July 1991 as Assistant University Archivist for Records Management/Senior Assistant Librarian. She was tenured and promoted to Associate Librarian in 1998.

Among her publications is the acclaimed, *The Nittany Lion: An Illustrated Tale* (Penn State Press) Prior to coming to Penn State, she served as project archivist for The Fiorello LaGuardia Papers Project and as an Adjunct History Faculty member at St. John's University, New York.

Penn State University Archives:
www.archives.upenn.edu/home/archives.html

Elizabeth Fairfax, CA
Island County, Washington
Past RMRT Chair
Nominating Committee
RIM Bibliography Working Group
Functions Thesaurus Working Group

Elizabeth Fairfax, MA, CA has been the records manager for Island county in Washington state since 1996. She also provides archives and manuscript management for private clients and teaches personal and small-organization management while serving as archivist for several social and fraternal organizations. Prior her current job, she served as archivist, records manager, and museum director for a tribal cultural center, successfully writing grants and directing NHPRC and WSHRAB funded projects.

Elizabeth holds an MA in history with certification in the graduate program for archives and records management and certification in the graduate program for historic materials preservation, all from Western Washington University. She holds a teaching certificate for secondary and adult education and taught gifted and honors students in public schools while studying in graduate school. She has mentored 2 SAA members in the past 3 years, has been a member of SAA since 1986, and served for 2 years as chair of this roundtable



Greg Johnson
University of Toledo
Listserv Liaison
Chair, Operations Committee

I took my current position at the Ward M. Canaday Center at the University of Toledo after finishing graduate school at The University of North Carolina at Chapel Hill School of Information and Library Sciences. While in school, I interned at Hartman Center for Sales, Advertising & Marketing History in Duke's Special Collections Library, as well as helped coordinate and prepare a demographics course at the Kenan-Flagler Business School at UNC. Prior to attending UNC, I completed my MA in Modern American and Early Modern/Modern European History from Purdue University.

I am currently the Content Administrator for Toledo's Attic, an online museum formed from a partnership with WGTE, the Toledo-Lucas County Public Library, and the Maumee Valley Historical Society. My other duties include creating and maintaining the new library and Canaday Center web presence, as well as creating digital exhibits for the Canaday Center. Future projects include creating best practices for future digitization projects and electronic records, designing and creating an online repository to showcase the Canaday Center and University of Toledo collections using DSpace, conducting local and distance reference work for the Canaday Center, and working on presentations that will highlight the collections of the Canaday Center at local and national conferences.

Toledo's Attic: <http://www.toledosattic.org>

**Debra Kimok**

State University of New York at Plattsburgh
Newsletter Editor
Operations Committee
RIM Bibliography Working Group
Ad Hoc Committee on Distinguished Fellows Nominations

I wear two hats at the Benjamin F. Feinberg Library, SUNY Plattsburgh. I spend half of my work-week in the main library as a Reference/Instruction librarian and the other half as the “lone-arranger” librarian in our Special Collections and College Archives. I received my BA in history at SUNY Plattsburgh in 1997 and my MLS at the University at Buffalo in 2000, and I attended the Modern Archives Institute in Washington, D.C. in 2005.

My research interests are varied: in the last couple of years I’ve been attending workshops and seminars to learn more about EAD and the Archivists’ Toolkit. I’ve presented on collaborative digitization, assessment of our college’s general education multiple-choice information literacy exam, and am currently involved in research about food and drink policies in academic libraries and the use of tutorials in online courses, research guides, and reference work.

I’m a member of the project implementation team for the *North Country Digital History Project*, which is a Northern New York Library Network-sponsored regional collaboration between libraries, museums, and historical societies to digitize primary materials in our collections.

I’ve been a member of SAA since taking on my Special Collections duties in 2004.

SUNY Plattsburgh Special Collections: research.plattsburgh.edu/SpecialCollections

**Lorraine Stuart, CA**

Museum of Fine Arts-Houston
Ad Hoc Committee on Roundtable Brochure Creation

Lorraine A. Stuart, C.A., Museum Of Fine Arts, Houston Archives Director, has headed the Museum of Fine Arts, Houston archives and records management program since 1995. Under her directorship, the MFAH Archives has been awarded a three-year grant from the National Historical Publications and Records Commission; has contributed to the collaborative digital projects, *Museum of Houston* and *Portal to Texas History*; and has developed an extensive web site that includes a searchable database of the museum’s exhibition history and a digital archive of its Latin American art exhibition records. Ms. Stuart has been a member of the *Association of Records Managers and Administrators, Houston Chapter* since 1995. Other professional memberships include *Society of American Archivists*, 1991 – ; *Society of Southwest Archivists*, 1995 -, Executive board member, 2005-07, *Local Arrangements Committee*, 2006-; *Archivists of Houston Area*, 2003 -, By-laws committee member, 2002, Nominating Committee member, 2002. She is currently a member of the J. Franklin Jameson Archival Advocacy Award Committee and Records Management Roundtable (RMRT) of the *Society of American Archivists*. For the RMRT, she will be developing a members recruitment brochure with Jackie Esposito.

Museum of Fine Arts-Houston: www.mfah.org

**Bradley Wiles**

MLIS Student

University of Wisconsin-Madison

Coordinator, RIM Bibliography Working Group

Brad Wiles is an archives student at the University of Wisconsin-Madison and an active member of the SAA Student Chapter. He holds a B.A. and M.A. both in History from Western Illinois University in Macomb, Illinois. Upon completing Archives certification and the Master's in Library and Information Studies, he plans to pursue a Ph.D. research program in the United Kingdom.

His research interests include Appraisal Theory, Archives and Public Accountability, Print Culture and Social Memory, and Records Management. In addition to finishing his degree, Brad is currently writing an entry on "Risk Management and Compliance in Archives and Records Administration" for the forthcoming edition of the American Library Association Encyclopedia of Library and Information Sciences.

**Jennifer Young**

Salt River Pima-Maricopa Indian Community

Web Liaison

Operations Committee

Ad Hoc Committee on Distinguished Fellows Nominations

I'm an archivist for the Salt River Pima-Maricopa Indian Community in Scottsdale, Arizona. I received my MLS from the University of Arizona in 2005 and live in Mesa, Arizona. I work with active and inactive records, paper and electronic; since the records management office at the Community is an entirely new venture I also spend a great deal of time deciding on policy and standards & procedures and documenting. My interests are in applying technology to promote access and in the outreach and exhibit aspect of archives.

Salt River Pima-Maricopa Indian Community: www.saltriver.pima-maricopa.nsn.us

Margaret Rides Off Into the Sunset!



All of us who have attended a meeting of the Society of American Archivists have had the dilemma of choosing between a variety of interesting sessions and programs to attend. The first meeting of the Records Management Roundtable that I attended was in Birmingham in 2002. The meeting was at 8:00 and it sounded interesting and even at such an early hour I decided to attend. I remember that a number of people were there and I met Sarah Polirer, the chair of RMRT for the first time and admired how deftly she handled the meeting. The topic concerned the relationship between archivists and records managers and the challenges and quest for resources that in many cases are in short supply. It was at this meeting that I cast my lot with the roundtable and knew that I wanted to be an active participant.

I hope that records managers also cast their lots to join us in the Roundtable and decide to

participate in leadership. It is very easy to do! I simply sent a note to Elizabeth Fairfax in 2004 and asked about filling the vacant position of Vice Chair and since that time, I have been in leadership with the roundtable. You will find contact information in this newsletter.

We have had interesting sessions in the past few years including: a description of a tool to gauge records management programs in countries that are developing their economic institutions; a presentation on implementing ISO 15489 in the West Indies; a networking session; and the latest presentation by Jackie Esposito on function-based classification systems. I hope that all of you consider the idea of offering to provide a presentation at the Roundtable or suggest to members of the Steering Committee topic that you want to have at the meetings. Times for the meetings vary. Several years we had the inevitable 8:00 sessions and clutching our coffee we

started our SAA day with like-minded colleagues. I thought the later meetings were slightly harder with all of us hungry and tired from a long day. Despite the time of day for our get-togethers, I found the members of RMRT to be friendly, interested and helpful in making the meetings successful. I very much appreciate the chance to meet all of you!

We have a brand new Steering Committee made up of people who are eager to work with you and propel the roundtable into exciting activities in the coming years. Please join with them in this endeavor. Serving on the Steering Committee was for me both personally and professionally a real gift. I will confess to being a shy person and serving as chair was a fun and not too intimidating way to get to know new people at SAA. Professionally it is always helpful to work in that having leadership experience and it will payoff in everyday work when using the knowledge gained at the meetings. I am very grateful for this experience and look forward to a future with the Records Management Roundtable!

With gratitude,

Margaret Merrick,
Past Chair RMR

News From Our Members—Congratulations to All!

Brad Houston, M.L.S., M.A. has been appointed Academic Archivist/University Records Officer at the University of Wisconsin Milwaukee.

UWM Libraries
Archives Department
P.O. Box 604
Milwaukee, WI 53201-0604
UWM Archives: www.uwm.edu/Libraries/arch

Scott Pitol, CA is officially part of the 2007 class of Certified Archivists.

Scott passed the CA exam in 2006 and completed his year of employment in August 2007.

The Pampered Chef® Corporate Archives
One Pampered Chef Lane
Addison, IL 60101
www.pamperedchef.com

Alison Stankrauff will be presenting a session titled "Archivists and Archives: Learning About a Related Profession," at the Indiana Library Federation Annual Conference in November.

Alison described this as "an informational session for librarians on archives and archivists." She'll be presenting with Jacqueline Shalberg, archivist of the National Model Aviation Museum in Muncie, and Emily Dill, Archivist at Indiana University, Columbus and Columbus Indiana Architectural Archives at the Bartholomew County Public Library.

Read more about the conference and their presentation at <http://www.ilfonline.org/conf/AnnualConference/annconf07.htm>

Focus on the Students: University of Michigan SAA Student Chapter Activities

Submitted by Jeremy York

The SAA student chapter at the University of Michigan has had a busy fall. Four new officers, Jeremy York, Anne Thomason, David Zande, and Beth Panozzo took their positions in September, and have been working hard to provide opportunities for students to learn archives and records.

Records management has been an area of increasing interest for employers contacting the School of Information, and the student chapter has tried to respond by promoting and co-sponsoring more events in this area. Following our first meeting and annual potluck, several students attended a presentation by members of the Bibliothèque Nationale de France who demonstrated a new records management system that was recently implemented, and the chapter co-sponsored a panel on careers in records management with the School of Information's Career Services a couple of weeks later.

On the archives side of things, Mike Smith and the SAA chapter at Wayne State University accommodated a large group of us for a tour of the Walter P. Reuther library in Detroit in mid-October, and several trips have been made to libraries and archives here on the University of Michigan campus. One of our new initiatives this fall is to organize service trips to the archives of area organizations, where groups of students will work to arrange, describe, and/or digitize portions of collections. Our first "client" is the Ann Arbor Civic Theatre. We are very much looking forward to this opportunity, and to being more involved with area organizations and student chapters in the coming year.

University of Michigan Student Chapter SAA:
<http://saa.cms.si.umich.edu>

For more information about the new records management program at the Bibliothèque Nationale de France, see:

Dhérent, Catherine. 2006. "Document management at the French National Library." *Records Management Journal* 16 (2): 97-101.

Section/Roundtable Records Retention Compliance Working Group

Alison Stankrauff

Do you want an SAA history to be written in 50 years that has missing information that could easily be provided right now?

Working Group Members

Alison Stankrauff,
Coordinator
Indiana University-South
Bend

Terry D. Baxter, CA
Multnomah County Library
and Records

Chris D'Arpa
MSLS Student
University of Illinois

Michael Doylen
University of Wisconsin-
Milwaukee
& SAA Archivist

Melissa Gottwald
Iowa State University

Brad Houston
University of Wisconsin-
Milwaukee

Alison Langmead
Moore Ruble Yudell
Architects and Planners

Dr. Susie Long
Missouri Southern State
University

Andy Potter
NARA

Russell D. James, CA
ex-officio



Did you know that SAA has a retention schedule for its section and roundtable records, but that there are many section/roundtable records that don't exist, at least not in the SAA archives?

In order to assist the SAA Council in carrying out its policies in regard to the collection of the records of sections and roundtables, and to make sure all are in compliance with existing records retention schedules for sections and roundtables, the Records Management Roundtable (RMRT) of the Society of American Archivists has established the Section/Roundtable Records Retention Compliance Working Group. The working group is charged with formulating guidelines and procedures for SAA sections and roundtables to transfer the records of past administrations in a timely manner to the SAA Archives at the University of Wisconsin at Milwaukee. Working closely with SAA president Mark Greene and Dr. Michael Doylen of UW-Milwaukee, the working group will first attempt to have all known

records of past section/roundtable chairs located and transferred to the SAA archives and then produce a guide for incoming and outgoing section/roundtable administrators that emphasizes the importance of their records, as well as gives them instructions on just what to save and send to the SAA Archives at UW-Milwaukee.

We are currently seeking SAA and non-SAA members who would be willing to work toward the above two goals. Especially needed are persons with knowledge of who the past section/roundtable chairs are and how to contact them now, and persons with experience in developing guidelines and procedures for records retention within a large organization like SAA. For more information or to volunteer to be a part of this exciting working group, please contact RMRT vice chair and working group coordinator Alison Stankrauff at astankra@iusb.edu.

Thank you very much,

Alison Stankrauff,
Records Management Roundtable
Vice-Chair

Functions Thesaurus Working Group

Russell D. James, CA

MARC21, EAD, and the new Encoded Archival Context (EAC) for authority records all have a place for the naming of the functions of a record creator. Many recently approved and disseminated standards also call for functional classification of records and functional description of archives. To that end, the steering committee established a functions thesaurus working group to create a working functions thesaurus to be used in MARC21, EAD, EAC, and in general records classification.

There are currently fourteen members of the roundtable serving in the working group. Thus far, they have reviewed and summarized the relevant standards and are now working on standardizing and justifying the form (noun or gerund or ?) that a function will have in the thesaurus and working out the kinks in deciding how to properly define a function in the thesaurus. Work on putting functions into the thesaurus will get underway by mid-November.

The working group is still in need of members who are familiar with the functional workings of a religious archives and different types of corporate archives. The group is also in need of someone who can translate the functions and definitions into other languages, especially Spanish and French. If you can help in any of the two above areas, please contact Russell James.

The project will have a working thesaurus of terms to be used experimentally in mid- to late-February.

Working Group Members

Russell D. James, CA , Coordinator	Elizabeth Fairfax, CA Island County, Washington	Mary J. McCoy Lamar State College—Orange
Pamela L. Bartoli Whyte Hirschboeck Dudek Yahoo Group Coordinator	Nancy Freeman, CA National Wildlife Research Center	Clifford Muse Harvard University
David Bearman SAA Distinguished Fellow Archives & Museum Informatics Technical Advisor	Janet Hathaway University of King's College	Judith Turner Retired Museum Curator/Archivist
David Best, CRM Harvard University	Brad Houston University of Wisconsin-Milwaukee	Jane Zhang Harvard University
Anne Daniel The University of West Ontario	Randy Jones NARA	Alison Stankrauff Indiana University—South Bend ex-officio
	Fred Lautzenheiser, CA Cleveland Clinic Archives	

Records and Information Management Bibliography Working Group

Working Group Members

Bradley Wiles, Coordinator
University of Wisconsin-
Madison

Jackie Esposito, CA
Penn State University

Elizabeth Fairfax, CA
Island County, Washington

Carrie Fager, CA, CRM
Louisiana State Archives

Debra Kimok
SUNY Plattsburgh

Alison Stankrauff
Indian University—South
Bend

Donna Westley
Sisters, Servants of the
Immaculate Heart of Mary

Russell D. James, CA
ex-officio

In order to assist the archives management and records & information management community, the Records Management Roundtable (RMRT) of the Society of American Archivists has established the "Records and Information Management Bibliography Working Group."

The working group is charged with researching the professional monograph and periodical literature in the areas of records management, archives management, library science, and information science, and compiling a listing in a standard format of all the works related to records and information management published in the past ten years.

The end result bibliography will be published on the website of the roundtable in June 2008.

RMRT Distinguished Fellows Nominations

Russell D. James, CA

In mid- September, the steering committee voted unanimously to begin work on the nomination of two of our own as SAA Distinguished Fellows. The award/honor is reserved for archivists who have made a significant contribution to our profession and SAA. We weren't sure a roundtable had ever nominated someone before, but we are confident that the nominations will be successfully awarded.

The two being nominated are Elizabeth Fairfax and Ed Galvin. Elizabeth is a former chair of our roundtable and has been actively involved in the SAA Mentor Program. In fact, one of the persons she has nominated is the current chair

of the Native American Archivists Roundtable. Ed Galvin has served on many SAA committees, was the founding chair of our roundtable, and has been active in the records management/archives profession for many years.

The applications will be completed and submitted before the February 28th deadline. An ad hoc committee composed of Randy Jones, Chair (another former RMRT chair), Debra Kimok, and Jennifer Young is working on the project. If you want to assist them, or have a reference to offer for Elizabeth or Ed, then please let one of them know.

Operations Committee

Sets policies for the newsletter, listserv, and webpage and periodically reviews technical issues with same while advising steering committee of issues of concern in these areas.

Members

Greg Johnson, Chair,
Listserv liaison
Debra Kimok, Newsletter editor
Jennifer Young, Web liaison

Nominating Committee

Recruits steering committee members and officers for the following year.

Members

Margaret Merrick
Elizabeth Fairfax, CA

Ad Hoc Committee on RMRT Brochure Creation

Put together to create a recruitment brochure for the RMRT.

Members

Lorraine Stuart, CA
Jackie Esposito, CA

Final Meeting of the SAA/ARMA Joint Committee

By Margaret Merrick

It was with much regret but with a sense of inevitability that the official end of the Joint Committee occurred at the SAA meeting in Chicago. Last year at the SAA meeting in Washington, the committee met with Elizabeth Adkins, the incoming President of SAA and Susan McKinney, the President of ARMA International on the work and future of the Committee. The participants discussed past projects of the committee and its intentions for further substantive work. The consensus was to redesign the Committee’s Mission Statement and have an agenda for becoming

a working committee rather than a more visionary committee. Jim Cassidy, the incoming Chair of the Joint Committee drafted this document. During the June 2007 meeting of Council in June, the continued existence of the Joint Committee under a new structure was not endorsed. Members of the committee met with Susan and Elizabeth in Chicago and discussed this action, but it does appear that we have seen the end to the Joint Committee that has been in existence since 1990. We can however, be cheered in that the original mission of the Joint Committee was “to foster

closer relationships and promote communications between archives and records management professionals as represented by their professional organizations (SAA and ARMA” and I believe that this mission was indeed accomplished. The members from 1990 to the present were very much interested in its mission and worked to achieve this goal. It was a privilege to meet and work with them.

See the abbreviated RMRT Annual Report on page 19 of this newsletter.

By Ken Neal and Patrick Queen, CRM, CDIA, Océ Business Services

A clear majority of corporate attorneys highly agree that having a records management program provides essential business benefits such as reduced legal discovery costs and risks. Yet while they recognize the benefits or records management, 92 percent of attorneys admitted that their company's program is vulnerable when it comes to electronically-stored-information (ESI) and preparedness for electronic discovery.

These are just a few of the key findings highlighted in a survey report sponsored by Océ Business Services. "Dawn of the Discovery-Ready Enterprise" takes a close look at nine critical challenges corporate and law firm attorneys are grappling with in order to deal with the growing tide of electronic discovery.

One of the nine critical challenges -- inadequate records management -- represents a major issue. Among surveyed attorneys at companies that have a fully-implemented records program, only eight percent say their program addresses ESI very well. Among attorneys at companies that lack a fully-implemented program, 26 percent say that their company has no plans to implement a program and 17 percent don't know whether or not their company has any plans.

Lack of a records program or an inadequate program can cause a company to falter in the face of litigation involving large document reviews. Specifically, when an organization is unable to search, review and provide responses to requests for electronic data or otherwise miss discovery deadlines, courts will not hesitate to issue adverse rulings that can create serious disadvantages for the organization.

In order to avoid these and other risks, some organizations are focused on being proactively prepared for electronic discovery by instituting a litigation readiness plan. With a plan in place, organizations can become discovery-ready by shifting from a largely reactive response to taking action to achieve superior improvements in discovery preparedness. One of these improvements centers on creating a more effective records management program.

Effective records management provides an opportunity for the organization to become discovery-ready by addressing compliance and discovery for electronic and paper-based records. This includes good faith policies and procedures for the retention of ESI. There are many sources to assist development; ISO 15489 and the Sedona Guidelines are two good starting points.

A new challenge for records managers is developing a records program that does not expose their organization to sanctions in a future lawsuit. Recent court cases have set precedence by determining when failure to comply was intentional or unintentional. Records management policies and practices have become a crucial component of this determination.

Information management policies and procedures must to be custom-tailored to the organization and must be realistic, practical and achievable. The program must clarify procedures for suspending information destruction and preserving records related to actual and **reasonably anticipated** litigation, government investigations, audits, and other mandated information requests.

Key elements of an effective records management program that can help your organization become "discovery-ready" include the following:

- Retain only records and information needed to run the business and comply with applicable federal, state and local laws and regulations.
- Drive policies and procedures according information content, not information format such as paper or electronic.
- Maintain information in a way that enhances productivity and provides a competitive advantage.
- Recognize that a majority of electronic records (including email) may not be "official records" -- many of these "non-records" can have short retention requirements.
- Enforce records management uniformly throughout the organization to protect, retain, maintain and destroy records. A program that is not implemented uniformly can instantly destroy an organization's credibility in the eyes of the court.

Ken Neal is Director of Corporate Communications

Patrick Queen, CRM, CDIA, is Director of Records Management for Océ Business Services, a leader in document proc-

Russell D. James, CA

Alison Stankrauff

Submitted by Russell D. James, CA:

England Department of Health. *Glossary of Records Management Terms*. [copyright 2007; cited 5 November 2007]. Available from http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/Browsable/DH_5797315.

"This is a must for anyone who reads or writes about records management. It is updated periodically and is up-to-date with the lingo of the profession. It can be used by anyone wanting to know more about records management and is a must for a practitioner's bookmarks."

Job Function Index. [copyright 2003; cited 5 November 2007]. Available from <http://www.job-interview.net/Bank/JobInterviewQuestions.htm#JOB%20FUNCTION%20INDEX>

"This index is basic, but gives a pretty good overview of the functions of different jobs in the private and public sector. It fits academic, government, and business functions. It is a good starting point for anyone who is exploring switching to a function-based classification system."

Sarbanes-Oxley. *Sarbanes Oxley 101: Info Guide to the Sarbanes-Oxley Act of 2002*. [copyright 2006; cited 5 November 2007]. Available from <http://www.sarbanes-oxley-101.com/?gg=us&kw=sarbanes%20oxley%20act&gclid=CNKY7sCY2IICFQkBLAodD0aIIA>.

"This site is for anyone confronted with a SOX problem or who just wants to know more about this landmark piece of legislation and how it affects the records manager. Topics covered are very thorough and explanations are for the layman, not the lawyer. A good site to have bookmarked just in case."

Turkish Archives. *Archives & Records Management Slogans and Humor*. [updated 12 December 2006; cited 5 November 2007]. Available from <http://www.archimac.org/Profession/Slogans.spml>.

"A good site if you are doing a presentation and want to add a little zing! Though obviously not complete, it does give a good sample of slogans and short jokes to liven up any conversation."

Turkish Archives. *Archives & Records Management Cartoons*. [updated 12 December 2006; cited 5 November 2007]. Available from <http://www.archimac.org/Profession/Cartoons.spml>.

"What a good companion site to the slogans and humor! Though the material is copyrighted, it is fun to look at. The cartoons cover everything from IT problems to identity theft to records overload."

Submitted by Alison Stankrauff:

National Archives and Records Management. *Records Management Policy and Guidance*. [cited 5 November 2007]. Available from <http://www.archives.gov/records-mgmt/policy/>.

Submitted by Nancy Freeman

NWRC E-mail Retention Guidelines

Date: February 25, 2005

To: All NWRC Staff

E-mail messaging has increasingly become the normal way to conduct the business of NWRC. The purpose of this memorandum is to provide guidance to NWRC staff concerning the necessity to save and file paper copies of e-mail messages which are determined to be "record" documents.

NWRC's current e-mail system, Lotus Notes, has no acceptable, permanent way to save and file e-mail messages. Because NWRC has no electronic record-keeping system which permanently saves e-mail messages, the Center must follow the **Code of Federal Regulations** policy provided in *Subsection b of 36 CFR, Chapter XII, Subchapter B-Records Management, Part 1234-Electronic Records* where it states:

"Agencies that maintain paper files as their records keeping systems shall print their electronic mail records and the related transmission and receipt data specified by the agency."

In addition to the CFR policy stated above, NWRC must also follow the **APHIS Records Management Manual** wherein it states:

"Before deleting any e-mail message, the author should determine whether it meets the legal definition of a record and, if so, preserve a copy of the message."

NWRC Guidelines for retaining copies of email messages are as follows:

1. **Determine if it is a Record:** When sending or receiving an e-mail message, ask the following question about the email message: "Is this e-mail a record?"

Note: Format of a record (delete: an e-mail message) is not the issue. Content of the e-mail message is the important determining factor concerning whether it is a record.

2. **If it is a Record, Save a Paper Copy:** If an e-mail fits the criteria of a record, it must be printed out and filed according to your particular Program's/Unit's record keeping procedures.

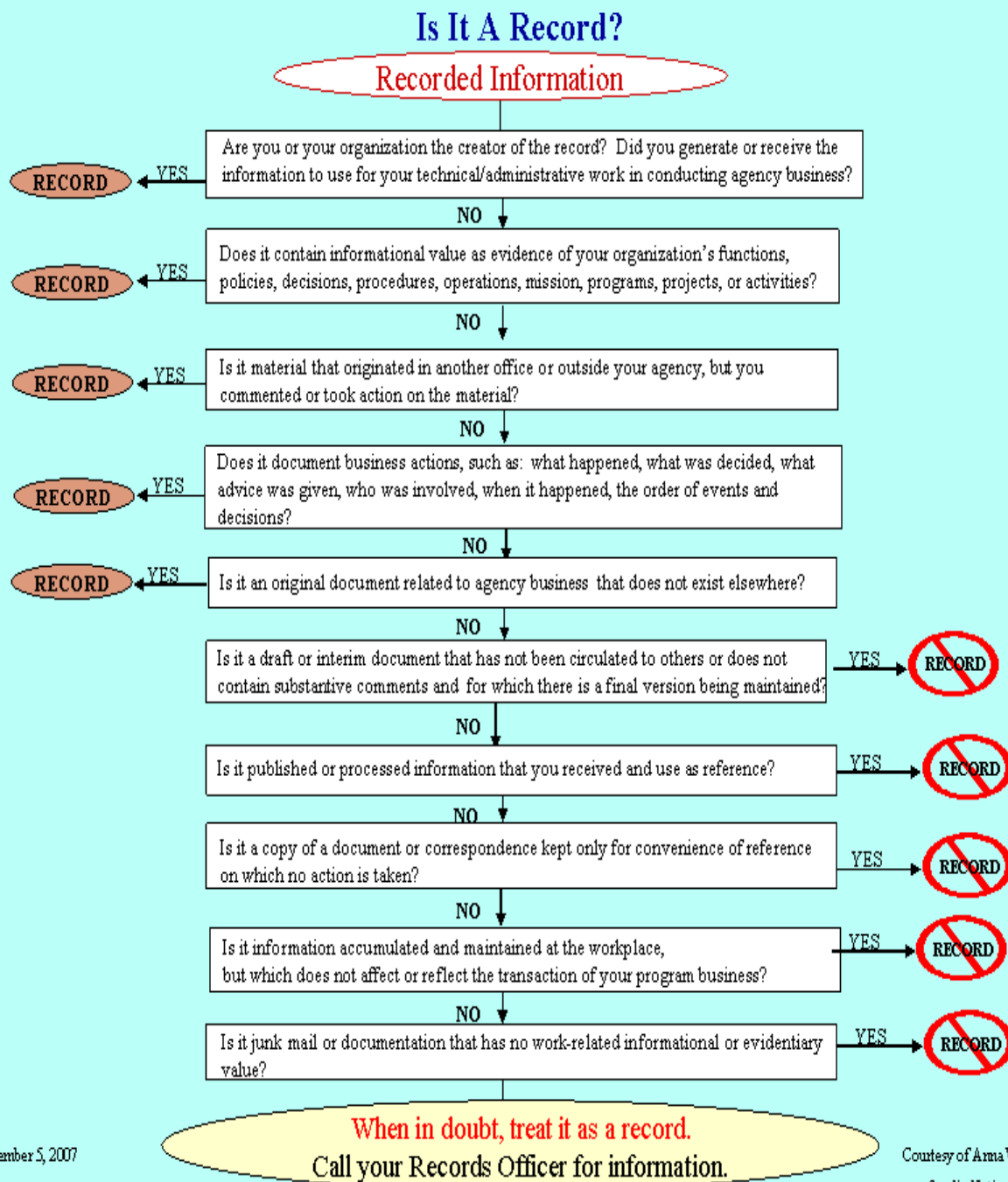
As an example, suppose you are an NWRC Project Leader and you have an e-mail message which contains approval of your research project and/or fiscal aspects of that project. This e-mail message is considered to be a "record" and a paper copy of it must be filed in the appropriate paper file folder.

Once an e-mail message is determined to be a "record", it must be treated the same as any other paper record. If an e-mail is determined not to be a "record", it can be deleted. Attached you will find a flowchart entitled "IS IT A RECORD?". Please use this flowchart to help you determine if any e-mail message is a "record", for which a paper copy must be retained.

Following the above guidelines will ensure that important e-mail records are not lost. It will also ensure that "non-record" e-mail messages are appropriately deleted. Deletion of "non-record" email messages not only saves server space but, perhaps more importantly, eliminates any FOIA or legal issues that might arise if such e-mail messages are not deleted.

Richard L. Bruggers
Director

Submitted by Nancy Freeman



ANNUAL REPORT
SOCIETY OF AMERICAN ARCHIVISTS
RECORDS MANAGEMENT ROUNDTABLE (Abbreviated report)

Date: 21 September 2007
Number of attendees: 30

Officers:**2006-2007 Steering Committee**

Margaret Merrick – Presbyterian Church (USA) – chair
 Russell D. James – vice-chair, newsletter editor
 Edward Galvin – webmaster, listserv co-ordinator
 Sharon Alexander-Gooding
 Matthew Eidson
 Bradley Wiles

Election results:

Chair – Russell D. James
 Vice-chair – Alison Stankrauff

Steering Committee:

Greg Johnson – listserv liaison
 Jennifer Young – website liaison
 Debra Kimok – newsletter editor
 Bradley Wiles
 Jackie Esposito, CA
 Matthew Eidson, CA
 Elizabeth Fairfax, CA
 Elaine Stuart, CA
 Ex-officio – Edward Galvin
 Immediate past chair – Margaret Merrick

Agenda**I. Open (6pm)****II. Welcome from the chair**

- A. Introduction of steering committee.
- B. Introduction of outgoing and incoming SAA council liaison.
- C. Distribution of roundtable membership roll sheet.

III. Reports

- A. Distribution of 2006 roundtable report to SAA

B. Chair report

1. SAA leadership meeting.
2. ARMA/SAA joint committee – the joint committee has been dissolved, as its function has been completed. But further efforts at collaboration will continue.

C. Vice chair and newsletter editor report (letter from Russell James)

D. Webmaster report (Ed Galvin)

IV. Elections**A. Steering committee candidates**

1. Debra Kimok
2. Brad Johnson
3. Bradley Wiles
4. Matthew Eidson
5. Lorraine Stuart
6. Jennifer Young
7. Elizabeth Fairfax
8. Jackie Esposito
9. Alison Stankrauff
10. Greg Johnson

B. Vice-chair

1. Candidates – Alison Stankrauff

C. Announcement of appointment of Edward Galvin as ex-officio member of the steering committee and executive committee.

1. Executive committee consists of chair, vice-chair, past chair, ex-officio members.

D. Announcement of appointment of Jennifer Young as web liaison and Debra Kimok as newsletter editor.

1. Website will now be on SAA server.

E. Bruce Ambacher, new SAA Council liaison to roundtable, spoke about his role as liaison.

F. Amy Felker of the 2008 program committee, gave a presentation and update.

V. Unfinished business (none)**VI. New Business**

A. Functions thesaurus project working group

1. We need volunteers for this group to create a functions thesaurus.

2. See handout.

VII. Roundtable Presentation

1. Jackie Esposito of Penn State University on "Challenges and Advantage of a Function-based Classification System for Records Management."

VIII. Adjourn (8pm)

**For more detailed information
 about the Annual Report,
 please contact
 Russell D. James, CA.
 rjames8@lsu.edu**