



SOCIETY OF American Archivists

Notes From the Chair

Meet the Student
Advisory Committee

Member News

Working Group &
Committee Updates

RMRT Mentoring
Project
Katie Scanlan, J.D.

Impressions of SAA
Annual Sessions
Alison Stankrauff

The Future of Records
Management in the
Web 2.0 Workplace
Steve Bailey

NARA's Management of
Presidential Library Re-
cords: Revelations and
Results
Kate Theimer

A Fabulous Time for
Records Management
Katie, Scanlan, J.D.

SAA Records Retention
Michael Doylen, Ph.D.

SAA Schedules
Retention of E-Mail Dis-
cussion Lists
Jim Cassedy

Records Management:
An Essential Element of
Compliance
Ken Neal

Featured Resources

The Records Manager

The Newsletter of the Society of American Archivists Records Management Roundtable

Volume 3, Issue 1

November 2008

Debra Kimok, Editor



The RMRT steering committee has composed a survey for RMRT members to help the steering committee and its constituent groups provide better service to RMRT members and to gauge the needs and desires of the membership in regard to RMRT activities, projects, and initiatives.

Please fill out the survey that was sent through email last week.



Notes From the Chair, Russell D. James, C.A.



We are on the verge of something great. We do not make money, so the greatness is not financial. So what am I talking

about? The RMRT has just passed the membership milestone of 250. But that is not what is making us great. Last year's vice-chair, Alison Stankrauff, has just been elected as the co-chair of the Lone Arrangers Roundtable. Last year's newsletter editor, Debra Kimok, has stepped up to become our vice-chair. Our student steering committee member, Katie Scanlan, jumped at the chance to coordinate the RMRT Mentoring Project. Our other steering committee members are heavily involved in chair subcommittees and coordinating working groups. My friends, we are breeding leaders in the RMRT. That is where our greatness is – the people.

In the 2007-2008 society year, seventy RMRT members were involved in some project, activity, or initiative of the roundtable. This year the number is already

more than half of that and we have not even begun to work yet! Records managers have so much potential in SAA and there are so many records managers out there who are itching to become more involved. Are you involved yet? Your colleagues are and they are becoming leaders. I predict that in the coming year we will give more budding leaders the opportunity to showcase their natural talents and hone their leadership skills while getting the experience needed to lead. We may see the RMRT sending its members to SAA Council and maybe even an SAA president or two, an honor previously shared by only a few groups, such as the Business Archives Section and College & University Archives Section.

Our membership subcommittee is a hard-working bunch of people. Aforementioned Katie Scanlan, Laura Edgar of the University of Notre Dame, Melissa Gottwald of Embry Riddle Aeronautical University, Brad Houston of the University of Wisconsin-Milwaukee, and Elizabeth Fairfax, CA, of Island County, Washington, are doing a bang-up job of recruiting new members. They are working on getting SAA members who are certified records managers (CRMs) but not members of the RMRT to join the RMRT. They are working

1-2

2-7

8-11

12-17

17-20

20

21-23

24-25

26

26

27-31

31-32

32

on getting SAA members who are CRMs and certified archivists (CAs) to join. They are working on the mentoring project. They are a busy group and they will be calling on you soon to find out just what it is about the RMRT that you like and just what it is that you want.

As we gain members and create leaders for SAA, we need to be thinking about the future. Just where will the RMRT be in a year? In two years? In five years? But to look into the future, we need to have a clear vision of the past. We need your involvement. The Records Management Roundtable is not just a group to belong to on a resume. It is an active group of dedicated records managers who work to better their profession and their professional associations while meeting new friends and networking to improve themselves. Come network with us.

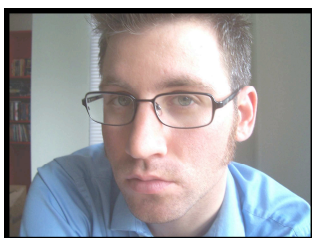
RMRT Membership has increased 195% in four months during 2008!

<u>Date</u>	<u># of members</u>
07-03	140
07-26	169
08-08	179
08-18	190
09-15	225
10-01	240
10-25	262
11-10	282

RMRT Has a New Student Advisory Committee

In a continuing emphasis on helping its members develop the skills they need to be the best records managers possible, the steering committee approved the establishment of a Student Advisory Committee for the roundtable. Student members of the RMRT were invited to join the advisory committee and almost twenty students responded positively.

Meet the Student Advisory Committee Members



Bo Baker

I am new to the library and archives profession. Currently, I am attending the University of Pittsburgh in the MLIS degree

program and specializing in archives and records management. I am also assisting at neighboring Carnegie-Mellon's engineering and science library. My path leading up to all of this started at Miami University where I completed my undergrad in Mass Communication and Film Studies. More recently I was at the University of Texas to work on another MA in Media Studies - which is also where I was exposed to researching in an archive for the first time. Needless to say, this experience made an impression on me and turned me to the other side of the institution. I am still primarily interested in working with film/broadcasting related materials via a university or industrial collection.

I like to think of media as both work and pleasure, so out of the classroom I'm still found watching and listening (and collecting). I'm also learning it's nearly a prerequisite for archives students to love old things so, here are some of my favorites: vinyl records, steel car diners, regional folklore, bowling, and cemeteries to name a few.

Again, I look forward to getting to know each of you and working with the SAA.



Kara Blue

I am a 1st-year SLIS student at UW-Madison. I've joined SAA, the RMRT, and this Student Advisory Committee because of my interest in becoming an archivist. I actually have a background in science, particularly ecology and botany. In

2001 I received an M.S. in Botany from Miami University

in Ohio, which followed an undergraduate B.S. in Environmental Studies and Biology at Denison University. Since 2001 I have worked as a project manager and ecologist at a couple of consulting firms in both Illinois and southern Wisconsin.

An attraction to archives and a desire to work with historical documents in general began when I was an undergraduate, working on an independent research project with my plant ecologist advisor who introduced me to the concept of land-use history and the use of historical documents, particularly from archives, to inform ecological research and land management. Having been "away" from this research topic for quite some time I don't know if it is possible to now base a profession (other than academic researcher) on these interests, but I'm partially in school now to find out how, from the other side (the archivist side), I can help scholars locate historic documents of use for ecological work.

I do have other professional interests which I will explore in the next couple of semesters I'm sure - public librarianship and special librarianship (the former because I love small towns; the latter because I imagine my experience with scientific publication would be useful in a science-based special library or special collection). I also have not ruled out corporate librarianship because of my experiences in a consulting firm, where I have come to recognize the importance of an organized document retention system in corporations.

On a personal note, I am recently married and have many pets - two dogs, a cat, a goose and a duck. My husband and I are slowly renovating our house - originally a one-room structure built around 1850.

I look forward to participating in this group.



Holly Clarke

I am a Wayne State University Graduate Student (Detroit, MI) and I am working toward the Masters of Library and Information Science degree with an Archival concentration. I have recently

started my third term in the program. I have a Bachelor of Science degree in Criminal Justice from Madonna University (Livonia, MI) where I graduated with High Honors.

I am also pursuing a Fine Arts Associate Degree from Oakland Community College. At this time, I am working in the Support Services Department of the Oxford Public Library (Oxford, MI). I am very interested in learning more about Archives and Records Management. I hope to find some hands on experience in archives after I complete the introduction course (preferably sooner). I am very aware of the importance of experience in rounding out knowledge and hope to attain that by volunteering.

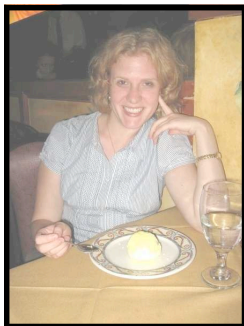
I am looking forward to participating in this committee. I know I have a lot to learn and a lot to offer.



Rachel Donelson

I'm currently studying for my Masters in Library Science at the University of Maryland with an emphasis in archives. This is my first semester at the university. I hope to take classes in archive management and preservation.

My journey into the world of Information Science started while working in a library as an undergraduate at Slippery Rock University my last year at the school. This experience led me to look for full time employment in a library upon graduation. After graduating with a B.S. in Secondary Education-Social Studies, I started working at Georgetown University Lauinger Library in the Government Documents Department as a Government Documents Specialist. I learned so much while there. My co-workers encouraged me to start a degree program in Library Science, so I started to look around for a program to attend. About a year and a half ago, I began working at the Senate Library as a Library Technician. There I've had the privilege to work with some older government documents. I would have these surreal moments, in that, I would be holding something in my hands that I read about through my course of study. Also I realized that I am taking care of a part of history, that if not taken care of properly will be lost for future generations. This led me to want to receive more training on the preservation and management of these treasures of our country's history. So I went back to school to receive this training. After graduation, I hope to use these new skills to preserve our nation's history.



Katherine Goodwin

I'm a second year student at the University of Michigan School of Information. I'm pursuing a specialization in Archives and Records Management. Currently, I work part-time as a reference librarian at the UM Social Work Library. I also hold the office of

Information Manager with SISA (student government). My responsibilities as Information Manager include taking and publishing the meeting minutes and updating the website. I recently finished coordinating a collaborative calendar among the student organizations here at SI to make it easier to schedule events.

I graduated with a BA in English from Truman State University in northeast Missouri in 2006. While there I joined SAI (a women's music organization), worked as Installation Manager at the University Art Gallery, and successfully campaigned for a folklore minor.

I enjoy hanging out with my friends, cooking, meeting new people, and karaoke. On occasion, I like to plan field trips to places like maple syrup festivals or corn mazes.

Looking forward to working with you all.

Kelly Kranick

I live on Saratoga Lake in New York with my husband and four children (3 boys ages 17, 15 & 12 and 1 princess age 5). I completed my MLS in December 2006 through an online program at Drexel University. I am enrolled in an online Certificate of Advanced Study in Archives and Records Management at University of Wisconsin - Milwaukee. I am currently employed as a MultiMedia Librarian serving 24 school districts in 5 counties. It is an interesting and challenging position, however, at times I just feel like I am in a video store. We also have other materials like streaming video, which I prefer to deal with. Anyway, I am very interested in Archives and want to pursue a position in that area. I am in my first semester of the program and have just joined SAA. This is also my first round table and committee; I haven't participated in anything else like this. I look forward to working with all of you!

Kim Laird

I am a Student of Drexel University studying for my masters in Library Science which I hope to achieve in December. The only library I have worked in was an academic junior college library where I maintained the computer systems, and cataloged the books. I have always been interested in archiving, preservation of materials and museum work. This seemed like a perfect opportunity to get involved. I think that archiving is an important issue and I would like to see it become accredited someday.



Randi Mauro

Everyone just calls me RJ. I have been working in libraries for most of my life, so it seemed natural to get my masters in Library and Information Science. Currently I work at the Penrose Library here at DU, in the Serials department. At the University of Denver, the LIS program has helped me realize my career goals and steered me toward Archives and Records Management. I am also very interested in Knowledge Management. I am a native to Colorado and love being near the beautiful mountains. My goal is to stay in Colorado and to work for either a corporation or the government. After my internship at the National Archives and Records Administration, I am more geared towards the government, whether that be federal, state or local. Down the line I want to become a Certified Records Manager. I would like to work for an organization where I can bring everything together, archives, records and knowledge management. It is very interesting to see how it all works together.

But life isn't all work and no play! For down time I like hang out with my family and friends, especially enjoying time with my son Ryan. A group of us LIS students all get together to play pub trivia once a week, its a great way to unwind. I love to read, in fact I could read Shakespeare and Jane Austen all day long. My other release is cooking. I love to cook anything and everything, often making up things on the fly (some turn out, some don't...). Therefore Alton Brown is my hero, I watch his shows almost religiously! I have always said if this whole information management thing doesn't work out I'll just go be a chef somewhere.

I look forward to working with everyone on this Records Management Round Table, its great to hear about what everyone else is doing and how the field is growing.



Katie McVicker

I have just started the Archives, Records and Information Management Program (MLS) at the University of Maryland College Park, as a part-time student. I am new to archives, but have some volunteer experience

from a local public library and the U.S. Holocaust Memorial Museum's library. I am currently in a 50 hour practicum at the National Archives in College Park working on a holdings maintenance file dealing with Holocaust era documents. I am becoming more interested in the records management side, and possibly doing a government concentration in my studies. I have been a stay at home mom for my two wonderful children for the past four years and am the Vice President of my neighborhood Civic Association. I am excited to be on the roundtable and learn from everyone's varying experience and perspectives.



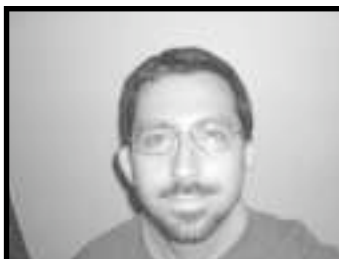
Jennifer Neal

I am currently the Archives Technician for the Catholic Diocese of Charleston and am working on an MA in American History from College of Charleston. I received my BA in History from Brevard College in North Carolina in 2000 and took

five years off before entering the Master's program. I go to school part time and will graduate in December 2009. I first became interested in archiving while attending Brevard where I did an internship in the Special Collections Library at UNC Asheville. I volunteered as an archivist at CofC's Avery Research Center before coming to the Diocese. I am a member of the Southern Historical Association and the South Carolina Archival Association, in addition to SAA.

I love reading, going to the beach, hanging out with my friends, and spending as much time as possible with my family when they are in town.

This is my first round table and am very excited to be participating!



Pio Petralli

I am a second-year graduate student in history at the University of Missouri-Saint Louis. The program I am specifically attached to is

Museum Studies (that falls under the History department.) Through the Program, I am a graduate research assistant at Laumeier Sculpture Park, an open-air contemporary sculpture museum here in St. Louis. At the Park, I am in the process of developing an institutional archive for the thirty-year history of the Park. I have revised the Records Retention Guidelines through the assistance of the individual department heads and am developing the archive's policies and procedures. I have a Bachelor's degree in French with a Greek Studies Certificate from the University of Missouri-Saint Louis. Since August 2001 I have been employed as an Archives Technician for the National Archives and Records Administration at the Military Personnel Records Center here in St. Louis. I have never taken any formal class in archival science, and UMSL doesn't have a program. Most of what I know about archives has all been on-the-job experience and training, at NARA and through my GRA at Laumeier. My goal after graduation in May 2009 is to secure an archivist position at the National Archives. I really enjoy working with military records, their history and composition. An archivist position would allow me to further that interest.

Aside from American history, I also highly enjoy foreign languages and cultures, museums of all types, and traveling.

**Giancarlo Pimpinella**

I live in Richmond, Virginia, and I am currently pursuing a master's degree in information sciences at the University of Tennessee, Knoxville (distance education program). I have about nine years of experience working in libraries,

mainly academic. My background in libraries is primarily technical services, specifically serials and systems administration, but I am very interested in making a transition to the archival profession. I look forward to meeting people interested in and involved with the profession.

earned a BA in Studio Art in 1997 and I completed my BA in History in spring 2008. I work at Wright State as well, in their medical library. I work at both the reference and circulation desks. I also serve on the University Libraries' Professional Development Team. Prior to working at Wright State, I was employed with the Dayton Metro Library system.

Given my academic and employment background, I thought Wright State's Public History program was a great next step. I have always loved history and I like that this program will teach me marketable skills.

I'm new to the SAA and this is my first round table. I look forward to participating. I'm sure I will learn a lot and I hope I can make some worthwhile contributions.

**Katie Scanlan, J.D.**

I'm a second year student at the University of Wisconsin-Madison School of Library and Information Studies, specializing in Archives and Records

Administration. I came into the program for archives but I have fallen in love with records management, which I now view as including and encompassing archival theory and practice. I believe that archives cannot exist in the future without records management taking place today. I intend to be a Records Management Consultant, stepping into organizations to analyze current records management practices and recommend improvements.

Jennifer Searcy

I am the corporate archivist for Abbott Laboratories. In addition, I am also a doctoral candidate in American History at Loyola University Chicago.

**Erin Stumpf**

I attend Simmons College in Boston where I am in my final year. My specialization is in archives although I have been working at a local public library and have fallen in love with that setting. I am also starting a records management internship and look

forward to gaining hands on experience in the field. My interests span from the archival setting and records management to community outreach in rural public libraries so basically after I finish school I am willing to go anywhere and do anything.

On a more personal note I am originally from Washington State but since moving to Boston to pursue my masters I have realized that I am open to going and living anywhere that I am called to. I am an avid runner and am currently training for a marathon. I enjoy hanging out with my friends and one of the things that brings me the most joy is exploring all the historical areas/sites that Boston has to offer.

As with several others I am new to SAA and this is my first round table and I look forward to working with you all.

**Beth Stanze**

I attend Wright State University in Dayton, Ohio. I have just started my MA in History with a concentration in Public History. I received my bachelor degrees from Wright State, as well. I

**Rachel Webb**

I am currently in my second year of the MLIS program at the University of Kentucky. I am specializing in Archives and hope to work in an academic setting in special collections, or in the records management field. I joined SAA due in large part to a seminar class I am currently in and also because of my future career. I am employed with the university as an archival assistant in Special Collections and Digital Programs where I organize and process collections. I hold a B.A. in English from Shawnee State University and my senior seminar class allowed me to explore some topics in library science. I recently finished an internship at Briggs Lawrence County Public Library in Ohio where I worked with the children's summer reading program as well as in the genealogy room creating finding aids for patrons.

In my spare time I enjoy reading (of course), watching movies, and hanging out with my friends and family. This is the first round table I have ever been involved with and I'm excited to get started.

**Broede Young**

I am currently in the MLIS program at the University of Pittsburgh. I am specializing in Archives and Records Management, which led me to joining the SAA. I have always had an interest in archives and would like to look internationally for a position when my program finishes next August.

In 2007 I graduated with a B.A. in History from the College of Wooster in Wooster, OH. The Capstone project I worked on there led me to the National Archives of Scotland in Edinburgh. Since then archives have been my only career goal. While at Pitt I am focusing on issues of access and preservation. Completing a project while on this committee would be great and I would love to discuss topics or locations with everyone.

Personally, I got married a little over two months ago and have enjoyed getting to know Pittsburgh and the wealth of libraries and museums in the area. I love animals and cooking. I also have an addiction to young adult fiction that deals with journals, diaries, archives and most historical fiction in general.

RMRT's web site has been redesigned and includes many additional resources!

<http://www.archivists.org/saagroups/recmgmt>

Many thanks to our web site coordinator, Mahnaz Ghaznavi, and the web site committee.



**Congratulations to
Bradley Wiles**

**in his new position as manuscript processing
archivist at the Special Collections department at
Hill Memorial Library, Louisiana State University
& Agricultural and Mechanical College.**



**Congratulations to
Joanne S. Kaczmarek, C.R.M.
for passing the Certified Records Manager exam.**

And to

**Farris Wahbeh, C.A.
for passing the Certified Archivists exam.**

Records Management at Sandia National Laboratories, Fall 2008



Myra O'Canna
Corporate Archivist
Sandia National Laboratories
mlocann@sandia.gov
(505) 844-6315
<http://www.sandia.gov/>

Sandia National Laboratories was established in Albuquerque, New Mexico, in 1945, as the ordnance design, testing, and assembly division of Los Alamos. On November 1, 1949, Sandia became an independent laboratory and, in 1979, a national laboratory. It is a government-owned, contractor-operated research and development laboratory of about 8000 employees, with missions in Nuclear Weapons; Defense Systems and Assessment; Energy, Resources, and Nonproliferation; Homeland Security and Defense.

At Sandia, the Record Information Management Program operates in accordance with sponsor requirements, good business practices, industry standards, and operational needs. As with all administrative functions, records management is seen as overhead and maintains a lean presence within the operation. Currently, in addition to full-time records staff devoted to maintaining the retention schedule, file plans, forms, inactive records storage, and providing matrixed support to high-rigor functions, our department includes a historian, an archivist, and a still photo clerk. The department makes many records management tools available electronically, including: training; retention schedule; instructions for sending/recalling materials to inactive records; file templates. In recent years, we have implemented a vital and essential records program and initiated a records review process for long-term project records.

Sandia is in the process of implementing a unified set of services and tools for enterprise information management. A member of the Records Management Department is on the project team to develop and implement processes and frameworks for managing information throughout its life cycle. In FY2009, Sandia will phase-in the new system, which includes the capabilities for managing and preserving records with long retention periods, as well as historical collections.

Pharmaceutical Record Management: An Opportunity to Innovative Business



Melissa Griffin

Vertex Pharmaceuticals Incorporated, is based in Cambridge, Massachusetts. Vertex's lead drug candidate telaprevir entered into Phase 3 clinical development in the first quarter of 2008. Formal records management is one of the many programs that Vertex has adopted to support the company's new growth and advancement.

For two years, our Records Management Team has been focused on the creation of a master records retention schedule as well as policies to aid in records retention. With strict regulatory and industry standards, there has always been some form of records management at Vertex. What started with a Quality and Regulatory file room has now grown into a very young records management program. Today our group has surveyed 25 functional groups for record types, manages off-site storage, and helps to draft records management policies, procedures and a master retention schedule. Anyone who has started a records management program from scratch can tell you that it is not easy.

What has made things more complex for our team is the fact that we are in uncharted waters; despite the intense regulation of the pharmaceutical industry, it is difficult to

find a peer group. Our Records Management Team would love the opportunity to share information with records managers at comparably sized pharmaceutical or biotechnology companies, but we have yet to find a true match. It appears most of the big pharmaceutical companies have records management programs; small companies, tend to have ad-hoc records solutions rather than records management programs. This is distressing because poor records management could slow good drugs from getting on the market and into the hands of patients who need them.

In the past, our profession has been rewarded by reaching out to other professions. Today even the smallest of law firms has records management solutions. The records management profession should continue to develop relationships that help foster good records management in all industries. Records managers have the opportunity to help innovative businesses. To be innovators we must continue to reach out to new industries, by doing so we advance the records management profession and the companies we support.

On the Road to Recovery: Records Management at the Buffalo Bill Historical Center



Megan Peacock

Step 1: Admit you have a problem.

Records Management at the Buffalo Bill Historical Center is a mess. This situation is not unusual and I am not alone in looking for a solution to records management practices gone awry. While I am a trained archivist, I have little practical background in Records Management. In fact, managing institutional records was not originally intended to be part of my job (I started out as the Photo Archivist). With that said, I am more fortunate than many in like cir-

cumstance; the Buffalo Bill Historical Center has a records retention schedule. It may be over a decade old, has never been updated and never paid much attention to - before or after it was put into place, but it is a starting point. The success or lack thereof of our records management program may never have become an issue except that a) vault space has become scarce and b) as a relatively new archivist I made the misstep of asking why there were certain boxes in the library vaults.

Recent institutional discussions regarding records management have been somewhat lacking in focus. One suggestion entertained was merely to take everything and shred what didn't fit the retention schedule. On the other hand, I have to say that I feel as if progress is being made: there is now institutional awareness that perhaps current records management practices are a problem. It is not grave; in the grand scheme of things records that should be saved are largely saved, records are held onto slightly longer than they should, but they are apparently shredded at some point. Over the course of the last year I have done web research, read articles and professional literature, and generally tried to figure out how to get records management on track, but with little success. For those out there with more experience, any suggestions on what Step 2 should be?

History Associates Incorporated Abigail L. Dixon, C.A.

History Associates Incorporated (HAI) works on a variety of archives and records management projects for several clients. Gabriele Carey and Abigail Dixon, from HAI's Western Area Office (WAO), are currently assisting the City of San Buenaventura, California in the development of a citywide records management program. Dr. Carey and Ms. Dixon have been interviewing records coordinators from each city department to gather information which will be used to revise the city's current records retention and disposition schedules. They will also conduct research into existing local, state, and federal laws and regulations concerning records keeping requirements, identify records with historical value, and prepare a records management policies and procedures manual. For more information about History Associates, visit their website at www.historyassociates.com

Electronic Records Management at Catholic Relief Services (CRS)



Regina A. Martin

Regina provides managerial oversight to the Archives-Library/Resource Center and onsite Records Center. She works in the capacity of archivist, records manager, and librarian.

Catholic Relief Services (CRS) is the official international humanitarian agency of the U.S. Catholic community. We alleviate suffering and provide assistance to people in need in more than 100 countries, without regard to race, religion or nationality.

CRS Archives Background

CRS Archives is responsible for the documentation and preservation of the official records of CRS through an efficient archival process. Archives is a unit that is managed under the Management Information Technology (MIT) department at CRS headquarters and also assumes overall responsibility for maintaining the Agency's records management programs and its Library/Resource Center.

Better sharing of information is one of the CRS' main objectives and it is related to our Information Communication Technology (ICT) Strategy. The ICT Strategy is the result of the initiative "to meet the challenges and opportunities of information and communications technology" at CRS. In 2007 to assist with this strategic objective, Archives proposed a plan to improve its current records management program. This plan was based on typical records management issues and the growing awareness of the need to access and share information in a consistent manner. Even prior to this objective, in 2005 the Archives was searching for a better method to manage physical and electronic records.

The improved records management program would (1) Automate the process to monitor department compliance with related policies and procedures; (2) Facilitate consistent organization of knowledge resources that include vital records needed to conduct business and comply with government recordkeeping requirements (3) Streamline the process required to ensure conformity and effective use of approved retention schedules; (4) Provide a centralized, indexed listing of records that include final versions of reports, publications and grant projects; (5) Show clear, definitive file naming, version tracking, and authorships of active and inactive documents; (6) Allow access to institutional and historical information by all offices to meet our objective to share agency knowledge in a consistent manner; and (7) Include approved guidelines and records retention schedules for all offices.

Since the beginning of this year, we have made significant progress in improving our records management program and implementing better methods to share information and knowledge. We purchased a records management software program that manages physical and electronic records; we have upgraded our Intranet site to make it easier for employees to exchange information and knowledge; and we are launching the MOSS 2007 in October to use as our content management platform. The records management program can integrate with our Intranet and the MOSS 2007. Based on our records retention-disposition policies, any documents that are declared as records in the MOSS 2007 will be routed to a record center (SharePoint) for six (6) months to one (1) year and then sent to the electronic records management system until the end of their life cycle.

The RMRT August 2008 Annual Meeting Report is now available on the roundtable web site at

<http://www.archivists.org/saagroups/recmgmt/governance/index.asp>

RMRT Committees and Groups are also listed on the roundtable web site at

<http://www.archivists.org/saagroups/recmgmt/about/groups.asp>

News from Alison Stankrauff



Alison Stankrauff, the Archivist at Indiana University South Bend, presented a session at the SAA conference in San Francisco. It was entitled, "The Reluctant Administrator, or How I Learned to Love Management". It focused on management skills – and coping mechanisms – for lone arrangers. She presented with lone arranger colleagues Courtney Yevich, Archivist of Virginia Museum of Fine Arts as well as Colleen McFarland, Archivist at the University of Wisconsin-Eau Claire. The session included audience discussion and participation.

Alison was elected as the new Co-Chair of the SAA Lone Arrangers Roundtable at that Roundtable's annual business meeting. She looks forward to being a voice for these "warriors" of the archival profession!

Alison serves as the Co-Chair of the Midwest Archives Conference's Fall 2008 Symposium, to be held November 6th to November 8th in Lawrence, Kansas. The Symposium welcomes Nancy McGovern, digital preservation officer for the University of Michigan's Inter-University Consortium for Political and Social Research (ICPSR), who is the co-developer of and primary instructor for Cornell's highly respected Digital Preservation Management workshop series. Aprille C. McKay, Digital Preservation Specialist, also of the Inter-University Consortium for Political and Social Research (ICPSR), will serve as the co-instructor for the symposium.

This workshop is predicated on the need for institutions to combine organizational and technological perspectives to devise an appropriate response to the challenges that

digital preservation (DP) requirements present. It is aimed at managers at institutions who are grappling with fundamental DP issues. The workshop schedule is built around three action plan sessions for policy, technology, and resource frameworks that we developed to assist you in designing and implementing an approach that will work for your institution. Each action plan references exemplars from real programs and potential building blocks for your frameworks.

Symposium attendees are eligible to earn seven Archival Recertification Credits from the Academy of Certified Archivists. Registration rate includes supplemental handouts and access to an online tutorial, to be completed by participants in advance of the event.

More information, as well as registration information, can be found at:

<http://www.midwestarchives.org/2008Fall/index.asp>

Alison will be helping to celebrate American Archives Month in October of this year with a community-wide series of open houses at area repositories. The event will include a "Kick Off Event", which is open to the public, covered by the local media outlets. It will be held at her campus, Indiana University South Bend, and include all participants. The following weeks will then feature open houses by area repositories, including the Northern Indiana Center for History, the Studebaker National Museum Archives, the University of Notre Dame's Institute for Latino Studies Archives as well as their University Archives, St. Mary's College's Holy Cross Congregational Archives, the Local History Rooms of the St. Joseph County Public Library and Mishawaka Public Library, and Indiana University South Bend.



Records Retention Working Group

Melissa Gottwald

The Section/Roundtable Records Retention Compliance Working Group is charged with formulating guidelines and procedures for SAA sections and roundtables to transfer noncurrent records to the SAA Archives and to locate existing records and facilitate their transfer to the archives. This year the group is continuing to contact current and former section and roundtable chairs to inform them of the working group's efforts and to locate additional records to be transferred to the SAA Archives. Over the past year as a result of Working Group contacts with current and former chairs, the SAA Archives has received records from several groups, including the Records Management Roundtable, Archivists of Religious Collections Section, Labor Archives Roundtable, Manuscript Repositories Section, and the Oral History Section. In addition, the working group will be compiling a records management guide that will provide guidance to section and roundtable leaders for the maintenance, custody, and transfer of records and guidelines for what records should go to the archives.

Members of the working group for 2008-2009 are: Melissa Gottwald, Coordinator, Embry-Riddle Aeronautical University; Terry Baxter, Multnomah County Library and Records; Michael Courtney, Archdiocese of Chicago; Michael Doylen, University of Wisconsin-Milwaukee and SAA Archivist; Laura Edgar, University of Notre Dame; Brad Houston, University of Wisconsin-Milwaukee; Russell D. James (ex-officio), RMRT chair; Greg Johnson, Morgan Street Document Systems; Alison Langmead, Moore Ruble Yudell Architects and Planners; Andy Potter, NARA Northeast Region; and Farris Wahbeh, The History Factory.

We also thank former members of the working group for their contributions: Alison Stankrauff (Working Group Coordinator 2007-2008), Chris D'Arpa, Suzie Long, and Bobbi Posner.

For more information about the working group and its efforts, please contact working group coordinator Melissa

Functions Thesaurus Working Group

Russell D. James, C.A.

The Functions Thesaurus Working Group is busy whittling down the definitions that have been gathered from many sources over the past year for all the function terms in the thesaurus. Some of the definitions repeat each other, others do not really apply to functions, and still others are specific to one particular type of record creator, such as museums or governments.

The working group is looking for other members, people who are experts at controlled vocabularies, indexing, and thesaurus creation. Such experts will provide both their expertise and their good names and reputations to the group.

At the SAA Annual Meeting, the group was supposed to meet with the Standards Committee, but did not due to the committee being ahead of its schedule and adjourning before the working group could appear to testify. But the working group did meet and decided on an agenda for the coming year. Hopes are that the definitions will be pared down by the New Year and then the vetting of the functions, separating the functions from the activities, will take place. The group hopes to begin finalizing the thesaurus by the 2009 Annual Meeting and then make the thesaurus available for comment by the information profession community.

See Michael Doylen's article about SAA Records Retention on page 26 of this newsletter.



RMRT/AMRT Joint Working Group on Diversity in Archives and Records Management

Debra Kimok

With help from Brian Doyle, this group successfully delivered a survey to members of the archives & archivists listserv between July 1 and July 31, 2008. We received 77 responses and much useful information that will help us to understand some of the challenges for people with disabilities working in and using archives.

The group is currently analyzing the survey results and

will begin contacting respondents who indicated a willingness to speak with us in more detail about their answers.

Once our analysis is complete, we will focus on the research already available on this topic and make recommendations for making archives more accessible.

The survey questions are reprinted below and are followed by a summary of the responses.

The Survey

The preamble was omitted in this reprint. Spaces originally included in the survey for open-ended responses have also been omitted here.

The survey includes three categories: The respondent; co-workers of the respondent; patrons using the respondent's archives.

Yourself

1) What is your current position?

- ☐ Archivist
- ☐ Records Manager
- ☐ Administrator
- ☐ Other (Please provide your position title:

2) Do you have a physical disability that affects your interactions with co-workers in the performance of your duties? (If no, please skip questions 3-9, and go directly to question 10.)

- ☐ Yes
- ☐ No

3) If so, what is the nature of your disability?

- ☐ Sight
- ☐ Hearing
- ☐ Mobility
- ☐ Other (Please specify:

4) Please indicate the challenges/difficulties you face in the workplace that are directly related to your physical disability (select all that apply):

- ☐ Communications
- ☐ Ergonomic
- ☐ Technology
- ☐ Building structure/design
- ☐ Work flow
- ☐ Other (Please list:

5) Please provide a brief explanation of your answer/s to question 4.

6) Please explain any strategies you use to overcome these challenges/difficulties.

7) Did your employer make any accommodation for your particular needs?

- ☐ Yes
- ☐ No

8) If yes, please check all that apply in this list:

- ☐ Assistive communication devices
- ☐ Assistive software programs
- ☐ Interpreter or Note-taker
- ☐ Specialized computer equipment
- ☐ Specialized office furniture
- ☐ Building structure/design changes/planning
- ☐ Emergency situation planning
- ☐ Employee training
- ☐ Service animal accommodations
- ☐ Transportation accommodations
- ☐ Working at home accommodations
- ☐ Other (Please list:):

9) Please provide a brief explanation of your answer/s to question 8.

Co-Workers

10) Do you work with someone who has a physical disability? (If not, please skip to question 17.)

11) What is the nature of the co-worker's disability?

- ☐ Sight
☐ Hearing
☐ Mobility
☐ Other (Please list):

12) Did your employer make any accommodation for this individual's particular needs?

- ☐ Yes
☐ No

13) If yes, please check all that apply in this list:

- ☐ Assistive communication devices
☐ Assistive software programs
☐ Interpreter or Note-taker
☐ Specialized computer equipment
☐ Specialized office furniture
☐ Building structure/design changes/planning
☐ Emergency situation planning
☐ Employee training
☐ Service animal accommodations
☐ Transportation accommodations
☐ Working at home accommodations
☐ Other (Please list):

14) Please provide a brief explanation of your answer/s to question 13.

15) What strategies do you find helpful in your interactions with this co-worker? (Please check all that apply.)

- ☐ Alternative communications
☐ Assistance with moving/lifting boxes, etc.
☐ Other (Please list):

16) Please provide a brief explanation of your answer/s to question 15.

See the article about this project, written by group member Michelle Ganz, in the November/December issue of *Archival Outlook*.

Patrons

17) Have you encountered patrons with disabilities in your workplace? (If not, please skip to question 24.)

18) What was the nature of the patron's disability?

- ☐ Sight
☐ Hearing
☐ Mobility
☐ Other (Please list):

19) What specific adjustments were needed when interacting with this individual? (Please check all that apply.)

- ☐ Telephone volume control
☐ Alternatives to telephone communications
☐ Using an amanuens
☐ Assigning a staff member to work one-on-one with the patron
☐ Increasing font size on all common computers
☐ Other (Please list):

20) Did your employer make any accommodation for this individual's particular needs?

- ☐ Yes
☐ No

21) If yes, please check all that apply in this list:

- ☐ Assistive communication devices
☐ Assistive software programs
☐ Interpreter or Note-taker
☐ Specialized computer equipment
☐ Specialized office furniture
☐ Building structure/design changes/planning
☐ Emergency situation planning
☐ Employee training
☐ Service animal accommodations
☐ Alternative to standard print (i.e.: braille, audio, interpreter)
☐ Other (Please list):

22) Please provide a brief explanation of your answer/s to question 21.

23) What did you learn that will better facilitate future collegial interactions with patrons with similar disabilities?

24) Please list and explain the reasons for special software, hardware, equipment, building changes, signage, etc. that you or a co-worker currently use, or that you believe would assist you in your duties or in helping patrons with physical disabilities using your archives.

Summary of Responses to the Survey
Provided by AMRT Co-Coordinator, Casey E. Greene, C.A.

Out of 77 respondents:

- 47 (61%) are archivists.
- 5 (6%) are records managers.
- 4 (5%) are administrators.
- 21 (27%) listed their occupation as "Other."

Out of 77 respondents, 11 (14%) specified disabilities.

10 respondents specified the nature of their disabilities.

- Sight: 1 (10% of those answering in the affirmative; 1% of total respondents, including abstentions).
- Hearing: 2 (20%; 3%).
- Mobility: 4 (40%; 5%).
- Other: 4 (40%; 5%).

10 respondents mentioned workplace challenges/difficulties.

- Ergonomic: 5 (50% of respondents answering in the affirmative; 6% of total respondents, including abstentions).
- Communications: 4 (40%; 5%).
- Technology: 2 (20%; 3%).
- Building structure/design: 2 (20%; 3%).
- Workflow: 2 (20%; 3%).
- Other: 5 (50%; 6%).

18 respondents (23%) answered that they have co-workers with disabilities.

- Sight: 4 (22% of respondents who answered in the affirmative; 5% of all respondents, including abstentions).
- Hearing: 5 (28%; 6%).
- Co-workers/mobility: 12 (67%; 15%).
- Other: 4 (22%; 5%).

Accommodations: 19 (79%) respondents answered in the affirmative. 4 respondents (21%) answered no.

Patrons' disabilities: 78 (100%) answered in the affirmative.

Nature of patrons' disabilities: 48 (62%) responded, with 30 abstentions.

- Sight: 17 (35% of those who responded; 22% of all respondents, including abstentions)
- Hearing: 20 (42%; 26%)
- Mobility: 40 (83%; 51%)
- Other: 3 (6%; 4%)

Lone Arrangers Roundtable/Records Management Roundtable Joint Committee

Alison Stankrauff

There are two roundtables of the Society of American Archivists whose members often share much more than perhaps members of other roundtables. These are the Lone Arrangers Roundtable and the Records Management Roundtable. More often than not, lone arrangers find themselves the default records manager of their institution. They must get deeply acquainted with – and adept at – records management practices.

It was with this in mind that Alison Stankrauff, Lone Arrangers Roundtable Co-Chair and Russell James, Records Management Roundtable Chair got together to help to create the Lone Arrangers Roundtable/Records Management Roundtable Joint Committee. The Committee was created directly following the annual SAA conference in 2008 in response to the SAA directive that more roundtables and sections work together collaboratively.

It seemed that the two roundtables were natural partners. So Stankrauff and James gathered willing participants from the two roundtables to work towards completing work that would be beneficial to lone arrangers who are records managers. Those who volunteered for the group are: Sonia Yaco, Special Collections Librarian and University Archivist, Old Dominion University; Rachel Vagts, College Archivist, Luther College; Sharon Pullen of the Office of the County Clerk of Riverhead, New York; Keith Chevalier, College Archivist, Saint Anselm College; Laura Edgar, Records Manager, University of Notre Dame; Jessica Glidewell, Records Manager, Naropa University and Ann Hunter of Naropa University. Alison Stankrauff and Russell James serve as ex-officio members for the group.

To develop a publishable guide to the formation of records management programs in institutions where one person is responsible for the program (“lone arrangers”), concentrating on the procedures taken for the development of the program.

The charge of the group is to produce a procedures guide that will serve those who are lone arrangers and those in

small shops (who may be one of a few employees at their institution). This guide will assist this population to create and maintain a records management program at their institution. The official mission statement of the group is: “To develop a procedures guide specifically useful for Lone Arrangers working in archives who are starting a records management program.”

The group began their collaborative work in September of 2008. To that end, a wiki has been established – and added to.

The work of this group will be greatly appreciated by lone arrangers. This segment of the archivist population is more often than not the most over-stretched in terms of the hats that they are asked to wear at their places of employment.

Electronic Records Preservation Course Being Developed

Russell D. James, C.A.

The RMRT has joined forces with the Electronic Records Section in an effort to develop an SAA continuing education workshop on the preservation of electronic records. This is another effort of the roundtable to follow the direction of the SAA Council and engage in collaborative projects with other sections and roundtables.

The joint committee formed by these two groups will work with Fynnette Eaton, FSAA, a former electronic records preservation officer at NARA. They will develop the workshop using modern theories and practices and hopefully have the final proposal ready for the SAA Committee on Education to consider in six months or less.

Members of the committee include: James Cassedy, Mark Conrad, and Rebekah Fairbank of NARA, Jane Zhang, CA, of Harvard University, Erin O’Meara of the University of Oregon, Caroline Killens of the University of Georgia, and Daniel Noonan of The Ohio State University.

Report of the RMRT Membership Subcommittee

Melissa Gottwald

This year the Steering Committee's Membership Subcommittee is working on building RMRT membership, encouraging participation in SAA's mentoring program, and looking at liaisons with other groups in and out of SAA. In terms of increasing membership, the subcommittee is starting by focusing on SAA members who are certified records managers but who are not on the RMRT membership list. These individuals are being contacted with an invitation to join the roundtable. Those who cannot or who choose not to join are encouraged to share their reasons so that we can see areas where we need to offer more to members. In some cases, individuals cannot become members because of the two roundtable limit, and they are then encouraged to be non-member participants and subscribe to the listserv.

The mentoring project is well underway. A call went out on the SAA and RMRT listservs to those interested in being mentors or mentees. Mentors and mentee applicants are then matched, and recommended partnerships are passed on to the SAA's Membership Committee to be formalized. So far the number of mentees far exceeds the number of mentors, and additional mentor volunteers are greatly needed.

Anyone interested in being a mentor or a mentee should contact Katie Scanlan at kascanlan@wisc.edu.

RMRT Mentoring Project

Katie Scanlan, J.D.

The SAA Records Management Roundtable (RMRT) Mentoring Project is off to a great start! The project attracted a lot of interest during SAA's Annual Meeting in San Francisco and has since matched three Mentees with Mentors, with additional applications being processed. Heartfelt thanks go to the SAA Membership Committee and to our enthusiastic participants!

SAA includes over 1,000 student members, many of whom have difficulty attending the Annual Meetings. These students are the future leaders of SAA and of the archival profession as a whole, yet academic obliga-

tions and financial limitations often prevent them from connecting with and learning from experienced archivists and records managers. RMRT's Mentoring Project, working cooperatively with the SAA Membership Committee, encourages such connections, bridging the gap that can easily develop between long-standing professionals and dedicated up-and-comers.

RMRT Mentors are professionals who can offer their insights on the archival and RM fields, career placement and advancement, networking, and other concerns that are common to new or future Records Managers. Mentors help the next generation of Records Managers establish a strong foundation in the field, understand RM traditions and current practices, and develop cutting-edge ideas that build upon their predecessors' contributions. Dialogue with Mentees allows Mentors to learn about the latest trends and concepts being taught in archival educational programs and to communicate RM views that they want to endure for years to come. The many personal and professional gifts that arise from shared perspectives are intangible and often unpredictable for both parties!

The RMRT Mentee role is open to anyone who wants to explore Records Management or learn how RM can enhance his or her career. Mentees do not have to be students and do not have to be new to SAA or the archival profession. The archival profession is changing rapidly to keep pace with technology-driven needs and Records Management plays a vital role to ensure that today's records are available for future generations. If you have ever encountered an 8-inch floppy disk in a new acquisition, you realize that archivists can no longer let records of enduring value sit untouched and expect to access them in ten or twenty years! Long gone are the days in which archivists can wait passively for boxes of materials to pass through the repository door. Records Management skills are pertinent to all archival professionals and the link will only grow stronger as electronic record formats multiply and thrive.

Please consider the RMRT Mentoring Project as a valuable tool for your own professional development. Contact me for more information!

Katie Scanlan, J.D.

RMRT Mentoring Project Coordinator
kascanlan@wisc.edu

Showcasing Some Participants in the RMRT Mentoring Project

Glenn S. Cook

Alaska State Archivist
(Mentor of Katie Scanlan)

As the Alaska State Archivist I am also responsible for the state's Records Management program, so am active in RM decisions at the state level. I am a graduate of UW-Madison from 1989. Since then I have been involved with Archives/Library/Records Management positions in a private foundation, university, corporate and government settings.

I decided to be a Mentor in this program in order to share ideas and experiences with Records Managers that are new to the profession. One of the things I like best about the profession is being able to share experiences with others, and being a sounding board for their ideas as well. I have learned new techniques and ways of doing things from young professionals over the past number of years, and a mentoring relationship is beneficial to both the mentor and the mentee.

One nice thing about mentoring is that it can be carried out over large distances rather effectively. I am still involved with several Records Managers in a post-mentoring role who are in Colorado, where I worked before coming to Alaska. I would encourage other professionals to make themselves available to students and those new to the profession in order to share your wealth of experiences.

Elizabeth Fairfax, C.A.

Island County Archives, Records and Information Management Program
(Mentor of Rachel Donelson)

I am Elizabeth Fairfax, a mentor to Rachel Donelson, a prospective student at the University of Maryland's graduate program in Archives and Library Science. Rachel has a background similar to mine in that she enters this world of archives and records management with a history and social studies undergraduate degree and a secondary teaching certificate. She has so far had exposure to archives through special collections and the collections of a government document depository in a library environment. She is now working with Senate papers as she

awaits her first formal classes. She is fortunate to be attending graduate school where the program is so well-respected, and in close proximity to National Archives II. This is my third venture into the world of mentorship.

My motivation for offering to be a mentor is that when I was a fledgling archivist who had graduated from the certificate program in Archives and Records Administration at Western Washington University, I had already some professional accomplishments under my belt. I was placed with the referral of my professor, Dr. James B. Rhoads, in a position where there was no available guidance, and no former program on site. I took this as a mark of faith in my ability. At the time I graduated from the certificate program, I had already a teaching certificate and post-secondary degrees in education, history and social studies. I should have been armed for anything!

However, in that position, I was "it", and I was, in addition, fully responsible for initiating, growing and managing a full-fledged records management program and record center in a public agency unfamiliar with the experience and requirements, let alone the benefits. It was not until later, comparing notes with other archivists that I realized that my experience was unusual at that time. Nearly everyone I knew had had a different experience in archives administration, but the exact opposite was true in the records management field. Nearly everyone was unmentored, and often they were uneducated about the field besides. Many had simply been dropped into the position and knew nothing about where to start.

I couldn't share the level of inexpertise they had, and often, the meetings I attended in organizations such as ARMA and AIIM, were not helpful to me as a professional for that reason.

I missed the opportunity to network and grow into a position as an archivist that I would have had if I had had a mentor who was less convinced of my infallibility. The programs I started are still there, they seem to be performing well, and I regard them as successful, but it would have been an easier experience for me if I had had access to someone still working in the professional world I was coming to know. There was a steep learning curve to be in the trenches so to speak, on many levels, and I came to appreciate the quality and depth of my education be-

cause it had prepared me well, but I would not wish this experience on another.

I was given the opportunity in many small organizations later in my career to foster young “archivists” and records managers in a variety of organizations, and enjoyed seeing this benefit the organization and the student. That is why I continue to offer to be a mentor, and offer classes to those interested in the work.

Rachel Donelson

Student, University of Maryland
(Mentee of Elizabeth Fairfax, C.A.)

My mentor is Elizabeth Fairfax, who has offered some great advice so far in this mentoring program. I am excited to have this opportunity to be a part of this program.

I'm currently studying for my Masters in Library Science at the University of Maryland with an emphasis in archives. This is my first semester at the university. I hope to take classes in archive management and preservation.

My journey into the world of Information Science started while working in a library as an undergraduate at Slippery Rock University my last year at the school. This experience led me to look for full time employment in a library upon graduation. After graduating with a B.S. in Secondary Education-Social Studies, I started working at Georgetown University Lauinger Library in the Government Documents Department as a Government Documents Specialist. I learned so much while there. My co-workers encouraged me to start a degree program in Library Science, so I started to look around for a program to attend. About a year and a half ago, I began working at the Senate Library as a Library Technician. There I've had the privilege to work with some older government documents. I would have these surreal moments, in that, I would be holding something in my hands that I read about through my course of study. Also I realized that I am taking care of a part of history, that if not taken care of properly will be lost for future generations. This led me to want to receive more training on the preservation and management of these treasures of our country's history. So I went back to school to receive this training. After graduation, I hope to use these new skills to preserve our nation's history.

Katherine (Katie) McVicker

Student, University of Maryland College Park
(Mentee of Larissa Woo)

I am in my first semester at the University of Maryland College Park in the Archives, Records, and Information Management Program. I am interested in being a mentee because I am completely new to this field. I am a stay at home mom beginning a new career and feel like it would be good to have someone to correspond with who is on a path that I can learn from. I also hope to have someone who can answer my questions from a more practical or real-life perspective, than a theoretical one, which my education provides.

Katie Scanlan

Student, University of Wisconsin-Madison
(Mentee of Glenn Cook)

I am thrilled to be part of the RMRT Mentoring Project! Being a Mentee provides a great opportunity to further my career ambitions as a Records Management Consultant. Now in my final year of UW-Madison's Archives and Records Administration program, I am eager to tap into every skill-enhancing resource available to me. Communication with others in the field is critical as I find my niche and strive to contribute to the profession. My Mentee status offers education that simply cannot be transmitted in a classroom. Much gratitude to the RMRT for helping me with my career goals!

Larissa Woo, C.A.

Archivist & Records Manager (Mentor of Katie McVicker)

I am the Archivist and Records Manager at Robert A. M. Stern Architects, in New York City. I am responsible for the development and implementation of the Firm's Archives and RM program. I also work as a volunteer at the Levittown Historical Society and Museum in Levittown, New York. My background includes an MS in Art and Architectural History and a Masters of Information and Library Science, both from the Pratt Institute in Brooklyn, New York. Prior to joining Robert A. M. Stern Architects I was Archivist at Edwin Schlossberg Inc. I enjoy being part of the mentoring program because it helps me stay up-to-date with the profession. It's fun to share what you do with others who have similar interests. I also think it helps those that are just starting out or looking for a change to explore the many career options that are available. There are many diverse opportunities for Archivists.

Mentees Seeking Mentors

The RMRT Mentoring Project seeks additional Mentors! Learn more about some of the Mentee applicants who are waiting to be paired with Mentors. Please consider becoming a Mentor to the future leaders of our profession!

Katherine Goodwin

Student, University of Michigan School of Information

I'm interested in having a mentor because I feel like I could use guidance from someone who already has experience in the profession. I'll be graduating in May and am getting ready to start my job search. I'm busy because I work at the University of Michigan Social Work Library and serve as Information Manager for SI's student government in addition to a full load of classes. I think having someone to talk to who's been through the processes of searching for and starting a new job would be really nice.

Beth Stanze

Student, Wright State University

My name is Beth Stanze. I attend Wright State University in Dayton, Ohio. I am in their graduate history program with a concentration in public history. This is my first year in the program. I've learned that there are a lot of job possibilities for public historians. I think having a mentor in at least one of the fields would be beneficial, in that I

will learn more about that job beyond what I learn in class. My hope is that having a mentor will help to steer me towards a career path that I'll enjoy.

Areas of RM that interest me include academic, government, museum, historical society, tribal, and library. I would like a mentor that is geographically close, but I do not have a gender preference.

Rachel Webb

Student, University of Kentucky

My name is Rachel Webb. I'm looking for a mentor who will give guidance in helping me organize my thoughts about the profession including common occurrences and new developments. Since I am new to the field, I would like someone who is personable and patient with any questions I may have. Also, maintaining regular and timely communication whether it be through e-mail, instant messaging etc. would be beneficial to my growth and understanding of records.

Impressions of SAA 2008 Annual Meeting Sessions

Alison Stankrauff

It was gratifying to have David George-Shongo, Archivist of the Seneca Nation of Indians, speak at the Records Management Roundtable's annual business meeting. He presented on the records management policies that he's created that are more reflective of – and responsive to – traditions of the Seneca Nation of Indians. It was very interesting to hear David speak – it brought a refreshing perspective to records management – and also illustrated that there can be successful records management that isn't directly a carbon copy of staid records management procedures and policies. Further, David was an engaging speaker, circulating around the room while he spoke.

I also saw David speak (directly before the Roundtable meeting) at the Forum on "Protocols for Native American Archival Materials", which, in my humble opinion, did a good job of putting forth the basic framework of the Protocols, and opened discussion on this document. Participants were able to put forth basic thoughts on the document and brainstorm about possible strategies that further the previous work of the SAA Task Force to Review the Protocols for Native American Archival Materials, which was completed in February 2008.

The Future of Records Management in the Web 2.0 Workplace



Steve Bailey

Senior Adviser (Records Management)
JISC infoNet
Northumbria University
Room 303, Hadrian House
Higham Place, Newcastle upon Tyne, NE1 8AF
Tel: 07092 302850
Fax: + 44 (0) 191 243 8469
Email: steve.bailey@northumbria.ac.uk
Web: <http://www.jiscinfonet.ac.uk>
Blog: <http://rmfuturewatch.blogspot.com/>
Linkedin profile: <http://www.linkedin.com/in/sjbailey>

Bailey, Steve. *Managing the Crowd: Rethinking Records Management for the Web 2.0 World*. London : Facet Publishing, 2008.

Book Summary: <http://tinyurl.com/3bekvw>

Imagine a workplace where none of the records created by its staff are held by the organisation itself. Where there are no file servers, no Local Area Network and where staff PCs hold nothing more than a web browser and anti-virus software. Imagine a workplace where, instead, staff can choose which application to use for the task in hand from a wide range of disparate, unconnected and externally provided systems. Systems which provide near infinite storage and their own mechanisms for finding information based on how the individual user decides to describe it. Think for a moment what such a world would mean for the fundamentals on which your records management programme are based – and begin to worry - for a world very similar to this could well be just around the corner.

The Web 2.0 phenomenon has been sweeping through the IT world and popular culture for several years now and I am sure that most readers of this paper will have Facebook, YouTube and Flickr accounts, perhaps be active bloggers or contribute their expertise to Wikipedia: all of which represent well established examples of some of the different facets of Web 2.0 technology. Organisations are currently employing a variety of responses to the rise of social networking and media sharing services. Some have

a blanket ban forbidding all staff from using them in work time or from work equipment. Others allow limited personal use during breaks, whilst yet others still take a different approach and actively encourage staff to make use of such tools as part of their working day: to network with customers, enhance their professional reputation or help promote goods and services.¹

In the main, records managers have been able to reassure themselves that the use of such technologies (either formally or informally) by staff within their organisations has relatively few records management implications. After all it's by no means certain that a blog post or Facebook update could ever be considered a 'record' according to most agreed professional definitions. But, unfortunately for us, social networking and media sharing sites are only the tip of the iceberg. Yes, they are the aspects of the Web 2.0 movement which have most captured the public imagination and which have quickly integrated themselves into popular culture, but from our perspective as records professionals, they are not where the real dangers lie.

Following in the wake of Web 2.0 is the growing phenomena of Office 2.0 – externally hosted, web-based alterna-

¹ <http://www.edrms.com.au/content/view/115/1/> provides a good summary of the pros and cons of the different approaches to 'Enterprise 2.0' currently being pursued by different organisations

tives to standard Office applications. There are dozens, perhaps even hundreds, of examples of word processor, spreadsheet, presentation, task management, scheduling and other productivity services: all web-based and accessed via a browser, all hosted externally by 3rd party providers and the vast majority providing their own storage for the information created.² Often the companies providing these services are small, development companies and offer just one or two products (meaning a user wishing to recreate the standard suite of Office applications may need to use services provided by several different companies – though the advantage for the user in this scenario is one of choice and the ability to pick and chose the particular services which appeal to them most, or represent the ‘best tool for the job’). But at the other end of the spectrum are behemoths like Google, who with their GoogleApps suite provide users with an extensive range of applications all under the one umbrella.

The advantages for the user of adopting an Office 2.0 based information environment are numerous. Alongside the ‘pick and mix’ benefits mentioned earlier, these are systems which enable them to access their information quickly and easily wherever they happen to be and from whatever machine they happen to be working on (so long as it has internet access). It’s quick and easy to provide access to colleagues from outside of the organisation without the need for creating new user accounts and penetrating firewalls. And it allows the user to seamlessly join up the inter-connected aspects of their lives: work, domestic and professional.

The advantages for our organisation may, at first glance, seem less obvious and less likely to outweigh the risks (which I’m sure most readers are already mentally compiling as they read this!), but we shouldn’t, perhaps, be too quick to dismiss them. A significant number of British Universities, for example, are already considering, or are actively pursuing, the outsourcing of their student and/or staff email services to Google or Microsoft – convinced at the business benefits of doing so in terms of a reduction in maintenance and storage costs and an enhanced user offering. Though such moves do not equate to a unilateral decision to ‘outsource’ their entire information architecture it could be argued that it does represent a crucial

first step in this direction and a vital crossing of the Rubicon in terms of the endorsement of senior management for such change. After all, email is the lifeblood of most organisations and, as we know, often contains business critical records and commercially sensitive data. If a strategic business decision has been made that it is acceptable, advantageous even, to rely on external providers to host and maintain this information, why not documents and spreadsheets also? Such progression is also made more likely due to the fact that Google routinely offers full access to its entire GoogleApps suite in such circumstances, meaning that it is all there for the organisation, ready and waiting, when the need arises.

So where does this leave our records management programmes, and indeed records management (as currently conceived) in general? My fear is that it leaves them, and us, in very grave danger of obsolescence. Why? Because this model strips away most of the fundamental prerequisites on which traditional approaches to records management are dependent. There is no shared file store and no unifying framework underpinning our information and as such there is no ‘physical’ structure owned by the organisation on which to host your classification scheme or file plan. Likewise there are no means of centrally co-ordinating retention management, nor of applying any pre-determined metadata schema. Furthermore, the information created and held by such services will almost certainly fall outside of the scope of control of your existing Enterprise Content Management (ECM) System which will be based on an assumption that the content to be managed will be housed on systems owned by, and therefore configurable by, the organisation itself. Here is the fundamental problem laid bare: records management is a discipline founded on an assumption of centralised control and therefore reliant on a shared information architecture (in recent years the client-server model) to apply these controls. Web 2.0 is based on a completely different model and strips away any notion of a shared, centrally controlled architecture and instead replaces it with a direct relationship between user and service provider.

So if these are the challenges, what are the solutions? The easiest approach would appear to be to ban all un-

² <http://www.edrms.com.au/content/view/115/1/> provides a good summary of the pros and cons of the different approaches to ‘Enterprise 2.0’ currently being pursued by different organisations

sanctioned access of Web 2.0 services and use of Office 2.0 applications for work use. Unfortunately such an approach merely ducks the issue (though may at least provide some breathing space and time to consider a more constructive approach). It is also likely to be an approach that soon proves unsustainable in the face of increasing user demand and organisational appetite which would then leave the records manager exposed and bereft of answers when decisions are taken to move in this direction. In some circumstances it may be possible to quell demand for access to externally hosted solutions by providing your own internally-hosted alternatives using technologies which can be integrated within the scope of your existing ECM solution (something which more and more ECM providers are offering). This appears a promising compromise candidate, providing many of the advantages offered by these new technologies to the end user, whilst continuing to provide the means for enabling the degree of centralised governance and management required by the records manager. One of the drawbacks, however, is whether the offerings provided by the organisation can ever keep pace with user demand and the rate of technological change, and whether the user is willing to accept less than the 'best of breed' systems that they would otherwise have access to.

In time, of course, it is possible that those providing entire Office 2.0 suites (such as Google and Zoho) will decide to develop their own 'management layer' allowing each organisation to centrally determine the policies to be applied to all its staff who are using these products in a work context. This would provide the means by which the records manager could, once again, determine access controls, retention management and metadata even within an externally hosted environment. As yet, however, there are no signs of such functionality being offered (and perhaps there is a role for the records management community in this regard to make representation

to and work with the companies involved to take steps in this direction). To be truly effective it would also require Google and the like to face their own 'ipod moment' and to create an interface that not only worked with their own applications, but also had the ability to reach out and extend to other Office 2.0 providers (in the same way that Apple made the critical decision to make the iPod compatible with the PC as well as the Mac, thus vastly increasing its potential market).

The final alternative is that the records management community undertakes to develop such tools itself. To explore ways of creating a web-based management layer which is not reliant on a client-server architecture and which provides the means for extending records management controls to web content, regardless of the system or provider used to create and maintain them. It may sound like a tall order but is, perhaps, not so radically different to the way in which Del.icio.us functions as an 'umbrella' tool for enabling resource discovery across otherwise unconnected web content.

These may sound like radical solutions, but then again we are operating in an environment that is radically different from that which has gone before. We must also accept that the rate of technological change is unlikely to decrease anytime soon, in which case neither can we afford for the pace of innovation within our profession to slacken either. To this end I have recently tried to play my own small part by exploring these issues and more in a new book: *Managing the Crowd: Rethinking Records Management for the Web 2.0 World*³ and by creating a social network group where those with an interest in this area can discuss and debate the many issues we face in more detail.⁴ The next few years promise to be a very challenging and exciting time to be a records manager indeed!

³ Available from Facet Publishing www.facetpublishing.co.uk

⁴ Please email me for further details at jonesbailey16@yahoo.co.uk

Editor's Note: Mr. Bailey recently posted "A Records Manager's 2.0 Manifesto" to his Records management futurewatch blog and is asking for comments about it:

<http://rmfuturewatch.blogspot.com:80/2008/10/records-managers-20-manifesto.html>

NARA's Management of Presidential Library Records: Revelations and Results

Kate Theimer

A few months ago a historian, Anthony Clark, published an article in History News Network (HNN), describing the difficulties he had been experiencing getting access to records created by the National Archives.¹ Clark is working on a book about the history of the Presidential library system, and so naturally went to the National Archives looking for the records of NARA's role in developing and administering the twelve Presidential libraries.

In the article, Clark wrote:

During my research at the Archives, I was able to examine the records of the Archivist that deal with the roughly twenty-five years from the planning of the Roosevelt Library through the acceptance of the Hoover Library. After that time, the public finding aid for RG64 (Records of the National Archives) stops mentioning presidential libraries.

Clark discovered that after the creation of NARA's Office of Presidential Libraries (NL) in 1964 no records from that office had been transferred to the National Archives.² NARA's first official response to Clark's enquiries was that all NL records were "operational" and so not suitable for transfer to the archives.

In the HNN article Clark outlines the challenges he has faced in trying to gain access, through multiple FOIA requests, to the records he needs to write his book.³ Archivists and records managers may be more interested, as I was, in exploring why no records had been transferred since 1964 and in learning what steps NARA has taken since the publication of Clark's article.

NARA's General Counsel, Gary M. Stern, posted an official response to Clark's charges in a comment on the HNN article. Regarding the NL schedule and the transfer of records, Stern wrote:

As we explained to Mr. Clark, most of the records from the Office of Presidential Libraries had previously been scheduled as temporary, and therefore could have been properly destroyed. Sharon Fawcett, Assistant Archivist for Presidential Libraries, determined that many of these records should, in fact, be permanent and the records schedule updated.⁴

While it is admirable that Fawcett wanted to preserve records of permanent historical value, it appears that NL (at a minimum) was aware that it was not in compliance with the records schedule and had not taken steps to update the schedule appropriately. Many in the records management and archival communities might ask why no records had been transferred between the late 1960s and today. Certainly not all of NL's records were scheduled as temporary. Why had the records scheduled as permanent not been transferred? Anthony Clark has raised the possibility that NL's actions were done deliberately to avoid public scrutiny. Richard Cox raised another possibility in a comment on the HNN article:

... Sometimes archivists have not provided the best management for their own records possessing archival value (the shoemaker's children syndrome). If one systematically evaluated how archivists are maintaining their own records, I am sure more examples of such problems might sur-

¹"Why Is It So Hard to Get Documents from the National Archives About the National Archives?," *History News Network*, July 21, 2008. <http://hnn.us/articles/52350.html>. Clark has posted some of his correspondence with NARA on his website: <http://www.anthony-clark.com/home.html>.

²Prior to the creation of the Office of Presidential Libraries in 1964, the management of Presidential libraries was the responsibility of the Office of the Archivist. Clark writes that he was able to access those records, as well as the records created and managed by the individual Presidential libraries themselves.

³Because the records have not been transferred to the holdings of the National Archives, Clark has had to file multiple FOIA requests in order to gain access to them. This process is outlined in detail in the HNN article.

⁴"NARA Response," Comment on "Why Is It So Hard to Get Documents from the National Archives?," *History News Network*, comment posted July 24, 2008 at 12:22.

face (although without the difficulties of requesting access or forcing FOIA requests).⁵

While we will probably never know what led to the situation that required Anthony Clark to have to resort to FOIA requests to gain access to the NL records, we can (and should) ask what NARA is doing to remedy the situation.⁶ According to NARA, Richard Marcus, NARA's Records Officer, has been aware for some time of the need for an initiative to follow up with NARA offices to ensure they are satisfied with their schedules and that they are properly implementing dispositions. Earlier this year, Marcus requested and NARA approved a proposal to double his current staff from three to six full time employees. According to NARA, the process to classify and post these positions is currently underway.

Marcus will be working with staff in the Office of Presidential Libraries to review the current disposition authorities to ensure that they are being properly applied (including negotiating what dispositions apply to what materials) and identifying gaps where either new disposition authorities or modifications to existing authorities are needed. Where gaps exist or updates are needed, new dispositions are in place. Marcus expects that this activity can be completed by the end of this fiscal year. However, given that this fiscal year will also contain a Presidential transition, the NL staff will have extraordinary demands on their time. There is at present no timeline for completing the review of the NL schedules.

And what of the records? Over 250 cubic feet of NL records, all deemed potentially responsive to Clark's FOIA requests, are currently being reviewed, at the rate of nine boxes a month and made available to him on this monthly schedule. The records are being screened page-by-page for FOIA B-6 and privacy restrictions before being made

available to Clark. Although labor intensive, this screening process would have been required regardless after the records were transferred to the National Archives, prior to the release to the public.⁷

However, even after Richard Marcus and the Office of Presidential Libraries have a complete set of appropriate records schedules in place, no records may be transferred to the National Archives or otherwise disposed of until all relevant FOIA requests have been completed. Therefore, with Clark's FOIA requests being met at the rate of nine boxes per month, it will be at least two or three years before the public will have access to the NL records.

Certainly no organization wants neglect of its records management program to be the focus of public discussion—and certainly not the organization responsible for overseeing records management throughout the Federal government. However, NARA is working to strengthen its records management program. In addition to doubling the size of the program staff, NARA has also taken steps to update its own internal policies and schedule its remaining unscheduled and new electronic systems. NARA's program to pilot and implement "big bucket" scheduling on its own records (begun in 2003) should also make the overall process of updating NARA's schedules more efficient in the future. While the mismanagement that Clark's requests revealed is certainly a bit of a black eye for NARA, perhaps putting records management in the spotlight will have long term positive effects.

Many NARA staff graciously responded to my requests for information in telephone conversations and via email. I would like to thank in particular NARA's Records Officer, Richard Marcus, and David McMillen, NARA's External Affairs Liaison.

⁵"No Surprise Here," Comment on "Why Is It So Hard to Get Documents from the National Archives?," *History News Network*, comment posted July 21, 2008.

⁶Just as external bloggers and commenters were asking questions as a result of Clarks' article, the National Archives Assembly (the professional organization for NARA archivists) sent a letter of concern to Allen Weinstein, the Archivist of the United States. The Assembly identified three specific concerns: the complaints raised by FOIA researcher Anthony Clark; the possibility that other NARA offices beyond the Office of Presidential Libraries are not following the promulgated NARA records schedule; and the state of NARA's accessioned RG 64 records. The Archivist answered the Assembly's concerns in a letter dated October 15, 2008; the substance of the Archivist's response has been presented in this article.

⁷However, the NARA staff time required for this review would have probably been considerably smaller if the records had been properly scheduled and managed. Currently NARA staff are reviewing all records—

A Fabulous Time for Records Management

Katie Scanlan, J.D.

Some random reflections and gross generalizations after attending the 53rd Annual ARMA International Conference & Expo in Las Vegas, Nevada:

Records managers talk a lot about the law. Litigation is creating a new charge for RM in the corporate world. This fear-based market challenges records managers as never before and allows for previously unknown levels of visibility, status and job security.

Archivists are afraid of electronic records. The mysteries of long-term digital preservation and access continue to elude even the bravest among us.

Records management is cold and sterile, denying the archival realities of thoughtful, often item-level appraisal and description.

Archivists seek validation and credibility in a science-driven world, struggling to coerce inherently subjective decisions into an ill-fitting scientific mold.

Archival concepts of provenance and enduring value will be meaningless without future access to electronic (and paper) records that capture modern thought and experience. Only records management can ensure that access.

Without the cutting-edge RM mindset, calculated retention and disposition schedules will not meet the immediate needs of records and their creators.

Without archival perspective, records managers will inadvertently destroy records that should be preserved based on archival appraisal concepts.

Formal records management education, particularly at the graduate school level and in combination with library and archival training, is a relatively new phenomenon. Recipients of such education will bring new energy and ideas to the RM field. Many are actively pursuing this career path, resulting in a professional community distinct from current practitioners that haphazardly crossed the threshold into records management.

Today's archives and RM students are prepared to face the personal, professional, legal and cultural repercussions of their decisions. They are ready to integrate their

broad training in records management, information services, business operations, technology, and archival theory and practice to continue professional discourse and to advance the honorable efforts of their predecessors. These students harness the powers of persuasion, skill, knowledge, foresight and outright bravery needed to protect the birth, life and afterlife of that which binds all human beings – the record. While any of these bold assertions can be argued or discredited, the simple fact remains – what a great time for records management!

SAA Records Retention

Michael Doylen, Ph.D.

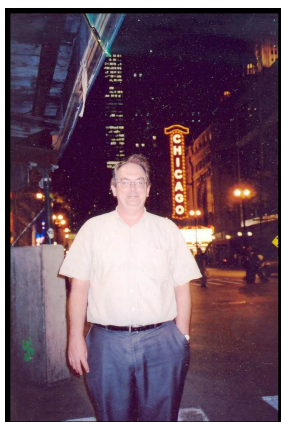
Without the conscientious effort of SAA staff, leaders, and members, there would be tremendous gaps in the record of SAA's organizational history. The SAA archives because individuals take steps to ensure that records documenting the significant activities of the organization are routinely transferred to the Archives Department of the University of Wisconsin-Milwaukee Libraries, where they are preserved and made accessible.

In 2005, Council authorized a program for the review and approval of retention and disposition schedules for SAA record series. Since that date, the SAA archivist has worked with SAA staff, officers, committee chairs, and others to draft schedules and shepherd them through the approval process. A list of current schedules is on the SAA website at http://archivists.org/governance/saa_archives/index.asp.

In fall 2007, the Records Management Roundtable established a working group to assist sections and roundtables in ensuring that their history is preserved and made accessible in the SAA archives. The working group solicits records of continuing value from the chairs of all sections and roundtables—past and present—and puts them in touch with the SAA archivist, who instructs them in the process of transferring the records to the UWM Libraries.

If you have records that merit continuing preservation, the working group would appreciate hearing from you. Contact Melissa Gottwald, the working group coordinator, at magottwald@hotmail.com. Please assist your professional association with this important effort. SAA's 75th anniversary (in 2011) is only a few years away—here's our opportunity to ensure the archives is complete!

SAA Schedules Retention of E-Mail Discussion Lists



Jim Cassedy

In November 2007, Mr. Brian P. Doyle, SAA Director of Member and Technical Services, announced significant changes to SAA list administration procedures. Particularly noteworthy were the creation of nearly 70 new lists for various SAA boards, committees, task forces, working groups, and section/roundtable steering committees. In addition, 13 new email discussion lists were created for every SAA section, and 25 new email discussion lists will also be created for every SAA roundtable. All the lists are created and maintained by SAA.

SAA recognized that these lists were records that needed to be properly scheduled. A group was appointed to schedule these records, consisting of Mr. Russell James, Chairperson of the Records Management Roundtable, Dr. Michael Doylen, Head Archivist of the University of Wisconsin –Milwaukee Archives (which holds the SAA Archives), Brian Doyle, and Jim Cassedy, SAA Member.

The schedule was to cover all e-mail discussion lists, both public and private, hosted by SAA. SAA members are encouraged to use e-mail discussion lists hosted by SAA to conduct SAA business. Each list contains electronic threaded discussions from individual list members on various topics related to SAA business and uploaded copies of official documents. The Director of SAA Member and Technical Services is able to set retention periods for each e-mail retention list maintained by SAA.

It is important to note that this records schedule does not

include the Archives and Archivist Listserv (A&A List). In April 2007, SAA Council decided that the A&A List would be retained in perpetuity, with the assistance of the University of North Carolina. Part of the impetus for a creation of a schedule for SAA lists was because of Council's decision to destroy the Archives and Archivist List Archives, dating from 1993 until 2006, in Spring 2007, a decision that was later overturned in the face of vigorous opposition from SAA members.

Although Council's decision in retrospect was somewhat more thought out than originally appeared, part of the issue was the failure to develop a schedule based on a regular, business like review of these electronic records, and the development of defensible records schedules based on such a review. With the implementation of a new, formalized system of official SAA roundtable and section electronic mailing lists or listservs, it seemed important to provide a records schedule for these lists that would provide for proper records disposition at the end of their lifecycle.

The National Archives and Records Administrations' (NARA) Disposition of Federal Records: A Records Management Handbook (hereafter referred to as "Handbook," located at: <http://archives.gov/records-mgmt/publications/disposition-of-federal-records/index.html>) has for many provided Federal records managers (and appraisal archivists) a basic explanation of how to establish, manage, and operate a records disposition program within a Federal agency. It emphasizes the necessity of each agency's developing, implementing, and updating a records schedule for all agency records, regardless of media or location. Developing a records schedule includes reviewing agency functions and recordkeeping requirements, inventorying and evaluating records, preparing disposition instructions, organizing and clearing the schedule internally.

As listed in the introduction of the Handbook, the following steps are part of the basic scheduling process.

Review Functions and Recordkeeping Requirements:

Review the functions and recordkeeping requirements and practices of the agency and of the particular offices whose records are being scheduled. Examine pertinent documents, such as laws, regulations, organization charts, and functional statements. Also consult with program managers, ADP managers, and records personnel.)

Inventory:

Inventory series and systems of agency files, including both records and nonrecord materials. Usually at this stage the agency makes a preliminary decision as to whether the schedule will be arranged by organization, function, or a combination of these.

Evaluate:

Evaluate for disposition the records contained in each series or system by determining their uses and analyzing their values. The result of this evaluation process is to recommend the records as permanent or temporary and to propose specific retention periods for them.

Draft Instructions:

Draft recommended file cutoffs, retention periods, and other disposition instructions for all records, along with necessary instructions for all nonrecord materials.

Organize and Clear Internally:

By this stage, the agency should have determined the schedule's arrangement. Based on that arrangement, assemble the draft schedule, and clear it within the agency.

Implement:

Implement the completed and approved schedule by issuing it as a mandatory agency directive, training employees in its use, and applying it to agency records.

Review and Update:

Review the schedule at least annually, and by following the above steps, update it to cover new series and systems or to revise the dispositions of current series and systems. This step results from careful monitoring of the schedule's implementation as well as from constant awareness of new and revised recordkeeping requirements and practices.

In following the basic outline of the aforementioned procedures, a "review of the functions" and an "inventory" of the records of various sections and lists was conducted in November 2007.

Each of the electronic "list serve" systems maintained by SAA is actually a Knowledge Management system that enables users to network with people with common interests, goals or expertise to discuss issues, and share experiences, knowledge, information and best practices. In addition, each listserv serves as a convenient mechanism through which SAA leaders can communicate with their

colleagues.

The archives of messages of all the Roundtable listservs, and three of the Section listservs were reviewed. Some listservs had no messages since the creation of the lists. The SAA Women's Roundtable, the Visual Materials, Cataloging and Access Roundtable, the Science Technology and Health Care Roundtable, the Security Roundtable, the RLG Programs Roundtable, the Recorded Sound Roundtable, the Privacy and Confidentiality Roundtable, the Performing Arts Roundtable, the Native American Archives Roundtable, and the International Affairs Roundtable, had no messages in the archives of their individual listserv. Other SAA Roundtable and Section listservs, including those of the EAD Roundtable, the Electronic Records Section, and the SAA Women's Collection Roundtable had only one message.

Clearly, for whatever reason, these listservs are not the primary medium by which their leaders communicate with their members of their Roundtables and Sections.

Other Roundtables and Sections archives contained more messages. Most listservs examined contained anywhere from one to eight messages in their Archives. These messages were, for the most part, announcements of various types. There were for instance, announcements of job openings; announcements calling for candidates for Roundtable or Section office; calls for papers; announcements of the existence of journals, documents or records, all searching for a good home; and other miscellaneous announcements.

There were a smaller number of messages reflecting the operations of a Roundtable and Sections found within these few messages- for instance, "calls for candidates for office." These are records that reflect the organization's business operations.

There are a few Listservs that contain a more substantial number of messages in their Archives, including the Congressional Papers Roundtable Listserv, which contains approximately 19 threaded messages, and the SAA Student Discussion Listserv, which contains approximately 87 threaded messages.

Besides the usual announcements, the Congressional Papers Roundtable included a brief discussion of copyright (5 messages), and a short discussion on the microfilming of Congressional Papers (2 messages). The SAA Student

Discussion Listserve contains a large number of job announcements, requests for papers, announcement of fellowships, and other miscellaneous announcements. The list all had substantial discussions of "dream jobs" (11 messages) and discussions on how individual student chapters could "attract members (3 messages)."

After the review of functions and the inventory, and the procedures listed in the Handbook call for an evaluation for disposition of the records contained in each the listserve systems to determine their uses and analyzing their values. The result of this evaluation process is to recommend the records as permanent or temporary and to propose specific retention periods for them. Again, after considerable discussion, it was determined that the Archivist and Archives Listserve is of permanent value, and should be retained forever. It is tempting to draw a parallel with the listserves of various SAA groups.

However- unlike the Archivist and Archives Listserve, these individual SAA group listserves have value of limited duration. Reasons for this limited duration include the limited number of messages found on individual listserves, the very existence of the Archives and Archivists Listserve, and the (hoped for) existence of record-keeping systems within the various SAA groups served by individual listserves.

As noted, some listserves have very few messages, if any, within them. The utility of maintaining these listserves forever, as well as the cost effectiveness of maintaining the listserves over time, are questionable to the extreme. Any substantial messages they might contain could easily be printed off and placed in a hardcopy recordkeeping system.

In lists with more messages, there are a very small number of messages that reflect the operations of a Roundtable and Sections found within these few messages- for instance, the "call for candidates for office." These are records that reflect the organization's business, and should be placed in the organizations recordkeeping system, again- hopefully scheduled for transfer to the SAA Archives.

Finally, as previously noted, two listserves, the Congressional Papers Roundtable and the SAA Student Discussion list, contained a substantial amount of electronic message traffic. Certainly the messages contained on the two listserves do include more "substantial" threaded mes-

sages, and could lead to more substantial discussions as to their value.

It is the appraiser's contention, however, that the historic value of a discussion of "dream jobs," attracting members to student chapter of SAA, or copyright issues within and microfilming of Congressional papers, probably do not justify the retention of entire Section and Roundtable listserves indefinitely.

In addition, the value of these listserves needs to be considered within the context of the existence of the Archives and Archivist Listserve, scheduled for permanent retention by SAA. The huge amount of material contained in the A&A List suggests that permanent retention of smaller organizational lists by SAA would be a needless duplication of resources.

For instance- a search of in the "old" A&A listserve returns 3048 reference hits on copyright, and 127 on "congressional and copyright." In the "new" incarnation of the A&A listserve, there are already substantially more than 100 reference hits, some directly germane to the Congressional inquiry- such as copyright on public speeches. A search of the term "microfilm" returned 2596 hits on the "old" A&A listserve, and 88 hits on the "new." "Dream" returned 14 hits on the "new" listserve, and 427 hits on the "old." There is substantial probability that the more substantial topics covered by the smaller group, section and interest group listserves are also substantially found in the A&A listserve.

Given the nature of the content of the various SAA organizational listserves, and the number of messages it actually contains, I suggest that by requiring/encouraging Section and Roundtable leaders to keep robust recordkeeping systems, and by permanent retention of the A&A list, a substantial history of the SAA organization, as well as the thoughts and concerns of the archival community at large, will be maintained.

After the evaluation, the Handbook calls for the drafting of instructions, and the clearance of these instructions within the organization. The Handbook notes that in scheduling the records in an electronic information system, all input records (source documents), all information recorded on electronic media, all output records, and the documentation associated with the system should be described, and a proposed retention period for each of these items should be made. However, two or more of

these may be described together under one schedule item, provided they have the same proposed retention period.

The schedule was written with two dispositions for these records. The first disposition is for the actual electronic threaded discussions posted by individual members, and maintained on each listserve. The disposition as written for the electronic threaded discussions was:

“Temporary. Rolling Destruction Date of 10 years from date of submission. If the message constitutes an official record, it should be downloaded from the system, and placed in an appropriate recordkeeping system. These records will be transferred to the SAA archives by an SAA leader in accordance to a schedule for the recordkeeping system, or as deemed appropriate by the appropriate SAA leader.”

Each message written for an individual listserve is submitted directly to the system by a user. As noted, set retention periods for each e-mail retention list can be maintained by the SAA Directorate. The input is immediately recorded on the listserve server and distributed to members of the listserve. Hence the only messages that are actually retained by SAA are the message recorded by the server, and attendant metadata.

The author proposed the retention period of 10 years for each message, particularly to provide SAA with an “outside” retention period.

The second disposition is for the Documentation maintained to operate the listserve systems, as well as individual listserves. This documentation could include technical manuals, directions in how to use the list (signing on, signing off, sending messages, modifying user options). The disposition proposed for associated documentation was:

“Temporary. Destroy/Delete when superseded or obsolete, or upon authorized deletion of related electronic record systems.”

The rationale for the second item on the proposed schedule is that documentation will be needed for as long as the systems in their current format are operated. When the systems are no longer maintained in their current format, there is not a need to maintain documentation on the systems. Therefore the disposition of “destroy/delete when superseded or obsolete” is sufficient to maintain

the systems as long as necessary.

Authorization for SAA records management program was promulgated at the May 19-22, 2005 meeting of Council, which passed the following motion: “That the Executive Committee be authorized to review and approve retention and disposition schedules for SAA records series. Proposed schedules will be developed by the SAA Archivist, in consultation with the records creators (staff, officers, committee chairs, et al. http://www.archivists.org/governance/saa_archives/index.asp).” Therefore the proposed document was sent forward for review by Michael Doylen, Russell James, and Brian Doyle, and then ultimately presented to Council for review, and approval, if appropriate.

Council reviewed the proposed schedule, and reduced the proposed retention period from ten (10) to two (2) years. A ten year disposition was originally proposed as previously noted, was to provide an outside retention range for the electronic message databases of each roundtable and section. Given the relative unimportance of the messages found in the databases in relation to the costs of maintaining an electronic message database for all SAA internal organizations, a reduction in the proposed retention period is rational and defensible.

At a regular meeting on May 30, 2008, Council passed Motion 10, to wit:

“General Schedule for Official SAA E-Mail Lists”

This schedule covers all e-mail discussion lists, both public and private, hosted by SAA, with the exception of the Archives and Archivists (A&A) List. SAA’s Director of Member and Technical Services is able to set retention periods for each e-mail discussion list. Once the specified retention period has lapsed, list messages are automatically “purged” by the list software.

SAA members are encouraged to use e-mail discussion lists hosted by SAA to conduct SAA business.

Discussions

Electronic threaded discussions from individual list members on various topics related to SAA business and uploaded copies of documents.

Disposition: For messages of a routine administrative nature or possessing only transitory value, there is a rolling

destruction date of 2 years from date of submission.

If the message possesses enduring value for administrative, legal, or fiscal purposes, or has historical value, it the chair or convener must ensure that it is printed out as a hard copy or saved as an electronic file in the SAA leader's own filing system. These records must be transferred to the SAA Archives in accordance with the terms of the relevant records schedule, or as deemed appropriate by that person and the SAA Archivist.

Documentation

Includes items such as technical manuals, directions on how to use the list (signing on, signing off, modifying user options).

Disposition: Temporary. Destroy/delete when superseded or obsolete, or upon authorized deletion of related electronic records.

(Located at: <http://www.archivists.org/governance/minutes/min0508.asp>).

The final step outlined by the Disposition of Federal Records: A Records Management Handbook provides for the regular review of the schedule and by following the other steps listed in the scheduling process, update it to cover new series and systems or to revise the dispositions of current series and systems. This step results from careful monitoring of the schedule's implementation as well as from constant awareness of new and revised recordkeeping requirements and practices.

Such review should be conducted not only by Council, but by all members of SAA interested in the proper management of their professional organization's records.

Records Management: An Essential Element of Compliance



Ken Neal
Océ Business Services

Compliance regulations like The Sarbanes-Oxley Act of 2002 (SOX) have been evolving within publicly-traded companies in the U.S. for over half a decade. During this time, the importance of records management and its impact on managing the document lifecycle (document creation through disposal) and compliance has emerged as a critical success factor. Records management is an essential component in controlling business processes, assuring accurate financial reporting, and providing reliable audit findings.

Public companies must formally document, test and assess their internal control processes, particularly with respect to the adequacy of their financial records management. The records management processes must support the accuracy of financial transactions and the accurate valuation of company assets. This includes meeting the requirements of critical stakeholders in departments such as accounting, tax, finance, and legal. Depending on a company's business sector, there may be additional stakeholders outside of compliance and risk points within its organization. For example, an energy sector company might have stakeholders in Process Safety Management, while a manufacturing company might include Health and Safety.

Even though these other stakeholders are not directly related to compliance, all of the stakeholders must work together to develop a records management strategy that encompasses the entire organization. A particular record

type may have a longer retention period based on the needs of a stakeholder outside of compliance, but these retention requirements must be uniformly followed throughout the company.

Compliance-related processes and procedures feed and impact systems that span Enterprise Resource Planning (ERP), Electronic Content Management (ECM), workflow and collaboration, document management, email and records management. Compliance processes impact the access and management of multitudes of documents and records across the entire organization.

There are two important key records management-related components of a solution that will help insure that your organization meets today's compliance requirements. These components include records retention and electronic records management.

With regard to records retention, the records management program must ensure that financial records are retained for the mandated time periods so they can ultimately support financial statements. Don't listen to any-

one who says there is one time period for all financial records. The SOX related retention requirements are only a few of the 10,000+ Federal and state laws and regulations that govern records retention. Financial records, audit reports, audit work papers, documentation of internal controls, and the multitude of other record types all have specific retention requirements.

Electronic records management is the second key component. Now that many companies rely heavily on electronic data and electronic documents, it is critical that electronic records management is included in a formal compliance strategy. The requirements must include physical and electronic information maintained on any and all storage media. It must encompass records that exist in the form of email, voice mail and communications maintained on any messaging systems utilized by the company.

As record-keeping technology and the laws governing them continue to evolve, organizations that take strategic approaches to effective records management will be able to handle information more efficiently and ensure compliance with federal regulations and legal statutes.

Ken Neal is Director of Corporate Communications for Océ Business Services.

He can be reached at kenneth.neal@oce.com

Océ Business Services is a global leader in document process management and electronic discovery.

For more information, please visit www.obs-innovation.com.

Featured Resources

RMRT Annual Report:

<http://www.archivists.org/saagroups/recmgmt/governance/2008AnnualReport.pdf>

SAA Annual Report

<http://www.archivists.org/periodicals/2008AnnReport.pdf>

SAA August Council Meetings Reports

<http://www.archivists.org/governance/minutes/min0808.asp>

Bailey Steve. "Defining Records Management 2.0." futurewatch blog.

<http://rmfuturewatch.blogspot.com/2007/08/defining-records-management-20.html>

National Archives. "Presidential Libraries, Laws & Regulations."

<http://www.archives.gov/presidential-libraries/laws>