

NYALGRO School 2008

Keynote Address

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Get the basics in place! If you don't have the "conventional records management" basics in place, don't even *think* about jumping into electronic records.

- Inventory (what you have—both conventional and electronic)
- Retention schedules (how long to keep, and why)
- Policies and procedures (what to do, when, why, by whom, etc.)
- Funding for records management
- Staffing for records management
- Relationships with operating units, legal advisers, and IT are a must—the Records Manager is a **mediator** between these groups. Trust is a big deal, no matter what the scale of government.

Some differences between managing conventional records (paper, etc.) and electronic records:

- Inventory has to include **systems** (no one collects details on file cabinets), including such functions as backups and access controls.
- Electronic records created or received by persons who have left the employ of your local government will be difficult to find and access.
- Employees feel even more possessive about electronic records (especially email) than they do about traditional records (do you have an records ownership policy in place?—see Policies & Procedures).
- Long-term preservation of electronic records is a BIG problem!

How and Where to Start

- Assess your organisation's business needs and scale (scale matters); tie them into records management.
- Find someone in your local government who really wants help, has decision-making authority and some money.
- Study "100 Rules for NASA Project Managers" (see Resources)
- Find and employ a consultant who has experience with the needs and problems of *small* local governments, as well as electronic records (IME, consultants new to government *always* underestimate the complexity of the situation).
- Start small—do a pilot project (suggestion: avoid email—it's *never* small).
- Fix the problems in the pilot project until it really works (ask the users—your opinion doesn't count)
- Once your users are convinced the pilot project really works, then use your success as bait for one or two other projects, and make sure *they* succeed.
- Never assume. Never.

Standards

- What is a Standard? “A technical standard is an established norm or requirement. It is usually a formal document that establishes uniform engineering or technical criteria, methods, processes and practices. A primary standard is usually under jurisdiction of a national [or international] standards body.” (Wikipedia). As opposed to a “de facto” standard, an industry practice, or a market-dominant product.
- Which Standards (national vs. international—use both)? Examples: ISO 15489 “Information and documentation - Records Management”, ISO 19005-1 “Document Management - Electronic document file format for long term preservation - Part 1: Use of PDF 1.4 (PDF/A-1); ISO 19115 “Geographic information - Metadata”
- Should you use Standards?
- MoReq vs. DoD 5015.2

Where to Go for Help:

- SARA RAO
- SARA “Central”
- SARA workshops
- SARA publications
- Documents published online (see Resources list)
- Records management listserv (someone out there has already solved your problem, so don’t be bashful—ask)
- Feedback from other local governments—anyplace, not just New York State!

Useful Resources for Electronic Records Management

Study & Advice

Byte-ing Off What You Can Chew: Electronic Records Strategies for Small Archival Institutions by Terry Cook, Archival Studies Programme, University of Manitoba, Winnipeg, Canada. Originally published in Archifacts April 2004.

(http://www.aranz.org.nz/Site/publications/papers_online/terry_cook_paper.aspx)

Policies & Procedures

Note for File: A Report on Recordkeeping in the Australian Public Service, Australian Public Service Commission, (<http://www.apsc.gov.au/mac/noteforfile.htm>)

E-Mail Guidelines for Managers and Employees, Rockefeller Archive Center Collaborative Electronic Records Project (<http://archive.rockefeller.edu/CERP/pdf/emailguidelines.pdf>)

Australian Government Information Management Office (AGIMO) (<http://www.agimo.gov.au>) has excellent publications on email management.

Standards

Model Requirements for the Management of Electronic Records—Update and Extension (2008 MoReq2), (European Commission)

http://ec.europa.eu/transparency/archival_policy

or

<http://www.DLM-Network.org>

Design Criteria Standard for Electronic Records Management Software Applications (DoD 5015.2-STD, version 3-final, 2007 04 25) - U.S., Department of Defense

<http://www.dtic.mil/whs/directives>

General

Australian National Archives (<http://www.naa.gov.au/records-management/publications/index.aspx>).

Records management listserv (start from <http://www.arma.org/rim/listserv.cfm>).

Project management: "100 Rules for NASA Project Managers"

http://appl.nasa.gov/ask/issues/14/practices/ask14_lessons_madden.html

or

<http://www.astech-engineering.com/systems/avionics/aircraft/nasaprojectmanagement.html>