



New York State Archives




Everyone's a Records Manager

Maria McCashion, CDRPC Local Government Workshop 2017



Agenda

- Records management roles & responsibilities
- Essential records management activities
- Tips for managing your own records and supporting the work of your RMO
- State Archives services



Records Management Basics

- Records are evidence of transactions, activities, and functions
- Records created by government officials are government property
- Governments must manage their records
 - From creation to disposition
 - Regardless of format
 - No matter where they reside



Legal Roles and Responsibilities

- Records Management Officer (RMO)
- CEO and Governing Board
- All Government Officials
- State Archives



Does your government have a local law for records management?





Essential Activities



Exerting Control


- Formal inventory
- Appropriate storage space
- Boxes, labels, shelving, cabinets
- System for rotating records
- Database locator



Little Known Fact about Storage

- Agreements for storage of local government records
- In non-local government facilities
- Must meet criteria set by State Archives
 - www.archives.nysed.gov/common/archives/files/mr_pub42.pdf
- And be approved by the State Archives
- Applies to storage of electronic data



**THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / SEASIDE, NY 11578**
www.archives.nysed.gov

State Archives and Historical Documents Section
120 State Street
Albany, New York 12242
518-474-8200
www.archives.nysed.gov

[Insert Date]

[Name of Government]

[Street Address]

[City, State, Zip]

The Name of Local Government requests permission to store electronic records with Name of Service Provider in accordance with 8 NYCRR 185.9, Storage of records in non-local government facility.

The Name of Local Government has reviewed the contract provisions with Name of Service Provider and determined they are in compliance with the New York State Archives' guidelines documented in the State Archives' advisory, ADVIS061, Using a Data Storage Vendor.

Signature of Local Administrator/Officer _____

Title _____

The State Archives hereby grants the Commissioner of Education's consent for Name of Local Government to store its electronic records with Name of Service Provider.

Name of State Archives/Commissioner/Officer/Officer _____

Date _____



Records Access

- Define access procedures
- Develop public access tools
- Know laws relating to records access
- Balance access with care of records



Records Scheduling

- Use State Archives records schedule
- Keep only what is required
- Appraise minimally for historical value
- Implement schedule regularly
- Destroy obsolete records appropriately



Exceptions to the Schedules

- Created before 1910
- Subject to legal proceedings or audit
- Not scheduled
- Have significant historical value
- Not under State Archives direct jurisdiction
 - Birth, death, marriage records
 - Canceled obligations
 - Court records



Destroying Records Prematurely

- Records damaged by disaster
- Information mostly destroyed or obliterated
- Records a health or safety risk
- Must get permission from State Archives



Why shouldn't you just
save everything forever?



Revisions to Commissioner of Education Regulations 2008

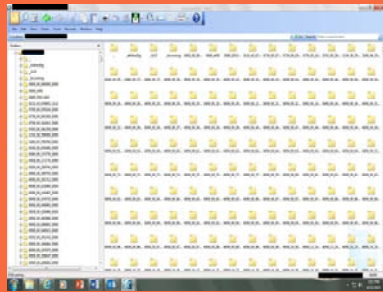
- Electronic copy can be the official copy, provided...
- Local governments follow Section 185.8
- www.archives.nysed.gov/records/mr_laws_reg185.shtml



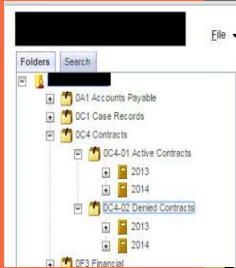
Section 185.8 - Electronic Records

- Ensure records retention is incorporated into electronic system
- Ensure records are accessible & usable for full retention period
- Develop documentation for permanent records
- Prepare preservation copies of permanent records & store offsite
- Ensure media integrity





Scans with good file plans, we find them!



Preservation

- Involves managing
 - Environment
 - Storage
 - Physical format
 - Handling
 - Security
 - Conservation measures



Disaster Management

- Identify vital and valuable records
- Identify risks
- Reduce most risks now
- Assess potential impact of ongoing risks
- Prepare response plan to minimize impact
- Contact RAO





Basic Strategies



Address ER

- Opportunity rather than threat
- New legal rules and decisions that emphasize control, retention, training
- Some standards and models
- Increasing number of automated solutions



Balance the Ideal with Reality

- There are few perfect answers
- Know requirements, standards, best practices
- But balance against your resources
- And environment and culture



Coordinate, Liaison, Network

- Advisory or coordinating boards
- IT staff
- Managers
- Legal counsel



Records Management Resources



Your RMO

- Oversee and coordinate records program
- Liaison with other departments
- Delegate responsibility as needed
- Constantly promote the program
- Follow State Archives guidelines



The Law

- Arts & Cultural Affairs Law
 - Requires that records be managed
- Regulations of the Commissioner of Education
 - Primer on records management in NYS
 - Updated as needed
- Available on our website
 - www.archives.nysed.gov/records/mr_laws.shtml



State Archives Resources

- www.archives.nysed.gov
- Site visits
- Customized training and special events
- Samples and models
- Publications and advisories
- Support for developing
 - Policies and procedures
 - Needs assessments
 - Work plans



State Archives Resources

- Host a workshop or special event
- Invite Regional Advisory Officer to meetings
- Provide office retention schedules
- Distribute publications



LGRMIF Grants

- Local Government Records Management Improvement Fund
- Awards can be up to \$150,000
- Types of grants
 - Individual and Shared Services (Competitive)
 - Disaster Recovery (Non-Competitive)
- Funds a variety of records management projects
- Apply electronically



Project Categories

- Disaster Management
- Inactive Records
- Historical Records
- Files Management
- Document Conversion and Access
 - Reformatting
 - Record Systems
 - GIS