The Dark Arts in Records Management

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Training
Train who? Records Management Department staff *only*. Why and how; things that go bump in the dark; checklists, milestones and metrics.

Data entry
How to ensure better accuracy, completeness and consistency, with a minimum of direct staff supervision.
Training

• Why?
• How?
• At the beginning: a checklist.
• Further along: the syllabus – milestones & metrics, of a sort.
• Things that go bump in the dark...
## Training: Checklist

<table>
<thead>
<tr>
<th>Administrative, Departmental</th>
<th>Responsibility</th>
<th>Assigned to</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide new employee with departmental policy and documentation (Training Syllabus, Principles, Patterns, SOPs, Terms &amp; Definitions, Research Reference Sources)</td>
<td>RMD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Storage vendor account login and password.</td>
<td>Storage vendor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>How to enter events on the Group Calendar.</td>
<td>RMD</td>
<td></td>
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</tbody>
</table>
Training: Syllabus

The syllabus is composed of learning stages. Each Stage lists:

• A description
• Significant factors
• Duration of the Stage
• Training Documents used in that Stage
Stage 1: Inventory, data entry, and the Records Management Application.

- **Description:** basic inventory and data entry into the Records Management Application. Trainee is shown how to enter boxes (create boxes, folders, projects, assign and change status; assign a location), and how to enter production statistics into the tracking report.

  NOTE: select **one** records series from a single department. The record series shall be very simple and time-based. Examples: Accounting and HR personnel records.
Training: Syllabus

Stage 1 (continued):

Significant factors:

- Lots of oversight by an experienced Analyst.
- All data entry is reviewed by an experienced Analyst.
- Provide trainee with as much context as possible.
Stage 1 (continued):

- **Duration**: when the error rate drops below 1 folder in 20 (1:20), move to Stage 2.
  - **NOTE**: Review the training approach if the trainee does not meet this goal after 35 hours of starting this Stage.
During this Stage, the trainee is briefed on the mission and history of EDC to provide more context.
Training: Syllabus

Questions about the training approach?
Data Entry

• Why?
• Accuracy
• Completeness
• Consistency
• Error rates
• Supervision
Data Entry

Why?

So you know:

• WHAT you have,

• WHERE it is,

• HOW QUICKLY you can get it back, and

• WHEN you can GET RID of it.
Data Entry

Accuracy is ....

• How precisely your description matches your content:
  – Correct dates (WHICH dates)?
  – Correct terms (WHOSE terms)?
  – Correct retention period?
Data Entry

Completeness is ....

• Getting all of the information you need,

  BUT

• How MUCH information do you REALLY need?

• The quantity / quality trade-off...
Data Entry

Consistency is ..... 

• Same dates, terms, etc., each time:
  – for THOUSANDS of records,
  – for YEARS and
  – for ALL records analysts!
Data Entry

Error rates

• ACCEPT THE REALITY, but
  – Decide ahead of time what rate is acceptable.

• OFFSETS can minimise the errors:
  – Which data sets can be used to compensate for errors.
Data Entry

Supervision....

• VERIFYING the data entry:
  – Who?
  – How?
  – How often?
Data Entry

Some tools to help data entry:

• Principles
• Patterns
• Standard Operating Procedures (SOPs)
• Glossary
• Resources Reference Guide
Data Entry

*Principles, a manual of style:*

The information should go from the specific to the general. Describe the document-specific details first (document type such as “Contract” or “Request for Proposal”) and the subject matter after. (Project Name, usually).

• Example: Amendment – Nnnn II School for Bbbbb Children. The user doing the search will call up all the documents related to a project (in this case, the Nnnn II School). When reading the search results, the details (what differentiates this hit from all the other hits related to the Nnnn II School) should come first in the screen.
Data Entry

**Principles** (continued):

- **Acronyms**
  - Spell out
    - Except EDC, IDA, FSC, PDC, MBA, RFP, RFEI, SEQR(A), CEQR(A), RIMS
  - No periods
  - No spaces between letters
  - Can put acronym in (PARENS)
Data Entry

*Principles* (continued):

- **Dates**
  
  Use the most recent date in the file for the end date.
  
  - Except contracts – Use the date that the contract became active, i.e. the execution date.
  
  - If there is a month and year but no day given, use the last day of the month.
Data Entry

Patterns

A form of *template* for each record series (group of related records, e.g., Accounts Payable).
Data Entry

*Patterns (continued):*

For ACC-02 Accounts Payable:

1. Department: ACCT or Accounting (although for some years, FIN or Finance)
2. Project: 10 or General (or for Finance, 24 or General)
3. Box Title: [Agency or Fund/Division] [Vendor name if there is only one vendor] Pinks FY [4-digit Year]. You can abbreviate the name of the agency (EDC, FSC, IDA, Apple, TCR).
Data Entry

Patterns (continued):

For ACC-02 Accounts Payable (continued):

4. Folder Title: [Vendor Name, full name, see how it appears on the check] – [Fund or Division for EDC, EDC if no Fund or Division lists, or other agency names for non-EDC pinks] Pinks Fiscal Year [####]

5. Folder Comment: alternate name for the vendor, alternate name for division/fund or record type

6. End Date: last date of the Fiscal Year, 6/30/####

7. Record Series: ACC-02
Data Entry

*Standard Operating Procedures (SOPs)*

The SOP describes an individual task, step by step.

The purpose of an SOP is two-fold:

• It serves to train new staff, and

• It helps staff remember how to do a task not often performed.
Data Entry

*Standard Operating Procedures (SOPs)*

Some examples of SOPs:

- L2 Box Re-Inventory
- Orphan or found records inventory
- L2 Box inventory by sampling
- Non-L2 box re-inventory
- Second review of boxes
- How to Process Analog Media
Data Entry

SOPs (continued):

L2 Box Re-Inventory

“Legacy records” are those inventoried several years ago, when the metadata requirements were not well understood. The project to re-inventory these records is known as the “L2 project”.

They can be done by sampling; see BOX SOP - L2 Box inventory by sampling
SOPs (continued):

L2 Box Re-Inventory (continued)

Procedure

In the Autonomy Records Manager system,

1. Change Status to “BOXED ON SITE.”
2. Delete content of Box Description field.
3. If any folders or Redwelds are associated with the box, update the Folder Type from “ZCON” to “Folder”, “Redweld”, or “Box” as appropriate.
   a) For information: The term “ZCON” is sometimes also found under Records Series (see 6 (b), below).
Data Entry

Glossary

The glossary serves several purposes:

• It establishes a naming usage, and
• It defines terms
Data Entry

Glossary

A

A-133 Audit – Federal Audit of Expenditures According to OMB Circular A-133
AAP – Affirmative Action Plan
ABO – New York State Authority Budget Office
AC – Audit Committee
ACOE – Army Corps of Engineers
ACRIS – Automated City Register Information System
ACM - Asbestos Containing Material
ACS – American Community Survey
ADCIRC – Advanced Circulation Model
Data Entry

Resources Reference Guide

The Resources Reference Guide directs analysts to sources of information about the records.
Data Entry

Resources Reference Guide

**Project Central**

**What it is:** Internal database used by EDC project managers to track projects.

**How we use it:**

- **Projects:** Information regarding projects (name, location, description)
- **Contracts:** Contract end dates
- **Procurement:** Procurement titles, response due dates

**Record Series:** CO-01, CO-02, CO-03, CO-06, CO-07, FA-02, CP-02
Data Entry

Resources Reference Guide (cont’d)

**ACRIS** (Automated City Register Information System)

**What it is:** NYC Department of Finance database with property records and documents related to property transfer transactions

**How we use it:** Can verify if EDC land sale transactions were successfully closed.

**Record Series:** Secondary resource database, useful for RE-01, RE-02, LE-03, LE-04
Review:

Training
Why and how; things that go bump in the dark; checklists, milestones and metrics.

Data entry
How to ensure better accuracy, completeness and consistency, with a minimum of direct staff supervision.
Questions?

Please do NOT take the copies of the documents we brought today. If you want one of them, contact us and we’ll email it to you.

Jim: jandrisani@edc.nyc
Fred: fgrevin@edc.nyc

And ..... Many thanks to our host, White & Case!
Session Surveys

Please help us improve our offerings by answering this short survey...

How do you rate the session’s subject matter?
- Poor
- Fair
- Good
- Excellent

How do you rate the session’s speaker(s)?
- Poor
- Fair
- Good
- Excellent

I gained skills and information that are applicable to my job?
- Strongly Disagree
- Disagree
- Agree
- Strongly Agree

Please provide any additional feedback about this session:

How do you rate the venue?
- Poor
- Fair
- Good
- Excellent

How do you rate the food/refreshments?
- Poor
- Fair
- Good
- Excellent

Based on my experience at this session, I will attend a future ARMA Metro NYC event?
- Strongly Disagree
- Disagree
- Agree
- Strongly Agree

Please provide any additional feedback or comments about the ARMA Metro NYC Chapter:

Please remember to fill out BOTH sides of the survey.