



New York City Records Management Conference

New York City Department of Records

August 30, 2007

Agenda

- **Welcome/Introductions**
- **Keystone NYC Records Initiatives**
- **NYC Records Innovation Committees**
- **Questions**
- **Next Steps**

Welcome/Introductions

- **Conference Goals**

- Introduce new vision for records management in NYC
- Formally launch keystone initiatives
- Invite feedback and participation in new vision for records management in NYC

- **Conference Attendees** (please see Appendix 1)

- **Conference Materials**

- **Remarks**

- NYC Department of Records – Brian Andersson, Commissioner
- NYC Mayor's Office – Anthony Crowell, Counselor to the Mayor
- NYS Archives – Christine Ward, Assistant Commissioner

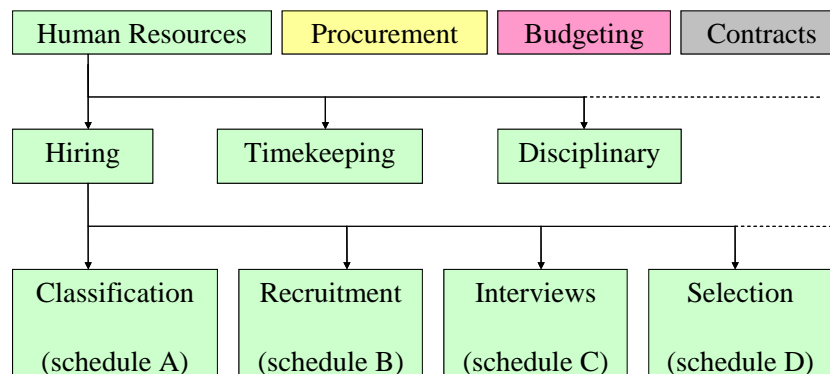
Keystone Initiatives: Retention Schedule Redesign

- **Current Retention Schedule Design**

- Outdated retention schedules with duplicative and overlapping series
- 1 Document Type = 1 Retention Schedule
- No quick, easy way to “connect” a document to its schedule or business function
- Limited use of technology

- **Vision for Future Retention Schedule Design**

- Modern retention schedules streamlined for citywide use
- 1 Business Function = 1 Retention Schedule
- A logical structure connects each business function to its schedule



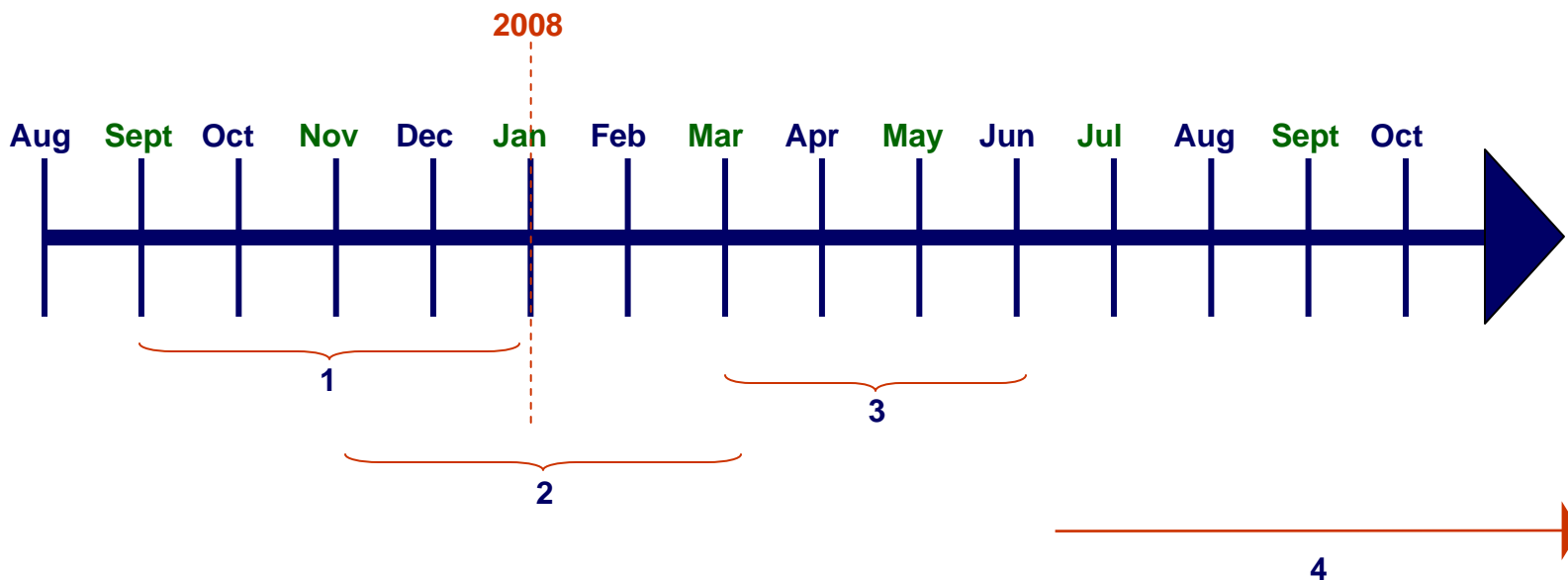
- Increased leveraging of technology

Keystone Initiatives: Retention Schedule Redesign (cont.)

- **Proposed Approach**

1. Identify and evaluate options
2. Define and document template
3. Define and document technical requirements
4. Design new, streamlined retention schedules

- **Proposed Timeline**



Keystone Initiatives: Offsite Storage Assessment

Current storage arrangements for NYC records do not meet goals for record integrity, accessibility, or management effectiveness.



Outdated shelving technology at Queens warehouse.



Records undergoing “re-boxing” at Queens warehouse due to improper packing at agencies.



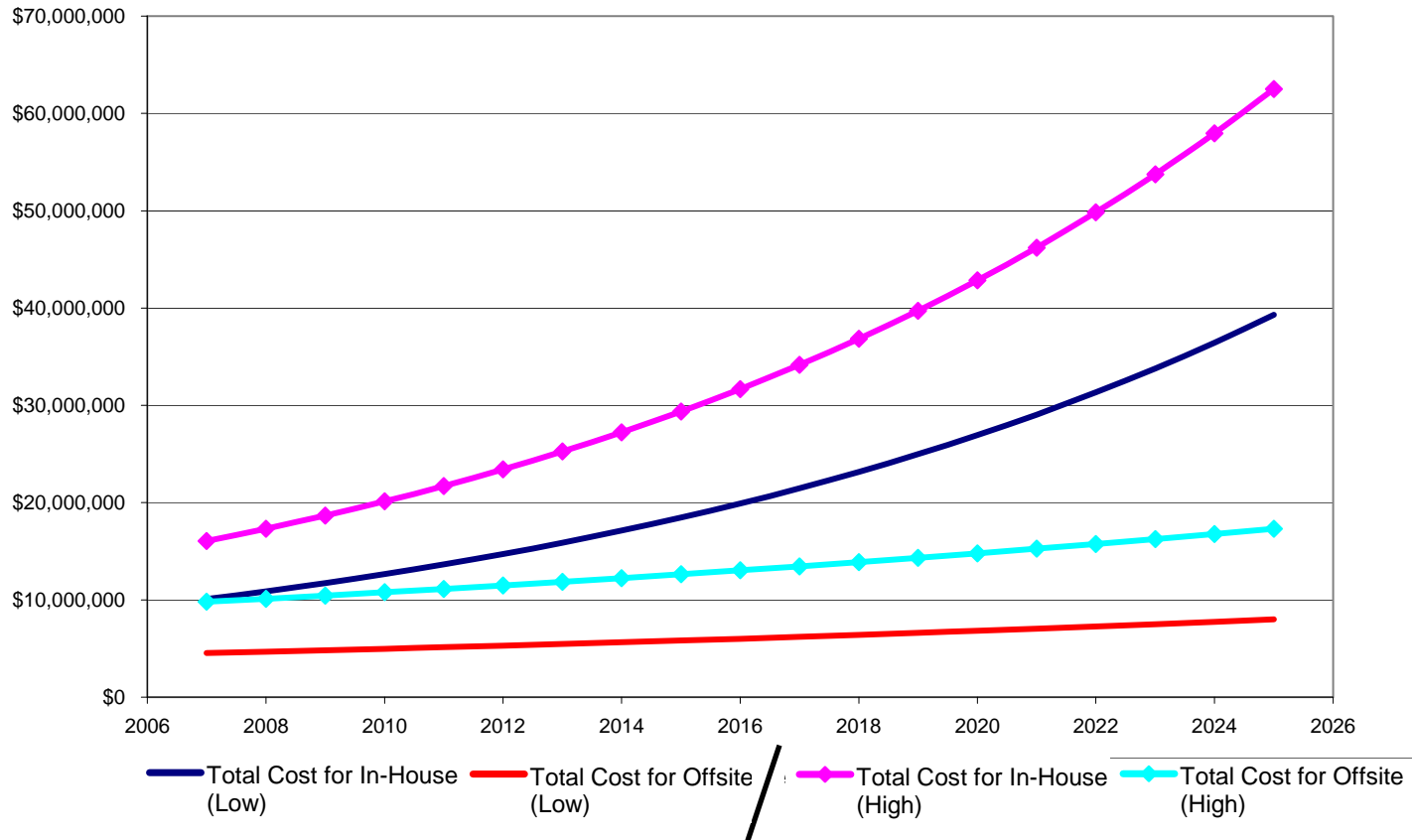
Records awaiting “re-filing” at Queens warehouse after being requested by agencies and returned to storage.



Capacity at Brooklyn warehouse waiting to be filled with boxes stacked in aisles.

Keystone Initiatives: Offsite Storage Assessment (cont.)

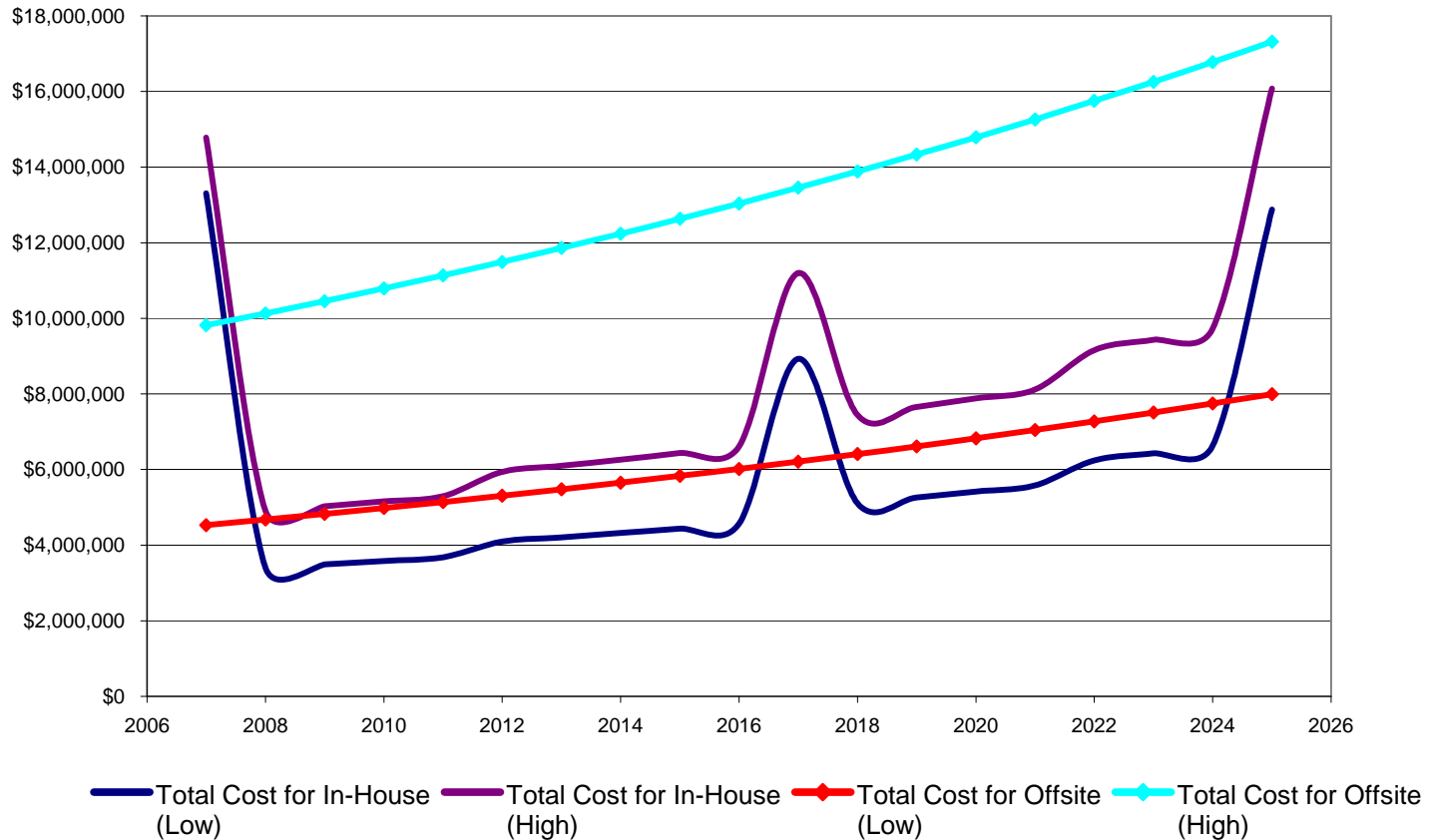
As with many municipalities, analysis of reveals that offsite storage can offer the City superior services at lower costs than a similar in-house operation¹. It also can help the City effectively staff a function that likely will become outdated in the future as documents become increasingly electronic.



¹ In-house cost estimates are based on the opportunity costs of storage space and the operational costs of staffing for quality services. Offsite cost estimates include both operational costs and fixed costs, such as warehouse technology, box tracking technology, and web-based customer service. As a result, in-house estimates are likely conservative.

Keystone Initiatives: Offsite Storage Assessment (cont.)

Even when using significantly lower staffing figures and real estate estimates in the analysis of in-house versus offsite records management options, offsite storage remains a viable solution to improving service levels while limiting long-term investments in additional staff and capital¹.



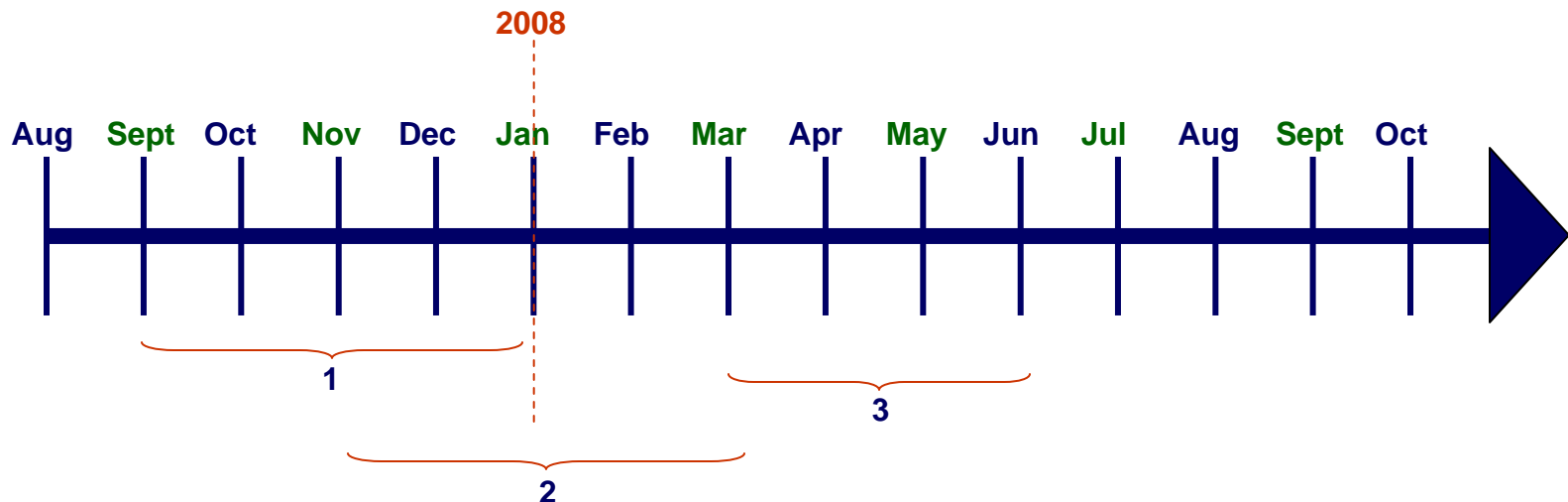
¹ In-house cost estimates are based on the actual costs of storage space, shelving costs, and the operational costs of staffing for quality services. Offsite cost estimates include both operational costs and fixed costs, such as warehouse technology, box tracking technology, and web-based customer service. As a result, in-house estimates are likely conservative.

Keystone Initiatives: Offsite Storage Assessment (cont.)

- **Proposed Approach**

1. Survey agencies for volume and retrieval estimates
2. Conduct Request for Information (RFI) for price estimates
3. Work with OMB to assess different offsite storage models

- **Proposed Timeline**



Keystone Initiatives: Electronic Records Management Strategy

- **Leading Practices**

- Retention schedules that reflect both paper and electronic documents
- Electronic retention practices that are an integral part of the work process, not a separate approach
- Strong technology infrastructure and support
- Use of Electronic Content Management (ECM) software that offers document management, web content management, records management, document imaging, document collaboration, and workflow

- **NYC Practices**

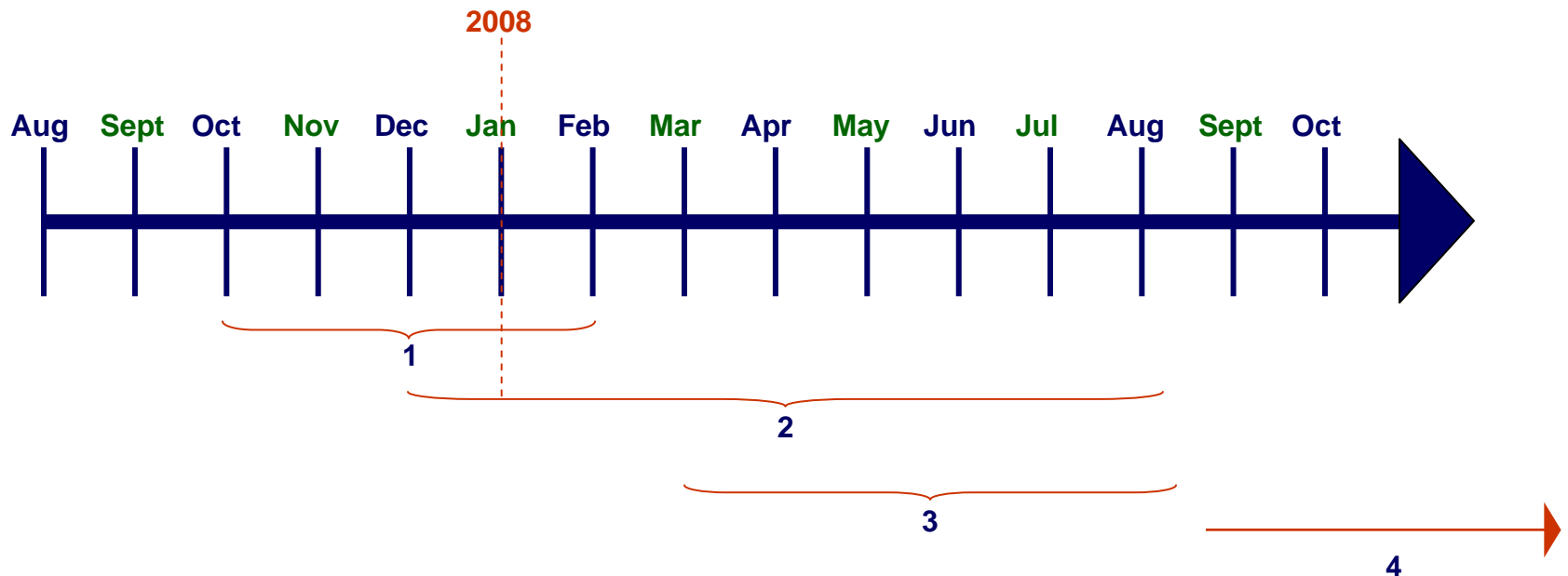
- Retention schedules do not reflect paper and electronic documents
- Limited electronic retention practices
- Limited records management technology
- Limited use of ECM software

Keystone Initiatives: Electronic Records Management Strategy (cont.)

- **Proposed Approach**

1. Partner with other agencies to identify and evaluate options
2. Define and document procedures (short-term and long-term)
3. Define and document technical requirements
4. Procure and implement appropriate technology

- **Proposed Timeline**



NYC Records Innovation Committees

- **Proposed Committees and Committee “Deliverables”**

- Retention Schedule Committee
 - Leading Practices Research
 - Review of Retention Schedule Template
- Offsite Storage Committee
 - Agency Survey
 - RFI “Skeleton”
 - Review of RFI
- Electronic Records Management Committee
 - Leading Practices Research
 - List of Key Procedures (short-term and long-term)
 - Review of Draft Key Procedures (short-term and long-term)

- **Proposed Committee Structure**

- Voluntary (please see Appendix 2)
- Meet every other month
- Chaired by NYC Department of Records

Next Steps

- **Establish NYC Records Innovation Committees** (please see Appendix 2)
- **Kick off keystone initiatives**
- **Schedule next NYC Records Management Conference**

Questions?

Appendix 1: NYC Records Management Conference Attendees

Abolition	Adzes	Human Resources Administration
Albino	Ana	Department of Investigation
Alden	Gary	Department of Records
Allen-Howard	Marquette	Department of Investigation
Allen	Ken	Department of Health & Mental Hygiene
Andersson	Brian	Department of Records
Ante man	Joan	Department of Probation
Antipas	Eileen	Department of Finance
Armoring	Finnie	New York State Unified Court System / Office of Court Administration
Blount	Maria	Battery Park City
Boatswain	Pearl	Records, Department of
Bowen	Rebecca	Department of Small Business Services
Bradford	Stephanie	Department of Design & Construction
Brady	Frank	Department of City-wide Administrative Services
Brewer	Jean	Office of Labor Relations
Camelot	Joseph	District Attorney, Queens
Curare	Ronald	District Attorney, Richmond (Staten Island)
Caruso	Paul	Mayor's Office
Coffin	Jay	Police Department
Cases	Sarah	Department of Consumer Affairs
Clarke	Cecil	Department of Corrections
Cobb	Ken	Department of Records
Colon	Diane	City University of New York

Appendix 1: NYC Records Management Conference Attendees (cont.)

Connell	Brian	Civilian Complaint Review Board
Cox	Aysha	Hudson River Park Trust
Crowell	Anthony	Mayor's Office
D'Andrea	Adrian	Health & Hospitals Corporation
de Bary	Susan	Department of Buildings
Diaz	Julio	New York Supreme Court (Manhattan)
DiGiacomo	Diane	Business Integrity Commission
Dolan	Sgt. Robert	Police Department
Donahue	John	Department of Youth & Community Development
Donahue	Phil	Board of Elections
Dijon	Claudette	Department of Homeless Services
Ernest	Donna	Department of Housing Preservation & Development
Farley	Dan	District Attorney, New York (Manhattan)
Flannelly	Eileen	Department of Records
Forsythe	Terrence	Office of Emergency Management
Fravien	Romain	Office of Management & Budget
Gallagher	Mary E.	Tax Appeals Tribunal
Glary	Peter	Office of Collective Bargaining
Kittens	P.O. Mark	Police Department
Glick	Andrea	Mayor's Office of Contract Services
Goldin	Emma	Department of Probation
Green	Vincent	Department of Investigation

Appendix 1: NYC Records Management Conference Attendees (cont.)

Henry	Ashie	Office of the Chief Medical Examiner
Higgins	Malachy	Department of Law
Hill	Annette	Department of Finance
Howard-Williams	Cherron	Office of Administrative Trials & Hearings
Hughes	Meryl	Metropolitan Transportation Authority
Joe	Richard	Department of Records
Johnson	Emily	Department of Information Technology & Telecommunications
Johnson	Kenneth	Administration for Children's Services
Katz	Alan Paul	City Council
Kimball	Wilson	Battery Park City
Kirvin	Kerri	Landmarks Preservation Commission
LaCasse	Sue-Ann	Transit Authority, New York City
Landow-Feigel	Jackie	Office of Management & Budget
Lowry	David	New York State Archives
Lundy	Diana	Campaign Finance Board
Malandro	Frank	District Attorney, Richmond (Staten Island)
Malina	Richard	City University of New York
Margolis	Paul	Department of Youth & Community Development
Martinez	Patricia	Department of Homeless Services
Matias	Toni	Department of City-wide Administrative Services
Mazess	Josh	Office of the Comptroller
McMahon	Margaret	Landmarks Preservation Commission
McSweeney	Michael	City Clerk

Appendix 1: NYC Records Management Conference Attendees (cont.)

Mittelman	Judith	Department of Human Resources Administration
Mojica	Edward	Department of Corrections
Mussington	Rena	Department Probation
Nalevanko	Haleena	Department of Small Business Services
Newson	Brian	Office of Payroll Administration
Pack	Arnold	Health & Hospitals Corporation
Pandolfi	Frances	Health & Hospitals Corporation
Parnes	Brenda	New York State Archives
Patterson	Angela	Department of Probation
Poretzky	Michael	District Attorney, Kings County (Brooklyn)
Qandil	Samar	Department of Environmental Protection
Razefsky	Jason	Borough President, Staten Island
Ricci	Carol	Borough President, Queens
Ringle	Norman	Department of Education
Roberson	Carol Ann	Police Department
Robinson	Brett	Office of Management & Budget
Ross	Jean	Mayor's Office
Russo	Angela	Department of Education
Ryan	RoseAnn	Mayor's Office of Environmental Coordination
Samuelson	Debra	Department of Information Technology & Telecommunications
Seguine	Ed	Department of Finance
Shapiro	Irene	New York City Housing Authority
Shatzer	Linda	City University of New York

Appendix 1: NYC Records Management Conference Attendees (cont.)

Simpson	Charmaine	Department of City-wide Administrative Services
Standora	Chris	District Attorney, Bronx
Stulgaitis	John	Office of Administrative Trials & Hearings
Sulik	Kim	Surrogates' Court
Taylor-Fink	David	Procurement Policy Board
Tezen	Martin	Teachers' Retirement Board
Todman	Winston	Department of Law
Tollin	Matthew	Department of Information Technology & Telecommunications
Torres	Alexandra	City University of New York
Torres	Alma	Commission on Human Rights
Tripathi	Parmod	Department of Parks & Recreation
Turetsky	Doug	Independent Budget Office
Vazquez	Ray	District Attorney, Bronx
Villanueva	Andrew	Department of Probation
Walker	Patricia	Department of Probation
Ward	Chris	New York State Archives
Washington	Regina	Department of Fire
Whitehead	Shana	Mayor's Office of Operations
Wilson	Jeffery	Department of Records
Yusuf	Bibi	Voter Assistance Commission

Appendix 2: Volunteer for a NYC Records Innovation Committee

Start learning and contributing today! Just print your name next to the committee you are interested in joining and leave it at the door on your way out.

Retention Schedule Committee

Yes! Please sign me up.

Name: _____

Email: _____

Phone: _____

Offsite Storage Committee

Yes! Please sign me up.

Name: _____

Email: _____

Phone: _____

Electronic Records Management Committee

Yes! Please sign me up.

Name: _____

Email: _____

Phone: _____