

## **Policy for Cleveland Museum of Art Records**

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## **POLICY FOR CLEVELAND MUSEUM OF ART RECORDS**

### **1. Introduction**

#### **1.1 Records**

Every year the Cleveland Museum of Art generates a large amount of recorded information. Much of this recorded information constitutes *records* as defined by this policy. Museum records are critical to the operation of the institution. Records protect the museum's legal rights and its ownership of property, ensure compliance with government and business regulations, and provide the means for keeping its constituency informed of its activities, operations, and accomplishments. They document the care, security, ownership, and changing conditions of the collection. Records also provide the knowledge of the institution's history that is essential for internal communication and decision making. They are also the primary materials for historical and other essential research. The goal of this policy for museum records is to ensure that the museum's documentary heritage is preserved and appropriately maintained.

#### **1.2 Ownership**

All records created by Cleveland Museum of Art employees during the performance of their jobs are the property of the museum. Records must be managed by staff from the point of creation and may not be discarded, deleted, or removed from the museum except in accordance with formal procedures as outlined in this policy.

#### **1.3 Records Management**

The museum utilizes *records management* principles to effectively control records. The ISO 15489 standard defines records management as "the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records". The practice of records management includes the following activities: creating, approving, and enforcing records policies; developing and maintaining a records storage plan; identifying and classifying records; managing access to records; and executing retention policies.

### **2. General Records Policy**

#### **2.1 Definition of "record"**

Information is recorded in many different types of formats including but not limited to paper, email, electronic document software, spreadsheets, web pages, databases, analog and digital audio files, analog and digital video files, photographs, and ephemera. Not all recorded information constitutes a record. The ISO defines a record as "information created, received, and maintained as evidence and information by an organization or person in pursuance of legal obligations or in the transaction of business". A record has value as evidence of institutional activity.

## 2.2 Record Retention

The museum retains records for varying lengths of time which is determined by a number of factors including fiscal and legal requirements, and historical value. The length of time records are to be retained is codified in *records retention schedules* for each department which lists types of records and how long they are to be kept. Records retention schedules list types of records by series. A *record series* is a set of records grouped together because they relate to a particular subject or function, or result from the same activity. All records fall within series. Related records are efficiently managed as a group. Departmental schedules include both series that may be common to many offices and series that are unique to each office. The vital schedule lists the museum's most important records, and those that must be recovered following a disaster. Records schedules are posted on the Ingalls Library web site. Access is password protected.

## 2.3 Vital Records

A *vital record* is recorded information, regardless of format, that must be protected in the event of an emergency or disaster because of severe consequences to the museum if the record is lost or destroyed. These are the records that document the museum's most important legal, administrative, and fiscal decisions and policies. Most are highly confidential and must be afforded the highest security. Vital records are records that will be needed in anywhere from a few minutes to twenty-four hours after a disaster. They are records that, if lost or destroyed, would be both costly and time consuming to recreate. They can be *active* (currently in use in museum offices) or *inactive* (in archives storage). For these reasons vital records are listed on a separate records retention schedule.

Protection of vital records is the responsibility of all museum employees. Protection of vital records allows the museum to minimize disruption after an emergency, minimize any economic impact of a disruption, provide for rapid restoration of services, and comply with legal requirements. The primary protection method for vital records is through duplication and dispersal. Vital records that are produced in multiple or electronic copies (e.g. audit reports, board minutes, budgets) should be sent to archives immediately upon publication with signed, finalized originals sent to archives according to the records schedule. If a vital record is in electronic format the hardware or software used to create the records also needs to be protected. Further information on disaster recovery can be found in the museum's disaster recovery plan.

## 2.4 Staff responsibilities

If in the performance of your job you create records as documented on record retention schedules, you have a responsibility to maintain those records from the point of creation in a secure and manageable environment. You also have an obligation to dispose of records in an appropriate manner, whether that be by sending them to archives, deleting them from museum servers, shredding, or other means of disposal. It is critical to remember that all records created by Cleveland Museum of Art employees during the performance of their jobs are the property of the museum, must be managed

from the point of creation, and may not be discarded, deleted, or removed from the museum except in accordance with formal procedures as outlined in this policy.

## **2.5 Departmental Records Officers**

To facilitate the management of records in museum offices a *records officer* is designated for each department. The records officer serves as the liaison between museum staff and the records management office. The duties of this position include assisting staff with paper and electronic *file management* with particular attention to vital records, coordinating the timely transfer of records to the archives, facilitating the disposition of records in offices that are at the end of their life cycle, and reviewing departmental records schedules for necessary updates and changes.

## **2.6 The Role and Responsibilities of the archives and records management office**

The archives department manages two separate but integrated functions. Records of permanent historical value are housed on site in secure collection storage and in an off line electronic server. Records transferred to the museum archives become the property of the archives. The archive staff *process* permanent records according to archival standards and make them available to staff and patrons conducting museum research depending on the level of confidentiality of the records.

The archive also serves as the records management office for the museum. The museum archivist is also the museum records manager. In this capacity the archivist is responsible for creating and enforcing records policies; *appraising* both active and inactive records; conducting departmental *records surveys* in order to identify existing and newly created records; researching, writing, and updating records retention schedules; providing for and managing off site storage of non permanent records; providing access to records in archives custody; and properly disposing of records that have reached the end of their *life cycle*.

## **3. Records Management Practices Within the Museum**

### **3.1 Managing active analog records**

An analog record is one that is not digital (electronic). Analog records can be in a wide variety of formats such as paper documents, photographs, slides, audio tapes, video tapes, vinyl banners, T- shirts, buttons, ribbons, plaster casts, and limestone samples (all of which reside in the museum archives).

#### **3.1.1 The importance of records retention schedules**

Recorded information must be identified as a record in order to be managed properly. Once identified records are listed in retention schedules that detail how long they are to be kept. It is critical that museum staff who create records be familiar with the vitals record schedule and their departmental record schedule. Records schedules look like this:

**THE CLEVELAND MUSEUM OF ART  
RECORDS RETENTION AND DISPOSITION SCHEDULE**

Item #	Record Title (other titles)	Description	Retain in Office	Retain in Archives	Total	Comments
1.						

CY = calendar year    A = active (project is ongoing)    P = permanent    \*P = permanent, retain in office of origin

**Item #:** Records are listed numerically from one to however many are necessary for each department.

**Record Title:** This is the common name by which a record series is known. If record series are known by any other titles or nicknames this is included in the record title.

**Description:** If the record series title is not self explanatory or needs clarification of any kind, further description about the series is provided here.

**Retain in Office:** The length of time a record series remains in museum offices. Records may remain in offices only as long as they are active, or for some period of time as inactive records for reference purposes before being transferred to archives. This is usually expressed in terms of years (i.e. CY + 4 years). A record series is given the designation A (active) if it is not appropriate to designate the retention in terms of years. Records that remain in departmental offices permanently are designated \*P.

**Retain in Archives:** The length of time a record series remains in archives. This period of time may be temporary or permanent. If records are permanent in the office (\*P) this number will be 0 (zero).

**Total:** This is the total retention for the record series, expressed in terms of years. If the total retention is permanent (P) the record series will be stored on site. If the total retention is not permanent the record series will be stored at the record center. Records are retrievable from the record center normally in twenty-four hours. Rush orders may be requested for critical needs.

**Comments:** If records require special handling or further explanation of the retention period is required it is expressed here.

### **3.1.2 Paper File Management**

Physical records must be identified, *authenticated*, organized, and indexed in some fashion. They must be stored in such a way that they are accessible, secure, and safeguarded from environmental damage.

#### **3.1.2.1 Identifying paper files**

Folder names are the primary identifiers for records. Consistently named folders within departments foster collaboration based on the mutual understanding of how to name files. They also provide for purposeful file sharing. All departments should have *file naming conventions* in place for their staff to use. Management of file naming is an appropriate responsibility of the departmental records officer who can ensure that everyone is using the same file naming techniques. This mechanism will guarantee that all files related to a specific topic or project can be identified quickly and accurately should the need arise.

#### **3.1.2.2 Authentication**

It is assumed that records created by CMA staff are authentic, meaning they have not been altered in any way nor are they forgeries. Questions of authenticity can arise in lawsuits whereupon forensic experts may be required to authenticate a record.

#### **3.1.2.3 Organization**

Records must be organized into filing schema according to departmental file naming conventions in appropriate filing cabinets. Records that are common to all members of a department should be stored in a central filing location. Files that are specific to individual staff members can be filed in a central location or individual offices. Confidential files should be in locked file cabinets, either in a central location or in individual offices and desks. It is recommended that departments institute “*clean desk*” policies. Clean desk policies reduce the threat of security breaches and have been scientifically shown to reduce stress. A clean desk policy includes the following elements: computer workstations must be secured when a workspace is unoccupied and shut down at the end of each business day (museum computers automatically power down when idle); confidential information must be locked away when a workspace is unoccupied and at the end of each business day; file cabinets that contain confidential information must be kept closed and locked; keys used for access to confidential information must not be left at an unattended desk; computer passwords must not be left on sticky notes posted on or under computers nor may they be left written down in an accessible location; printouts containing confidential information must be immediately removed from shared printers and copiers; confidential information must be disposed of by shredding; and all employees must secure their workstations before walking away for any reason.

#### **3.1.2.4 Indexing**

Certain museum record series necessitate specialized indexing systems such as art object files which are arranged by accession number. However, it is not usually necessary to create an artificial indexing system for museum records that have been organized into accepted departmental filing schema. In fact, doing so often creates problems for future employees not familiar with the system. Cross reference indexes such as “by date” or “by location” cards for correspondence may be

appropriate and should be implemented with departmental approval and with full knowledge of the departmental records officer.

### **3.1.3 Non paper analog records**

Records such as photographs, audio tape, ephemera, and other formats can be organized and filed in the same manner as paper records unless to do so would be complicated or confusing to museum staff. It is often best to retire ephemeral and memorial items to archives as soon as they become inactive to ensure that they are properly cataloged, described, and housed.

## **3.2 Managing active electronic records**

The explosion of information created in electronic formats means that new record keeping skills are required. Each employee is responsible for correctly identifying and managing electronic records at the point of creation. This shift implies significant cultural change in attitudes and behavior towards record making and use. Of particular concern is the ability to retain, access, and read electronic records over time.

### **3.2.1 The status of electronic records within the museum**

Most records are created by museum staff in electronic formats. An *electronic record* is a record created, generated, sent, communicated, received, or stored by electronic means. Electronic formats include but are not limited to word processing, spreadsheets, databases, image files, and audio files. Rather than being stored in paper filing cabinets these records are primarily stored in computer filing systems. The desktop computer has become the institutional filing cabinet. This filing cabinet is not visible to the user as are paper filing cabinets but take up space nonetheless. It is critical to remember that electronic records take up space like paper records and that space is finite. The general principles of records management apply to both paper and electronic records. However, electronic records raise specific issues. It is more difficult to ensure that the content, context, and structure of records is preserved and protected when they do not have a physical existence. And unlike physical records, electronic records cannot be managed without a computer or other machine. It is particularly important to be able to retain and have access to electronic records over time.

#### **3.2.2.1 Shared drives and project plan rooms**

Employees are provided with space on museum servers and hard drives for the storage of records. Each department is assigned space on the F: drive where most records are required to be stored. [Computer hard drives are not appropriate for storage of museum records.] This space is shared by departmental staff. Folders should be created to store records according to departmental filing schema and to associate records by project or type in the same manner that paper records are associated with each other. Access to departmental folders is controlled through security and permissions rather than by segregating records. Access rights to folders are granted by the department head as is appropriate. Records created and stored

on museum servers are subject to records retention schedules. They must be transferred to the archive at the end of their life cycle. Arrangements for transferring electronic records should be made through the departmental records officer, archives, and department of information management and technology services. At the time of transfer all software applications must be identified to the archives.

Electronic records are also associated in project plan rooms, formerly “all staff” folders. The museum recognizes that for exhibitions, programs, and special functions records must be shared interdepartmentally and with colleagues from other museums and institutions. Records to be shared that relate to specific projects, exhibitions, and events, are to be done so in project plan rooms established by the department of information management and technology services. A records officer must be designated for a project plan room who is responsible for the maintenance of all records and communications within the plan room and the ultimate transfer of plan room records to the archives. Records officers must be identified to the archivist when designated. Access to records and communications within the project plan room are controlled through security and permissions.

#### **3.2.2.2 Departmental databases**

Some departments maintain large internal databases to manage collections, projects, and ongoing work. These databases are managed by the department with the assistance of the department of information management and technology services. These databases are records that are included in departmental records retention schedules as permanent in the office. Legal or fiduciary requirements may exist for the transfer of database information to archives. These requirements are detailed on departmental records retention schedules and must be fulfilled according to the schedule.

#### **3.2.2.3 The appropriate use of personal folders and internal and external hard drives**

Employees are also provided with a private folder on the F: drive, designated as a “personal” folder which is to be used for confidential records such as annual employee reviews, drafts of documents not ready to be shared, and records that are for your eyes only. It is expected that personal folders not be used for the storage of non work related items such as personal images, audio-visual files, and personal documents. Computer hard drives may be used for the storage of copies of records but are not to be used as the primary storage site for museum records. Records that are created and saved to laptop computers and/or external storage devices (for example, when traveling) must be transferred at regular intervals to appropriate folders on museum servers for access and storage until the end of their life cycle.

The museum recognizes that employees may want to download personal images, music, and other electronic files to share with other employees or for other personal uses. It is recommended that whenever possible employees store personal music,



video, image, and other files to an external hard drive provided by the employee in consultation with the department of information management and technology services. Within reason, personal files may be downloaded to computer hard drives. If an employee's computer hard drive becomes full, the employee will be required to remove personal files and, in consultation with their departmental records officer and museum archivist, determine if museum records are present that should be archived or destroyed.

For further information please refer to the CMA Electronic Communications Acceptable Use Policy.

#### **3.2.2.4 File and folder naming conventions**

A file name is the primary identifier for a record. A file name provides *metadata* that places the record in context with other records and records series. Because electronic records may be part of a record series that includes paper files, file naming policies for electronic records should fit logically with paper file naming conventions. Folders and files should also be named in such a way as to identify them with their corresponding record series.

There are several general issues to consider when naming electronic files and folders. With assistance from departmental records officers employees need to determine what metadata to collect and include in file and folder names. The use of metadata in folder or file names will help ensure the long term usability of records and help meet legal requirements for accessibility. It is also important to determine the official copy of a record. Oftentimes multiple copies of drafts of records are sent to multiple employees (usually via email) resulting in an exponential increase in unofficial versions of records. Maintaining appropriately named official copies in shared departmental folders and project plan rooms will help to alleviate this problem. Finally, departmental records officers should provide guidance to staff on file naming. Folders and files should be named using plain language whenever possible to avoid confusion. If acronyms or abbreviations are used they should be logical and decipherable. File names must outlast the record creator who originally named the file.

Common folder/file naming elements may include the following:

- Version number (e.g. version 1, v1, vers1)
- Date of creation (always in the format yyyy-mm-dd to conform to metadata and other standards)
- Name of creator (e.g. Mary Smith, MSmith)
- Description of content (e.g. media kit, medkit)
- Name of intended audience (e.g. general public, public)
- Name of group associated with the record (e.g. Board of Trustees, BOT, Trustees)

- Release date
- Publication date

These elements can be used at different structural levels to identify and associate records to a record series.

#### **3.2.2.5 Email, text, and instant messaging as tools of communication**

Email, text, and instant messaging have largely replaced person to person and telephone communication and have become an integral part of regular museum operations. Email communication produces recorded information within the email system. Most of this recorded information is not a record. 90% of all email received by the museum is spam. Of the remaining 10%, only 1% or less constitutes a record. The museum email address clevelandart.org is to be used for official museum business. Incidental and occasional personal use is permitted, provided that it does not interfere with the conduct of normal museum business. Employees may want to establish web based personal email accounts through providers such as yahoo and hotmail.

Employee email accounts are designated as record or non-record accounts [see Appendix A]. Record accounts are accounts of temporary or enduring value whose contents are retained for legal or historic reasons. Non-record accounts are generally administrative and contain routine correspondence, none of which is classified as a record of temporary or enduring value according to the corresponding records schedule. Employees with record accounts are responsible for identifying emails that are records and managing them within the email system to document ongoing, active conversations with other CMA staff, colleagues, vendors, and associates or removing them to the appropriate network folder along with transmittal information and any attachments. This may require creating a folder within a network folder to hold an email and its attachment in order that they remain associated with each other. Alternatively, email records and their attachments may be printed out and stored with paper files. It is important that all transmittal information be included. Incoming and sent emails that need to be retained within the email system to document ongoing business should be filed in appropriately named folders and not the "In" and "Sent" boxes. Contents of the "deleted" folder will be permanently deleted every thirty days. Specific guidelines on managing email as a tool of communication can be found in [Appendix B]

Instant messaging, text messaging, and voicemail are not records and must not be used to transmit information that is a record without having an appropriate record copy in an electronic or analog file.

#### **3.2.2.6 The role of the department of information management and technology services**

The department of information management and technology services assists museum offices with the selection, installation, and management of computer

hardware and software applications that support museum work. The department provides ongoing training on software applications in order to ensure that employees maintain the necessary computer skills to efficiently perform their job duties. The department ensures that database systems function properly and the records contained therein are properly managed and preserved. The department also works closely with the archives in order to ensure the ongoing preservation of these databases and other electronic records. Among these databases are the collection management system, facilities management system, financial and human resource management system, and event management system. Management of museum servers is a critical function of the department. In order to perform this function and to ensure that unauthorized or potentially dangerous software applications are not downloaded to museum servers the department has access to and may monitor shared departmental and personal folders and hard drives. For further information please refer to the CMA Electronic Communications Acceptable Use Policy. The department also assists staff in transferring records from servers to the archives.

### **3.3 The digital asset management system**

The digital asset management system is used to consolidate digital asset storage into one location thereby reducing duplicate storage and effort, and ensuring consistency of the end product. The system allows for multiple metadata schemas and the mechanisms to reconcile those schemas to facilitate searching of disparate types of assets. Digital assets that are included in the system are created by a number of museum departments for different purposes. In many cases they serve as surrogates rather than original records. The management system is the final repository and catalog for these assets. The department of information management and technology services is responsible for the implementation and management of the digital asset management system.

### **3.4 Managing inactive analog records**

#### **3.4.1 Transferring analog records to the archives**

The transfer of records to the archives is a cooperative effort between the transferring office and archives staff. Records must be transferred to the archives according to records retention schedules. Review schedules annually to ensure an orderly and timely transfer of records. Contact the archives to obtain archival quality boxes and instructions on how to safely pack paper and other analog records. Follow these general guidelines when preparing analog records for transfer to the archives:

- Review records for items that may be discarded. See Appendix C.
- The archives will provide acid free cubic foot boxes for permanent records and records not yet scheduled, and record storage cartons for records scheduled for destruction.

- Transfer records from hanging files and three ring binders to labeled file folders.
- Make sure file folders are meaningfully labeled according to departmental filing schemas. This is the information used to retrieve records for reference purposes. File titles must reflect the content of the files in order to be retrievable.
- Keep files in original order, as maintained in filing cabinets and drawers.
- Completely fill a box before using another; however, do not overfill boxes.
- Place files on end in boxes; i.e. do not place files flat in the box.
- Do not place records with different retention schedules in the same box, if possible.

#### **3.4.2 Destruction of non permanent analog records**

Records that are not scheduled for permanent retention and are not confidential may be discarded by department staff at the end of their life cycle. Records at the end of their life cycle that are confidential must be shredded. Large confidential shredding bins provided by the records center are available in designated office areas. Departments may also use personal shredders. Records in archival custody are reviewed annually for eligible destructions. A list of records eligible for destruction is prepared and sent to department heads who must authorize the destruction. Once authorized, records are shredded by the records center provider. Procedures for the authorization and destruction of records are found in Appendix D.

### **3.5 Managing inactive electronic records and email**

Although electronic records do not take up physical space it is important to remember that they take up space on museum servers. If departmental space on museum servers is full, arrangements can be made with the department of information management and technology services to remove semi-active records to an off line storage medium that can be stored in museum offices for reference use. At the same time these records should be transferred to the archives for storage. This will ensure that the records are preserved through the end of their life cycle. Inactive electronic records must be transferred to the archives according to departmental records schedules.

#### **3.5.1 Transferring electronic records to the archives**

Records retention schedules should be reviewed annually to ensure the timely transfer of electronic records to the archives. Review electronic folders to make sure appropriate file titles have been assigned to folders and files and make any necessary corrections. Contact the archives staff when electronic records are ready for transfer. In consultation with the department of information management and technology services, the archives will manage the transfer of electronic records from departmental servers to the off line electronic records server. See Appendix E for electronic records transfer procedures.

### **3.5.2 Transferring email records to the archives**

Record accounts are transferred to the archives one year after the termination of employment or at periodic intervals as determined by the record creator in consultation with the archives and the department of information management and technology services. Non-record accounts are deleted 90 days after the termination of employment. See Appendix F for email transfer procedures.

### **3.5.3 Destruction of non permanent electronic records**

Electronic records not scheduled for permanent retention may be deleted from museum servers at the end of their life cycle. Non permanent electronic records that reside in the electronic records archive will be deleted by archives staff. Non permanent records stored on external media must be appropriately erased or the media destroyed. The department of information management and technology services will provide assistance with the destruction of records residing on external media.

## **3.6 Employment Termination**

Upon termination employees are required to complete the separation procedures outlined on the department of human resources check out form. The purpose of completing this form is to ensure that all financial obligations to the museum are met and that all equipment, library materials, and museum records are returned, transferred, or accounted for before a terminating employee leaves. Supervisors are charged with the responsibility of initiating the termination process. Employees must hand carry the form or schedule appointments with the required offices for clearance. Museum records created by the terminating employee must be reviewed by the archivist and departmental records officer in order to determine their proper disposition. Records may be retained in the office for use by departmental staff and/or replacement for up to ninety days. The terminated employee's personal folder will also be reviewed and removed.

## **Appendix A**

### Email Record Accounts and Non-Record Accounts

Email accounts of terminated employees are kept active for departmental use for one year after termination and then either archived or deleted. Museum email accounts are divided into two types: Record Accounts and Non-record Accounts.

**Record Accounts:** Record Accounts are accounts of temporary or enduring value whose contents are retained for legal or historic reasons. These accounts are transferred to archives one year after termination of employment, processed according to archival principles using records retention schedules, and saved in the electronic records archive. Record Accounts include:

- Director's office
- Deputy Director of Administration
  - Director of Auxiliary Services
  - Director of Facilities
  - Assistant Treasurer and Controller
  - Director of Human Resources
  - Director of Information Management and Technology Services
  - Director of Protection Services
- Deputy Director and Chief Curator
  - Executive Assistant to the Chief Curator
  - Curators
    - Curatorial Assistants and Fellows
  - Director of Collections Management
  - Conservators
  - Director of Education and Public Programs
  - Exhibitions, all staff
  - Director of Library and Archives
  - Director of Performing Arts, Music and Film
    - Associate Director of Music
    - Associate Director of Film
  - Director of Curatorial Publications
- Deputy Director and Chief Advancement Officer
  - Development Department, all staff
  - Strategic Initiatives, all staff
  - Director of Marketing and Communications
    - Assistant Director of Communications
    - Assistant Director of Audience Research and Development
    - Assistant Director of Visitor Experience
- Director of Design and Architecture
  - Associate Director of Design and Architecture

Non-record accounts contain only routine correspondence, none of which is classified as a record of temporary or enduring value according to the corresponding records schedule. Generally, these types of accounts are administrative in nature. Accounts that will be deleted one year after termination with the exception of accounts listed above:

- Auxiliary Services
  - Distribution services
  - Event Management
  - Food service
  - Museum store
- Facilities
  - Construction Services
  - Engineering
  - Building services
  - Grounds
- Finance and Accounting
- Human Resources
- Information Management and Technology Services
- Protection services
- Collections Management
  - Registrar's Office
  - Photographic and Digital Imaging Services
- Education and Public Programs
- Ingalls Library
- PAMF managers
- Curatorial Publications
- Marketing and Communications
  - Creative Services
  - Visitor Experience
- Design and Architecture
  - Designers
  - Exhibition Production

## Appendix B

### Managing Email as a Tool of Communication

#### Best practices for email maintenance:

1. Folders: Make folders inside Outlook where you can file important email. Examples of filing schema include:

- 1) **Chronologically**: putting the year first in the file name will organize your projects chronologically.
- 2) **By Project or Subject**: naming folders by project will make your list of projects or subjects alphabetical.
- 3) **By Person**: some find it useful to file email by recipient/sender. If you favor this strategy remember that you can always sort folders by “TO” and “FROM.” For example, if you file multiple people in one project folder, later you can organize that folder alphabetically by person. Not subdividing projects by person will help keep your filing scheme simpler.

2. Sent mail: Sent mail is important because it contains the records that you create. Generally the most significant emails are those that you create or reply to. Best practices for managing your sent mail:

- 1) **Meaningful subject line**: Creating consistent and meaningful subject lines will help you sort and file your sent mail by project or subject. For example, each email regarding strategic planning could start with the label [strategic plan].
- 2) **File**: Periodically file your important sent mail. If you have used meaningful subject lines, you can sort by subject and pull whole groups of emails into folders. Sorting by who you sent the email to will also help with filing.
- 3) **Delete**: Sort your sent mail by “to” and delete all personal emails. Sort your sent mail by “icon” and delete all calendar items. Sort by “attachment” and delete all attachments that are stored elsewhere.

3. Inbox: Act upon an email right after you read it. Actions include:

- 1) **Delete**: If it is routine in nature (an acknowledgement of receipt, a spam message, an email from a listserv) delete it immediately after reading. The email will remain in the deleted folder for 30 days and then be permanently removed from the system.
- 2) **File**: If the email is needed to document ongoing business, file it in an appropriately named folder.
- 3) **Flag**: Outlook allows you to flag emails you can’t act on immediately for follow up. You can also tell Outlook to send you a reminder.
- 4) **Reply**: Once you reply to an email from your inbox, a copy of the conversation is included in your sent mail. This means that if you do not need to file a copy for reference you can delete the email from your inbox.

*Helpful hint*: Your inbox allows you to sort by “icon.” This will organize all of your email by type (those you have replied to, those you have not replied to, calendar items, etc.) Sorting by “icon” will help you batch delete emails.



#### 4. Attachments.

- 1) **Internal use:** instead of sending a document via attachment, consider sending a link to where the document resides on shared drives. This will prevent multiple copies of a document and will reduce the size of email accounts.
- 2) **Save the attachment outside of email:** if you save the attachment outside of the email system it is not necessary to keep a copy in your email. This is especially true when the email serves only as a letter of transmittal (for example, the only text in the email is: “see attached”).

5. Archive records: Record accounts contain information that should be sent to archives periodically per record retention schedules and individual work flow. Folders of email should be transferred to archives when they are no longer active (see appendix F for transfer procedures).

6. Schedule time to maintain your account: Schedule time to periodically catch up on filing, sorting, and deleting your email. This will keep your email from becoming overwhelming and will ensure that records and our storage resources are managed responsibly and efficiently.

SAA Museum Archives Section Working Group Example

## **Appendix C**

### **Transferring Analog Records to Archives**

- Review records and records schedules annually to determine records ready for transfer
- Request boxes from Archives staff
  - approximate the number of boxes you will need
  - are the records permanent or scheduled for destruction
- Prior to packing
  - Review records for items to be discarded. The following categories of documents may be discarded if they are not original to your office or if they are duplicates. When in doubt, contact the archives staff for clarification:
    - Drafts – Archives should receive the final version of a document only. Transfer drafts only when significant comments or annotations appear.
    - Routine correspondence – These include letters of transmittal or cover letters, meeting announcements, address changes, invitations, acknowledgements, reservations, confirmations, travel itineraries, and routine requests for general information such as brochures or catalogs.
    - Memoranda – Only those memoranda sent by your department or of a substantive nature should be transferred to archives. Discard those concerning routine matters such as holidays, vacation schedules, etc. Retain those concerning policies, procedures, and collections.
    - Routine departmental administrative files – These include routine purchase orders, travel vouchers, time sheets, leave applications, and training files.
    - Requests for service/photography/digital images
    - Press releases and news clippings – The archives receives official press releases and media kits from the office of marketing communication.
    - Minutes and related reports not generated by your office
    - Calendars – These are only selectively retained for the director's office and museum cabinet.
    - Reference and general information files – These are files maintained for reference purposes only containing articles and other material from other institutions or vendors.
    - Miscellany – This category includes multiple copies of documents or images; supply and vendor catalogs; advertisement and promotional materials; and obsolete equipment manuals and warranties.
  - transfer records from hanging files and 3-ring binders to labeled manila folders
  - make sure all files are meaningfully labeled (it's how we retrieve records for you)
- When packing
  - keep records in the original order, as maintained in filing cabinets and drawers
  - place files on end, NOT flat in boxes

- completely fill a box before using another, however, do not overfill boxes
- keep records with the same retention period together, where possible
- Fill out a records transfer form
  - [http://library.clevelandart.org/museum\\_archives/records\\_transfer/transfer\\_form.php](http://library.clevelandart.org/museum_archives/records_transfer/transfer_form.php)
  - the transfer form is available on the CMA intranet or the Ingalls Library website.
  - to access the records transfer form and records schedules from the library:
    - <http://library.clevelandart.org/> login with id/password cma/cma; click Museum Archives; then click Records Management from the pop down menu; the transfer form is the first link
  - all fields marked with a red asterisk are required fields
  - the Contact is the person who is packing records and filling out the form
  - the Creator is the person(s) who created the records
  - fill in a description for each box that you are transferring; be detailed enough to facilitate retrieval for research, but the form only allows for 255 characters
  - use the tab key or mouse to move to a new box; using the enter key will submit the form
  - click Submit when you have finished entering boxes; if you are transferring more than ten boxes, complete another transfer form
  - you will be provided with a receipt for the transfer which will include an accession number and box numbers
  - print out a copy of the receipt for your records and a copy for each box to be transferred
  - label each box, in pencil, with its accession number and corresponding box number and place a copy of the receipt on top of the files inside each box
  - your transfer is sent to the archives database and we will arrange pick up the boxes

## **Appendix D**

### **Destruction of Non-Permanent Records**

#### **Records Residing in Departmental Offices**

- Departmental records and records retention schedules should be reviewed annually by staff to determine if records are ready for transfer to the archives or destruction.
- Analog records that have reached the end of their life cycle and are not confidential may be discarded by staff by recycling.
- Confidential analog records that have reached the end of their life cycle must be shredded. Departments may use personal office shredders or deliver confidential records to archives for shredding.
- Electronic records that have reached the end of their life cycle may be deleted from museum servers. Non permanent electronic records stored on external media (e.g. DVD) must be appropriately erased or the media destroyed. Contact the department of technology services for assistance with the destruction of records residing on external media.

#### **Analog and Electronic Records Residing in Archives**

- Long term storage of non permanent analog records is facilitated through a commercial records center.
- The archives staff annually reviews records that are scheduled for destruction.
- A list of analog and electronic records eligible for destruction is sent to department heads for their review and authorization to destroy.
- Once all authorizations have been received by the archive, the list of record cartons authorized for destruction is sent to the records center. Any records with questionable destruction dates or contents are reviewed. The archivist authorizes the final destruction list for the records center.
- The records center destroys all records by shredding and sends a final destruction list to the archive.
- Non permanent electronic records are deleted from the electronic record archive by the archivist.

## Appendix E

### Transferring Electronic Records to Archives

- Review records and records schedules annually to determine records ready for transfer
- Review records for items to be discarded (see Appendix C: Transferring analog records to archives)
- Make sure that the folder structure and file names are meaningful (it's how we retrieve records for you)
- Fill out the records transfer form for each folder of records you are transferring. Choose the highest level in the folder structure that provides a meaningful group. Each main folder of electronic records will be considered a box for the purposes of the transfer form.
  - [http://library.clevelandart.org/museum\\_archives/records\\_transfer/transfer\\_for\\_m.php](http://library.clevelandart.org/museum_archives/records_transfer/transfer_for_m.php)
  - the transfer form is available on the CMA intranet or the Ingalls Library website.
  - to access the records transfer form and records schedules from the library:  
<http://library.clevelandart.org/> login with id/password cma/cma; click Museum Archives; then click Records Management from the pop down menu; the transfer form is the first link
  - all fields marked with a red asterisk are required fields
  - the Contact is the person who is packing records and filling out the form
  - the Creator is the person(s) who created the records
  - fill in a description for each folder that you are transferring; be detailed enough to facilitate retrieval for research, but the form only allows for 255 characters
  - use the tab key or mouse to move to a new box; using the enter key will submit the form
  - click Submit when you have finished entering the transfer; if you are transferring more than ten boxes, complete another transfer form
  - you will be provided with a receipt for the transfer which will include an accession number and box numbers; ignore the box numbers when transferring electronic records
  - print out a copy of the receipt for your records
- Physically transfer the records
  - create a new folder in the \_FILETRANSFER folder in the archives all staff folder <file:\\M:\Archives\ FILETRANSFER>
  - name the folder with the accession number provided by the transfer form receipt
  - copy or drag and drop the folders of records to the accession folder
  - archives staff will remove the records from the all staff folder to an offline electronic records server

- if you will be transferring confidential records, please call the archives (2492 or 2660) prior to transfer so that we can immediately remove the records from the all staff folder to the confidential electronic records server.
- if you will be transferring a large number/size of records, please contact the archives, so that we can coordinate the transfer through the IT department

SAA Museum Archives Section Working Group Example

## Appendix F

### Exporting MS Outlook folders and accounts to PST for transfer to Archives

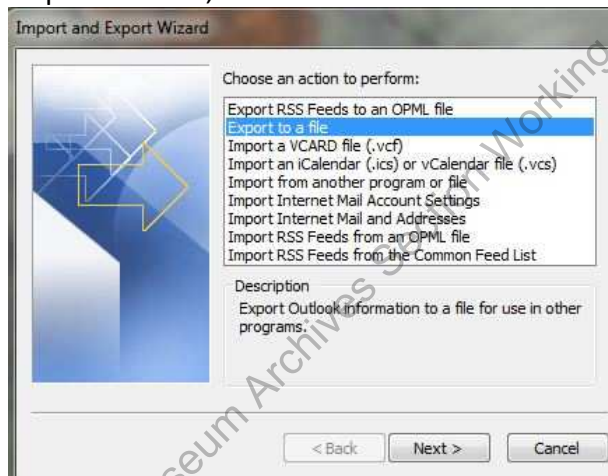
There are two situations when PST files exported from record email accounts will be transferred to Archives.

- 1) One year after termination
- 2) At periodic intervals over the course of employment (for example, emails regarding a closed project, or emails that cover a particular time span)

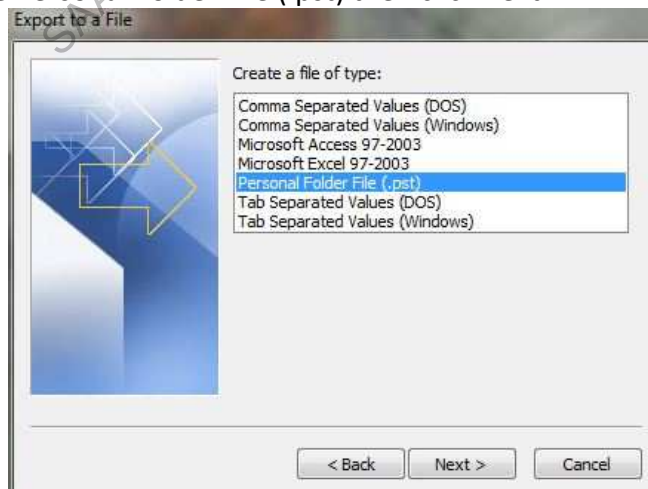
#### Exporting PST files:

NOTE: There are a number of technical choices made when exporting to PST. For assistance please contact Archives staff.

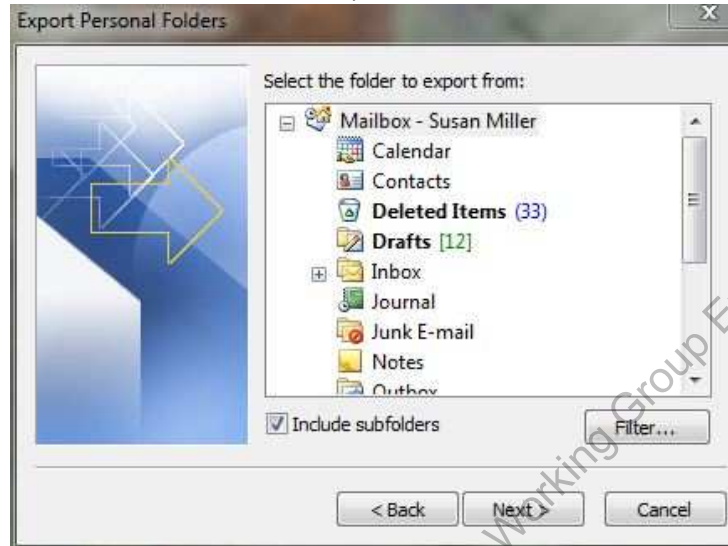
- 1) Navigate to File then Import/export
- 2) Choose export to a file, click next



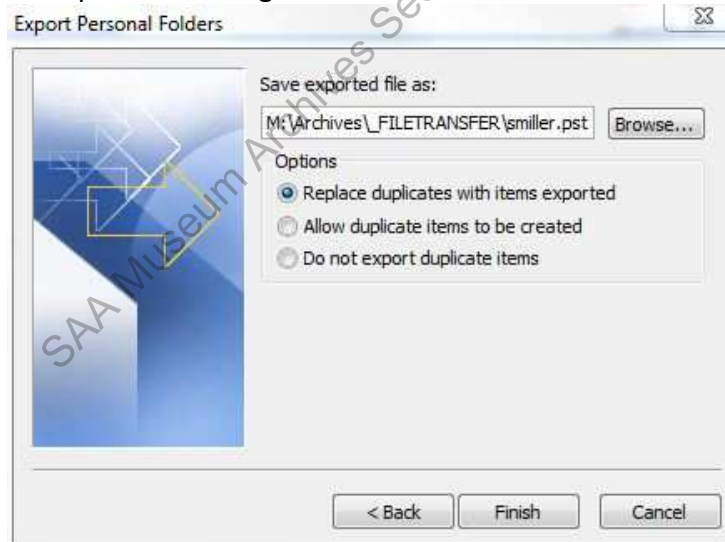
- 3) Choose Personal Folder File (.pst) then click next



- 4) Select the folder you want to export to PST
  - a. FOR ENTIRE ACCOUNTS: Select the “mailbox – your name” folder (this mailbox folder contains all of the folders in your account, including calendar, contacts, inbox, sent mail, deleted mail, any folders you have set up, etc.)
  - b. FOR ONE FOLDER: choose the folder you want to export (to use this option you must have already created the appropriate folder in Outlook)
- 5) Click the “Include subfolders” box, then click next



- 6) Leave the duplicates setting to the default



- 7) Select the file path to the Archives folder on the all staff drive (M:\Archives\FileTRANSFER), and choose a descriptive name for the file that includes your name
- 8) Click Finish