



# OFFICE OF PUBLIC RECORDS AND ARCHIVES

DISTRICT OF COLUMBIA  
DEPARTMENT OF GENERAL SERVICES



Preliminary

## PROGRAMMING REPORT APPENDICES

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**HARTMAN-COX ARCHITECTS**  
WITH **EYP/**



# OFFICE OF PUBLIC RECORDS AND ARCHIVES

DISTRICT OF COLUMBIA  
DEPARTMENT OF GENERAL SERVICES

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## APPENDICES

## APPENDIX A - GLOSSARY OF TERMS

**Access copy:** 1. A reproduction of a document created for use by patrons, protecting the original from wear or theft; a use copy. 2. A digital object (typically a graphic) that has been scaled down from a high-quality original to a lower-quality, smaller version, to facilitate delivery over low-bandwidth networks.

**Accession:** 1. Materials physically and legally transferred to a repository as a unit at a single time; an acquisition. 2. To take legal and physical custody of a group of records or other materials and to formally document their receipt. 3. To document the transfer of records or materials in a register, database, or other log of the repository's holdings.

**Accession Number:** A number or code assigned to uniquely identify a group of records or materials acquired by a repository and used to link the materials to associated records.

**Accretion:** Materials added to an existing collection; an accrual.

**Active Records:** Records that continue to be used with sufficient frequency to justify keeping them in the office of creation; current records.

**Appraisal:** 1. The process of identifying materials offered to archives that have sufficient value to be accessioned. 2. The process of determining the length of time records should be retained, based on legal requirements and on their current and potential usefulness. 3. The process of determining the market value of an item; monetary appraisal.

Notes:

In an archival context, appraisal is the process of determining whether records and other materials have permanent (archival) value. Appraisal may be done at the collection, creator, series, file, or item level. Appraisal can take place prior to donation and prior to physical transfer, at or after accessioning.

The basis of appraisal decisions may include a number of factors, including the records' provenance and content, their authenticity and reliability, their order and completeness, their condition and costs to preserve them, and their intrinsic value. Appraisal often takes place within a larger institutional collecting policy and mission statement.

**Archival Storage Conditions:** An environment suitable for the protection of materials from hazards such as theft, fire, flood, particulates, pests, or vandalism, and from extremes or fluctuations in temperature, relative humidity, or light.

**Archive Box:** A container made from materials appropriate for the long-term storage of archival materials.

Notes:

Archives boxes are usually the size of a document box, and the terms may be used interchangeably. However, archives box emphasizes that it is made from high-quality materials. Archives boxes are distinguished from records center boxes, the latter being made of inexpensive materials and used for nonpermanent records.

**Bay:** A single set of shelves within a row of shelving or shelving unit. A unit of shelving, single or double sided, consisting of horizontal shelves between standards, uprights, or upright frames.

**Born Analog:** Information that was created in a nondigital format and subsequently digitized.

**Born Digital:** Information created in electronic format.

## APPENDICES \ APPENDIX A - GLOSSARY OF TERMS

**Cold Storage:** 1. A technique for extending the life expectancy of materials by keeping them at a temperature below room temperature, thereby reducing the rate of deterioration. 2. An area where materials can be kept at below normal room temperature.

Notes:

Sometimes cool storage (65°F to 40°F) is distinguished from cold storage (40°F to 0°F) or Freezer storage (32°F and below). Because deterioration caused by chemical reactions is directly related to temperature, keeping materials at a lower temperature can significantly slow the effects of aging. A number of standards include precise definitions of cold, based on the materials to be stored.

Cold storage is frequently used to stabilize large quantities of materials. Cold storage is particularly effective for color and nitrate photographs and motion pictures. In cool storage, materials can be paged directly to a reading room without acclimatization. In cold storage, materials must go through a staging process to bring them up to temperature where they can be used safely.

**Cool Storage:** See Cold Storage

**Disposal:** The transfer of records, especially noncurrent records, to their final state, either destruction or transfer to an archives.

**Disposition:** Materials' final destruction or transfer to the archives as determined by their appraisal.

**Document Box:** A container that holds folders containing paper documents vertically and that measures roughly 10 inches high, 12 or 15 inches wide, and 6 or 3 inches deep, and that usually has an integral top hinged at the upper back.

Notes:

Sometimes called a Hollinger Box. Document boxes are typically made from cardboard. They are often neutral gray and lined on the inside with white, acid-neutral paper. Boxes made from lignin-free cardboard are often tan and unlined. They may have a string, handle, or hole on one end to facilitate removal from a shelf. Document boxes made from high-quality materials suitable for long-term storage of archival materials and are often called archive boxes.

**Electronic Records:** Data or information created and maintained in digital form, including electronic messages, databases, websites, etc. Electronic records are often analogous to paper records; email to letters, word processing files to reports and other documents. Electronic records often have more complex forms, such as databases and geographic information systems.

**Inventory:** 1. A list of things. 2. Description: A finding aid that includes, at a minimum, a list of the series in a collection. 3. Records management: The process of surveying the records in an office, typically at the series level.

**Isolation Room:** also quarantine room. A room adjacent to the receiving area where materials suspected of being pest infected or contaminated with mold can be stored. Should be designed as a walk in freezer or provided with a chest style freezer.

**Permanent Value:** The ongoing usefulness or significance of records, based on the administrative, legal, fiscal, evidential, or historical information they contain and that justifies their continued preservation.

**Processing:** The arrangement, description, and housing of archival materials for storage and use by patrons.

## APPENDICES \ APPENDIX A - GLOSSARY OF TERMS

**Processing Room(s):** Areas where holdings are processed separate from the records storage rooms.

**Range:** A length of shelves or bays; also called a row of shelving. Ranges can be single or double-faced when two ranges are attached together.

**Reading Room:** also reference room, research room, search room. A secure area designed for patrons to work with a repository's holdings.

Notes:

A reading room usually has a central desk, finding aids and reference materials for patron use.

**Records Center:** A facility used for low-cost storage of inactive and semi current records before those records are destroyed or transferred to the archives.

Notes:

A records center is frequently located in a warehouse facility, where space is cheaper than in prime office space.

**Records Center Box:** A corrugated cardboard box, approximately one cubic foot, designed to hold either legal or letter size files.

Notes:

A records center box measures approximately 10 × 12 × 16 inches. It is tall enough to hold files vertically, long enough to hold legal folders parallel to the long side, and wide enough to hold letter files parallel to the short side. Frequently, the top is not attached to the body of the box.

**Records Management:** The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.

**Records Schedule:** also disposal schedule, records retention schedule, transfer schedule. A document that identifies and describes an organization's records, usually at the series level, provides instructions for the disposition of records throughout their life cycle.

**Series:** Also records series. 1. A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity; a file group

**Stack(s):** A records storage area

**Temporary Record:** also disposable records. A record of ephemeral value that can be destroyed immediately or after a specified time period.

Notes:

Temporary records are distinguished from permanent records, which must be kept indefinitely.

**Vault:** A specially secured room or cabinet. 2. A safe.

Notes:

In archival repositories, 'vault' connotes a room for storing particularly valuable holdings. Sometimes used in place of stack or records storage area.

## APPENDICES \ APPENDIX A - GLOSSARY OF TERMS

## APPENDIX B - PROHIBITED MATERIALS

Below is a list of materials that must never be used in records storage areas or exhibit cases housing original holdings. It is also recommended that these materials be prohibited in processing rooms, holding areas, and exhibit galleries.

- Asbestos.
- Amine-based products.
- Biocides.
- Lead containing materials.
- Products that release ammonia during cure.
- Products that release peroxide during cure.
- Cellulose nitrate-bearing materials, such as cellulose nitrate lacquers, varnishes, and adhesives.
- Cellulose diacetate fabrics.
- Cellulose acetate fabrics and films.
- Polyurethane products including paints, varnishes and foams, and carpet pads.
- Latex Paint based on vinyl acrylic or styrene acrylic latex. (Acrylic latex is generally acceptable).
- Modified alkyd paints.
- Oil-based and alkyd resin paints and varnishes, and oil-based caulks and glazing compounds
- Acid-curing silicone sealants and adhesives, or similar products that emit acetic acid during cure.
- Most pressure-sensitive adhesives and contact cements and adhesives.
- Unstable chlorine-containing polymers (PVCs), such as polyvinyl chloride and Saran.
- Vinyls, including but not limited to unstable chlorine-containing polymers (i.e., polyvinyl chloride and Saran).
- Sulfur-containing materials in any form that could be released as hydrogen sulfide or mercaptans. These include, but are not limited to, vulcanized rubber, animal glue, wool, cadmium sulfide pigments, and disodium phosphate fire retardant treatments.
- Materials that emit formaldehydes (urea/phenol/resorcinol/formaldehyde), as might be found in interior-grade plywood, hardboard, particle board, and plastic laminates.
- Woods, particularly those known to have high acid content.
- Wood or wood products that are not sealed to prevent off-gassing.
- All combustible furniture.
- Unsealed concrete (due to its production of fine particulate, alkaline dust).
- Self-leveling floor compounds.
- Magnetic ballasts and their florescent lamps unless UV filtered.
- Mercury and metal halide lamps due to their high UV output.

## APPENDICES \ APPENDIX B - PROHIBITED MATERIALS

## APPENDIX C - NEH PRESERVATION ASSESSMENT

In 2012, the National Endowment for the Humanities produced a Preservation Needs Assessment. The remainder of this appendix reproduces their report.

## APPENDICES \ APPENDIX C - NEH PRESERVATION NEEDS ASSESSMENT

Preservation Needs Assessment  
Office of Public Records Archival Administration  
and Library of Government Information  
District of Columbia Archives  
1300 Naylor Court, NW  
Washington, DC  
May 8-9, 2012

Funded by the National Endowment for the Humanities  
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June 2012

Preservation Needs Assessment

Preservation Needs Assessment  
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District of Columbia Archives  
1300 Naylor Court, NW  
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May 8-9, 2012

## Executive Summary

The National Endowment for the Humanities, Division of Preservation and Access, awarded a Preservation Assistance Grant to the District of Columbia Office of Public Records Archival Administration and Library of Government Information (Office of Public Records), to conduct an assessment of preservation needs and to facilitate the development of a long-range preservation plan for the District of Columbia Archives. The grant will also provide funding for the purchase of environmental monitoring data-loggers as well as acid free folders for rehousing parts of the collection and cotton twill tying tape. The Archivist, the Records Administrator, and other staff have demonstrated interest in preservation, but need additional information and defined priorities as they continue to expand their collections and the use of those collections. This report and the long-range preservation plan will provide a framework for these efforts.

Areas identified by the consultant that would help the District of Columbia Archives to care for their collections and provide better access to the materials include the following:

- Work to stabilize and house at risk materials
- Develop and adopt a Disaster Response Plan
- Engage in further environmental monitoring

The report also includes more specific recommendations for care and handling of archival materials, housing and storage collections, and security. The District of Columbia Archives has a unique collection documenting the government and the history and legacy of individuals, organizations, communities, and neighborhoods in the District of Columbia. By implementing the long-range plan, Office of Public Records will be able to take a systematic approach to the long-term preservation of their archives.

Preservation Needs Assessment  
District of Columbia Archives

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Preservation Needs Assessment  
District of Columbia Archives

### **Introduction**

Alix Bentrud, Preservation Services Librarian for LYRASIS visited the District of Columbia Office of Public Records Archival Administration and Library of Government Information (Office of Public Records) on May 7-8, 2012. She met with Bill Branch, Archivist and Clarence Davis, Records Administrator. Ms Bentrud conducted the assessment using the following methods: interviews, tours, examinations of representative materials from the collections, and observation. Context and background information for the assessment was provided by a questionnaire that was completed prior to the visit. The visit culminated in a planning session with the Archivist and the Records Administrator to discuss storage and preservation priorities

The goal of the consultation is to assist the institution in assessing current conditions and practices with an eye to developing a long-range plan to address preservation concerns within the Archives. Additionally, the consultant will identify any materials that are in immediate danger and provide recommendations for stabilization. The completed questionnaire identified the following areas as focal points for the assessment.

- Assess the collection and current storage conditions
- Review security practices
- Assess the current environmental conditions in collection storage areas
- Develop a long range preservation plan for the Archives

The results of the consultation and meetings are reflected in the Long Range Preservation Plan draft, which is attached to this report. The Long Range Plan is left as a draft within this document, as it can only be made into a living active plan by development, coordination, and action within the District of Columbia Archives (Archives).

Prior to outlining observations and recommendations, it is important to discuss preservation and its role in an archives. Preservation in this context is comprised of a set of principles and strategies embodied in operational policies and procedures that are implemented to ensure that information resources will be accessible as long as they are needed. Because of its tie to their fundamental mission of long term access, preservation strategies should be fully integrated into all aspects of the Archives operations, encompassing not only collections that they have already acquired, but also prospective collections. All staff has the responsibility of preservation of the collections and should be aware of how their daily activities mesh with preservation.

### **Institutional Context**

The District of Columbia (District) Archives is one of the three divisions of the Office of Public Records which serves as the official repository for collecting and preserving the institutional memory of the District government. Office of Public Records was established in 1986 with the mission of collecting, managing, preserving, and providing access to the records and publications of the District government. The Archives holds the permanently valuable records. The Records Center holds both temporary and historical and permanently valuable records of which temporary records are destroyed when their retention periods are met, and permanently valuable records are transferred to the Archives. The third division is Library of Government Information

Preservation Needs Assessment  
District of Columbia Archives

publications and other published materials on or about the District government. Together these divisions manage a combined total 180,000 cubic feet of historical and temporary records.

The Archives holds more than 10,000 cubic feet of historical and permanently valuable records that span 220 years of the political, economic, and social history of the District of Columbia. The Archives' collections contain historical records that document the role of the federal government with its oversight authority of the District government in performing the functions and services that otherwise would be performed by a state or municipality. The holdings in this permanent collection include genealogical, historical, land, and architectural records.

The wills and probates records (1801-2005) which total 2,046 cubic feet of records are among the most valuable documents in the genealogical collections; these records document vital information on prominent persons, including elected and appointed officials who served both in the Federal and District government. Wills of George Washington, Woodrow Wilson and Robert Brent are just a few of the thousands held within this record group. The content of these files provide information on the inheritance of real, personal, and chattel property by those who filed their wills with the District government or those whose property was probated in the District of Columbia. The genealogical collection includes Indentures of Apprenticeship and Guardianship (1812-1900) records. There are 4 bound volumes of Indentures of Apprenticeship records with 2,626 entries, and 4 bound volumes of Guardianship records with nearly 19,000 entries. These records are great sources for genealogical research. The files include some enslaved persons who were also bound out for training in a craft, trade, or as a laborer/domestic worker. The Guardianship files document minors, orphans, neglected or abandoned children who became a ward of the court during the colonial period and up to the mid-nineteenth century. The genealogical records include birth and death certificates (1874-1928) with a total of 838 cubic feet of records, and marriage certificates (1801-1990) 2,284 bound books.

The land records provide both historical and genealogical information for researchers. The date range of this collection is 1790-1978; and, it contains 13,750 volumes. This collection consists of Bills of Sale, Certificates of Freedom, Certificates of Slavery, and Emancipations. Records of Bills of Sales document commercial transactions of enslaved persons and selling of personal, real, and chattel property. The Certificates of Freedom document and recognize persons who were freed and released from servitude. The Certificates of Slavery document a slaveholder record of chattel property. Emancipation records document the immediate release of enslaved persons from slavery.

The historical records in the collection consist of Minutes of the Board of Commissioners (1874-1967), 86 bound books; and Engineer Department (ED) Files (1874-1967) 2,438 cubic feet of records. These files document the organizational and reorganizational structure of the District government by Congress and the White House. The content of this collection includes records of appointed and elected officials of the District government; orders of the Commissioners, and the administrative files of the engineer commissioner, the most important official who managed the daily affairs of the District government. Other historical records include slave registers, 1850-1855, and incorporations that date back to 1870.

Information regarding the holdings can be accessed online through the website of the Office of the Secretary. The website provides a brief description of the divisions of the Office of Public Records, examples of records types and the years held. FAQs, hours of operation, and contact information are also provided. For some records groups' indexes are available in the District Office that created the records. Researchers at the Archives do not have access to these indexes. There are binders of paper indexes available for some records groups at the Archives.

The processed Archives collections are available to the public for research and may be accessed by an in-person visit to the Office of Public Records and Archives. Advanced appointments are encouraged. Materials must be pulled from the stacks to be used. Researchers have access to collections only within the designated reading area. For those researchers unable to make the trip, the staff does take research requests. Online forms for research queries as well as the policies, and procedures for researchers are also presented on the Office of the Secretary website.

Prior to the creation of the Office of Public Records, the District of Columbia's records were held by the National Archives and Records Administration. There are still archival materials being stored offsite at the Washington National Records Center at Suitland, Maryland. They will remain in offsite storage until the Office of Public Records can move into a larger facility.

The Office of Public Records has four full time equivalent employees and a fifth employee whose time is shared by another office in the District. The operating budget of \$520,000 is shared amongst the three divisions. There is no budget dedicated to the preservation of the collections.

## **RECOMMENDATIONS**

- Establish budget line item for preservation, to ensure a dedicated amount goes into the preservation of the collections materials.

## **District Archives Collection Assessment**

### **BUILDING ENVELOPE**

The Archives, along with the other division of the Office of Public Records, is housed in a building with two full stories and a third partial floor called the mezzanine. It was built in the late 1880's and modified for its current use in 1989. It is located in the interior of a city block with alleyways on three sides and a building with a yard lot on the fourth. Private residences and restaurants are among the Archives neighbors. The original window embrasures of the building have been filled and stuccoed over. Cracks are forming in these embrasures, but have not yet allowed leaking.

The building has a slightly pitched asphalt sheet and tar roof that has a history of leaking. Some patching was done in 2008 that has addressed the leaks. Drainage was improved with this work and downspouts continue to handle any precipitation. The Archivist did share that he had concerns with the possibility of pooling water around air vents that can be seen even after a light rain. As of yet there has been no know water into the building due to such pooling, but the staff

is alert to the possibility. The Office of Public Records recently received a hydrometer and stand alone water monitors to help watch over areas that have experienced unwanted water in the past.

The HVAC system is on the roof and was installed when the building was modified for the Office of Public Records in 1989. The system is maintained by contractors from the District's Department of General Services.

The first floor is divided into public and closed areas. The public areas are the lobby, which also includes the receptionist's desk, an area of lockers for use by researchers and restrooms around a corner. There is also a meeting room that is sometimes used by researchers. The nonpublic areas are the staff work areas, the collection storage stacks and the vault. There was once a dedicated collection processing area, but that has now become collection storage.

The lobby is lined with photographs from the collection picturing Federal and District officials and dignitaries. The photographs are showing degradation from extended display. Colors are beginning to fade due to light exposure as is the ink used for inscriptions and signatures on some of the photos. These original images should be removed from the lobby. Copies of the photographs can be hung instead. Also in the lobby is a wooden sculpture. It is by the front entrance and in front of windows. The condition of the sculpture should be monitored for signs of deterioration due to environmental fluctuations and light exposure.

The second floor and mezzanine are dedicated to stacks. There is a freight elevator that can reach the second floor. There is a short set of stairs from the second floor to the mezzanine. There is also a dumbwaiter to move collections from the second floor to the mezzanine. The maximum capacity of the dumbwaiter is 8 archival records boxes.

Every available space is being used for storage of both processed and unprocessed collections. As mentioned above, the processing room is now storage for Land Records and indexes. Included in the accession were the original cabinets designed for storage oversized volumes. The transfer of this collection is not yet complete due to lack of space available. Unprocessed collections are being stored on rolling carts in some of the main floor aisles. Recently used Emancipation Day exhibit materials are being stored amongst map cases, making the materials in the map cases inaccessible at the time of this preservation assessment. Currently unused display cases are being stored in the corridor outside of the restrooms. As is a Kirtas book scanner. There are similar storage concerns on the upper two floors. Currently, there is no separate Reading Room space for researchers. Tables have been set up along one side of the bay area for the freight elevator in the center of the first floor stacks area. Tables have been set against the back of the map cases. This means that when researchers are at the tables, they are potentially in the path of those needing to use the freight elevator and they are in fact working in a closed stacks area. Also in this area are scanners and microfilm readers used by the staff and researchers.

## **RECOMMENDATIONS**

- Continue to monitor building issues
- Remove original photographs from the lobby
- Continue efforts for more collections space

Preservation Needs Assessment  
District of Columbia Archives

## VAULT /UNPROCESSED COLLECTIONS

The Vault is a locked narrow room that runs the width of the building at one end of the first floor. Currently this room contains a combination of unprocessed collections from the Commissioners' and Mayors' offices, records from the now closed General Hospital, art and artifacts.

The records from the Commissioners' and Mayors' offices contain a variety of formats including paper, photographs, negatives, 16mmfilms, and slides. Also stored in the vault is furniture and artwork from the Mayors' office. The upholstered furniture needs to be cleaned as it becoming begrimed with dust. After it is cleaned, they should be draped with dustcovers. There are no other pieces of furniture in the Archives and it should be decided if the furniture should remain in the archives or be transferred to another institution.

There are also Land Records on 3.5" and 5.25 " floppy discs. At this time it is believed that the Archives does not have compatible and software to access the records on discs. The creating office should be contacted to see if they still have the requisite software. The Archives does have a computer with the proper drives but it is not known if it is operational.

The records from General Hospital were transferred inside a file cabinet when the hospital closed and that is where they remain. This is safe storage until the records can be processed. The only immediate concern is that some records have begun to slump in the drawers. To prevent further distortion and damage, the files need to be supported and the contents held upright.

The Vault also holds microfilms of historic District newspapers and of court records. It was unclear as to whether these films were the master reels or use copies. This should be determined. For reels that prove to be masters, use copies should be made for researchers to reduce the wear of the master films and to reduce the chance of damaging the master images. Also, if there are master and use copies, they should not be stored together. From the view of security and emergency preparedness, the masters should be stored offsite if possible.

The art work is stored upright in a shelving unit along one wall of the vault. This space has reached capacity and as more art work has arrived, it is now leaning in the aisles. This is not safe for the pieces. Either more storage needs to be created, or the art should be moved to an institution that can properly care for it.

Artifacts are also in the Vault. Most are trophies, plaques and memorabilia from the Mayors' office. Included with this collection is an Autopen machine. Like the aforementioned furniture, it should be determined if the archives is the best repository for this desk-sized machine.

The records of the Lorton prison are held in the Archives. An electric chair was transferred along with those records and is stored in the Vault. If the Archives is to retain custody, an objects conservation should be consulted as to the best way to store this complex object and its accompanying electric panel.

As mentioned above the Archives has an unprocessed collection on carts in its stacks entry area. This collection is from a private title company and contains records that would be valuable when researching the District's history. The company had its own system for compilation and ordering of its records. Though there is no formal written description of the organizing system, the Archivist is familiar with it. As the initial part of processing, the organizational scheme of these records needs to be described for future users and staff.

### RECOMMENDATIONS

- Provide support for slumping records
- Investigate the Archives' ability to access records on outdated computer media
- Consult an objects conservator regarding the best storage for the Autopen and electric chair
- Determine which microfilm reels are masters films

### COLLECTIONS AND STORAGE

The collections storage on first floor has a mix of fixed and compact shelving all of which are near or at capacity. The second floor is fitted with compact shelving, with fixed shelving around the perimeter of the floor. The mezzanine has two sets of compact shelving that take all the available space. All the compact shelving is motorized. This has begun to pose a problem. The motor used in these units is no longer available. Therefore, any replacement parts need to be cannibalized from other units. At this point, several ranges shelves on the mezzanine need to be pushed manually and are labeled accordingly. Plans should be developed for the replacement or modernization of this compact shelving.

Materials are stored by collection group rather than by material format or type of enclosure. Several collections include ledger or log books, the majority of which date from the mid 1800's to the early 1900's. The oversized volumes are being stored flat on their back covers, but generally in stacks of 6-8 volumes, some even higher. This is too many books stack on top of one another. Best practices in library and archival literature say that a stack of books should be 3-4 volumes to protect the books of the stack, reducing the pressure on the book structures on the bottom. On some shelves there are books stacked behind books. Also consider stacking the books by size versus chronology, large volumes on top of smaller volumes puts unnecessary pressure on both volumes.

Throughout the collections there were book stacks that looked as if volumes were pulled from near the bottom of the stack without removing the volumes above. This has led to some volumes with skewed or distorted text blocks under pressure from the rest of the volumes in the stack. The upper volumes should be lifted off the stack to get to the lower volumes. This can be time consuming given the quantity of books on some of the shelves, but for the long term viability of the volumes, this must be done. This may be even more cumbersome for the shelves that need to be reached using the rolling stairs. There are rolling flatbed carts that could be used in the aisles to hold the volumes temporarily. It is recommended that more shelves be installed in the shelving units to reduce the space between shelves and then reduce the number of books per stack.

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A number of oversized volumes have old repairs using strapping tape to secure loose cover boards. The adhesives are breaking down and drying. Removing the failing tape may cause unnecessary damage to the covers so it is recommended that the tape be allowed to come off at its own pace. To address the loose or detached cover boards, consider using cotton twill tape to keep the boards and spine covers in place in the short term. It may be decided in the future that the covers should be reattached but using the twill tape now will help keep the parts together. For volumes that have loose pages or text block that are no longer intact, boxing the volume is the best way to stabilize it until it can be repaired. Boxes that will fit the volumes can be purchased from the same vendors that sell archival boxes. Stack height is an issue for boxed items as well. Keeping the stack of boxes to just a few boxes will help reduce pressure on the boxes and the volumes inside.

Some of these books are also showing signs of darkening pages due to the acidic paper common from 1850-1980. The discoloration and embrittlement of the paper is caused by the acids from the wood pulp used to make the paper reacting with elevated temperature and humidity. This cannot be reversed, but it can be slowed by improving the storage conditions. Environmental conditions are addressed later in this assessment. Some of the volumes are also showing signs of red rot on their leather covers. This too is caused by elevated temperature and humidity but in this case, reacting with tannins in the leather used in the binding. Red rot can be seen as the red powdery surface that crumbles to the touch. Red rot is not reversible. There are some products available to consolidate the deteriorating leather, but this will cause darkening of the leather. One product is Cellugel, for more information see

<http://www.hollingermetaleedge.com/modules/store/index.html?dept=29&cat=904>

For more information regarding red rot see

<http://www.nationalarchives.gov.uk/preservation/faq/redrot.htm>

It may be decided that boxing or wrapping the affected books to prevent the spread of the red dust is the most expedient way to handle the materials that have infrequent use. When buying paper or boxes, be sure that they are low-lignin or acid free to aid in creating a stable environment for the volume.

A storage issue found frequently in the collections related to legal records and building permits is that they contain thousands of records folded multiple times and stored inside envelopes that are showing signs of embrittlement. The Archives should consider efforts to unfold these records and have them placed in acid free folders. The records will need to be humidified and flattened to be rehoused. These records are made up of a variety of paper types, inks and printing processes and each will respond differently to humidification efforts. A paper conservator should be consulted to review these collections before any humidification is done.

## **RECOMMENDATIONS**

- Develop a replacement or modernization plan for existing compact shelving
- Increase the number of shelves in the fixed shelving units holding the oversized volumes and rolled materials
- Reduce the number of oversized volumes stacked on top of each other
- Consult with a paper conservator regarding humidification and flattening of records that have long been folded in storage

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**ROLLED ARCHITECTURAL DRAWINGS & BLUEPRINTS**

The Archives has hundreds of cubic feet of rolled architectural drawings in tubes. These have been stacked onto shelving that is deep enough to support the rolls, but the height of the opening is such that there are many tubes stacked on top of each other. Some bundles of drawings are too large to fit in to a tube that they have been placed on the shelves amongst the tubes, getting distorted by the weight and pressure of the many rolls stacked on top of each other. Ideally, oversized documents should be housed horizontally in protective acid free folders of 20 point or medium paper stock and stored in flat file drawers. The furniture should be made of inert materials that will not off gas or rust such steel that has been powder coated and heat cured. When flat files are unavailable or for documents that are too large to be stored flat, rolled storage is an option. Documents that are flexible enough should be rolled around a rigid tube of 4-12 inches in diameter. The wider diameter will provide a gentle roll for the document and reduce stress on the documents. Rolling the document around the tube will also allow for easier opening by users. The material of the tube should be acid free cardboard. This rigid core supports the rolled item and it prevents it from being crushed or bent.

The tube should be longer than the document to be rolled around it to provide complete support and to provide an open area for safely lifting and handing the tube. Generally one document should be stored on a tube, but when there is a group of related documents, such as a group of related blue prints, multiple document s on a single tube may be appropriate. The multiple documents should be rolled as a single unit, not sequentially. Items should be rolled so that the information is facing in toward the tube. Once rolled the item(s) should be wrapped in acid free paper to protect it from dust and light and be clearly labeled so that it need not be unrolled to determine contents. You can also do a final layer of polyester film to provide more protection. Secure the rolled item with lightly tied cotton twill tape,

Rolled items should be stored flat on shelves in a single layer to prevent the tubes from being crushed or distorted by the weight of other rolled items. For the Office of Public Records, this would require a reconfiguration of current storage. Additional shelves would need to be installed as they are currently configured for boxes. Another option for storage of the oversized tubes is to suspend them on rods running through the length of the tubes. This is a configuration option that may be possible with compact shelving.

Likely many of these rolled items will need to be humidified before they are rerolled. As with the multi-folded items mentioned above, a paper conservator should be consulted before and humidification or rehousing is pursued.

Another access issue with these architectural records is that the index for these items is available only at the department that created the records. The Office of Public Records should have access to that index as these records are a permanent collection.

**RECOMMENDATIONS**

- Increase the number of shelves in units holding the oversized rolled materials
- Reduce the number of oversized rolls stacked on top of each other
- Consult with a paper conservator regarding humidification and flattening of records that have long been stored rolled

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- Get access to index for architectural records developed by originating department

#### REFORMATTED COLLECTIONS

Two heavily used collections have been reformatted by their creating agencies. Birth Certificates from 1870-1922 were microfilmed before they were transferred to the Archives; in fact, the microfilming targets are still in the boxes. These popular records are being considered for digitization. The Archives needs to determine if more contemporary records have been microfilmed as they have been made available for public access. If they have, digital copies may already exist.

The Archives' collection of Wills from 1801-2001 are another collection that has been reformatted. The office of the courts digitized the wills before transfer. The Archives has not been given access to the digital copies. Gaining digital access to these collections would reduce the wear on the originals and be a great promotional opportunity for the Archives.

#### RECOMMENDATIONS

- Try to access existing digital copies of the Birth Certificates and Wills

#### COLLECTION HOUSINGS

Some collections in the Archives are in their original folders and boxes that may benefit from rehousing. There are boxes, folders, and files tabs throughout the collection showing signs of discoloration and embrittlement due to the acidic paper common from 1850-1980. The degradation of the paper is caused the acids from the wood pulp used to make the paper reacting with elevated temperature and humidity. This cannot be reversed. It can be slowed by improving the storage conditions, but it is better to replace the potentially damaging enclosures and dividers.

As mentioned above, some of the records come to the Archives through a transfer from the National Archives and Records Administration (NARA). Many of these boxes are constructed like shipping boxes, with four flap tops instead of lids as is common with records boxes. For frequently used collections, the flaps of the boxes are repeatedly bent and folded. The Archives should consider replacing the shipping style box on the heavily used collections to reduce the wear on the container.

Boxes should also be replaced when they have been damaged. During this survey, several boxes were identified that have begun to split at the corners. These damaged boxes are not providing support for the records inside.

For some collections it is matter of adding support. For the General Hospital records in the cardboard binders of continuous feed dot matrix paper, consider putting the printouts in flat archival boxes. It may be necessary to put the contents of one binder into more than one box.

#### Index Binders

One truly rare item in the collection requires rehousing also requires the attention of a book conservator to help identify the proper housing. A ledger book entitled "Slaves Committed to DC

Jail” has a detached front board and is missing its spine and back cover gone. Last pages of book have been torn away, but part of the inner margin that is still attached makes it look as if pages were empty. Detached pages from the front of the book are currently in a polyester sleeve. The volume is stored in a small flip top document box, but that still allows the volume to shift in the box when it is handled. The Archives should consider working with a book conservator to discuss the best plan for this volume. It may be to recase the text block or it may be that a constructing a custom box for the item is the best way to care for the volume

### RECOMMENDATIONS

- Rehouse materials that are currently in damaged or damaging boxes and folders
- Consult with a book conservator regarding the ledger “Slaves Committed to DC Jail”

### EQUIPMENT

The Office of Public Records is in need of new flat-shelved carts for the transportation of their collections. All the carts observed during the assessment no longer had flat shelves. They do not provide proper support for the oversized ledger volumes and records boxes they were designed to carry.

### RECOMMENDATION

- Replace flat-shelved carts

### General Collections Care

#### ACIDIC PAPER

Acidic paper is not found only in books, but it was in all commercially made paper from about 1850 to the mid-1980's. As already stated the acidic paper becomes embrittled and darkened when lignin in the paper breaks down reacting with moisture in the air; environmental control is key. But with the span that the Archives collection has, it is certain that conditions have not always been perfect for paper. Deacidification options are available for both manuscript collections and bound materials.

For more information see the section on deacidification in:

Ritzenthaler, Mary Lynn. *Preserving Archives and Manuscripts*, Second Edition. Chicago, Society of American Archivists, 2010.

#### PHOTOGRAPHS

Photographs, slides and negatives should be housed in buffered paper (acid/lignin free with 8.5 pH) or inert plastic (polyester, polypropylene, and polyethylene). All enclosures for photographic materials should pass the photographic activity test (PAT) as specified by international standard test (ISO18916). This includes plastic sleeves, paper folders and box boards.

Digital prints are starting to come into the collection. Digital prints vary in stability depending in the printing process and type and quality of paper used. They are sensitive to pollutants, light exposure and are easily damaged by finger prints and abrasions.

For more information see:

Image Permanence Institute “A Consumer Guide to Traditional and Digital Print Stability”  
[https://www.imagepermanenceinstitute.org/webfm\\_send/313](https://www.imagepermanenceinstitute.org/webfm_send/313)

“A Consumer Guide to Materials for Preservation Framing and the Display of  
 Photographic Images” [https://www.imagepermanenceinstitute.org/webfm\\_send/312](https://www.imagepermanenceinstitute.org/webfm_send/312)

Ritzenthaler, Mary Lynn and Diane Vogt-O'Connor. Photographs: Archival Care and  
 Management. Chicago, Society of American Archivists, 2006.

#### SLUMPING FILES

Most of the collections fit snugly within their boxes but for those that do not; we recommend that spacers or supports be put in the boxes to prevent distortion or damage to the records. Spacers can be purchased from the same source as boxes or can constructed using acid free corrugated board and Tyvek tape. Archival box manufacturers also make supports and spacers that can be used in their boxes.

For more information on housing of collections see:

National Archives and Records Administration  
<http://www.archives.gov/preservation/holdings-maintenance/procedures.html>

Preservation 101 from NEDCC funded by an IMLS grant.  
<http://unfacilitated.preservation101.org/loggedin.asp>

Ritzenthaler, Mary Lynn. Preserving Archives and Manuscripts, Second Edition. Chicago,  
 Society of American Archivists, 2010.

#### MICROFILM

The Archives has several collections that include or are comprised of microfilm. Most microfilm created prior to 1980 was printed on an acetate base film. These acetate films are subject to degradation know as vinegar syndrome. This is the result of moisture in the environment interacting with the acetate and creating acetic acid – vinegar. Once this reaction starts it cannot be reversed. The solution is to duplicate the film to a polyester base before the acetate substrate shrinks and distorts the image. The Image Permanence Institute has developed A-D Strips to detect and measure the severity of acetate film decay.  
<https://www.imagepermanenceinstitute.org/imaging/ad-strips>

If some microfilms are degrading – separate them from the others. Several sources say that the affected films should be placed in plastic bags in a freezer until they can be reprinted.

If vinegar syndrome is found, the sooner the affected films can be transferred the better.

Two possible vendors are:

Northern Micrographics <http://www.normicro.com/>

Archival Micrographics <http://www.archivalinc.com/>

For more information regarding the degradation of acetate film:

[http://unfacilitated.preservation101.org/session3/expl\\_iv\\_fb-acetate.asp](http://unfacilitated.preservation101.org/session3/expl_iv_fb-acetate.asp)

### **Environment**

Providing a proper storage environment is the single most cost-effective, per item preservation strategy an institution can employ. Environmental factors that need to be controlled and monitored include temperature, relative humidity (RH), light exposure, and pollutants. Maintaining temperature and relative humidity within accepted standards has a tremendous impact on the long-term life of a collection. For example, all other things being equal, a collection stored at 60°F will last twice as long in useable condition as one stored at 72°F. Fluctuation of the temperature and relative humidity will accelerate the deterioration of archival materials. Mold thrives on paper, adhesives, and unsealed wood in environments where the relative humidity remains higher than 55%. It is best to keep the RH at 50% or less, but care should be taken, because high temperatures and very low RH will embrittle paper as if baking it, dry out adhesives, and cause covers to warp.

Recommended standards for temperature and relative humidity vary according to format. Ideally, paper, photographs, and magnetic media should be stored in different locations with the appropriate environmental controls. In reality, most institutions store varying formats together in one facility. Below are the preservation standards for storing mixed collections in the same environment with patrons and staff offices.

Temperature: 68-72°F with a daily fluctuation of (+ or -) 5°F

Relative Humidity 40-55% with a daily fluctuation of (+ or -) 3%

For a two month period, from April 23 – June 28, 2012, an Image Permanence Institute (IPI) Pem2 Datalogger was placed in the first floor research area to measure the temperature and humidity. The Pem2 provides data at fixed sample rate of 30 minutes (this data point being an average of six readings taken at 5-minute intervals). The data was downloaded and analyzed using eClimateNotebook software, also from IPI. The Preservation Environmental Evaluation is included as an appendix to this report.

To summarize results; the median temperature for this two month period was 74.8°F, this is above the recommended standards for mixed collections. The relative humidity fluctuated from as low as 30% to as high as 67%. Using IPI's time weighted preservation index (TWPI) that integrates the T and RH values as they change over time into a single estimate of the cumulative effects of the environment on the rate of chemical decay, the environmental data collected for the first floor research area gives us a collection storage condition that is putting the collection at risk. To

quote the Preservation Environmental Evaluation, there is risk of an “accelerated rate of chemical decay in all organic materials due to the cumulative effects of temperature and humidity, with especially high risk for fast decaying organic materials such as acidic paper, color photographs and cellulosic plastics.”

For more on the IPI Preservation Metrics please see:

<https://www.imagepermanenceinstitute.org/environmental/research/preservation-metrics>

For more on environments for collections please see:

Managing the Preservation Environment <http://bit.ly/mfyljl>

<https://www.imagepermanenceinstitute.org/environmental/pem2-datalogger>

Environmental Specifications for Library and Archival Materials

<http://bit.ly/environmentalspecs>

The temperature and relative humidity in the stacks are being noted through the use of digital thermostats throughout the building by the staff but not recorded. There is no monitoring when the staff is not present. As part of the Preservation Assistance Grant awarded to the Public Records Office, 4 digital dataloggers are to be purchased. The use of these dataloggers will provide the staff with a better picture of the storage environment for the collections and to make special note of seasonal fluctuations that impact the environment. As the data monitoring program goes forward more monitors may be added as needed to address isolated storage areas.

One datalogger option is the called PEM2 monitor and is available from the Image Permanence Institute (IPI). <http://bit.ly/M4Mm5P> These loggers confirm temperature and humidity settings in real time display so that adjustments can be made if necessary. After uploading one or more loggers onto a USB flash drive, the user can take the flash drive to a computer and upload the data to the IPI's eClimateNotebook web site at <https://www.eclimatenotebook.com/>, where graphs and reports can be created and data can be stored for free. There is a fee for eClimateNotebook if you are using more than three monitors. Another option for a datalogger is from OnSet Corporation HOB0. [www.onsetcomp.com](http://www.onsetcomp.com) This type of logger can be set to record every 10 minutes and data can be downloaded every month. Currently, data from the HOB0 can be used with eClimateNotebook.

## **RECOMMENDATION**

- Purchase monitors and begin environmental monitoring program

## **Lighting**

Fluorescent lighting is used throughout the Office of Public Records facility. Fluorescent light is a cost-effective way to illuminate a building, but it has detrimental effects on collections. The light emits high levels of ultraviolet (UV) wavelengths, mimicking the high levels of UV in sunlight. Although all wavelengths of light are destructive to paper, books, photographs and

other collections, the high energy of the short UV wavelength is most damaging. Ultraviolet radiation should not exceed 75 microwatts per lumen.

Within the upper floors lights are turned on only when there is someone working in the area. Also, the lights were wired to have local switches throughout the stacks – it is not necessary to illuminate the whole floor when working in one aisle. UV sleeves should be put over the bulbs that are left on. Light damage is cumulative and extended light exposure will damage materials.

A UV light monitor can be borrowed from LYRASIS Preservation Services to determine whether the current UV levels within the collection storage spaces in the Archives. To request the light meter, see: <http://bit.ly/enviroloan>

For more information about protection from light, see the Northeast Document Conservation Center's leaflet, "Protection from Light Damage," <http://bit.ly/kP4z0G>

## RECOMMENDATION

- Put sleeves or filters on the bulbs in the oft used light fixtures on the 1st floor of the stacks

## Staffing

The Office of Public Records is currently staffed by four fulltime positions and one part-time position. The fulltime positions are the Archivist, the Records Administrator and two Records Technicians. Their duties include, but are not limited to; processing records, responding to reference and information queries from the general public and other departments within the District of Columbia, providing records management support to those other departments, and participating and providing materials for District events. These tasks often require the Archivist and Records Administrator to work away from their offices. The part-time position is a receptionist whose time is shared with another District Office. The Receptionist is at the Office of Public Records only two days a week. There are also occasional interns and volunteers who work with the collections, aiding the staff in their work.

Because of the limited staff, records and archives backlogs are increasing. There are records that have been scheduled for deaccession and some for transfer to the Archives that have yet to be done because other tasks have preempted their disposition. Unprocessed archival collections are accumulating in aisles, partly due to lack of space, but also because there has been no staff time for processing and rehousing of these collections. Collection preservation efforts have also been slowed.

As previously mentioned, the main researcher work space is within the stacks area. Given current staffing levels, it is not uncommon for researchers to be unattended as staff goes to pull requested materials. Another result of lean staffing is that employees of the District's Courts are coming to the Office of Public Records to pull their own records. The court staffers are unsupervised by Records and Archives staff in the stacks.

It is recommended that the Office of Public Records would benefit greatly with additional technicians to assist with records transfer, processing, and fulfillment of information requests.

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Also should consider a fulltime receptionist to aid with general information calls and visiting researchers. This is a District level decision and may be difficult.

### **RECOMMENDATION**

- Hire more staff to better meet the processing, rehousing, and researcher assistance needs of the Archives

### **Security**

Surveillance cameras are posted on the exterior of the building so that all sides of the building and the entrance can be seen. Signs are posted indicating that there is camera surveillance; these signs are visible before the visitor enters the lobby. There are cameras throughout the interior of the building. The lobby, collection storage, areas and the researchers' seating area are also monitored by cameras, though some blind spot in the stacks have been identified. The live feed from the cameras are sent to a monitor on the receptionist's desk in the lobby. This may have been an ideal arrangement when the system was installed, but now that the receptionist is only at the Office of Public Records twice a week and sending feed just to the lobby is insufficient. One option could be that the feed be available at other staff workstations such as that of the Archivist and the Records Administrator. The camera feed can also be viewed at the Russell Building, two miles away. Maybe it would be possible for the camera feed to be monitored from there on days when there is minimal staff at the Office of Public Records. The Archives staff was uncertain as to whether the camera feed was being recorded.

All visitors to the Office of Public Records must be let in by a staff member. There is an intercom system to signal staff to the lobby if the receptionist is not there. Every visitor needs to sign in on a log that indicates contact information, purpose of visit, and indicate if they had an appointment. They are also issued a numbered visitors badge. All bags and outerwear need to be left in lockers. This is announced through the use of signs and reinforced by the staff. A log is kept of which visitor pass and locker the visitor was assigned and the time. To retrieve personal belongings, the visitor must get the locker key from a staff person and the visitor returns their badge and signs out on the log. Time of entrance and exit is noted. Both of these paper logs are not secured, but left in the lobby.

The Office of Public Record's staff expressed concern over the lack of security. They felt that the collection is vulnerable given the aforementioned location of the researchers' work space and the access given to staff of other District offices.

### **RECOMMENDATIONS**

- Modify access to the security camera feed to be accessible from other monitors in the Office of Public Records
- Hire a guard to monitor the facility and to support the staff when there are issues

### **Policies and Procedures**

As reported above, the Office of Public Records has created procedures for handling information requests and visiting researchers, but one procedure that needs to be created is what to do if they

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suspect that theft from the collection may be occurring. There is no policy or procedure place and the staff has been instructed to call 911. They have had no training is how to respond or steps to be taken. One possible source for information on this issue is the National Archives and Records Administration. Through their Holdings Protection Team, they have developed training for NARA's staff in all their locations.

Another procedure that should get documented is the Archives' processing and handling procedures. The Archivist is responsible for the processing of all collections and does this himself, with occasional assistance of student interns that he trains. It would be beneficial to the Archives to have documentation to for the processing steps that are being taken and to record the decisions made that may vary from those procedures because of time, supplies, or condition of the collection. Not only will written procedures benefit the current staff, but it will greatly assist future employees and also create documentation for the Archives' own history.

Care and handling procedures should also be posted in the Researchers' reading area. The collections that they handle may be part of the permanent Archives collection and some may be scheduled records, but mishandling the collections can cause irreparable harm. Notifying researchers of Records Office expectations will aid in the preservation of the collections. The following is a link to a simple set of guidelines created by the University of Massachusetts Dartmouth that could easily be modified for use in the Office of Public Records.  
<http://www.lib.umassd.edu/archives/care.html>

## RECOMMENDATIONS

- Develop a policy and create a procedure to deal with suspected theft.
- Document the Archives processing procedures.
- Develop care and handling procedures for users of the collections.

## Emergency Preparedness

The building has an electronic fire detection monitoring system and a sprinkler system throughout the building. There are fire extinguishers placed on every floor of the building, though some of the wall mounts are no longer secure. Also, they do not seem to be centrally located, but placed in corners of the floors. The Archivist expressed concerns and would like placement of the extinguishers to be re-evaluated.

At this time, the Office of Public Records has no written disaster response plan. For a truly unique collection such as this one, disaster response plan (also called an emergency response plan) is critical. Ideally, the Office of Public Records should work with the Homeland Security & Emergency Management Agency, as other offices and agencies in the District have done, to create an emergency plan. There are templates available for disaster plans that have a greater emphasis on collections. The Office of Public Records may wish to consider using dPlan, The Online Disaster-Planning Tool for Cultural and Civic Institutions, developed by the Northeast Document Conservation Center (NEDCC) and the Massachusetts Board of Library Commissioners. dPlan is a free, fill-in-the blank tool that allows users to choose the forms and components that best match their institution. Though it can seem like a somewhat complicated template, there are built in features such as auto-filling appropriate duplicate information,

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verifying of changes. One advantage of this form is that if you use the “in Depth” version it will generate suggestions of supplies, services, and staff training based on the information you input. <http://www.dplan.org/>. Another important feature is that a digital copy of your customized password protected disaster plan is stored for free online, accessible from any internet connected computer.

Regardless of the template chosen, developing a disaster response plan is a great deal of work. Consider this a team effort. The more people that can be involved in the process the better your plan will be. Once the plan is written, the next step is to have it approved by the necessary committee or board. This plan will need to become part of the authorized activities of the Office of Public Records. It is recommended that disaster response plans be reviewed and updated as necessary after a disaster, or every year at the least. Some elements (like emergency contact information of staff and vendors) need to be made more accessible to staff, as printed disaster plans typically only reside in a few areas and not all may be known or accessible by staff. There is a wallet sized Pocket Response Plan (PReP) that the Council of State Archivists created so the most important aspects of a disaster plan can be shared and available to all staff. The basic template can be found at <http://www.statearchivists.org/prepare/framework/prep.htm> Tyvek sleeves to carry this PReP form are also available through LYRASIS.

## RECOMMENDATIONS

- Create a disaster response plan for the collections of the Office of Public Records.
- Re-evaluate the locations and mountings for fire extinguishers.

## Digital Preservation Plan

The Records Administrator and the Archivist from the Office of Public Records is spearheading the development of a digital records management and preservation plan for the governmental offices of the District of Columbia. The plan will address born digital records as well as the digitization of analog records. Along with members of the District’s Records Committee, they have begun investigating options and reviewing examples of systems and procedures used by other municipalities.

## Conclusion

The Office of Public Records has many valuable collections and a staff concerned about the preservation of their materials. They should set current and future priorities based on the needs of the collection and focus on reasonable short- and long-term goals to enhance access and ensure preservation of the collections.

The staff is committed to collecting, arranging, preserving, and providing access to the resources of the District of Columbia. The necessity for time and resources to accomplish these tasks is essential to the future health of the materials. By addressing these needs now, the Archives that the District’s agencies, researchers, and their community will have access to these treasures into the future.

## District of Columbia Archives Long Range Preservation Plan - DRAFT

### Collections Care

Strategy: To stabilize and preserve at-risk materials within the collections.

- **Goal 1:** Consult with a paper conservator regarding humidification and flattening of records that have long been rolled and folded.
- **Goal 2:** Consult with a book conservator regarding the ledger “Slaves Committed to DC Jail”
- **Goal 3:** Rehouse materials that are currently in damaged or damaging boxes and folders
- **Goal 4:** Put rigid supports or spacers into boxes and files where collections are need of extra support.

### Collections Management

Strategy: To ensure care of essential materials and to maximize usable collections storage.

- **Goal 1:** Modify shelving to reduce the stack height of oversized volumes.
- **Goal 2:** Modify shelving to reduce the pressure on rolled collections.
- **Goal 3:** Replace flat-shelf carts.
- **Goal 4:** Replace rusting and damaged file cabinets.

### Emergency Preparedness

Strategy: Enhance preparedness of the Office of Public Records to protect materials from loss due to disasters.

- **Goal 1:** Develop a Disaster Response Plan.
- **Goal 2:** Complete PReP template for Records Management and Archives to update vital emergency information.
- **Goal 3:** Re-evaluate the locations and mountings for fire extinguishers.
- **Goal 4:** Modify access to the security camera feed to be accessible form other monitors in the Office of Public Records.

### Environmental Control

Strategy: To ensure consistent quality environmental conditions for the collections.

- **Goal 1:** Purchase and install data logger for all collection storage areas and begin environmental monitoring program.

### Best Practice and Policies

Strategy: To build sound practices that promote the access and use of District of Columbia Archives.

- **Goal 1:** Develop a digital preservation plan.
- **Goal 2:** Develop a policy and create a procedure to deal with suspected theft.
- **Goal 3:** Document the Archives processing procedures.
- **Goal 4:** Develop care and handling procedures for users of the collections.

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# APPENDICES \ APPENDIX C - NEH PRESERVATION NEEDS ASSESSMENT

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## Appendix

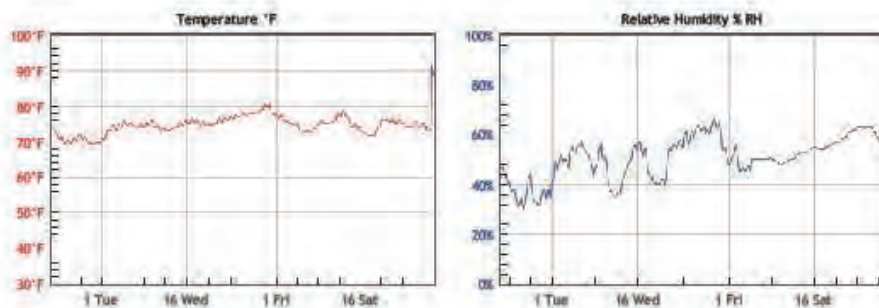
1stFloorResearchArea  
lyasis

2012-04-23 to 2012-06-28  
2 months, 5 days

### Preservation Environment Evaluation

Type of Decay	Risks & Metrics	Evaluation & General Comments
<b>Natural Aging</b> Chemical decay of organic materials	<b>RISK</b> TWPI = 29	Accelerated rate of chemical decay in all organic materials due to the cumulative effects of temperature and humidity, with especially high risk for fast decaying organic materials such as acidic paper, color photographs and cellulosic plastics.
<b>Mechanical Damage</b> Physical damage to hygroscopic materials	<b>GOOD</b> % DC = 0.46 % EMC min = 12.1 % EMC max = 10	Minimal risk of physical damage to most hygroscopic materials such as paintings, rare books and furniture.
<b>Mold Risk</b> Mold growth in area or on collection objects	<b>GOOD</b> MRF = 0	Minimal risk of mold growth.
<b>Metal Corrosion</b> Corrosion of metal components of objects	<b>OK</b> % EMC max = 10	Generally OK, but archeological or salt-encrusted metals may corrode due to extended periods of moderately high levels of humidity.

### Graphs



### Statistics

Temperature		Relative Humidity		Dew Point	
T°F Mean	74.8	%RH Mean	51	DP°F Mean	54.9
T°F Median	74.8	%RH Median	52	DP°F Median	56.4
T°F Stdev	2.7	%RH Stdev	8	DP°F Stdev	6.6
T°F Min	69	%RH Min	30	DP°F Min	37
T°F Max	95.1	%RH Max	67	DP°F Max	78

eClimateNotebook™ - Image Permanence Institute - Rochester Institute of Technology - © 2012  
Overview Report - Created: 2012-07-11

Preservation Needs Assessment  
District of Columbia Archives

## APPENDICES \ APPENDIX C - NEH PRESERVATION NEEDS ASSESSMENT

## APPENDIX D - HUNTER VISION REPORT

In 2014, Hunter Information Management Servers, Inc. provided the District of Columbia with a report titled, *Vision for the District of Columbia Archives*. This appendix reproduces this report, which outlines critical criteria for the future of the OPR facility.

# **District of Columbia**

## **Vision for the District of Columbia Archives**

**Submitted by Gregory S. Hunter, Ph.D., CA, CRM  
Hunter Information Management Services, Inc.  
August 15, 2014**



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### Introduction

The District of Columbia engaged Hunter Information Management Services, Inc. to help it develop a vision for its Archives.

The engagement included off-site review of documents and reports (see Appendices A and B) and meetings with key stakeholder groups (see Appendix C).

This report includes the following sections:

- Overview of the Office of Public Records
- Vision for the Archives
- Vision for the Records Center Division
- Vision for the Library of Government Information
- Conclusion

It has been a pleasure to assist the District of Columbia with this important project. I would be happy to answer any questions about this report.

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### Overview of the Office of Public Records

The Office of Public Records (OPR) has three functions:

- The preservation of permanently valuable records (Archives)
- The storage of inactive, non-permanent records (Records Center)
- The collection of published information (Library of Government Information)

Each of these responsibilities is important to the citizens of the District of Columbia. Access to government records and other information is essential for the proper functioning of a democracy. This tradition dates from the time of the French Revolution.

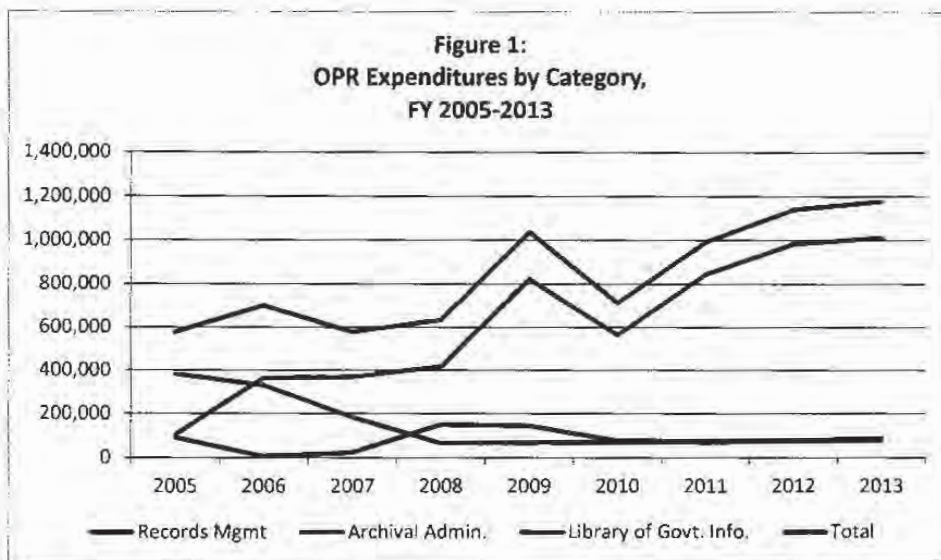
One way to examine the discharge of responsibilities is by examining the budgets for these three principal areas. The following table presents the expenditures for Fiscal Years 2005-2013:

Fiscal Year	Records Management	Archival Administration	Library of Govt. Info.	Total
2005	104,000	92,000	382,000	577,000
2006	364,000	5,000	330,000	700,000
2007	369,000	24,000	184,000	578,000
2008	417,000	151,000	66,000	634,000
2009	823,000	146,000	69,000	1,038,000
2010	565,000	78,000	71,000	714,000
2011	846,000	76,000	71,000	993,000
2012	984,000	81,000	77,000	1,142,000
2013	1,012,000	88,000	79,000	1,179,000

The statistics for these 9 fiscal years are quite dramatic. Expenditures for Records Management increased tenfold from 2005 to 2013 (from \$100,000 to over \$1,000,000) while expenditures for Archival Administration actually decreased (from \$92,000 to \$88,000). Finally, annual expenditures for the Library of Government Information have decreased by 80 percent since 2005. Figure 1 makes it easy to visualize these trends in expenditures.

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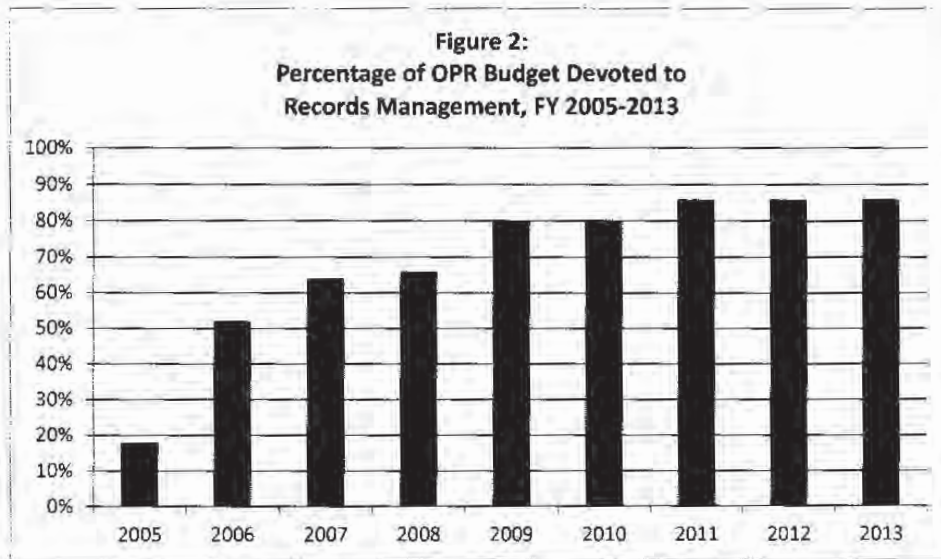
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While the total budget for the Office of Public Records has doubled since 2005, all of this increase has gone to Records Management while the Archives and Library of Government Information have been starved for funds. This is shown by looking at the percentage of the total OPR budget devoted to Records Management:

Fiscal Year	Records Mgmt.	Total Budget	Percentage
2005	104,000	577,000	18%
2006	364,000	700,000	52%
2007	369,000	578,000	64%
2008	417,000	634,000	66%
2009	823,000	1,038,000	80%
2010	565,000	714,000	80%
2011	846,000	993,000	86%
2012	984,000	1,142,000	86%
2013	1,012,000	1,179,000	86%

In 2005, Records Management comprised just 18 percent of the OPR budget. In 2006 is jumped to half of the budget and three-quarters of the budget by 2008. Today it totals 86 percent of the OPR budget, as shown by Figure 2.



The logical question is: Why have Records Management expenses grown so dramatically for OPR? The obvious answer is that there are more government records, which certainly is true. However, the real answer lies with the way that the District of Columbia has chosen to fund Records Management.

Both records centers and archives store records that no longer are needed for current agency business. However, in standard professional practice, there are important distinctions related to legal custody and cost. These distinctions are summarized below.

Consideration	Archives	Records Center
Physical Custody (possession of physical object)	Transferred from originating agency	Transferred from originating agency
Legal Custody (ownership of physical object)	Transferred from originating agency	Remains with originating agency
Responsibility for Cost	Transferred from originating agency	Remains with originating agency

The key point is contained in the cell in the lower right-hand corner. The District of Columbia does not follow best practice in the area of costs for records center storage. The best practice is to consider a records center to be an extension of the originating agency's local storage. As with local storage, the originating agency bears all costs for storage and retrieval of records.

In the District of Columbia, OPR assumes the cost for the storage of temporary records because there is no statutory basis for charging costs back to the originating agencies. Providing such a charge-back mechanism is essential if OPR is to continue to fulfill its mission in future years. As discussed later in this report, instituting charge-back procedures also will encourage agencies to

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## APPENDICES \ APPENDIX D - HUNTER VISION REPORT

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comply with records management requirements because agency heads will feel the bottom line impact of non-compliance.

I now will turn to the vision for each unit of OPR and the facilities and other resources needed to realize that vision.

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### Vision for the Archives

I propose the following vision for the District of Columbia Archives:

*The District of Columbia Archives*

- *Preserves all of the historically-valuable records of District Government*
- *In a facility that meets professional standards and the needs of citizens*
- *Administered by an agency with sufficient expertise and resources to sustain archival activities over time*

The District of Columbia has a great deal of work to do to achieve this vision. The last ten years have been a time of missed opportunities to build upon public awareness of the need for action in 2003. However, the main purpose of this report is not to review the past. Rather, the focus of the engagement is understanding present conditions in order to move the Archives toward the future.

It will take time to realize all aspects of this vision. However, the vision will never be realized unless the District takes the first steps now. Another 10-year delay will cause irreparable harm to the historical legacy of the District, including the failure to capture and preserve records now created in digital form.

This vision statement has three components corresponding to the definition of "archives": records, place, and agency. Subsequent sections of this report will discuss each of these elements and identify strategies for realizing the vision in each area.

#### The Records

*The District of Columbia Archives preserves all of the historically-valuable records of District Government. . .*

It was beyond the scope of this engagement to conduct an inventory of the records of the District of Columbia. Such an inventory needs to be done, focusing especially on the records still in the custody of the originating agencies. The large expenditures for records management noted above are deceiving. Most of the funding paid for the storage of records rather than sufficient staff to complete records management activities such as inventorying and scheduling records. Any detailed planning for a new facility must be preceded by a detailed records inventory.

However, in order to begin the process, OPR provided me with the information below about records in its custody. I did not verify this information. The Office of Public Records is responsible for almost 300,000 cubic feet of records in the following locations:

Site	Location	Cubic Feet	Percentage
Penn Center	1709 3rd St	4,223	
St. Elizabeth Hospital	110 Alabama Ave, SE	1,965	
Oak Hill	8400 River Road	1,044	

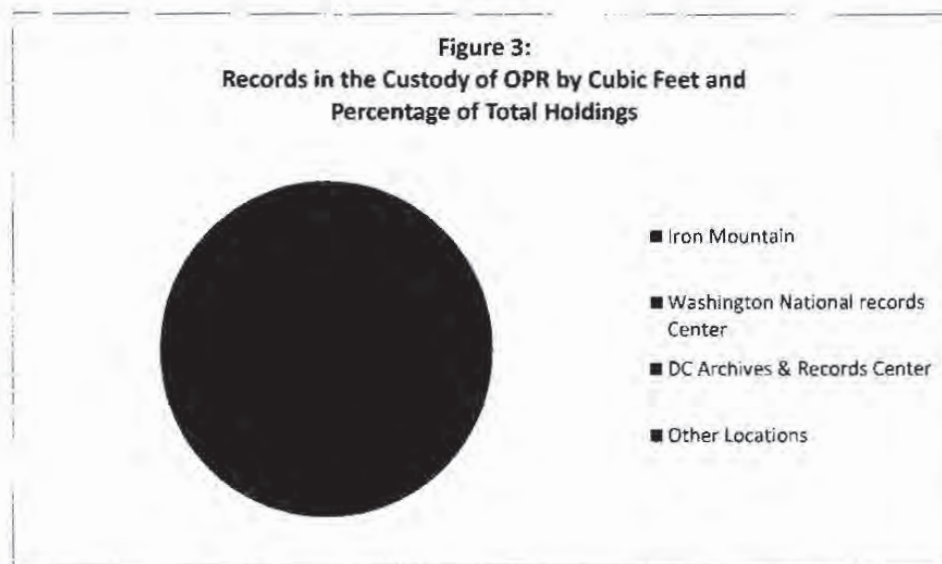
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DC General Hospital	1900 Massachusetts Ave SE	7,230	
Reeves Center	2000 14 <sup>th</sup> Street NW	5,010	
DC Village	4 DC Village Ln SW	23,999	
	Subtotal	<b>43,561</b>	15%
Iron Mountain		36,481	12%
Washington National Records Center		165,235	56%
DC Archives and Records Center		52,000	17%
	Grand Total	<b>297,277</b>	

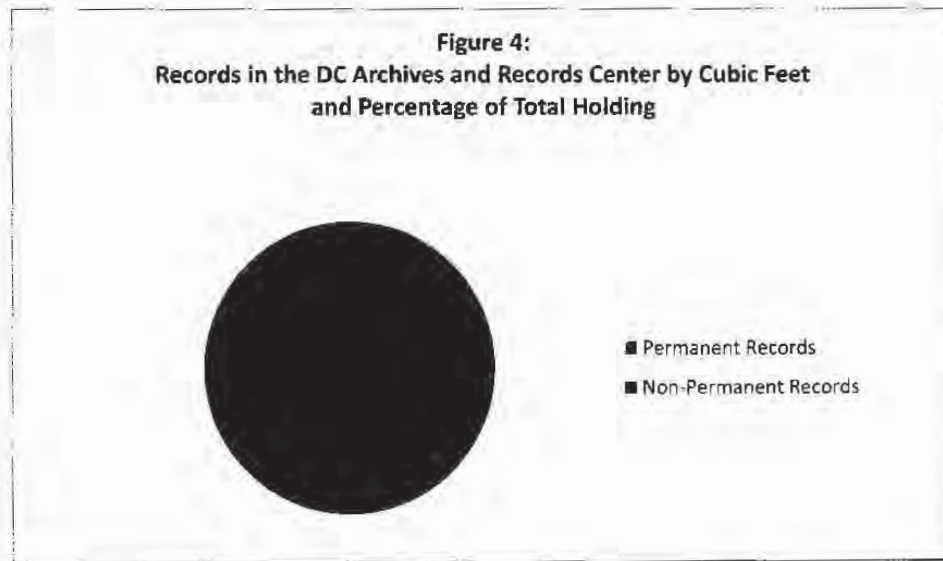
As Figure 3 makes clear, 83 percent of the records identified by OPR are stored in locations other than the District of Columbia Archives and Records Center. I was not furnished with information about how this percentage changed over time. However, the current percentage of records stored outside of the Archives and Records Center (83%) approximates the percentage of OPR expenditures devoted to records management (86%).



The "Accession Register, DC Archives" dated November 16, 2013 lists 19,102 cubic feet of permanent records in the DC Archives and Records Center. The remaining 32,898 feet of records are non-permanent records that could be safely stored in any type of records center. This is illustrated by Figure 4.

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**Figure 4:  
Records in the DC Archives and Records Center by Cubic Feet  
and Percentage of Total Holding**



As discussed elsewhere in this report, I recommend that archives and records center functions be separated physically as well as administratively. Agencies should pay the full costs of storage of non-permanent records in a records center.

Turning to permanent records, archives exist to document the actions of government and protect the rights of citizens. The District of Columbia Archives holds records dating from the 1700s including the following:

- Wills and Probate Records, 1801-1825
- Indentures of Apprenticeship and Guardianship, 1812-1900
- Birth and Death Certificates, 1874-1928
- Marriage Certificates, 1801-1990
- Land Records, 1790-1978
- Minutes of the Board of Commissioners, 1874-1967
- Engineer Department Files, 1874-1967
- Slave registers, 1850-1855
- Incorporations, 1870

The new Archives facility needs to have sufficient space for the storage of permanent records. As noted earlier, OPR does not have a current inventory of District records, which makes planning very difficult. A detailed records inventory is an essential part of the architectural programming phase for a new facility.

As noted above, the Archives currently holds approximately 20,000 cubic feet of permanent records. In addition, the National Archives holds 1,594 cubic feet of District of Columbia

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archival records (1791-1978) in Record Group 351.<sup>1</sup> Therefore, the total volume of permanent records in archival custody is approximately 22,000 cubic feet.

In the absence of a detailed records inventory, it is impossible to know the volume of archival records that may remain in agency custody. Meetings with stakeholders (see Appendix C) indicate that this may be a significant volume, including audiovisual records. Since the Archives has not had the space to acquire significant volumes of records for several years, I will estimate that there are another 22,000 cubic feet of permanent records in agency custody, including the courts.

To allow for future growth in records during the life of a new facility, I would double the estimated volume of 44,000 cubic feet for a grand total of 88,000 cubic feet. For preliminary planning purposes, I would round this up to 90,000 cubic feet of permanent records requiring storage.

Missing from the discussion so far are digital records. Archives around the world have embarked on programs for the preservation of digital records of enduring value. The District of Columbia is far behind in this regard. OPR will need to conduct an inventory of digital records in agency custody, identify the digital records of permanent value, and transfer them to secure storage in the Archives. In terms of volume, digital records themselves require very little space. However, the digital archives program will require specialized space in a new facility.

### The Facility

*... In a facility that meets professional standards and the needs of citizens. . .*

The Archives currently is located at 1300 Naylor Court, NW. In June 2012, LYRASIS conducted a preservation needs assessment funded by the National Endowment for the Humanities. The report identified numerous problems with the current facility that make it inadequate for the long-term preservation of archival records. The focus group I conducted with archival researchers (see Appendix B) also identified major problems with the current archival facility. I believe it will be more cost-effective to move the archives to a new facility than to renovate the current one.

In the previous section of this report, I estimated that the new facility would need to store 90,000 cubic feet of permanent records. It is impossible at this point to determine the square footage required to store this volume of records. Once a potential facility is identified, an architect can take into account the following factors in designing the storage space:

- Floor load
- Ceiling height
- Type of shelving (fixed or movable)

<sup>1</sup> <http://www.archives.gov/research/guide-fed-records/groups/351.html>

For example, with sufficient floor load capacity, boxes can be stored as high as permitted by local fire code. However, additional safety equipment and staff training are required to retrieve boxes from upper shelves. Similarly, if the floor load permits, records can be stored on compact/movable shelving which will almost double the volume of records that can be stored in a particular space.

In addition to fire protection, archival records have specific temperature and humidity requirements to promote long-term preservation. The National Archives and Records Administration Directive 1571 (dated February 15, 2002) provides detailed specifications for a range of environmental factors.<sup>2</sup> NARA also has issued a summary of environmental and other considerations that were part of the design of Archives II in College Park in a document called "TIP 13."<sup>3</sup> Both of these documents should be shared with the architect designing the new District of Columbia Archives.

*SAA guidelines?*

The new facility will need to have a secure loading dock suitable for truck deliveries. There should be a "dirty room" where incoming collections can be stored until they are checked for mold or insect infestations. This room will require separate air handling to prevent contamination of the rest of the collection.

In addition to traditional archival processing and preservation spaces, the new facility will need some flexible work spaces because the needs of the District will change over the life of the facility. For example, the District might choose to digitize key historical documents in the next few years but scale this back in the future. Also, the District currently has no program to acquire and preserve digital records, a need that only will grow over the life of the new facility.

In terms of public spaces, interview with stakeholders (see Appendix C) made clear that the new facility should have reference, exhibit, and meeting spaces worthy of the District and its history. Stakeholders pointed out that historical tourism is a major contributor to the District's economy. A new District Archives will complement other nearby institutions.

The facility will require separate reference areas for different media: paper, microfilm, audiovisual, and digital. This is because some of the media require specialized lighting or generate noise that would be distracting to other researchers.

The facility should have meeting rooms near the building entrance that can be used after-hours by school or community groups without compromising the security of the rest of the building. The entrance area also will need lockers to secure the personal belongings of patrons.

While the detailed specifications for a new facility must await the programming phase of an architectural study, the following is a preliminary list of requirements

<sup>2</sup> <http://www.archives.gov/foia/directives/nara1571.pdf>

<sup>3</sup> <http://www.archives.gov/preservation/technical/>

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General Area	Specific Requirement
Reception Area (should be secure from the rest of the facility)	Reception Desk
	Coin-operated Lockers for Patrons
	Classrooms/Meeting Rooms
	Exhibit Space
	Patron Lounge
Reference/Reading Area	Reference Room
	Room with Open Shelves for Finding Aids and Reference Books
	Room with Computers for Viewing Digital Records
	Microfilm Reading Room
	Digitizing Photocopiers
	Holding Area for Carts of Records
Storage	Space for storage of 90,000 cubic feet of records
	Cold Storage for Audiovisual Records
	Digital Archives Storage Room
Records Receiving	Loading Dock
	Freight Elevators to Reach All Floors
	Quarantine Room for "Dirty" Records
Staff Work Areas	Processing Room
	Conservation/Preservation Lab
	Meeting/Conference Room
	Staff Lounge

### The Agency

... Administered by an agency with sufficient expertise and resources to sustain archival activities over time

The "Functional Statement, Office of Public Records," identifies the following functions for the District of Columbia Archives:

The functions of the Archives include transferring, accessioning, and processing historical and permanently valuable records into archival collections. The Archives receives, processes, and services all historical, genealogical, architectural, legal, fiscal, and academic research and records requests. Additionally, the Archives conducts research studies on the records holdings in the repository. These studies are conducted to publish preliminary findings on all primary sources in the Archives. Also, these studies are conducted to publish finding aids to the records in the Archives, guides, indexes, and inventories to primary

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sources of records in the repository. The Archives publishes agency histories, scholarly papers, and other documentation studies on the records in the Archives.

Other functions of the Archives of the Archives include holding seminars and workshops on archival principles, practices, and techniques of preserving and conserving historical and permanently valuable records; hosting symposiums on the history of the District government.

As noted earlier in this report, the Archives has been starved for funds at the expense of records center storage. As a result, the Archives has not been able to fulfill its mission to professional standards.

In order to achieve its vision, the Archives will need to move forward on several fronts at the same time:

- Conducting detailed inventories of records in agency custody and in various off-site storage locations
- Developing and approving records retention schedules for all agencies
- Processing archival collections, including preparing finding aids
- Addressing the backlog of collections requiring conservation treatment
- Digitizing collections of high researcher interest
- Establishing a program for digital records
- Increasing services for researchers
- Improving the Archives' Website

The Archives will need additional resources to move forward with this agenda, which primarily redresses past program shortfalls. There is so much to do that OPR probably will need to employ contractors to assist with some of these efforts over the next few years.

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### **Vision for the Records Center Division**

*The Records Center Division assists agencies and offices with the cost-effective management of District records*

The “Functional Statement, Office of Public Records,” identifies the following functions for the District of Columbia Records Center Division:

The functions of the Records Center Division are to implement the general and agency records retention schedules. These schedules are used to transfer temporary, semi-active, and inactive records into the District of Columbia Records Center (Center). The functions of the Records Center Division include accessioning records into the Center; retrieving records from the Center; disposing records; and maintaining the Center’s manual database system. This division receives, reviews, processes, and approves all Records Transmittal and Receipt Forms (S.F. 135’s) to transfer records into the Records Center; picks up records from agencies and transfer them to the archives and records center; unloads, stages, batches, and shelves records; annotates S.F. 135’s with records shelving location, updates manual database system, OI Report with record center location; and provides agency with copy of S.F. 135’s. Functions of this division include processing retrieval/reference request services of records stored in the Center; refiles records; relocate records; inspecting, controlling, and maintaining the physical and legal integrity of the records; and disposing/destroying records that meet the terms of the records retention schedules.

I recommend that the name of the Division be changed to better reflect its mission and vision. A broader name, such as “Records Management Division” or “Records Administration Division,” would show that the Division’s responsibilities go beyond records storage to include:

- Records inventories
- Records retention schedules
- Disaster planning
- Digital files management
- Enterprise content management

As noted earlier, I recommend that the District of Columbia follow the model of the Federal government and charge-back records management cost to the originating agencies. Once senior agency administrators see the true costs of records, they will have an incentive to manage records efficiently.

Beyond incentives, there needs to be an increasing emphasis on compliance with records management statutes and directives. This compliance will require the visible support of senior government officials.

In terms of records center storage, the District has several options:

- Build or lease a District-managed facility

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- Continue to use Federal records centers
- Contract with one or more private-sector commercial records centers

No matter which option the District selects, any facility should meet the standards for records centers established by NARA.<sup>4</sup> Also, the District will need a system for the transportation of records throughout all stages of their lifecycle.

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<sup>4</sup> <http://www.archives.gov/records-mgmt/storage-standards-toolkit/>

### **Vision for the Library of Government Information**

*The Library of Government Information acquires and maintains all publications issued by the District of Columbia*

The “Functional Statement, Office of Public Records,” identifies the following functions for the Library of Government Information:

The functions of the Library of Government Information Division are to collect, compile, and maintain a library of all studies, reports, monographs, periodicals and circulars, primary and secondary sources, and publications on and related to the District government. This division is responsible for the exchange, sale, purchase and loan of materials with libraries and institutions in other municipalities and public authorities.

As noted earlier in this report, the budget for LGI has decreased from \$382,000 in 2005 to \$79,000 in 2013. I believe this level of funding is insufficient for LGI to achieve its vision and mission.

The situation is compounded by the changing nature of government publications since 2005. Today, most government reports are “published” through the Internet. As such, any library of government information must have the resources to identify, capture, and preserve Web-based publications. This is beyond the current capabilities of OPR.

The District of Columbia has several options at this point:

- Discontinue the LGI function
- Maintain the LGI function within OPR with a budget adequate to conduct its activities according to professional standards
- Transfer the LGI function and existing collection to the DC Public Library

I believe the LGI function is important for the citizens of the District. However, even if OPR’s budget for this function is increased four-fold, it still will not equal the budget for LGI in 2005. In light of all that OPR has to do with archives and records management, as discussed above, I recommend that LGI’s function and existing collection be transferred to the DC Public Library.

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### Conclusion

The District of Columbia has lost ten years in addressing the crisis situation with its historical legacy. During that decade, irreplaceable paper records have deteriorated and digital records have been lost, destroyed, or rendered unreadable. The District can wait no longer.

Now is the time to build a new “archives” that reflects the three meanings of the term: records preserved in a proper facility by an adequate professional staff. The vision can be delayed no longer.

It has been a pleasure to assist the District of Columbia with this important project. I would be happy to answer any questions about this report.

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### **Appendix A: Statutes and Mayoral Orders Governing the Office of Public Records**

As part of this engagement, I was asked to review statutes and mayoral orders governing the Office of Public Records. Appendix B contains a full list of all of the documents I reviewed. In this section, I present some recommendations for change.

#### **“Public Records Management Act of 1985” (DC Law 6-19)**

The definition of “public record” is as follows:

Any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District. The medium upon which such information is recorded shall have no bearing on the determination of whether the record is a public record.

This definition is similar to ones used by other governments at all levels. It also is “media-neutral,” meaning that the definition of a record is not affected by the medium on which it is found. I do not see any compelling reason to modify the definition of public record.

I noted the following in Section 2-1714, “Applicability:”

- (b) The requirements and provisions of this chapter shall not be binding upon:
  - (1) The Council of the District of Columbia;
  - (2) The Board of Education;
  - (3) The District of Columbia Court of Appeals and the Superior Court of the District of Columbia; and
  - (4) The regional and national bodies in which the District participates as a member.”

The staff of the Archives noted that the Courts have one of the largest volumes of records in the Archives and that the schools are another large creator of records. Is this “courtesy storage” as the National Archives does with the Supreme Court and Congress? Is legal custody transferred to the DC Archives? If not, who should bear the costs for these records? I think this section should be re-examined to see if it needs to be changed.

#### **“Rules and Regulations on Public Records of the District of Columbia” (Title I, Chapter 15).**

Section 1521 makes clear that custody changes when records are transferred to the Archives:

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“1521.1 Upon accessioning into the Archives, jurisdiction over the records shall pass from the agency that created, maintained, or received the records, to the Archives.  
1521.2 The Archivist shall be responsible for the custody, use, withdrawal, and loan of records and donated historical materials transferred to the Archives.  
1521.3 The Archivist shall establish procedures for access to and use of records in the research room and elsewhere in the Archives.”

Section 1518 makes clear that there is no change of legal custody with temporary records stored in the Records Center:

“1518.1 Agency records that are accepted for storage by the Records Center or other approved storage depository shall be considered to be under the jurisdiction of the agency which transferred the records.  
1518.2 The use of records in the Records Center shall be subject to access rules prescribed by the agency from which the records were transferred. When agency rules permit, the Records Manager shall make records in the Center available to requesters.  
1518.3 When access is precluded by agency restrictions, the Records Manager shall refer to the responsible agency any requests for access, including those made under the Freedom of Information Act.  
1518.4 In the case of records of a terminated agency for which there is no successor, access to records stored in the Center may be granted by the Administrator.  
1518.5 The Records Manager shall establish procedures for access to and use of records in a research room and elsewhere in the Records Center.”

I believe these two sections (1522 and 1518) provide sufficient justification for the charge-back of records center costs to the originating agencies.

There are four sections dealing with “micrographics” (Sections 1529-1532) but nothing dealing specifically with digital records. There need to be rules and regulations for digital records.

District agencies are increasingly relying upon digital records for the transaction of official business. The District of Columbia Archives has fallen behind professional best practices in the area of digital records. The Archives will need additional staff and other resources in order to identify, preserve, and make available records in digital form.

I also reviewed the “District of Columbia Digital Archives Plan,” which is for the digitizing of historical records on paper. There is no provision in the plan for current “born digital” records of archival value.

**“Transferring Records into District of Columbia Archives and Records Center” (Mayor's Order 2007-50, Dated February 2, 2007).**

This order requires all Executive Branch agencies to:

- Appoint records officers and records coordinators
- Develop records retention schedules and records management plans
- Transfer inactive temporary records to the District of Columbia Records Center

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- Transfer historical and permanently valuable records to the District of Columbia Archives
- Transfer reports, studies, and publications to the Library of Governmental Information
- Establish criteria for the management of digital records

As with other directives, this one is sound in its identification of duties and responsibilities. However, the Office of Public Records has never had sufficient resources to insure agency compliance with the statutes and regulations.

The general public and the professional community have been particularly concerned about this lack of resources for the last decade. For example, on May 1, 2014, the President of the Society of the American Archivists, Danna C. Bell, gave the following testimony before the District's Committee on Government Operations:

The level of current staffing available to arrange, describe, and provide access to these important records is totally inadequate. Full-time professional archivists and records managers are needed to review the records, determine their disposition, do preservation work as needed, and answer reference questions from government officials and members of the community. Work is also needed to ensure that government records created throughout the DC system are handled properly and, when no longer current, are sent to the DC Archives for appropriate disposition.

In addition, staff are needed to begin the important work of protecting, preserving, and providing access to government records that exist only in electronic form. The DC Archives staff must begin planning how to acquire and preserve electronic records for current and future use. Currently there is no policy in place to preserve these important records and professional staff are needed to begin work on these critical issues.

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**Appendix B: Documents Reviewed**

<b>Year</b>	<b>Document</b>
1999	New Archives Facility: Program and Technical Requirements (Cushman & Wakefield)
2000	Office of the Secretary, Annual Report, 1999-2000
2004	Condition Assessment Report of OPR Building 51
2005-2013	OPR Budgets
2007	Mayor's Order 2007-50. Transferring Records into District of Columbia Archives
2009	District of Columbia Official Code: Records Management
2009	Comprehensive Facilities Condition Assessment and Space Utilization Survey (Department of Real Estate Services)
2009	As-Is Business Processes and Gap Analysis
2011	Naylor Court Archives Building Assessment/Design and Estimate for HVAC System Repair/Replacement (RMF Engineering)
2012	Preservation Needs Assessment (LYRASIS Digital & Preservation Services)
2013	"DC Records Center Report" last updated December 24, 2013
2013	"Accession Register, DC Archives," last updated November 16, 2013
2014	Report of Records Survey and Inventory (Logistics, Support, Inc.)
2014	DC Government Holdings Report, April 2014
n.d.	Permanent Records Appraisal Guidelines: Generic Series Descriptions of Archival Records
n.d.	Digital Archives Plan
n.d.	Functional Statement: Office of Public Records
n.d.	New Archives Building Requirements
n.d.	OPR Operations Manual
n.d.	Records Management Procedures for Accessioning Records into the Records Center
n.d.	Regulations, Title 1, Chapter 15

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### Appendix C: Notes from Meetings with Stakeholders

#### Stakeholder Group 1, Key External Supporters: May 15, 2014

##### Attendees:

- Friends of the DC Archives
- Historical Records Advisory Board
- Archives Panel

##### Summary of Main Points:

The two programs (archives and records management) serve different purposes and have different value propositions:

- Records Management (efficient management of records of temporary value) primarily serves the government of the District
- Archives (management of records of permanent value) not only serves the District government, but it serves wider cultural interests.

While facilities for these two programs could be co-located, it might make more sense to separate them physically. With Records Management, the goal is to store inactive records at the lowest possible cost consistent with retrieval demand.

The National Archives and Records Administration (NARA) has 18 facilities. The Washington National Records Center (WNRC) holds 29 million cubic feet of records. They are projecting that the volume of hard-copy records won't decline until after 2020, despite the movement toward digital records in government.

In the case of NARA, active temporary records are stored on shelves while inactive records are wrapped and stored on pallets. NARA charges agencies for records storage – it sustains itself without any Federal appropriations. Costs range from \$1 to \$4 per cubic foot. All NARA storage areas meet Federal requirements.

Area colleges and universities also use offsite storage.

The District of Columbia currently stores 44,000 cubic feet of records in 8 sites. A detailed inventory of these records is essential. It is impossible to know if any proposed building renovation is appropriate without knowing more about the archival collections. Planning must begin with the *records*, not the building. The public doesn't know what's in the collections. We need transparency.

There is a sense of urgency to stay on top of the current funding so it is not taken away. The personal commitment of the Secretary of the District has made a difference. However, there is no time to waste on design and programming. We can't afford to start the process again from the beginning. We have been waiting since 2003 for something to happen.

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Researchers not only use the Archives, they use the Public Library as well. However, this does not mean that the two should be co-located.

The Library of Virginia has a welcoming feeling. There is space for computers and researchers. This requires adequate space and staff.

We also have to consider this particular moment for the cultural community of the District. The Historical Society is short of money and will be co-located. The Washington Division will move soon. It is a time to work together, which is a big change. A recent IMLS (Institute of Museum and Library Services) grant is a positive step in this direction.

CLIR (Council of Library and Information Resources) gave \$500,000 to digitize key records in various repositories. However, what about the preservation of the original records in a substandard building? Not doing something about the space may affect future grants.

It is a challenge to identify and reach stakeholders. A recent Historical Studies Conference only had 300 attendees; other conferences regularly have double that amount. One potentially huge group is people who are interested in the history of their neighborhoods.

Transparency is important, so people know the records that are in the Archives.

The financial constraints are real and need to be addressed. We may be able to learn from the experience of the City of Philadelphia. When they moved their archives to a new building, they did not do a capital investment. Rather, they signed a long-term lease. NARA also signs 20-year, "no-money-down," leases. This may be a more attractive option for the Records Center than for the Archives.

A stakeholder asked how many of the records are scheduled as permanent. The answer was that approximately 60% of the records are scheduled; of that, 45% of the records are permanent. The stakeholder mentioned that this seemed high: at the Federal level, only 1-2% of records are permanent. The answer was that this reflects a high percentage of architectural drawings. The records in the warehouse are not scheduled.

Personnel records are a unique situation. Before 1987, the records are the responsibility of the Federal Government. Records after 1987 will be held in the DC Archives.

The Archives needs to establish a service model that takes into account other cultural institutions in the area. Should there be joint projects and initiatives? How does the mission of the Archives relate to the mission of the Public Library, which must serve a wide range of constituents? There should be cooperation in programming, which flows from and awareness of other repositories and their collections.

A major "plus" for the Archives is the people who work there. There is an active reference staff that serves all researchers. In some state archives, a researcher has to wait a long time to get assistance with records.

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A stakeholder asked about audiovisual records, which are very sensitive to temperature and relative humidity. The Archives has 20-30 cubic feet of 16mm film, microfilm and VHS tapes, but doesn't have the equipment to view all of it. The stakeholder commented that this seems low. The subsequent conversation covered the following points:

- Footage of Council Meetings from 1975 forward is at the Washington National Records Center (NARA).
- There are approximately 10 cu. ft. of still photos in the Archives.
- Where are the photos of the mayors? Since Mayor Barry, photographs have been the property of the photographers. Several area universities have acquired the personal and professional papers of mayors and council members.
- What is being done with police photos?
- The Redevelopment Land Agency has extensive photographic holdings

It is important to know what is in the collection before you can plan space for it. We need to know volume, format, etc. The building should support the collections. The central repository has to be able to hold all of the archival records.

The City of Philadelphia created a Records Management Executive Order. It required the appointment of records officers and liaisons to develop records retention schedules. The Water Department always maintained its own archives.

The District of Columbia does have a mayoral directive but results have been uneven with agencies. How do we get agencies to take records management seriously? The District already tried putting Records Management under the City Administrator. It was pointed out that executive orders do not apply to independent agencies.

Often a Records Management Officer is a low-level person doing records management as part of "other duties as assigned." Education is a big issue.

One stakeholder said that his institution gets compliance with records management by having people with influence pass the message down. Compliance and privacy are partners in his institution.

The archival collection is heavily used for genealogy. There are 14,000 oversized books of land records. The Archives will be getting microfilm from the Recorder of Deeds.

Researchers now have to sit at tables in the stacks. There is no enough space for researchers. It might make sense to have different reference space for different types of users.

Researchers would prefer to access digital copies of records online rather than having to come to the Archives. Part of the vision is that online finding aids will enable researchers to order digital copies online.

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One stakeholder asked when records will be online. Also, the Archives should be preparing to acquire "born digital" records.

The Mayor's Open Government Initiative is intended to move government services online. For example, there is a new online system called FOIA Express.

The DC Archives has short-term and long-term needs. An approach used for senior citizen/wellness centers was "build it and they will come." We don't want to delay and lose sight of the "here-and-now."

What is the service model for the DC Archives? For example, state libraries are not designed for children but public libraries are.

In terms of other cultural agencies, the vision should be to collaborate when they have things in common. The DC Archives has the unique mission of preserving government records. It should collaborate on programs no matter what happens with space. If money permits, there should be classrooms and exhibit space.

Does the 1985 statute need to be changed? This is the underling authority for the Archives. Some changes already have been proposed, including a fee-for-service model for records management.

We should explore sources of revenue to sustain the archival program. For example, beginning in 1999 the Recorder to Deeds funded the scanning of documents with a \$5 surcharge on filings.

NARA has a revolving fund for Federal Records Centers, which are required to generate a 4% profit. We need a solid business case for stakeholders. If agencies use separate storage space, this weakens the argument for a records center.

There also are a number of independent collections in the District:

- The Fire Department has a museum.
- The Police Department has an archives and museum.
- The Sumner School has a school museum and archives.
- The Lorton Work House

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**Stakeholder Group 2, Patrons and Users of Archives: May 16, 2014**

**Attendees:**

- Zondi Bears, DC Office on Aging
- Mara Cherkasky, Prologue DC
- Janet Bailey, Queries Consulting
- Willis Bradell, Department of Health, Vital Records
- Alice F. Harris, AAHGS
- Sybil Williams, AAHGS
- Daryl Wiggins, Document Managers
- William Hopkins, Commonwealth Title
- Roland Gallup, Red Rock Title
- Kelly Finnigan, EHT Traceries
- Dana Litowitz, EHT Traceries
- Julie Lee, DC Archives Intern

**Summary of Main Points:**

Deeds and libers are key records but access to them is limited. They can only be used Tuesday and Thursday from 9:00 a.m. to noon. Researchers are only given 4 libers at a time. They would like digital access to land records dated before 1921.

The researchers stated that the DC Archives needs more staff and longer hours of access.

There also should be a dedicated research room. At present, researchers cannot go to the restroom on their own. Because of space limitations, staff have different standards of conduct. Some researchers feel they are being treated like “kindergarten.” You can’t bring in phones or laptops.

There is not enough room for interns. They have to use a cart for a table, which makes it very difficult to process records.

Genealogists who conduct research in the DC Archives have also visited archives from across the country. They have seen the gamut. They believe that experienced researchers should be able to get a “super research card” with additional privileges. Even with digital access, genealogists often want access to the physical records – there sometimes are serendipitous discoveries.

While digitization is a help, online access also raises privacy concerns.

They would like a comfortable facility with a computer available for consulting resources like Ancestry.com.

There should be an up-to-date research facility separate from the stacks. The primary purpose is to protect the records.

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With digital documents, you can have permission rights in the metadata. You can set up a virtual research room. Digitizing unique records allows worldwide access.

The procedure for accessing land records is frustrating for users. Researchers have to go to DCRA at the waterfront and give them the address. Two weeks later they can come to the DC Archives. This seems like an “archaic process.” They would like online finding aids and the ability to request that records be pulled in advance of a research visit.

With court records (deeds and wills), the researcher has to go downtown to request records. The request then is sent to the DC Archives. The problem is that researchers don’t have the opportunity to browse records. Researchers only are granted access to a specific, requested document. Copies of indexes and finding aids should be in the Archives.

The records of the Office of the Surveyor are indexed online. However, you still need to know what you’re looking for.

We discussed the two broad categories of researchers and their different needs:

- “Researchers of the Fact.” (Was a particular person on a specific ship from Europe?)
- “Researchers of the Interpretation.” (Why were people emigrating to the United States?)

The National Archives is a good model for the research experience:

- A researcher arrives without knowing which records may be relevant to his or her research
- The researcher talks to an archivist who identifies possible collections and refers the researcher to the finding aids
- The researcher looks through the finding aids and completes form requesting records
- The records are delivered to the researcher in the reference room

Many NARA finding aids are available online, even if the records are not.

Research is time-consuming but there is no way around it. Finding aids are key.

A title searcher talked about how labor-intensive the process was in the DC Archives. In the past, you could pull books yourself. At the Recorder of Deeds, books were available on shelves. They want the same kind of access in the Archives. The Archives’ limitations on access time and number of documents are major problems in this business. Clients are used to fast turnaround, which often is necessary to close a real estate transaction.

The State of Maryland makes its land records available for free online. You can conduct research “in your pajamas.”

Researchers recommended that a new Archives facility have the following:

- Environmental controls
- Receiving area
- Research areas

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- Meeting rooms
- Loading dock
- Elevators (including freight)
- Enough room for growth of records
- Work space
- Security
- Cameras
- Sufficient staff

Preservation is important. Digitizing frequently-accessed items can help preserve the originals. However, researchers should be able to see the originals, if necessary.

Birth and death records come from the Registrar. Each year there are 7,000 births and 14,000 deaths. The DC Archives has records from 1874. Records are open after 100 years. Researchers must first go to the Registrar, which sends the request to the Archives.

There should be tighter security around original documents.

New researchers should be given additional help.

The Maryland State Archives puts frequently used records near the research room.

The new facility should increase outreach to the community. There should be meeting rooms with audiovisual equipment. There should be classes for genealogists and opportunities to work with the schools.

The Building Permits need preservation work.

Researchers would like to take photos of records using their phones. They also would prefer Wi-Fi access to having to use Archives' computers. They also would like to take digital documents home on a USB drive rather than getting paper copies.

Digitizing is the future. We can learn much from the Church of Jesus Christ of Latter Day Saints (the Mormons).

Reference books also should be put in a self-service location for use by researchers.

We discussed the pros and cons on co-locating the DC Archives with another cultural institution.

- The Martin Luther King Library has talked about adding floors. Perhaps the Archives should go there. The Library already has a division with primary sources.
- The Library mission is different than the Archives mission. It doesn't make sense to combine them.
- In New York, the State Library and State Museum are on different floors of the same building.
- Maybe preservation and conservation should be co-located

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A new Archives facility should be within the District, near the Metro, and with parking. It needs up-to-date microfilm reader/printers that generate digital copies.

There needs to be pressure from the top to get agencies to send records to the DC Archives. Agencies need to get the message that records are “essential,” not just “nice to have.” There are 66 agencies in DC government but only 10 have retention schedules. The government needs to provide funding to develop retention schedules. Agencies need to appoint records officers. Agencies can’t be permitted to have informal storage areas for records.

The researchers made a point of thanking the Archives’ staff, who have helped everyone and “been here for us.”

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*Stakeholder Group 3, Agency Records Officers: May 28, 2014*

**Attendees:**

- David Walker, EOM-OBC
- Yolanda Lyles, DCOA
- Jean Washington, DYRS
- Maureen Johnson, DCLB
- Cheryl Randall Thomas, DDOS
- Nyisha Cleveland, DCPC
- Yolanda Maiber, OTR
- Deborah Eaves, OTR
- Kodiak Hill Davis, DFS
- Tondalaya Hamilton, DHEF
- Traci Patterson, DCOIG
- LaRonda Jenkins, DCOIG
- Traci Hughes, BEGA
- Timothy Pickett, DHS
- Synina Pugh, DHS
- Malik Edwards, DSLBD
- Willis Bradwell, Jr., DOH/VRD
- Tamika Dodson, OPC
- Frank Scott, OPC
- Sherry Roberts, OAG
- Josephine Ansahbrew, OHR
- Marquita Kouyate, DOH
- Joyce Speaks, DHS/ESA
- LaVerne Brice, Department of Youth Rehab

**Summary of Main Points:**

The Attorney General has 3,000 cubic feet of records.

Records Officers want continuous training, perhaps using the District's training facility. They also would like to use training offered by the National Archives and Records Administration (NARA).

It would help to be able to give "credentials" to Records Management Officers. Records management is not at the top of the list for most agencies. There is an ongoing battle for funding and support. They want specialized training that leads to career growth.

Compliance with the Freedom of Information Act (FOIA) is an important issue. There is confusion with technology – how should the records be retained? The format of the records is important for compliance. The records should be searchable PDFs. Also, the District needs to be transparent about search fees. Who "owns" the documents? Who pays the search fees?

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It would be good to have a “resource office” that would serve as a clearinghouse for information.

Access to records stored in the Washington National Records Center (WNRC) is through NARA’s system called ARCIS. It is outdated and is not user-friendly. With ARCIS, you can’t track records below the box level. The private sector uses bar codes on boxes and shelves.

Records currently are stored in three locations. It is important to house all of the District’s records within the District. You now have to travel 90 minutes to retrieve records.

There is a digitization program in the Courts. They scan the records in-house and then store the hard copy off-site. They want to know if they have to keep the paper. The District does have a “digitization policy.” Attendees recommended that the DC law be amended to include digitization standards.

The District should explore establishing an in-house “digitization center” in the new Archives facility. This would not preclude using outside vendors as well.

The Office of Public Records needs new staff, especially Records Analysts who can assist with the revision of records retention schedules. There is too much work for the current three staff members.

The District should move all records out of WNRC and transfer them to the DC Archives. This would reduce transportation time and expense.

WNRC is out of space. NARA is storing records in Philadelphia, without charging customers for the extra transportation costs. NARA can expedite deliveries using FedEx.

The District pays NARA \$.21 per box per month to store records. The total charge is \$42,000-45,000 per month.

One agency still is using Iron Mountain to store attorney files. These records have not been scheduled.

DHS is renovating seven service centers. They would like to use this opportunity to improve records management systems.

The Office of Public Records should put all of its forms online, perhaps using Google Docs. The new Archives facility should have a reference room for agency use.

Secure destruction of records can be a challenge. One agency removed 26,000 boxes from Iron Mountain and then had trouble finding a shredding contractor. Another agency destroyed X-rays and was able to recover the silver in the film, generating \$45,000 in revenue.

It is important to share best practices around all records management processes. For example, are their tips on the business processes around imaging? The Office of Public Records needs an

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improved Website that includes copies of all of its guidelines and best practices. It is important for the public to be able to access this site as well.

The Library of Congress' Website has information about digital formats.

There are Homeland Security issues around making building blueprints available.

The Vital Records Division has paper that requires conservation treatments.

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**Stakeholder Group 4, Staff of the Office of Public Records: May 29, 2014**

**Attendees:**

- Clarence Davis
- William Branch
- Ali [need last name]

**Summary of Main Points:**

They want improved software for managing the collection. It should have the following functionality:

- Collect inventory information
- Create records retention schedules
- Complete transfer forms (SF-135) electronically
- Include storage location
- Create retrieval request (Form OF-11) electronically
- Track outstanding reference requests
- Track refiling of returned records
- Generate reports for each agency as well as summary reports for District officials.

The "O-1 Report" is used to manage space. Converting it to a newer database could be expensive.

Staffing levels are a major concern. More staff are needed. They try to use e-mail as much as possible to cut down on reference visits.

Building permit requests from DCRA (Department of Consumer and Regulatory Affairs) arrive by fax. Once a researcher reaches the Archives, if he or she has an issue, it requires a return visit to DCRA to resolve. The Archives needs to be able to access the DCRA index directly.

If HHS has an index to death certificates, a copy also should be in the Archives.

The Archives needs a scanner for engineering drawings.

Records now are stored wherever there is space on the shelves. In a new facility, groups of records should be stored together.

Many agency records are stored at the Washington National Records Center (WNRC) at Suitland, MD. Agencies must complete an SF-135 form to transfer records. NARA uses a system called ARCIS to manage storage and retrieval.

Agencies need visibility into the costs of storage, even if there is no charge-back. Perhaps if agency heads see the cost, there will be pressure for improved records management.

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Agencies need to take more responsibility for records management. They need to appoint qualified Records Officers. They also should assume the cost of storage of inactive records.

Some agencies (like DCRA) charge the public for services, even services performed by the Archives.

Transportation is a consideration with a new building. There needs to be a loading dock. But who will pick-up records? Will there be a dedicated driver? Who will deliver requests? Who will pay the costs?

Ten years ago, NARA did pickups and the Office of Public Records paid the costs, which were huge. This year, the District is paying NARA \$600,000 for records storage and retrieval.

The Archives need space for agencies to review records.

The Archives needs additional photocopiers for patrons. We discussed how to protect the Archives from alleged violations of copyright law but using provisions of Section 107 of the Copyright Act that shift responsibility to researchers. This includes putting copyright notices on photocopy machines and duplication order forms.

For identification purposes, they stamp all copies "DC Archives." Some archives have the identification line under the glass on the photocopy machines, so it appears without extra effort.

DCRA is responsible for building permits, plans, and corporate documentation.

Land records are quite extensive: 14,000 books, 100 file drawers of index cards, and microfilm. They will receive microfiche in the future. Perhaps there should be a separate "section" for land records.

Genealogical records also are heavily used: birth, death, marriage, will, probate, apprenticeship, guardianship, etc. Perhaps these records also should have a separate "section"?

Suggestions for possible sections/divisions:

- General
- Land
- DCRA
- Genealogy
- Library of Government Information
- Communities and Neighborhoods
- Government and Politics

The government of the District has gone through various structures. From 1878 to 1967, it was governed by a Board of Commissioners (2 commissioners and 1 engineer). The records total 4,000 cubic feet.

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The Archives needs additional computers plus a plan to put indexes and other finding aids online. The facility must have sufficient off-street parking for patrons and staff.

There is a need for cold storage of certain records: 8mm and 16mm film, photographs and negatives, CDs, X-rays, etc.

The Library of Government Information should be set up separately. Also, much current government information only appears online. There needs to be a plan to capture and preserve this digital information.

The new facility should have:

- Reference desk at the entrance
- Electronic bulletin board for announcements
- Full-sized coin-operated lockers for patrons
- Security staff, not just cameras.
- Security doors to control access to different parts of the building (card access)
- Public address system
- Self-service (credit card) copiers
- Reference desk for staff in each research area
- Fenced-in location to park/store vans and trucks
- A loading dock big enough to receive and ship records
- A “dirty room” next to the loading dock for the temporary storage of records
- Digital records receiving and storage
- Preservation/conservation lab (equipment and space)
- Showers/locker room for staff

The District also should consider a “document reproduction area.” This would handle requests for reproduction. There should be the capability to reproduce oversized documents, which now are sent off-site. If there is a “scan-and-demand” capability, the Archives can keep a copy of everything that is digitized.

A training area also would be useful. There should be a classroom to train agency records management officers. A multi-purpose room could be used for conferences or special events (District of Columbia Emancipation Day, 40<sup>th</sup> Anniversary of Home Rule, etc.) They would like to be able to display historic documents for groups.

They would like an exhibit area for artifacts.

With proper security design, meeting rooms could be used after-hours by community groups.

The facility should be a tourist destination. The Archives is “DC’s best kept secret.” Tourists come to the District for its history.

They would like space to grow, a “campus” with a second building, if possible.

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The Archives will need on-site Information Technology staff if there is new equipment and services.

The District's records at NARA are in Record Group 351. The finding aid is online at NARA.

It would be useful to review the 1980s agreement that transferred the Archives from NARA to the District. There also was a 1970s survey done by NARA.

Logistics Support, Inc. just completed a survey of 6 records storage locations. They identified 36,198 cubic feet of records.

Pre-1987 personnel records are stored at a NARA facility in St. Louis. The District is being charged for storage of these long-term records. Some personnel records did not go to St. Louis because of different retirement systems (Fire Department, Police Department, and teachers). These records went to WNRC in Suitland.

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## APPENDICES \ APPENDIX D - HUNTER VISION REPORT

## APPENDIX E - DC/OPR – ESTIMATES OF RECORDS, AUGUST 3, 2015

The following document is a reproduction of the August 3, 2015 summary of the types of archival records found in each surveyed facility.

## APPENDICES \ APPENDIX E - DC/OPR – ESTIMATE OF RECORDS, AUGUST 3, 2015

To: Hartman Cox/EYP  
From: Michele F. Pacifico

### DC/OPR - Estimates of Records

#### **Archival Records - Permanent**

Identified Permanent records to date = 61,574 cu ft.

#### **Naylor Court**

- 19,103 cu ft. [Accession Register/Hunter]
  - Branch believes the number will be higher (7/24)
  - Type of Permanent Records in Naylor
    - Textual – boxes; ledgers; oversized volumes [MFP observation]
    - Records from Commissioners and Mayors' offices include photos, negatives, 16mm film, slides, furniture, artwork, trophies, plaques, memorabilia [2012 Assessment]
    - Prison records include electric chair [2012 Assessment]
    - Land records – 3.5 and 5.25 floppy discs (no way to read them) [2012 Assessment]
    - Microfilm – District newspapers; Court records
    - Rolled architectural drawings and blueprints [2012 Assessment]
- 20,000 cu ft. feet of 28,500+ record center records are estimated to be permanent. *If 70% of these records are Permanent = 20,000 cu ft. of potential Permanent records (re Branch).*
  - Verify - BB agrees with this estimate (7/24)
  - Is there a list of the Temporary records at Naylor? – BB provided the 01 report for Naylor's record center records. (7/31)

#### **NARA**

- 1,594 cu ft. – Record Group 351 [Hunter]

#### **NARA Federal Records Centers:** Suitland, Boston, Philadelphia and St. Louis

- 20,877 cu ft. are identified as Permanent from FRC 01 report
  - NOTE: 01 lists "containers," which I have interpreted as cu ft.
  - Type of Permanent Records in FRC [20,877 cu ft. in 01 report]
    - Textual
    - Architectural and Drawings
    - Microfilm – 35 cu ft.

## APPENDICES \ **APPENDIX E - DC/OPR – ESTIMATE OF RECORDS, AUGUST 3, 2015**

- Photographs – 193 cu ft.
- Video – 226 cu ft.
- Magnetic Tape – 116 cu ft.
- Mylar Sheets – 8 cu ft.
- **xxx cu ft.** of Unscheduled records that are Permanent [01]
  - 14, 651 cu ft. are designated “Unscheduled” and not appraised
    - Many of these records date from 1950-1970’s. Need appraisal to determine how many are Permanent records.

### **Record Center Records - Temporary**

**Identified Temporary records to date: 127,820 cu ft.**

#### **Naylor Court**

- **8,500 cu ft.** are estimated to be Temporary at Naylor Court.
  - 28,500 cu ft. of record center records at Naylor after recent destruction of some records. *Branch guesstimates that 70% of “record center records” at Naylor Court are Permanent so approximately 8, 500 are Temporary records.*

#### **NARA FRC - Temporary**

- **119,320 cu ft.** are designated Temporary [01]
  - Branch confirmed that these records require review and appraisal. Clarence Davis, the former Archivist, and Branch started this project. (7/29/15)
- **xxx cu ft.** of “Unscheduled” that are Temporary
  - 14, 651 cu. Ft are designated “Unscheduled”
    - Many of these records date from 1950-1970’s. Need appraisal to determine how many are Temporary records

### **Identified DC Records under Agency Custody- Permanent and Temporary**

Total Identified Records under Agency Custody: 82,816 cubic feet +++

The Logistics report lists records by “series” and assigns archival value to some records. It appears that they list records as “archival” if they are obviously old (late 1800’s to 1930’s) or designated “historical,” although this is inconsistent. There appears to be other potential Permanent records at these sites but they are identified as “Archives-No.” Records identified by Logistics as archival are highlighted in **blue**. ***This is not a true appraisal.***

On 7/31/15 Bill Branch provided two additional lists of off-site storage locations. These lists are in Appendix A and B of this report. Some records identified in Appendix A are stored at the same storage sites covered in the Logistics report but it

## APPENDICES \ APPENDIX E - DC/OPR – ESTIMATE OF RECORDS, AUGUST 3, 2015

is not clear if these are the same records or newly identified materials. For example, some records may have been counted by Logistics, such as the DYRS records in Laurel, MD but the cubic footage is different. It is apparent that some of these records were not included in the Logistics or Hunter report. Until we have more information, I have not added these additional records to the estimate, except for the records at Iron Mountain highlighted in gray.

### Iron Mountain

36,481 cf [Hunter]/42,484 cf [BB]

- DCRA records 30,000 cu ft. [Branch, 7/31]
- DHCF 12,484 cu. ft. [Branch 7/31]

### Adams Place

xxx cu ft. [not in Hunter/Logistics]

- Records moved to DC General [Branch, 7/31]
  - When were these records moved?
  - Were these records included in Logistics report?

### St. Elizabeth Hospital

1,965 cu ft. [Hunter, Logistics]

- DGS/Facilities Records
  - 7 cabinet drawers – blueprints/architectural drawings, 1887-1936
    - Estimate that 1 cabinet drawer = 4 cu. ft. at this site
  - 3.15 cu ft. (1 box)- blueprints

### DC General Hospital

7,230 cu ft. [Hunter, Logistics]

#### 1900 Massachusetts Ave. SE

1,572 cu ft. [Logistics]

- Room 6201B are in red – Dept. of Health records. Incomplete: “Description” lists some records as films, tapes, fiche, x-ray but “format” lists paper and “comments” lists as artifact. No dates. Archival value not evident from report.
  - 274 cu ft. – unclear format

#### Building 6 Warehouse

5,658 cu ft. [Logistics]

- 3 “Descriptions” in red – 3 cu. ft. of DGS Adm. Files re just baseball and tennis - cannot tell why just these boxes were selected. Ex: Others labeled “Historic Deeds” and Site Plans for MLK not tagged.
- 8 “Descriptions” in red – Office of State Superintendent of Education - tagged records with “Historical Documents” in description. All of these records are on pallets.
  - ??? cu ft. – not enough info

### Reeves Center

5,010 cu ft. [Hunter, Logistics]

- Architectural records include school renovations, other DC buildings, public roads, etc.
  - 95 cabinet drawers - architectural drawings labeled “Archives” in red – date from 1891

## APPENDICES \ **APPENDIX E - DC/OPR – ESTIMATE OF RECORDS, AUGUST 3, 2015**

- 7 rolls, over 15 cu ft. – architectural drawings, rolled
- 121 cu ft. - paper Records labeled “Archives” in red
- 24 cu ft. Historical Logs -Books labeled Archives in red – poor condition, falling apart – “entire cabinet”.

### **Judiciary Sq. (4<sup>th</sup> St)**

1429 cu. ft. [Logistics]

- Office of Zoning – textual, volumes, architectural drawings, maps, some AV
  - Over 100 cu ft. labeled “Archives” in red; difficult to determine quantity; includes 1920 hearings, Surveys –some from 1920’s, and AV cassettes and tapes of hearings from 1980’s to 2000’s.

### **DC Village**

23,999 cu ft. [Hunter, Logistics]

- Contains court-ordered hold records from dept. of human services/ more records slated to be added. Branch not sure if they are p or t. Will meet with Human Services on Wed. am. [Telephone conv. with Branch, 6/15/15]
- Many agencies represented including Dept. of Human Services, Office of Quality Assurance, Family Services, Econ. Security Adm., DHS, OPM, DC Housing, Human Resources, Corrections, Public Works, Finance & Revenue, and possibly DGS. Some not identified. Large quantity of rolled drawings.
  - Items identified as Archives were removed by OPR.
  - No records ID as Archival
- BB noted that that these records will be moved to V Street. (7/24)

### **Oak Hill/River Place, Laurel, MD**

1044 cf [Logistics]

- Youth Services Records [DYRS re BB, 7/31]
- Probably Permanent (Branch)
  - No records ID as Archival
    - 856 cu ft. labeled “N/A” under “Archives
    - 85 cu ft. labeled “No” under “Archives. Mostly Youth Services Administration Case Files

### **Other Sites identified by OPR**

xxxxxx cu ft. [Branch 7/31]

- See Appendix A and B provided by Branch, OPR on July 31, 2015

## APPENDICES \ APPENDIX E - DC/OPR – ESTIMATE OF RECORDS, AUGUST 3, 2015

### Unidentified Records still in Agency Custody – Permanent

- xxxx cu ft. Permanent records
- Type of records
- What is digital? How is it managed?
- What are future growth predictions?
- Are any records coming to the DC Archives directly from Agencies?

### Identified Archival Records held by DC Agencies

Police Department – known to have their own records; I’ve been told that they are “organized.” Will they be coming to Archives building?

Sumner School Museum and Archives – DC public school records; Do all education records go to Sumner? Where do newly retired records go? Scheduled? Coming to Archives building?

Fire Department – artifacts and ledgers at Engine #3? Where are the Fire Department’s records? Branch thinks some are at Iron Mountain.

Public Service Commission- 102 years old; put together a history for their 100<sup>th</sup> birthday. Where are the records? BB answered that these records are in Archives. (7/24)

Martin Luther King Washingtoniana Division – does it have any city archives?

Are there other agencies keeping their own “archives?”

- BB asked if DDOT has “archives.” They do have a Library. (7/24)

Doc: DC Estimated Records  
Original: June 30, 2015  
Revised: July 10, 2015  
Revised: July 14, 2015  
Revised: July 23, 2015  
Revised: July 28, 2015  
Revised: August 2, 2015  
Revised: August 3, 2015

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### Appendix A

AGENCY	LOCATION	VOLUME (CU FT.)
DOH	33 N ST, NE	10,000
DHCF	BLDG 6 DC GENERAL HOSPITAL	25,000
DHCF	BLDG 11 DC GENERAL HOSPITAL	10,000
DHCF	441 4 <sup>TH</sup> ST, NW 1S20C	500
DHCF	IRON MOUNTAIN (MD.)	12,484
DCRA	1100 4 <sup>TH</sup> ST, SW	13,000
DCRA	IRON MOUNTAIN (VA.)	30,000
DOES	RECORD STORAGE SITE	5,000
OTR	1101 4 <sup>TH</sup> ST, NW	2,000
OTR	DC GENERAL HOSPITAL	400
DDOT	REEVES CENTER	5,000
OAG	441 4 <sup>TH</sup> ST, NW	5,000
OSSE	810 1 <sup>ST</sup> ST, NE	500
OSSE	<b>1709 3<sup>rd</sup> St NE 2<sup>nd</sup> Floor</b>	500
DCPS	1830 CONSTITUTION AVE, NE 1 <sup>ST</sup> FL	1,000
DYRS	8400 RIVER ROAD, LAUREL MD	1,500
DMH	64 NEW YORK AVE, NE	600
DHS	645 H ST, NE	700
UNKNOWN	33 N ST, NE	7,500
DMH	ST. ELIZABETH CAMPUS (VARIOUS ITES)	80,000

Additional Records Storage Sites: received from Bill Branch, OPR 7/31/15

**Appendix B**

Agency Storage Sites

Department of Health  
3330 V Street, NE

Office of the State Superintendent for Education  
810 1<sup>st</sup> Street, NE 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup>, 5<sup>th</sup>, 8<sup>th</sup> & 9<sup>th</sup> floors

Deputy Mayor for  
DC General Hospital

District Department of Transportation  
3rd Street Mall Tunnel New Control Room  
G Street Electrician Shop  
3<sup>rd</sup> and H Street, NW  
Basement of Reeves Center

Received from Bill Branch, OPR 7-31-15