



Maryland State Archives

Hall of Records Commission Meeting

November 16, 2016, 12:00 noon

Electronic Classroom, Maryland State Archives

Agenda

Call to Order by Chair

Opening Remarks / Special Announcements

Reports & Minutes of Previous Meetings

Special Meetings, Advisory Boards & Celebratory Events

Records Retention & Disposal

State Archivist's Report

Recent Gifts, Deposits, & Acquisitions

Forthcoming Special Meetings of the Commission & Events of Interest

Old Business

New Business

Next meeting

Adjournment



Maryland State Archives Hall of Records Commission Meeting

November 16, 2016, 12:00 noon

Electronic Classroom, Maryland State Archives

Agenda with Details

Call to Order by Chair

Attendees

<http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrcfall2016attendees1.pdf>

Opening Remarks/Special Announcements

Special Guests

Ms. Pamela Q. Harris, *Maryland State Court Administrator*

Ms. Jean Russo, *President, Friends of the Maryland State Archives*

Reports & Minutes of Previous Meetings

Hall of Records Commission Meeting Minutes, June 14, 2016

http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrcminutes_jun2016.pdf

Special Meetings, Advisory Boards & Celebratory Events Held

June 22, 2016: Attorney Malcolm Gross discussed “The Trial of John Brown” at the Archives’ *Brown Bag Lunch and Learn* series.

June 29, 2016: Author Ross Kimmel spoke on “Freedom or Bondage: Slave Freedom Petitions in Colonial Maryland” at the Archives’ *Brown Bag Lunch and Learn* series.

July 1, 2016: Workshop Series - “Using Vital Records at the Maryland State Archives.”

August 10, 2016: Filmmaker Mark Hildebrand spoke and screened his film, “Brookeville” at the Archives’ *Brown Bag Lunch and Learn* series.

September 14, 2016: Filmmaker Mark Hildebrand spoke and screened his film, “Anthem” at the Archives’ *Brown Bag Lunch and Learn* series.

September 21, 2016: Historian Susan Pearl spoke on “Steir-Peeters Painting Collection at Riversdale” at the Archives’ *Brown Bag Lunch and Learn* series.

October 1, 2016: The Archives hosted its Third Annual Family History Festival.

October 12, 2016: Professor Nicholas Creary and Bowie State University student Sydney Lawson spoke on their study of lynching in Maryland at the Archives’ *Brown Bag Lunch and Learn* series.

Proposed Action by the Commission: motion to approve the minutes (as amended, if amended), and recognition of the special meetings of the Commission as defined by standing resolution.

Records Retention & Disposal

Retention Schedules:

http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrc_schedules_11-16-2016.pdf

Disposal Certificates:

[http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrc_disposal_11-16-2016\(1\).pdf](http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrc_disposal_11-16-2016(1).pdf)

Proposed Action by the Commission: motion to approve the Records Retention and Disposal Schedules as presented.

State Archivist's Report

Chronology: staff activities since the last meeting

http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrc_chronology_fall_2016.pdf

Budget

FY 2015

Budget Book Appropriation \$2,131,467 including 2% cut.

Converting 6 contractual FTEs to permanent status by eliminating 9 FTEs.

Reducing the number of contractual employees from 40.20 in FY 2014 to 24.20 in FY 2015.

FY 2016

Budget Book Appropriation \$2,551,862 including 1.72% cut and the second cut of 2.12% totaling 3.8%.

Converting 2.5 contractual FTEs to permanent status by eliminating 2.5 FTEs.

Over the target request was approved for operating cost of Rolling Run Drive Warehouse @ \$3.20/SqF:

Fuel and Utilities \$207,611

Contractual Services \$220,609

FY 2017

Budget Book Appropriation \$2,490,885 including 3.1% cut and the second cut is in process will be 3.65% totaling 6.75%.

Converting 6 contractual FTEs to permanent status by eliminating 9 FTEs.

Reducing the number of contractual employees from 24.2 in FY 2016 to 15.80 in FY 2017.

FY 2018

Budget Target \$5,493,000 to be cut by 3%.

The increase in the budget target for FY 2018 is as a result of the shifting the Archives Special Fund revenue to the General Fund Appropriation in the amount of \$3,000,000.

Request for converting 2.5 contractual FTEs by eliminating 4.5 FTEs.

This will reduce the number of contractual employees from 15.8 in FY 2017 to 6.8 in FY 2018.

Shifting the Archives Special Fund revenue to the General Fund Appropriation in the amount of 3,000,000 which it will be cut by \$90,000 (3%) .

After a budget reduction of 3% in the amount of \$75,000, the General Fund Budget for FY 2017 is \$2,490,885. As the General Fund Budget is only for the controlled sub-objects and a portion of staff salaries, the agency has had to shift the funding to the Archives Special Fund to cover the cut. The second cut in 2017, a 3.65% reduction of the budget book appropriation (including any amendments) in the amount of \$91,000, is being presented to BPW. The overall General Fund budget reduction thus far for FY 2017 will be 6.66%. The FY 2018 General Fund budget target, including \$3,000,000 to support mdlandrec, was \$5,493,000, from which the Archives had to offer the first cut of 3% in the amount of \$165,000. As this is an experience-based practice for the agency, to cover the cut, the agency had to shift the fund from the general to special fund to avoid reducing the needed number of staff.

In summary, the cumulative effect of budget cuts over a number of years has resulted in a situation in which the Archives is left with almost no discretionary spending. In other words, the budgeted funds remaining are mostly all in what are termed "controlled sub-objects." Examples include salaries, health insurance and rent. Since the controlled subobjects are essentially obligated funds, any further reductions will most likely result in the elimination of positions.

The overall General Fund budget reduction thus far for FY 2017 will be 6.66%. The FY 2018 budget target was cut by 3%. Across the board cuts in General Funds are made even more impactful by the decision last year to shift the funding source of the Archives from being predominantly Special Fund to General Fund.

Customer Service Initiatives

In keeping with the Governor's Executive Order concerning customer service, the Archives has begun a concerted effort to direct more resources to core functions and broaden and deepen the "Archives experience" by integrating staff activities across current departmental boundaries. Our high-level objectives are to better utilize static, and even decreasing staff resources to fulfill core agency functions – the "getting back to basics" objectives formulated by the State Archivist and documented in our agency MFR. These include:

1. Enhancing customer service, patron access to our collections, and the delivery of reference and research services generally.
2. Strengthening our appraisal, description, and records transfer efforts the better to address the myriad new challenges of our increasingly digital records environment.

These are the core missions of any government archives.

Of course, another motivation is to cross train staff to increase their knowledge and experience of all aspects of modern archives operations. This promotes staff members' professional development, adds variety to the workday, improves the agency's flexibility to assign staff as needs arise and shift, and trains up the next generation of archival managers.

Appraisal and Description

Records Management in County Public Schools and Throughout the State

2016 legislation (House Bill 1105, 2016 Laws of Maryland Ch. 132) directed the Public Access Ombudsman to investigate and report on the Howard County Public School System's (HCPSS) handling of public records requests from July 1, 2012 through December 31, 2015. In undertaking this investigation, the Public Access Ombudsman, Lisa Kershner, necessarily had to investigate HCPSS's record management practices. An agency cannot effectively comply with public record requests unless that agency has a thorough understanding of the nature and location of its records and documentation on the disposal of records -- both key elements of an effective records management program. To provide context, Ms. Kershner also sought a better understanding of the record management practices of Maryland county schools in general.

The State Archives assisted Ms. Kershner by providing a general overview of agency responsibilities for records management as defined in statute and regulation. We also presented a reporting of retention schedules for each county school system, a timeline of our communications and meetings with HCPSS, and a review of notable interactions with other county schools.

Ms. Kershner's investigation suggests that the Maryland county school systems generally are in compliance with Federal requirements regarding student records. However, our findings also show that in most cases Maryland school systems are not meeting State records management requirements. Of the 24 school systems, we found that 18 had no approved record retention schedule on file, four had very old schedules, and only two had relatively contemporary schedules. Our report also showed that, although on numerous occasions between 2010 through 2016 HCPSS requested and the Archives provided guidance on creating a records retention and disposal schedule, HCPSS never submitted a schedule draft for review. Our full report on records management in Maryland county school systems is available in [Appendix 1](#).

While this study focused on school systems, we think it is illustrative of the full spectrum of records management issues that bedevil many state and local government agencies in Maryland. The State Archives has long been aware of the challenges facing records management in Maryland, but this investigation shows these obstacles in stark relief. Some of what this exercise revealed:

- There is a lack of understanding on the part of many agencies that they have a responsibility to "have a program for the continual, economical, and efficient management of the records." As a result, this responsibility is often not met.
 - There is a general lack of documented agency records management procedures.
 - Where such procedures exist, they often have not been thoroughly vetted with the agency or properly reviewed and approved according to statute and regulation.
 - Records management efforts are often further stymied by staff turn-over.

- Often, as in the case of Howard County Public School System, in spite of considerable expenditure of time and resources by Archives and agency staff, there is no effective follow-through on the part of the agency to create documented, approved procedures. No follow-through also means that years can go by with the records scheduling process never being fully completed.
- Most agencies do not have a comprehensive inventory of the records they create or of the legacy records in the custody of the agency.
- Neither the Records Management Division nor the Archives has the resources for an active outreach program to help agencies fill this void.
 - The role of the Records Management Division and the Archives is to provide guidance and to advise agencies when they request assistance.
 - Records management activities are often only undertaken when there is a problem, such as a lack of physical storage space.
 - Over the course of many years and for many reasons, the records management program in Maryland has become reactive rather than proactive.
- Further complicating matters, many records management processes are outdated and not suited to dealing with the volume and format of records created today.
- Electronic records are not always considered in records management processes.
- Information lifecycle management is often neglected in systems development.
- There is almost always a big disconnect between those who manage paper and staff who manage electronic records.
- Often there are very few staff at agencies who have a thorough understanding of the content and organizational framework of the records.
- There does not exist an established method of inventory for electronic records and, ergo, an established procedure for transferring records of enduring value.
- Open data initiatives often ignore the issue of long-term preservation.

The unsatisfactory state of records management in Maryland provided the impetus for the Maryland State Archives (MSA) and the Department of General Services, Records Management Division (RMD) to make a number of recommendations to address these issues, many of which were incorporated into our 2014 Joint Chairmen's report response and which we have noted in previous Hall of Records Commission meetings. A full report on our overview of the obstacles and recommendations for records management in Maryland is available in [Appendix 2](#).

As with the current records management statutes, our recommendations place responsibility for records management in the hands of the agencies. Agencies that create records, rather than any centralized authority, are in the best position to know the nature of their records and their own administrative, fiscal, and legal requirements. For the Archives to fulfill its mission, it needs the agencies that create the records to provide sufficient information for the Archives to make educated recommendations on retention and exert intellectual control over records with permanent value that are transferred into the Archives custody.

Records Management Initiatives

As we reported at the last Hall of Records Commission meeting, MSA and RMD are revitalizing our relationship to address the challenges brought on by a general decline in the quality of records management practices across the state. Our first focus in this effort is a revision of the forms used in retention schedule

creation, a key element of any records management program. These forms are used to identify and describe all records an agency creates. The forms must contain information sufficient to allow MSA and RMD to make appraisal decisions which will determine how long those records need to be retained. Our goals in this effort to update forms are as follows:

- Combine the Inventory and Records Retention and Disposal Schedule forms into a single survey instrument to streamline completion
- Make the forms available electronically to make them easier to draft and revise, ideally automating the entire drafting and approval process
- Update language to be suitable for electronic as well as paper records
- Revise language to make it easier for agencies to understand what information is needed
- Update instructions and guidance to better assist agencies in form completion

We have drafted a new form and are now working on instructions and guidance. Records Management Division is also looking into the internal procedures necessary to formally update the forms.

The Archives also recommends that the legislature consider an initiative modeled after a recent change to the Public Information Act that would require agencies to designate an accountable staff person as liaison for the records management program. The PIA legislation (H.B. 874 - Ch. 266), to be codified as sec 4-503 of the General Provisions Article, requires each governmental unit that maintains public records to annually submit to the Office of the Attorney General the contact information for a representative whom a member of the public should contact to request a public record from the governmental unit. The Archives believes that establishing a similar role of records management liaison will help to streamline the scheduling process and improve overall the records management program.

Probate Processing Project

The Appraisal and Description Department is continuing its joint project with the Comptroller of Maryland, the Registers of Wills, and FamilySearch (a nonprofit family history organization) to rebox into archival storage, index to the document level, and scan probate records dating from 1642 to 1940. The goal of this project is to better preserve the original records and make the information more accessible to the public. We have recently completed work on Caroline County, which consisted of approximately 271 bound volumes and 170 cubic feet of loose papers.

Council of State Archivists

The Archives is expanding its participation with state archives across the nation by increasing our involvement with the Council of State Archivists (COSA). COSA is the national nonprofit association serving the country's 56 state and territorial archives by advancing their needs to stakeholders and the public. Tim Baker is serving on the COSA Board of Directors as Vice-President / President-Elect for the 2016-2019 term. Christian Skipper of the Appraisal and Description Department is serving on the Advocacy & Outreach sub-committee. This sub-committee is part of COSA's State Electronic Records Initiative (SERI).

Commission on Artistic Property

Welcome to New Staff

The Commission is delighted to welcome Catherine Rogers Arthur as Senior Curator and Director of Artistic Property. Catherine joined the Archives staff on October 19, after nearly 20 years at Homewood Museum, on the campus of Johns Hopkins University, where she served as Director and Curator of Collections. A graduate of the Winterthur Program in Early American Culture, Catherine possesses a wealth of knowledge in Maryland history, as well as decorative arts, building preservation, and historic interiors expertise. Her graduate thesis was on the Baltimore furniture company, Potthast Bros., Inc. 1892-1975, and was published in the annual journal *American Furniture* in 2000.

Her book *Homewood House*, co-authored with Cindy Kelly, was the 2005 recipient of the Maryland Historical Trust Heritage Book Award. In 2014, she was awarded and implemented a Save America's Treasures Grant for the restoration of Homewood's South Portico. Just prior to her departure, she implemented new paint analysis findings and a reproduction wallpaper project for three principal entertaining rooms. She also served as co-curator along with Lance Humphries on *A Winter's Residence: The Town House of Charles Carroll Jr. 1800-1816*, a new exhibition and publication.

Portraits of Lords Baltimore Update

Presently, all six portraits as well as their frames are undergoing conservation in preparation for their installation in the Maryland State House. The canvases are being treated by David Olin of Olin Conservation Studios; and the frames are being treated at Gold Leaf Studios, under the direction of Bill Adair. Planning is underway for the portraits of George Calvert, First Lord Baltimore and Cecil Calvert, Second Lord Baltimore, to be installed prior to the start of the Legislative Session in January 2017.



On the left is the frame for the portrait of Charles, 3rd Lord Baltimore; and on the right, a mold made of its cartouche, which will be replicated on two new frames being made for the portraits of Benedict Leonard, 4th Lord Baltimore, and Frederick, 6th Lord Baltimore.

Education, Outreach & Research



Family History Festival

The Maryland State Archives hosted its 3rd Annual Family History Festival on Saturday, October 1, 2016. Although the weather outside was dark and rainy, the staff of the Archives shone brightly while sharing our collections and professional knowledge with the 144 attendees. Our keynote speaker for the event was Mr. Chris Haley who shared his reflections on the legacy of the seminal work, *Roots*. Staff displayed an array of *Roots*-themed records and artifacts in a new search room exhibit to accompany

the remarks. Throughout the day, the Archives' staff led a newly designed behind-the-scenes tour that focused on the life of a permanent record as it moves through the Archives from retention schedule, transfer, preservation, containerization, digitization, storage and access. We also offered hands-on workshops including:

- ❖ Orientation to the Archives' Website
- ❖ How to Use the Guide to Government Records
- ❖ How to Use MDLANDREC
- ❖ How to Use Special Collections Guide to Newspapers and Church Records
- ❖ How to Handle and Preserve Family Photos.

Additionally, we presented several panel discussions throughout the day highlighting tips and tricks for more effective research by professional genealogists, archivists and historians. Presenters included Dr. Jean Russo, Dr. Clara Small, Christopher Smithson, and Terry Nelid.

We hosted exhibitors promoting statewide collections including:

- ❖ Digital Maryland
- ❖ Maryland Historical Records Advisory Board
- ❖ FamilySearch
- ❖ Maryland Genealogical Society
- ❖ African American Genealogical Societies of Maryland, and the
- ❖ Baltimore City Archives.

This year for the first time, we also worked with Maryland Humanities Council and the Anne Arundel County Public School System to feature youth National History Day projects. We were pleased to welcome seven outstanding Maryland students who attended to present their projects live, plus five additional students who shared their exhibit displays in our public search room during the Festival. The Archives would like to thank all our wonderful Festival sponsors including the Friends of the Maryland State Archives, The Crowley Company, Baltimore Tea and Coffee Company, Whole Foods, Ancestry, Hollinger Metal Edge, Systematic Filing, University Products, Grauls, Crab Town Curbs, and Wegmans. Thanks to our wonderful guests, speakers, students and staff, the program was an amazing success.

International Roots Festival



Chris Haley, Director of the Study of the Legacy of Slavery in Maryland, was invited as an honored guest and participant in the [International Roots Festival](#) in The Gambia, Africa, from May 6 through 13, 2016. During this trip, Chris had the opportunity to visit Juffureh, the homeland where his ancestor Kunta Kinte was captured and brought by the slave ship, *Lord Ligonier*, to Annapolis. He also visited Kunte Kinte Island, a pivotal site in the Africa / Europe slave trade, located in the Gambia River. During this trip, Chris spoke about the legacy of his family in both Africa and America and had the chance to experience Gambian culture. He participated in a traditional naming ceremony and was adopted by a Gambian family. Chris remains in

contact with the Gambian ministers and officials to explore continued heritage partnerships. This trip coincided with the 40th anniversary of the publication of the book, *Roots*, the 39th anniversary of the original television series, and the year that the television series was re-imagined by the History Channel. Chris shared his experiences in The Gambia and his reflections on *Roots* and his family legacy during the keynote address at the 3rd Annual Family History Festival.

Summer Internship Program



On June 1, 2016, the Archives welcomed the class of 2016 summer interns into our longstanding educational program. This year's students once again successfully participated in archival work across departments and received direct mentoring from our professional staff in all aspects of archival work including appraisal, records processing, digitization, collections management, reference services, electronic archives, conservation, and research. In addition to working alongside our staff, students attended a number of professional development presentations and field study opportunities throughout the summer, which included connections with the Banneker

Douglass Museum, Historic Annapolis, Historic London Town and Gardens, Maryland Historical Society, and Hammond Harwood House. We would like to thank internship sponsors Heritage Montgomery, St. John's College, and Washington College who helped provide direct funding for the program. It was certainly an overwhelmingly productive and positive summer for both students and staff. The final intern reports can be found at: <http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/intern2016summaries.pdf>

Workshop Series

On Friday, July 1, 2016, the Archives' staff debuted a new public workshop focused on vital records in our collections. Vital Records, including birth, death, and marriage records, are the most used and requested record groups by researchers in the Search Room. They are simply invaluable to genealogists and researchers, thus the workshop was completely full to capacity and very well received. We are continuing to

work on scripting out this material for our ongoing production of YouTube videos which we hope to begin posting online by the end of this calendar year.

Brick Wall Sessions

Our quarterly Brick Wall Sessions remain overwhelmingly popular, with each date offered filling up in advance. We held a summer session on August 13, and are making plans for the next virtual online session to be held this winter. We are very grateful for the continued support of local genealogists who volunteer their time to join Archives staff in working these events. Due to their popularity, and the fact that the majority of Brick Wall participants stay at the Archives to research for the entire day, we have included additional staffing on the days of these events to provide outstanding customer service in the Search Room to keep pace with heavier usage.



Brown Bag Lunch and Learn Series

The Brown Bag Lunch and Learn Series, inaugurated in January 2015, is still going strong with each event averaging approximately 30 attendees. In recent months, we have held numerous fascinating programs with a focus on the different ways Maryland's rich documentary record can be used to understand our shared history. In addition to talks, new this year, we also included documentary film viewings and discussions. Programs included diverse offerings such as: attorney Malcolm Gross's discussing the trial of John Brown; author Ross Kimmel speaking on slave freedom petitions; filmmaker Mark Hildebrand hosting a viewing of the film *Brookeville* to commemorate the anniversary of the War of 1812 and the viewing of the film *Anthem* to mark the anniversary of the Battle of Baltimore; historian Susan Pearl presenting the art history of the Steir-Peeters painting collection at Riversdale; and Professor Nicholas Creary and Bowie State University students discussing the history of lynching in Maryland. We hope to continue this popular program next year and will look for ways to keep the content fresh and engaging for our public.

Teacher Professional Development and Student Outreach

Archives' staff continued to work with the Anne Arundel County Public School System Social Studies Coordinator to provide consultation and materials for a high school level Maryland history course. The goal of this collaboration is a finished curriculum that can be shared statewide through the Maryland Department of Education. In addition, staff conducted numerous professional development opportunities for teachers including two sessions at the Reginald F. Lewis museum; the SEED school in Baltimore, and the most recent two for Anne Arundel elementary school teachers on October 5 and 6. These programs are essential for assisting teachers with seamlessly utilizing primary source materials in the classroom, and is particularly important with the new Common Core standards in Maryland.

Maryland 400

The Research Department will be concluding its current grant from the Maryland Society of the Sons of the American Revolution (SAR) this month. Staff has submitted a new grant proposal for additional funding to the SAR which, if approved, would allow us to continue work on the Maryland 400 project. A new \$10,000 award will allow Archives' staff member Owen Lourie to continue to uncover the lives of Maryland's first war heroes, the First Maryland Regiment which fought in the Battle of Brooklyn. We are very grateful for the support of the

SAR and for the continuing partnership of project founder General James A. Adkins. In FY2016, staff added an additional one hundred biographies to the Archives' website, bringing the total of published soldier narratives to two hundred and twenty-five. For more updates, please continue to follow the project blog at: <https://msamaryland400.wordpress.com/>

Baltimore City Archives

Records management conducted four agency site visits/record appraisals and drafted six new retention schedules. Record transfers to the City Archives totaled 1,290 cubic feet of material.

Processing energies focused upon the continuing work on the Mayor Kurt L. Schmoke Papers (1987-1999). One hundred and twenty-nine boxes of correspondence and departmental reports, comprising five record series, have been described and placed within the online Guide to Government Records.

The Baltimore City Archives is participating as a research venue for National History Day. Ms. Nancy Perlman, former Head of Special Collections at the Loyola-Notre Dame Library, was recruited and now serves as our volunteer NHD coordinator. Our hope is to encourage Baltimore City high school students, as well as those from the counties, to use original source material. The City Archives has designated NHD "Open Saturdays" for research visits this Fall.

Recent Gifts, Deposits, & Acquisitions

Report on records received since last Hall of Records Commission Meeting:

http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/hrc_transfers_11-16-2016.pdf

Special Collections:

<http://msa.maryland.gov/megafile/msa/stagsere/se1/se14/000000/000044/special%20collection.html>

Additions to the state-owned art collection:

- Mold of the Maryland State Seal for the U.S.S. Maryland Silver service

Proposed Action by the Commission: resolution of appreciation for all recent gifts.

Forthcoming Special Meetings of the Commission & Events of Interest

December 3, 2016: The annual holiday open house at Maryland's State House will feature vocal and instrumental performances as well as the opportunity to tour the historic chambers and view 24 decorated trees representing every county in Maryland. Programming will run from 6:00-9:00 pm.

Old Business

New Business

Next meeting - Upon the call of the Chair.

Adjournment

Mr. Timothy D. Baker

State Archivist and Commissioner of Land Patents

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