The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Pauline Toole, Commissioner

Doc. No. RMD-I-2020-01 **Version:** 1.0	**Effective Date:** March 26, 2020

Records Glossary

Access The availability of, or permission to consult, records.

Accession The act and procedures involved in a transfer of legal title and the taking of records into the physical custody of the National Archives (adapted from the Society of American Archivists Glossary).

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

Administrative Records Documents that are preserved because they facilitate the operations and management of an agency, but do not relate directly to programs that help the agency achieve its mission. These include such documents as the agency budget, personnel, supplies, travel, and training.

Agency Records Schedule See Records Schedule.

Alienated Records Records in the possession of an individual or organization not legally entitled to them.

Asset Anything of value or perceived value.

Asset Managment The process of documenting and controlling all assets, either in use or under development by an agency. Asset management involves identifying an agency's assets and the steps taken to protect and take care of them.

Big Bucket/Large Aggregation Schedule A type of flexible schedule in which disposition instructions are applied against a body of records that are grouped at a level of aggregation greater than the traditional file series/electronic system and that can be organized along a specific program area, functional line, or business process. The goal of this type of flexible scheduling is to provide for the disposition of records at a level of aggregation that best supports the business needs of agencies, while ensuring the documentation necessary to protect legal rights and guarantee government accountability.

Blocking Grouping files within a series so that they are bounded by cutoff points and are treated as a unit for disposition purposes. The cutoff instructions should specify if transfer or disposal is done in blocks. For example, during the transfer of permanent records to the National Archives, records may be transferred in 5-year blocks. This means that the block would include all files in the series that were cut off between January 1, 2000, and December 31, 2004.

Business Analysis An evaluation of an agency's business to determine what information it needs to create or receive and maintain to support specific programs. Business Process Analysis (BPA)

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 2 of 8
Doc. No. RMD-I-2020-01

Examines an organization's business processes in order to find out how business is conducted in the organization.

Business Information Refers to all information created or received by employees that is related in any way to the operation or administration of the agency, regardless of whether in electronic or paper form.

Cloud Computing A model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.

Crosswalk A table created to show the original series-by-series disposal authorities and how each one fits into the new subject categories or buckets.

Custody Care and control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

Cutoff (a.k.a. File Break) The breaking or ending of files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence, to permit the establishment of new files.

Data Migration The process of transferring data between storage types, formats, or computer systems. Degaussing Minimizing the magnetic field in magnetic media so the information is obliterate and cannot be returned.

Deletion The removal or erasure of information from electronic devices and storage media.

Destruction (destroy/delete) The disposal of documents of no further value by incineration, maceration, pulping, or shredding.

Digital Of or relating to computers or the information age.

Disposal The action taken regarding records after their retention periods expire, and consisting usually of destruction/deletion. On rare occasions, with permission, records may be donated (36 CFR 1226.26).

Disposition Instructions for what is to be done with a record that is no longer needed to support agency business. There are two types of dispositions for records: Temporary – Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired. Records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in NYC history,

Disposition Authority The legal approval empowering an agency to transfer permanent records to the National Archives or to carry out the disposal of temporary records. Note: "Legal approval" comes at the point at which an authority (the SF-115) is signed by the Archivist of the United States, not when it is first submitted to DORIS. Disposition Authority Agency. The DAA prefix indicates a "born-in-ERA" records schedule created by an agency.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 3 of 8
Doc. No. RMD-I-2020-01

e-Government Short for electronic government is digital interactions between a government and citizens, government and businesses/Commerce, government and employees, and also between government and governments/agencies.

Duplicates Identical copy of an original business information document that does not contain additional information such as handwritten notes or comments. Examples include printed copies of records saved in an electronic content manager and printed copies of emails. Duplicates should be routinely discarded by Employees unless subject to a Preservation Notice.

Electronic Case Files See Case management/electronic case filing system (CM/ECF).

Electronic Record Management System (ERMS) A computer system (or set of computer programs) used to track and store electronic documents.

Electronic Mail (email) A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word-processing and other electronic documents, which may be transmitted with the message

Electronic Records/ e-Records Records stored in a form that only a computer can process. Records can be numeric, graphic, and text information; media can include, but are not limited to, magnetic media, such as tapes and disks, and optical disks.

Electronic Recordkeeping (ERK) A subset of electronic records management (ERM) is simply the development of automated techniques to facilitate the management of electronic records.

Electronic Recordkeeping System (ERKS) An electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.

Electronically Stored Information Information stored in a digital format.

Emulation A strategy where the functionality of one system is recreated by a new system, so that the second system behaves like the first.

Essential Records Management The identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity activation. Access to and use of these records and systems enable the performance of essential functions and reconstitution to normal operations. To ensure performance of essential functions, organizations preposition and regularly update these essential records. (See Vital Records).

File Break (a.k.a. Cutoff) See Cutoff.

File Plan A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office. See also Filing System.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 4 of 8
Doc. No. RMD-I-2020-01

Filing System A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called a Recordkeeping System.

Flexible Retention An arrangement and disposition method that can be applied to individual or groups of record series/electronic systems to establish consistent retention periods. This allows for series/electronic systems within work process functions to have the same stated minimum and/or maximum retention periods. Flexible retention is a flexible scheduling tool that can be used as a component of a "Big Bucket"/large aggregation schedule or in a traditional series-based schedule, and gives agencies the retention flexibility they need to manage their records.

Flexible Schedule A document providing disposition instructions that allow flexibility in the way information or categories of information are grouped or that provide a minimum and/or maximum, rather than a fixed retention period.

FOIL or "Freedom of Information Law" Freedom of Information Law (FOIL) the New York State law that outlines the rights of the public to access public records

Frozen Records Temporary records held for litigation, investigation, or audit purposes. Frozen records can be destroyed only after completion of litigation, audit, or investigation and notification from the appropriate authority.

Functional Arrangement A method of arranging a records schedule by record series or systems that share the same purpose or function, regardless of where they are created and maintained.

Inactive records Records that are no longer used in the regular course of business, but that may be preserved and occasionally used for legal, historical, or operational purposes.

Information System An organized set of procedures and techniques designed to store, retrieve, manipulate, analyze, and display information. If automated, information system also includes hardware and software.

Inspection Inspection refers to reviews or audits performed by external personnel or agencies.

InterPARES The International Research on Permanent Authentic Records in Electronic Systems aims at developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and providing the basis for standards, policies, strategies, and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity.

Inventory A survey of agency records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems. .

Maceration The process of reducing materials to fine particles

Maturity model The Maturity Model aims to give an accurate, reliable and honest summary of the current level of maturity of the records management measures within your institution.

Metadata Data describing stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 5 of 8
Doc. No. RMD-I-2020-01

Migration A set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation. .

Near-line storage Near-line storage is the on-site storage of data on removable media. There are three major categories of near-line storage: magnetic disk, magnetic tape, and compact disc (CD).

Non-Business Information Not an Agency Record because it relates solely to nonbusiness activities or issues and has no value to Company operations, such as personal information. Non-Business Information should routinely be discarded by employees unless it is subject to a Preservation Notice.

Non-Records A type of Business Information that is a Duplicate, Work-in-Progress, Draft or Transitory Information. The City Records and Information Management Policy and Standards separate information into two groups: "Business Information" and "Non- Business Information". Business Information is composed of two sub-groups: "Company Records" (must be retained according to the Retention Schedules) and "Non -Records" (Business Information that does not qualify as a Company Record and is not subject to the Retention Schedules).

Permanent Record Record appraised by ARMA as having sufficient historical or other value to warrant continued preservation beyond the time it is needed for administrative, legal, or fiscal purposes.

Personal Papers Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business.

Program Records Those records created by each agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.

Pulping Process of reducing paper to its constituent fibers

Reconstitution Taking the actions necessary to bring working conditions back to normal and being able to resume business operations.

Record See **N.Y.C. Charter Chap. 72, § 3011(2)**.

Record Series A group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.

Record Values The value of a record encompasses its value for current business – i.e., its administrative, fiscal, legal/accountability value – as well as its historical value.

Recorded Information Includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 6 of 8
Doc. No. RMD-I-2020-01

Recordkeeping Requirements Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency.

Recordkeeping System See Filing System.

Records Analysis A process used to determine records retention and disposition requirements based on how the records are used to support the business needs of an organization, and to ensure Government accountability and protect the rights of citizens.

Records Inventory See Inventory.

Records Maintenance Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a city agency/office.

Records Management The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

Records Management Application (RMA) Software used by an organization to manage its records. An RMA's primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository.

Records Retention See Retention.

Records Schedule A records schedule or schedule is an agency manual or directive containing the records descriptions and disposition instructions approved by DORIS.

Replication A strategy of creating duplicate copies of data. .

Retention The length of time a record must be kept (either in the office or in off-site storage) because it is needed for ongoing business, to document an action, or for statutory reasons. Note: This is also referred to as a "retention period.".

Risk The potential harm that may arise from some present process or some future event.

Risk Acceptability/Tolerance Matrix Represents an agency's tolerance level for acceptable and unacceptable risks.

Risk Analysis The systematic use of available information to determine how often specified events may occur and the magnitude of the consequences if they do occur. In terms of records management, risk analysis is used to evaluate the probability of the risks identified in the risk assessment and the impact those risks would have on your records and information.

Risk Assessment An examination of the potential harm that may result from exposure to certain hazards. In terms of records management, risk assessment is used to identify the risks to your records and information. It includes two main components: Risk Identification, and Risk Analysis and Prioritization.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 7 of 8
Doc. No. RMD-I-2020-01

Risk Factor An overall rating of the seriousness of a single risk. To determine the risk factor of the risk event, you multiply the probability rating by the impact rating.

Risk Management The process of identifying (risk assessment) and evaluating (risk analysis) risk and then developing strategies to manage the risk.

Scheduled Records Records whose final disposition has been approved by DORIS.

Scheduling The process of determining and recording in a records schedule the appropriate retention period and ultimate disposition of a series. The records thus provided for are called scheduled records.

Series See Record Series.

Shared Drives (also known as network drives) Typically used to store and share content. Agencies have also used shared drives to group and store content by function, project, committee, or other logical category. The use of shared drives poses recordkeeping challenges because agencies may store content that includes Federal records and nonrecord materials.

Social Media Social media tools use Internet and web-based technologies (often called Web 2.0 technologies) to integrate technology, social interaction, and content creation. Social media use the "wisdom of crowds" to connect information in a collaborative manner online. Through social media, individuals or collaborations of individuals create web content, organize content, edit or comment on content, combine content, and share content.

Stakeholder Can be broadly defined as people and or organizations who may affect, be affected by, or perceive themselves to be affected by a decision or activity.

Statement Of Work (SOW) See Performance Work Statement.

Sustainable Format The ability to access an electronic record throughout its lifecycle, regardless of the technology used when it was originally created.

Systems Development Life Cycle (SDLC) The SDLC process provides a structured and standardized process for all phases of any system development effort.

Temporary Record Record eligible for disposal after a specified retention period.

Transfer The process of moving records from one location to another, especially from office space to off-site storage facilities, from one agency to another, or from an agency office to a the Municipal Archives.

Transitory Information Business Information created or received during day-to-day business operations that does not have Appreciable Value to Company operations beyond a short period of time (e.g., a daily stock report). Transitory Information should be disposed of as soon as it no longer has appreciable value to the City's operations and is not subject to any applicable Preservation Notice.

The New York City Department of Records and Information Services
31 Chambers Street, Room 305, New York, New York 10007

Page 8 of 8
Doc. No. RMD-I-2020-01

Unauthorized Disposal The improper removal of records without DORIS approval or the willful or accidental destruction of records without regard to a DORIS approved records schedule.

Unscheduled Records Records whose final disposition has not been approved by DORIS. Unscheduled records may not be destroyed or deleted.

Vital Records Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions ("emergency operating records"), or to protect the legal and financial rights of the government and those affected by government activities ("legal and financial rights records"). Vital records are also known as essential information.

Working Files (also called working papers) Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents.