

# ABC'S OF RECORDS MANAGEMENT ACHIEVING BASIC CONTROL

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## Presentation Topics

- ✦ What is a Record
- ✦ What is Records Management
- ✦ Your Responsibilities
- ✦ Conducting a Records Inventory
- ✦ Electronic Record Management
- ✦ Records Destruction
- ✦ Tips for Success

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## What is a record?

*"Government record" means information maintained by an agency in written, auditory, visual, electronic, or other physical form.*

**Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.**

**Chapter 92F, HRS, Uniform Information Practices Act**

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## Five Requirements of Records

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- ✦ Fixed Form and Content
- ✦ An Action
- ✦ An Relationship to other records
- ✦ Identifiable Context
- ✦ Author, Writer and Addressee

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If the document doesn't  
meet all five requirements,  
it's *not a record!*

Not Sure???

*'Ask the Archives'*

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## What is Records Management?

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The management of the active and semi-active records of an agency.

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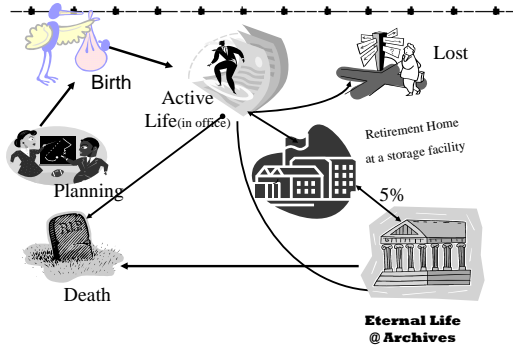
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## RECORDS LIFE CYCLE



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## Four Reasons to Save Records:

- ✧ Records are used in the routine activities of the agency (often called "administrative value")
- ✧ Records indicate what the agency has been doing (often termed "evidential or essential value")
- ✧ Records contain information of longstanding value (often called "informational value")
- ✧ Records reflect aspects of the agencies development (often termed "historical value")

**Records Have Value!**

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## A Few Common Questions



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## What are Records?

- ✘ Correspondence
- ✘ Reports
- ✘ Receipts
- ✘ Maps
- ✘ Photographs
- ✘ Tapes

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## What are my Basic Responsibilities?

- ✘ Manage the records necessary to document the activities or actions of the agency.
- ✘ File those records in a manner that allows for them to be safely stored and efficiently retrieved when necessary; and
- ✘ Dispose of records in accordance with State and Federal regulations.

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## Is all the Paper in my Office Record Material?

NO

- ✘ Only a quarter of paper volume is usually considered a record.
- ✘ Much of what is in most offices is reference material or secondary copies which can be destroyed when no longer needed.

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## What is an electronic record?

*Electronic record includes numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks (hard and floppy), and optical disks.*

### Formats Include:

- Word processing files
- Spreadsheets
- Email
- Web sites
- Databases
- PowerPoint presentations
- Scanned images
- Multimedia files

### Storage Media Include:

- Hard drives
- CDs
- Magnetic Tape
- Diskettes
- DVDs
- Network Servers

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## Are all my Emails Records?

NO

- ✦ Email is not a records series
- ✦ Content drives retention, not media
- ✦ Email needs to be kept in accordance with the Retention Schedule
- ✦ What to do with email... 'Ask the Archives'

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## Am I Free to Recycle or Destroy Records in my Office?

NO

**§94-3 Disposal of government records generally.** (a) Each public officer, .... having the care and custody of any government records shall submit to the state comptroller a list of records for disposal

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## Electronic Records Challenges

- ✦ Cooperative effort between
  - records management staff
  - management
  - legal counsel
  - information technology department
  - auditors
- ✦ Major advantage - major liability
  - ease of copying and modification
- ✦ Media degradation and obsolescence
- ✦ Format obsolescence

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## WHERE DO I BEGIN?



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## Ask a Few Basic Questions

- ✦ What types of records are generated by the agency?
- ✦ How many are being stored as active files?
- ✦ Could less frequently used materials be stored elsewhere?
- ✦ Is retrieval an issue?
- ✦ Are lost files an issue?
- ✦ Who uses the office records?

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**RECORDS INVENTORY**

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- ✦ provides an appraisal of the volume of records.
- ✦ identifies records series.
- ✦ determines location of record series.
- ✦ identifies values: administrative, legal, fiscal, historical.
- ✦ determines storage needs.
- ✦ identifies records that are beyond their retention period.
- ✦ 'Ask the Archives' -- Records Management can HELP with the ARM-6

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**PLANNING THE INVENTORY**

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Include all records:

- paper
- electronic
- microfilm
- photographs
- maps
- etc.

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**Remember**

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The RECORDS INVENTORY identifies and quantifies the records created and received by an organization.

It is a list of each **type or series of records**.

The inventory **is not**:

- A document-by-document listing
- A folder-by-folder listing.

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## Conducting the Inventory: Team Approach



- Use at least two people when possible.
- Create a physical location map of the building.
- Number each storage device.
- Start with active files.
- Open every file drawer, box, network folder.
- Don't forget – Records Management's Help!

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## Physical and Intellectual Control

- ✘ Controls realized through retention and disposition schedules
- ✘ Adhere to the schedule to minimize potential legal problems
- ✘ Important to be good stewards of the peoples' records
- ✘ ARM-6 collects the information needed to develop and apply schedules

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## Function-Based File Classification

- ✘ Records should be grouped and maintained according to their function
- ✘ Filing systems are organized through different levels of classification
- ✘ The primary classification should be by function or records series. Examples:
  - ◆ Weekly/Monthly/Annual Reports
  - ◆ Cash Register Tapes
  - ◆ Correspondence
  - ◆ Building Construction/Project Reference
  - ◆ Log of Patron Use

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## KEYS TO SUCCESS

- ✳ Thoroughness
- ✳ Accuracy
- ✳ Attention to Detail

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## INVENTORY WORKSHEET – ARM-6

STATE OF HAWAII RECORDS INVENTORY  
Dept. of Accounting & General Services, Archives Div., Records Management Br.  
(To be completed by security custodian)

(1) Date: \_\_\_\_\_ (2) Division: \_\_\_\_\_ (3) Branch/Section: \_\_\_\_\_

(4) \_\_\_\_\_ (5) Agency that created files: \_\_\_\_\_

(12) What is the volume of the records series in cubic feet?  
(a) In Office: \_\_\_\_\_ c.f. dates from: \_\_\_\_\_ to: \_\_\_\_\_  
(b) In Storage: \_\_\_\_\_ c.f. dates from: \_\_\_\_\_ to: \_\_\_\_\_  
Storage area located: \_\_\_\_\_

(6) Annual accumulation in office: \_\_\_\_\_ cubic feet  
Letter size file drawer = 1.5 cubic feet  
Legal size file drawer = 2.0 cubic feet  
Letter 36" long shelf unit = 2.4 cubic feet  
Legal 36" long shelf unit = 3.0 cubic feet

(17) Physical format  
 Files  Legal  Letter  
 Other (describe): \_\_\_\_\_

(18) Should other inactive files be:  
 destroyed upon inactivity  
 kept in office for \_\_\_\_\_ years, and then  
 transferred to storage and destroyed after \_\_\_\_\_ years  
 transferred to Archives for permanent retention  
 destroyed

(19) Reference to oldest (inactive) records, per month:  
One-year old records: \_\_\_\_\_  
Five-year old records: \_\_\_\_\_  
Ten-year old records: \_\_\_\_\_  
Older than ten years: \_\_\_\_\_

(20) Comments: \_\_\_\_\_

ARM-6 (2010)

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## RECORDS APPRAISAL

- ✳ Determine immediate and future usefulness of the records - active or inactive.
- ✳ Verify retention period of record series.
- ✳ Identify records for disposal or transfer to State Archives.

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## Unique Record Definition

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When a record series does not match or can not be found in the schedules

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## PREPARING A UNIQUE SCHEDULE

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Record Classification Level:

- ✦ Vital
- ✦ Important
- ✦ Useful
- ✦ Nonessential
  
- ✦ 'Ask the Archives' throughout the process

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## INACTIVE RECORDS

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- ✦ Separate from active records.
- ✦ Transfer to less expensive storage areas.
- ✦ Free-up file cabinets for future active files.
  
- ✦ State Records Center = fast, efficient offsite storage

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10 Minute  
Break!  
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Storage Media and  
Database Management  
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Database Management  
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- ✦ Have ability to take files offline and store them (inactive table)
- ✦ Retrieve inactive files for the full duration of the retention period
- ✦ Identify records eligible for deletion or preservation
- ✦ Document what has been deleted or transferred

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## Storage Media Considerations

- ✘ Large enough to accommodate future growth
- ✘ Appropriate level of certainty for the recovery and security of data
- ✘ Non-rewritable media is best when concerned about record longevity or security
- ✘ Digital storage media is not adequate for long-term or archival preservation of records. Migration will be necessary.

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## Reformatting

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## When reformatting, remember...

- ✘ It is legal to reformat records into digital form unless specifically prohibited by law
- ✘ Digital image is legal for response to FOIA or a court subpoena
- ✘ No ARM-7 (Certificate of Records Destruction) required for destruction of originals
- ✘ May also reformat permanent records. 'Ask the Archives' before starting
- ✘ Must maintain access to the records for the length of the retention period
- ✘ Be VERY, VERY careful – It is best to work with the State Archives when reformatting

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## Reformatting Caveats

- ✘ Must have a quality control process in place
- ✘ Need an indexing system
- ✘ System must keep the records safe and accessible during the entire length of their retention period
- ✘ System must be able to reproduce technical drawings and blueprints to scale
- ✘ ARM-7 form is required when records are deleted (destroyed)
- ✘ If vital records, software application and indexing system must be included in offsite storage

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## Digital Imaging Systems

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## Digital Imaging

It is strongly recommended that the primary or security backup copy of *essential permanent records* or records with retention periods of greater than 10 years, be stored in human readable format such as microfilm.

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## Digital Imaging Advantages

- ✘ Reduced need for physical storage space
- ✘ Multiple users and access levels
- ✘ Shorter retrieval time for users or during discovery
- ✘ Low shipping costs and ease of information dissemination
- ✘ No loss of image quality from generation to generation
- ✘ Ability to search using optical character recognition (OCR)

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## Digital Imaging Disadvantages

- ✘ Images are not human-readable without computer equipment
- ✘ Significant equipment costs, including hardware and software
- ✘ Hardware and software obsolescence
  - Systems change every 18 months to 5 years
  - Software changes every 2-3 years
- ✘ Different types of scanners required for various formats
- ✘ Complex and time-consuming
  - Image capture
  - Quality control
  - Metadata management
- ✘ Retention periods are harder to implement
  - Sorting those to be deleted from those to be saved
  - Forget that these are records

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## Scanning

Scanning should never be used simply to reduce the volume of records stored in a filing system.

If you need help, 'Ask the Archives' before engaging vendors. Experts from the State Archives and Records Management can help you through the process!

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