

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

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

Five Requirements of Records

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

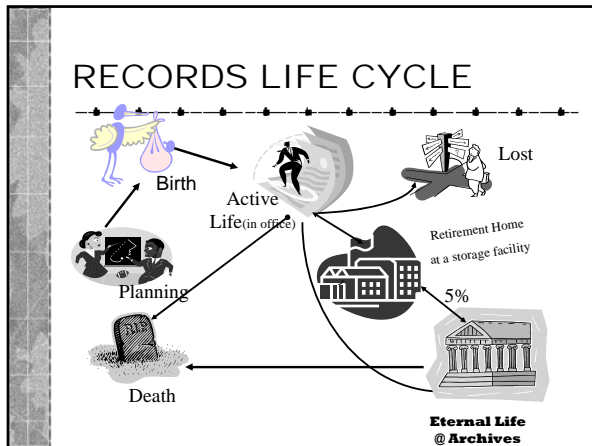
If the document doesn't meet all five requirements, it's *not a record!*

Not Sure???

'Ask the Archives'

What is Records Management?

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



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!

A Few Common Questions

The illustration shows a small figure of a person standing next to a tall stack of books, symbolizing inquiry or research.

What are Records?

- ✦ Correspondence
- ✦ Reports
- ✦ Receipts
- ✦ Maps
- ✦ Photographs
- ✦ Tapes

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.

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.

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

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'

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

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

WHERE DO I BEGIN?



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?

RECORDS INVENTORY

- ✦ 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

PLANNING THE INVENTORY

Include all records:

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

Remember

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.

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!

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

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

KEYS TO SUCCESS

- ✳ Thoroughness
- ✳ Accuracy
- ✳ Attention to Detail

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) Serial: _____ (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 (2009)

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.

Unique Record Definition

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

PREPARING A UNIQUE SCHEDULE

Record Classification Level:


- ✦ Vital
- ✦ Important
- ✦ Useful
- ✦ Nonessential

- ✦ 'Ask the Archives' throughout the process

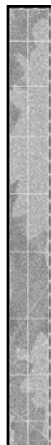
INACTIVE RECORDS

- ✦ Separate from active records.
- ✦ Transfer to less expensive storage areas.
- ✦ Free-up file cabinets for future active files.

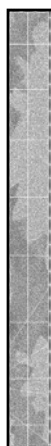
- ✦ State Records Center = fast, efficient offsite storage



10 Minute
Break!



Storage Media and
Database Management



Database Management

- ✦ 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

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.

Reformatting

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

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

Digital Imaging Systems

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.

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)

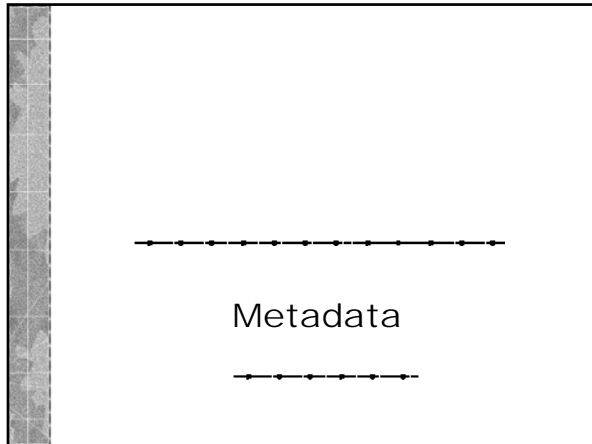
Digital Imaging Disadvantages

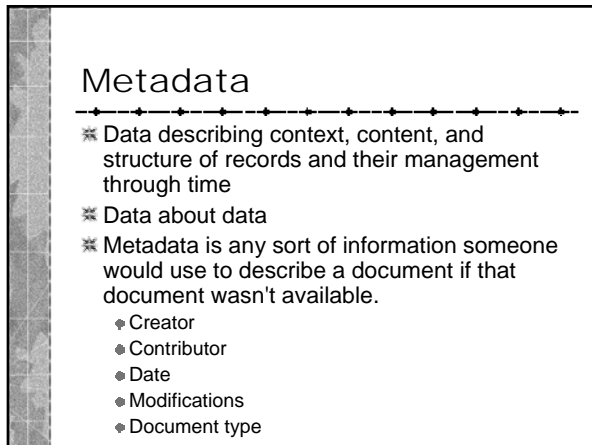
- ✦ Images are not human-readable without computer equipment
- ✦ Significant equipment costs, including hardware and software
- ✦ Hardware and software obsolescence
 - Systems change every 18 months to 5 years
 - Software changes every 2-3 years
- ✦ Different types of scanners required for various formats
- ✦ 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

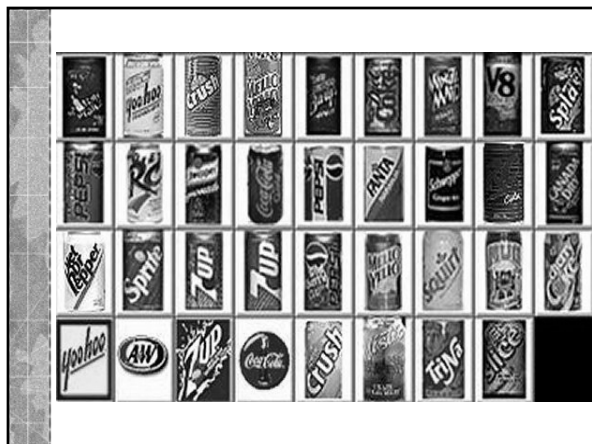
Scanning

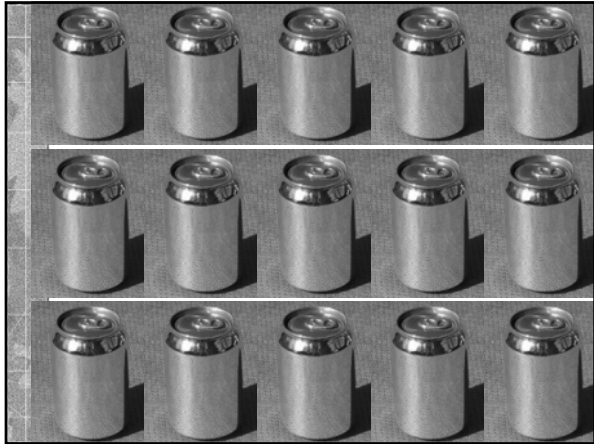
Scanning should never be used simply to reduce the volume of records stored in a filing system.

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









Email retention

- ✘ Email must be kept in accordance with a retention schedule
- ✘ Printing email is not the same
- ✘ Most email backed up for disaster recovery, not retention
- ✘ It is YOUR responsibility to make sure the right emails are kept!!!
- ✘ Create personal folders (or .pst files) that are stored outside of your mailbox (but can be viewed using your email client) – store on a secure shared network server, not a local hard drive

Manual versus Auto-Archiving

- ✘ "AutoArchiving" is an automatic process (if turned on within Outlook) that takes place at regular intervals
- ✘ Rather than using the "AutoArchiving" function, users should set aside time (every week or month, for example) to clean up mailboxes and manually organize emails according to retention schedules

Organizing your e-mail

- ✎ Organize e-mail in folders by records series or subject area and fiscal or calendar year.
- ✎ Establish agency- or division-wide filing structures.
- ✎ Archive manually and frequently.



Discoverability and liability

- ✎ E-mail records are subject to the same accessibility requirements as other public records – they are exempt from access only if they fall within the exemptions provided under FOIA.
- ✎ Requests from the public for e-mail records must be honored in the same manner as other public records.
- ✎ E-mail records must remain accessible during their entire retention period and should be maintained in such a manner as to permit easy access and timely retrieval.

Top Ten Tips for Email Use

10) Use CC / Reply All sparingly, BCC almost never



- 9) One email, one subject
- 8) Don't mix personal and work-related messages
- 7) Manage both sent and received emails
- 6) Be careful opening attachments


Top Ten Tips for Email Use

5) Proofread

4) Use a meaningful subject line

3) Retain the final email in a thread

2) Include official "signature"



Top Ten Tips for Email Use

1) Do not put anything in an email message that you would not want to see printed in tomorrow's newspaper or displayed on a bulletin board. When sensitive issues need to be discussed, a face-to-face conversation or telephone call may be a better communication choice than email.

Don't type angry

Dear xxxx:
I say this reluctantly but not so subtly: you are not suitable for a graduate degree. It does not matter if your father died or if you have a medical certificate.

I have been too nice and given you too high marks all along

[You] are the worse performer in the class

Prove that your father died and you were distraught and unable to complete assignments-in spite of your abysmal record to date as an underperforming and *under-qualified* student- and perhaps you might qualify for an extension to get a C-...

Paul G. Buchanan, Director New Zealand Centre for Latin American Studies
30 May 2007

Records Disposition

- ✦ Dispose of records at the end of their approved retention period.
- ✦ Maintain a record of the destruction process and fill out the appropriate forms.
- ✦ No record should be destroyed before it's time. When in doubt – 'Ask the Archives'

DOCUMENTING RECORDS DESTRUCTION

SAMPLE: Use the ARM-7

State of Hawaii
Department of Accounting and General Services
Archives Division, Records Management Branch

RECORDS DESTRUCTION REPORT

Department/Division: _____
 Branch/Section: _____
 Name of Records Custodian: _____
 Title: _____
 Phone No.: _____

As per General Records Schedules No. 1-11, 2002 (Item) _____
 Records Disposition Authorization (SA-1) _____
 Departmental Records Schedule _____

The following records were destroyed on (date) _____

Description of Records	Dates Covered	Volume (in cubic feet)

Are You Prepared?

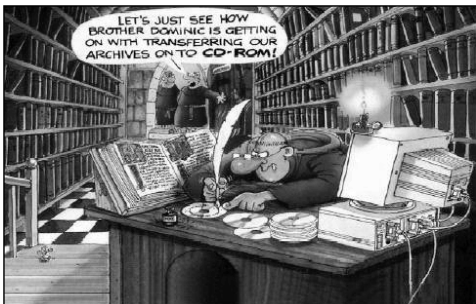
Disaster Preparedness


- ✘ What would you do if there was a fire or flood?
- ✘ Would you still be able to do your job?
- ✘ Do you have the 'tools' you need to do it?
- ✘ Are citizens' rights at risk?

Disaster Preparedness

- ✘ Records must be protected against disaster
- ✘ All agencies should create:
 - ◆ Protection of Records Plan
 - ◆ Repair and Recovery Plan


THE TEN COMMANDMENTS OF RECORDS MANAGEMENT






1. Determine what records are needed to document the activities and function of the agency.

(Hint: A records inventory is a valuable tool!)



2. Maintain sufficient records to document those activities and functions.



3. Manage the records in a way that allows all persons who need access to find and retrieve what they need.


4. Remove or destroy records only with authorization; do not retain records authorized for destruction or transfer.

(Hint: See the Records Retention Schedule)

5. Keep official records separate from non-record materials. Do not commingle records with different retention periods.


6. Make someone responsible for the Records Program

(Hint: This includes inventories, retentions, and a Disaster Preparedness Plan.)




7. Transfer records identified as permanent or archival to the State Archives as required.

Transfer inactive records to the State Records Center.



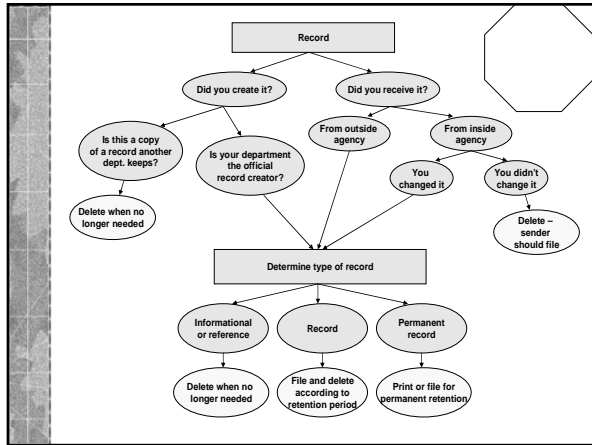
8. Protect essential records with proper security back up.



9. Have a disaster plan.

(Hint: See Comptroller's Circular No. 2001-001!)

10. Do all this in a manner that is as cost-effective and as efficient as possible.



When in Doubt

'ASK THE ARCHIVES'

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