Office of the Secretary of State
Washington State Archives

Essentials of Electronic Records Management

YVCOG-hosted Training – Union Gap, 9/21/2017

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Overview of Today's Session

- Rules and Requirements for Preserving and Managing Electronic Records
- Guidelines and Considerations (including Specific Formats)
- Scanning & Digitizing Records
- Transferring Archival Electronic Records to Washington State Digital Archives

RULES AND REQUIREMENTS FOR PRESERVING AND MANAGING ELECTRONIC RECORDS

Some Basic Truths About Electronic Records

- A public record is a public record, regardless of format;
- Electronic public records must be retained for their minimum retention period, just like paper records;
- If the record is in your agency's possession, it must be retrievable and accessible until disposition;
- Electronic records with Archival designation must either be retained permanently by the agency or appraised and/or transferred to WA State Archives.

RCW 40.14.010 (Public Records Defined)

... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recordings, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, **regardless of physical form or characteristics,** and including such copies thereof, **that have been made or received by any agency of the state of Washington in connection with the transaction of public business...**

WAC 434-662-040: Agency Duties and Responsibilities

Electronic records must be retained in electronic format and remain usable, searchable, retrievable and authentic for the length of the designated retention period. Printing and retaining a hard copy is not a substitute for the electronic version...

GUIDELINES AND CONSIDERATIONS FOR ELECTRONIC RECORDS

Why Isn't There a Series for Email?

As with paper records, the applicable DAN number will be determined by the **content** and **function** of the record…
NOT the **format**.

You will not find retention requirements determined by format.

Is the Digital Version the Official/ Primary Copy?

- Regardless of how it was created:
  - If the transaction of public business occurs in paper then the paper record needs to be retained.
  - If the transaction of public business occurs electronically then the electronic record needs to be retained.

Identifying the Agency Record Copy

Generally speaking, for records originating **within** the agency, the person who **creates and sends** the message holds the agency record copy.

For records received from **outside** the agency, the **primary recipient** or the **agency recipient taking action** holds the agency record copy.

Digital or Paper?

- Example #1:
  - Minutes are drafted using Microsoft Word and then printed.
  - Chair signs the printed minutes at the next meeting.
  - Transaction of public business occurs in paper so the signed paper minutes need to be retained.

Digital or Paper?

- Example #2:
  - Agendas are drafted using Microsoft Word.
  - Agendas are distributed to Committee members via email with the Word attachment.
  - Transaction of public business occurs electronically so the email (and attachment) need to be retained.

CONDUCTING AN ELECTRONIC RECORDS INVENTORY

What Prompts a Digital Records Inventory?

- Awareness of the dangers of keeping everything
- Assessing future migration/storage needs
- ERMS acquisition/implementation
- Standardizing filing structures/practices
- …?

Aims of Records Inventory

- Determine what DANs and what retention requirements apply;
- Identify which records have met their retention and can be destroyed;
- Identify archival records that have met retention and can be transferred to State Archives;
- Identify essential records and back them up;
- Organize remaining records to facilitate both access and future destruction/transfer.

Records Are Records…

- Identify what records are being created and received
- Identify where records are being stored
- Determine whether access/retention/ disposition needs are being met
- Some records are easily identified/defined; others require more in-depth appraisal

…And Yet, E-Records Are *Special*

- Identifying primary copy vs. secondary/ convenience copies, transitory copies
- Often casually created, casually retained
- Volume
- Variety of locations
- Accessibility/preservation issues over time

Where Are E-Records Located?

Departmental servers

Offline

Email servers

Enterprise-wide servers

My Docs folders

Application directories on C: drives

Cloud applications

Cloud storage

EDMS/ERMS

Employee-owned devices

Where to Begin?

1. Identification of Goals and Scope
2. Authorization and Notification
3. Initial Data Mapping
4. In-Depth Data Gathering

1. Identify Goals and Scope

Initial discussion with Legal, IT, Risk Management, department heads:

- What are the areas of greatest concern/perceived liability regarding agency's records?
- What systems/repositories are minimally managed or not well-known?
- Who are key liaisons in areas to be inventoried?
- Who will compose the inventory project team?

2. Authorization and Notification

Obtain buy-in at executive level:

- Make business case
- Confirm priorities/scope of inventory
- Coordinate with executive level to notify departments about the project
  - Anticipated sequence of events
  - Who the project contacts are
  - How departments can prepare for/assist the project

3. Initial Data Mapping

Start by working with IT:

- What are all of the known applications/locations in use (incl. in cloud, offline, etc?)
- What departments/positions access them?
- What apps/locations are most/least used?
- What areas experience the most growth?
- Are there applications/formats near the end of their lifespan?
- Who are primary IT/RM contacts for each department/application?

Data Fields for Inventory (1/6)

Baseline Information:

- Name(s) of system
- Primary user/owner of system (whether individual or department)
- Primary technical contact (technical support, system analyst)

Data Fields for Inventory (2/6)

Retention Data:

- Description/purpose of system
  - To what activities/functions does the application/repository pertain?
  - Can include list of data fields used by system
- Dates covered (incl. implementation date, if applicable)
- Records series in system (including DANs)
- Supporting files (indexes, system documentation, etc.)

Data Fields for Inventory (3/6)

Preservation/Migration Data:

- File types/formats
- Current volume of records
- Estimated growth rate of records
- Hardware, software needed to create/process/retrieve records

Data Fields for Inventory (4/6)

Essential Records Data:

- Is system/repository backed up?
- Frequency of backup
- Location of backup
- Retention period of backup

Data Fields for Inventory (5/6)

Disposition Data:

- What disposition mechanisms are in place?
- How is disposition authorized/documented?

Data Fields for Inventory (6/6)

Security Data:

- Who has access to the application/ repository, and at what levels?
- Encryption used (if any)
- Disclosure exemptions (if any)

Recording Inventory Data

A **relational database** is arguably the most appropriate tool

- Allows multiple avenues for comparison, e.g.:
  - All DANs that are represented in one location
  - All locations where a particular DAN has been identified
  - All locations used by a particular department
- Facilitates reporting of findings

4. In-Depth Data Gathering

- Confirm and expand on inventory data obtained through IT
  - Review storage locations used (including cloud, offline storage, BYOD)
  - Are there other applications that they work with (including cloud apps)?
  - Identify the department/position's functions and transactions that result in records

Third-Party Physical Custody

What about records that are not in the agency's physical custody?

Remember: content/function determines retention.

- Can you capture all your records? Facebook? Web content? Texts? How long are providers retaining these records, if you are not?
- Important to have policies regarding appropriate use and capture of records created/received with these technologies

What About Backup?

Backup is an important part of essential records management, but is not a substitute for it.

- Consider what needs to be backed up, and for what reasons. How long does it need to be retained to serve its identified purpose?
- Replace/overwrite backups accordingly. Agencies should try to avoid retaining backup copies beyond the retention period of primary record copies.

Common Data-Gathering Methods

(with thanks to Jesse Wilkins, AIIM)

1. Employee survey
2. Document analysis
3. Stakeholder interviews
4. Process diagramming/ Functional analysis

Method: Employee Survey

- Can provide data quickly with low time investment

BUT

- Variable quality of responses
- Opportunity for clarification questions?
- How to ensure participation?

Method: Document Analysis

- Can provide perspective on past/present business practices

BUT

- Time-consuming, bottom-up approach
- May be necessary when dealing with legacy records (former employees, obsolete systems)
- Better suited for paper?

Method: Stakeholder Interviews

- Provides context, history from those creating/using the records
- Ability to dig deeper, shift gears

BUT

- Interview process is time-intensive
- Need to select stakeholders carefully

Method: Process Diagramming/ Functional Analysis

- Provides comprehensive results, history from those creating/using the records

BUT

- Many are less familiar with process
- Can be time-intensive, depending on functions/processes being analyzed
- Use as part of interview process where appropriate

Functional Analysis – an example

- Functions of position (*e.g., Design curriculum and provide training for agency employees and clients*)
- Parties involved (*e.g., Me, Human Resources, employees, general public*)
- Transactions that occur (*e.g., scheduling, announcing, registration, verifying attendance/completion)*
- Records that result from those transactions (*e.g. announcements, PPTs, sign-in sheets, attendance reports, certificates)*
- Corresponding records series (*see CORE – Agency Mgmt.-Training, HR Mgmt – Staff Development*)

Identifying Obsolete Formats

Tool: Digital Record Object Identification (DROID)

- Automatic batch identification of file formats
- Developed by UK National Archives
- Free, open-source; requires Java 7 or 8
- http://www.nationalarchives.gov.uk/information-management/manage-information/preserving-digital-records/droid/

Viewing Obsolete Formats

Tool: Quick View Plus (from Avantstar)

- Desktop file viewing program
- Single interface for browsing, viewing, searching file formats
- Useful if you need to view (not edit) files, but don't have the software
- Currently $99/yr (subscription)
- http://www.avantstar.com/quick-view-plus-2017#fndtn-overview

Inventory Outcomes

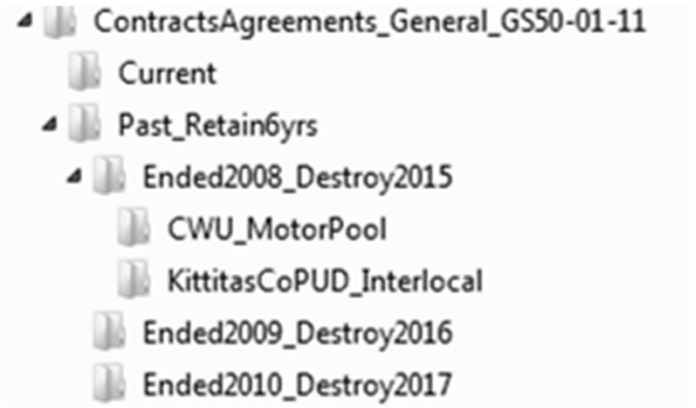
- Issues uncovered, discoveries made during inventory, e.g.:
  - Redundancies in retention
  - Previously undocumented use of cloud applications to create/store records
- Proposals/action plan to address identified needs, e.g.:
  - Centralized filing structure (or extension of same)?
  - Additional training/compliance checks?
  - Application of file naming conventions?

Think filing structures. You know, the kind that we've been using to organize paper for hundreds of years.

We keep using them because they work.

And we can apply them to the electronic environment, where they continue to work!

Example from *CORE*

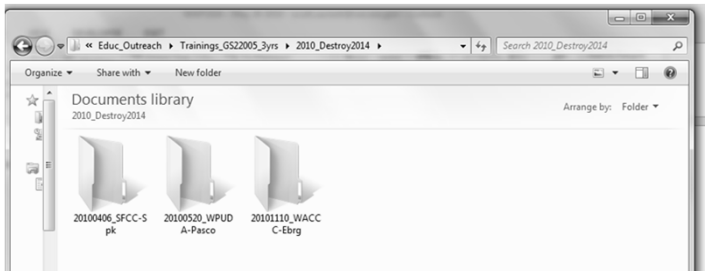


Same Structure, Multiple Locations

These can be individual folders located within individual email accounts, electronic "file cabinets," etc.

For folders that must be accessible to multiple users, they can be on shared drives or network locations.

Records with long-term retention periods should be moved from active use locations to inactive use locations.



Inactive use

Active use

I'm much less likely to accidentally delete these records when they are on my shared drive than when they are sitting in my inbox.

Centralizing Files Aids Disposition

You will eventually destroy 93% - 97% of the records you have (the other 3%-7% are Archival). Facilitate destruction!

If all my electronic records for this training are stored in one network location, I only need to go to one place to delete/destroy them.

RETENTION REQUIREMENTS FOR WEBSITES

Websites as Public Records

All state and local agencies must retain all web content in accordance with the approved retention schedules. (WAC 434-662-140)

- Design/architecture of website
- Content of website
- Changes to website content

Website Design/Architecture

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06A-03 Rev. 3	***IT Applications – Technical Design and Implementation*** Records documenting the technical design and implementation of the agency's computer software applications, databases, and websites (internet and intranet). Includes, but is not limited to: • Design documentation/detail; • Database schema and dictionaries; • Source code; • System and program change descriptions/authorizations; • Development plans (for testing, training, conversion, and acceptance); • Release notes; • Operational and user instructions; • Acceptance testing.	**Retain** until application or version is no longer needed for agency business *and* all records within the application have been migrated or dispositioned in accordance with a current approved records retention schedule *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

Website Content

Determined by content/function, BUT almost always falls under one of the following:

- Secondary/Duplicate Copies
- Database-driven content
- Advice/Information

Web Content – Secondary Copies

- How to apply retention:
  - Manage the agency's primary copy
  - Use appropriate record series based on the function and content of the record
  - Treat web version as secondary copy

Web Content – Database-Driven

- How to apply retention:
  - Manage the record within the database as the agency's primary copy
  - Use appropriate record series based on the function and content of the record
  - Records documenting the rules governing database / website interaction are covered by website design

Web Content – Advice/Information

- Apply the same retention to these content records that you would apply if you provided the same advice/ information by letter or email to everyone in your agency's jurisdiction
- Remember, you are providing that advice every day that it is on your website

Changes to Web Content

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-007 Rev. 0	***Online Content Management*** Records documenting the publishing of the agency's online (internet and intranet) content. Includes, but is not limited to: • Requests/approvals to upload/update/remove content; • Confirmation of content upload/update/removal; • Point-in-time record of webpage/site (screenshot, snapshot, site map). *Note: All published content consists of individual records which have their own separate retention requirements. Each of these records must be retained for the current approved minimum retention period(s) according to their applicable records series.*	**Retain for 1 year after online content removed** *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OFM

- Email?
- Audit log?
- Other? Work with IT.

Managing Databases

As with other records, retention will be determined by content/function.

- Does your agency actually have custody of the DB? Or does somebody else?
- In practice, agencies often end up retaining for X amount of time after last entry.
- How dynamic is the database? If it changes frequently, it will require more attention.

Database Records – Advice Sheet

How Long Do Database Records Need to Be Kept?

https://www.sos.wa.gov/_assets/archives/RecordsManagement/Advice-Sheet-How-Long-Do-Database-Records-Need-to-be-Kept-June-2017.pdf

Social Media

Constant Contact twitter tumblr.

facebook

Do you?

flickr

YouTube Broadcast Yourself™

delicious

myspace.com a place for friends

shutterfly

NING

LinkedIn

Social Media – 5 Key Considerations

1. Are they public records?
2. Are they primary or secondary copies?
3. How long do they need to be kept?
4. How will they be retained by the agency?
5. Is this technology appropriate?

Capturing Social Media Content

Screenshots?

3rd party solutions such as HootSuite, ArchiveSocial, Smarsh, and a host of other products?

Know What You're Getting

- Terms of Service
- What are your agency's rights if the social media provider goes out of business?
- Do you have control over what your customers see when they visit your social media page?
- How will you keep your accounts secure?

Mobile Devices and Other Burning Electronic RM Topics

My device = my records?

It may be your personal device or account, but if it's being used for agency business, keep in mind that you are accessing (and sometimes creating) public records

Scenario: Using a Personal Email Account for Agency Business

- Should be avoided – this should be reflected in agency policies
- If you must *send* from a non-agency account, copy to agency email address at same time
- If you *receive* a business-related email on a personal account, forward to agency email address and retain that as primary copy
- If business needs to be conducted remotely, agency should have email that permits remote access **and** is accessible by agency

Scenario: Accessing Agency Email via Personal Laptop or Smart Phone

- Provides a means of remote access to agency email server
- Retain emails sent/received by agency email server as primary copy
- Metadata/flash memory created by your device is a transitory record in this scenario – minimal retention value
- Have a policy: If it relates to agency business, use agency-controlled email account

Scenario: Accessing Agency Voice Mail

- Generally using third-party provider
- Content and function determine retention
- **Option 1**: *Capture* record within agency systems, e.g., as an email with audio file attached – retain as primary copy
- **Option 2**: *Memorialize* the business transacted, e.g., email to sender summarizing content
- Have agency policies/procedures regarding appropriate use and retention

Frequently Transferred E-Records

- Minutes
- Ordinances
- Resolutions
- Auditor's Recordings
- Superior Court Case Files
- Audio Recordings of Meetings
- Elected/Executive Communications

What Can Be Transferred?

- Images, audio, email and Office documents (Word, Excel, etc.)
- Must receive available metadata along with the records themselves
- Will only accept transfer of records designated as **Archival** in the retention schedules

Steps in the Transfer Process

You've determined that you have electronic Archival records. Now what?

1. Consultation
2. Acquisition
3. Self-Service

Step 1: Consultation and Set-Up

- Work with Electronic Records Management Consultant to gather basic information about what will be transferred
- Get the records in order
- Create metadata/indexing necessary to access the records
- Develop a Digital Transfer Inventory Sheet
- Receive and sign the Transfer Agreement
- Electronic Records Archivist sets up account

Step 2: Training and Initial Transfer

- Digital Archives staff train you to use the transfer and access tools, ArchiveThis! and Web Admin
- You transfer archival records through secure FTP (online) or to an external hard drive, using ArchiveThis! in either case
- You receive confirmation of receipt

Sometimes it HERTs

The **Holding Electronic Records Tank** (HERT) is a repository for archival records that are not yet able to be ingested in the Digital Archives because:

- The records come from a system not yet supported by the Digital Archives;
- The Digital Archives has not yet developed functionality to provide access to the particular record type;
- The records have not been indexed; or
- The records have not yet met their retention period.

Step 3: Self-Service

- You and the public can access your agency's publicly accessible records through the Digital Archives website, digitalarchives.wa.gov.
- After initial setup, you can continue to transfer records from your agency whenever you like.
- Your agency has administrative access to its records that are not publicly viewable.
- A redaction tool is available for disclosure purposes (available for email only, at present).

Records Management Consultations

Searching the schedules for an appropriate record series?

Staring down decades'/gigabytes' worth of paper/ e-records and not sure where to start?

Contact us! We can provide advice and consultation by email, by phone, or (if appropriate) in person.

recordsmanagement@sos.wa.gov

Washington State Archives:
Partners in preservation and access.

www.sos.wa.gov/archives