



All About Electronic Records Management: What to do and how to do it!

Presented by:

Michael S. Saunders,
Regional Archivist
Phone: 425-564-3950
mike.saunders@sos.wa.gov

Basic Points

1. Records are records, no matter the format.
2. Basic records management principles are the same.
3. Electronic technology makes records management more challenging.
4. Records management and IT staff have a shared responsibility and a mutual interest.



Overview

WAC 434-662

- Requirements for Electronic Public Records
- Requirements and Guidelines (by format)
 - Scanned / Digitized Documents
 - Email
 - Websites
 - Web 2.0
- The Digital Archives



"Born Digital" Records

- Electronic records must be retained in electronic format ... for the length of the designated retention period.
- Printing and retaining a hard copy is not a substitute for the electronic version.

(WAC 434-662-040)



Replacing Hardcopy Originals with Scanned Images

Digitizing Paper Records

Scanning and indexing of source documents does not automatically authorize the destruction of the source documents for which images have been created.

(WAC 434-663-600)



Replacing Hardcopy Originals with Scanned Images

Transfer Archival Originals To State Archives

WAC 434-663-640

DISPOSITION AUTHORITY	DESCRIPTION OF RECORDS	ATTENTION AND DISPOSITION ACTION	REMARKS
<p>434-663-640</p> <p>Source Records—Images (Electrical)</p> <p>Re: 0</p> <p>1. Digitized source records which have been imaged as a part of the following processes:</p> <ul style="list-style-type: none"> a. Digitized in accordance with a project approved by State Archives in accordance with the standards of b. Digitized in accordance with the Washington State Standards for the Production of Digitized Records <p>2. All digitized records must be maintained in accordance with the current Records Management Act, and</p> <p>3. The records must be in source records owned by Washington.</p>		<p>Retention: 100 years from date of final disposition</p> <p>None</p> <p>Transfer to Washington State Archives for storage in a digitized format</p>	<p>AGENCY: [blank]</p> <p>DATE: [blank]</p>

GS50-09-17



Replacing Hardcopy Originals with Scanned Images

Destruction After Digitization

Agencies wishing to scan paper records and then destroy them before their required retention has been met must comply with State Archives Requirements.



Replacing Hardcopy Originals with Scanned Images
 Requirements for the Early Destruction of
 Paper Based Source Records after Imaging

IMAGING PROCESS: Indexing and Metadata

Agencies should capture appropriate business
 and recordkeeping metadata such as:

- Office of Record
- Disposition Authority Number (DAN)
- Retention Period
- Destruction Date **WAC 434-663-710**



Replacing Hardcopy Originals with Scanned Images
 Requirements for the Early Destruction of
 Paper Based Source Records after Imaging

IMAGING PROCESS

WAC 434-663-530

Consistent scanning and quality control processes
 Trained staff familiar with requirements and documented
 procedures

The same requirements apply to the images produced by
 vendors



Replacing Hardcopy Originals with Scanned Images
 Requirements for the Early Destruction of
 Paper Based Source Records after Imaging

IMAGING PROCESS

Specific quality control procedures may include, but are
 not limited to:

- Enhancements or other manipulations of the imaged images
 (such as de-skew, de-speckle, etc.) which may be employed to
 improve the quality of the resulting image.
- Routine use of scanning targets to verify configuration settings;
- Visual comparisons and inspections of *each* or *selected* imaged
 record and source document;



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

IMAGING PROCESS

Specific quality control procedures may include, but are not limited to:

- Periodic checks that the indexing/metadata is appropriate and accurate, you do not want to have re-do thousands of Images.
- In instances where a complete and accurate content of the source document cannot be captured, the paper original must be retained.



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

RETENTION AND MANAGEMENT OF RECORD IMAGES

Retain legal custody of record images

Plan for system/vendor failure

Store and manage record images for their required retention period

WAC 434-663-615



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

RETENTION AND MANAGEMENT OF RECORD IMAGES

When agencies choose to use outside vendors (including other government agencies and "cloud" storage) to store/host the imaged records :

Contracts must require that legal custody remains with the agency if the contract terminates, all imaged records and metadata must be returned to the agency in an accessible format.

Agencies should apply appropriate mitigation strategies to ensure that they can fully recover records and metadata that have not met required retention periods.



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

RETENTION AND MANAGEMENT OF RECORD IMAGES

Agencies must take adequate preventative measures:

- Establish security protocols
- Designate approved users
- Do regular system checks
- Calculate check sums
- Develop disaster response and recovery plans



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

RETENTION AND MANAGEMENT OF RECORD IMAGES

Generate regular backups which are stored at least 50 miles away from the agency site to enable access to and recovery of the imaged records during a disaster or emergency.



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

RETENTION AND MANAGEMENT OF RECORD IMAGES

- Incorporate record images into the records management system
- Keep record images authentic and accessible for their required retention period
- Plan for migration to future systems and formats to ensure access and use until retention is met



WAC 434-663-770

Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

DESTRUCTION OF RECORD IMAGES

Record images are destroyed only in accordance with approved records retention schedules

Retain record images until open public records requests or litigation holds are satisfied or terminated

Ensure that record images are actually destroyed at the end of their required retention periods

WAC 434-663-615



Replacing Hardcopy Originals with Scanned Images

Requirements for the Early Destruction of Paper Based Source Records after Imaging

DESTRUCTION OF RECORD IMAGES

Compile and maintain consistent records destruction documentation.

Records destruction documentation proves that:

- Paper originals were converted to digital images and destroyed lawfully
- Images were destroyed lawfully after their retention requirements were met



A winning Strategy for Electronic Records:

- Identify
- Organize
- Preserve
- Dispose



Identify!

Using approved records retention schedules will help you:

- Identify records you need to keep
- Identify records you can get rid of
- Identify records needing additional attention
 - ✓ Essential
 - ✓ Archival



Which Schedule do I Use?

Local agencies use both:

- 1) Local Government Common Records Retention Schedule (CORE)
- AND
- 2) Sector-specific records retention schedules



Organize!

Think electronic "file cabinets"

Desktops and servers are digital "file cabinets" used for storage

Just like traditional metal ones



Enterprise Content Management: (ECM)

An integrated system for organizing, accessing and managing the life cycle of electronic record information, including files in all formats, databases, email and social media.



ECMs are useful because they:

- Make records easier to find
- Eliminate the need for personal secondary copies
- Manage email
- Streamline the disposition of obsolete files
- Produce an accountable record of process

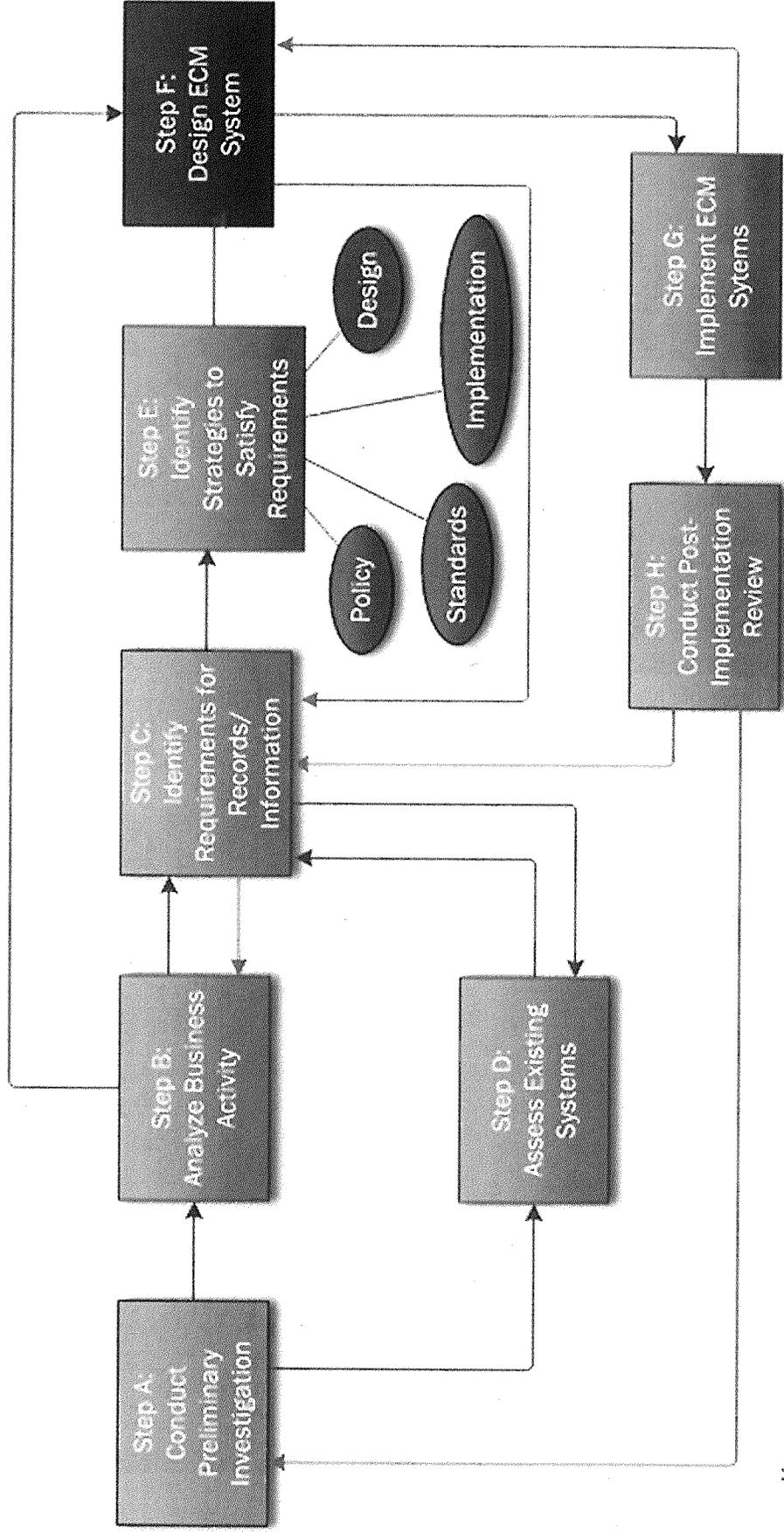


ECMs work:

- Provide effective filing and records management structures
- Automatically apply records classification
- Users do not have to become records experts to do their work
- Track and destroy non-archival records appropriately
- Audit tools that provide a defensible record of actions taken
- Centralized location for unstructured records
- Can make them available to other systems and mobile workers
- Security layers to control access
- Tools to effectively respond to public records requests



ECM Implementation Roadmap



Key

→ Primary

- - - Feedback

ISO 15489 framework illustrated

Source: National Archives of Australia and State Records New South Wales

What to look for:

Is it currently or has it been
DOD 5015.2 certified?

<http://jitc.fhu.disa.mil/cgi/rma/index.aspx>



Information Governance Initiative 2014 – 2016.

1. ECM Applications on State Contract:

A menu of ECM applications, volume priced, that are
DOD 5015.2 certified and meet basic functionality
requirements for government records management.

2. ECM Consultants on State Contract:

Roster of Qualified ECM Consultants: volume priced,
available to contract with agencies to implement
selected ECM applications.



ECM Acquisition Status (8/19/2015)

Five Applications Selected

Contract Negotiations Underway

Projected to be in place in October



Training – Look For:

ECM Boot Camps

Goal: To give agencies the skills needed to make ECM a core competency of state government



- Tools and a roadmap
- Practical skills
- A mature, repeatable process for implementing ECM
- Change the way we think about records management
- Learn the best practices for managing electronic records



Training – Look For:

Vendor Fairs











Where???????????????

Records Management Training Calendar

Washington State Government provides professional development opportunities for our employees through a variety of training and development opportunities.

For 2015, we are offering a variety of training opportunities to meet the ongoing and additional needs of our partners and employees. For information, please visit www.sos.wa.gov/archives.

Training:

Interested employees should contact the appropriate training provider for more information. For more information, please contact the appropriate training provider.

Date	Training/Workshop	Time	Location	Details
Sep 15	ECM Boot Camp - Lakewood	7:00 AM to 4:00 PM	Lakewood	Register
Sep 17	Records Management 101	9:00 AM to 11:00 AM	Lakewood	Register
Sep 17	Records Management 101 - Richland	11:00 AM to 12:00 PM	Lakewood	Register
Sep 17	23 About Electronic Records Management 1.0	7:00 AM to 9:00 AM	Lakewood	Register
Sep 25	ECM Boot Camp - Spokane	8:00 AM to 4:00 PM	Spokane	Register

<http://www.sos.wa.gov/archives/RecordsManagement/TrainingSignup.aspx>



Preserve!

Applying Records Retention Schedules to Electronic Records



Email:

Identify the Agency Record Copy

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.



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 smart phone is a transitory record in this scenario
- Have a policy: If it relates to agency business, use agency-controlled email account



What About 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



What About Text Messages?

- Content is key
- Have policies regarding use of texts
- Agency responsibility to capture texts regarding conduct of business that need retention according to approved schedules
- 3rd party tools/applications available

You CANNOT rely on your provider to retain Text Messages!



Agency Voice Mail

- 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



Websites:

Retention Requirements

1. All state and local agencies must retain all web content in accordance with the approved retention schedules.

(WAC 434-662-140)

2. Electronic records must be retained in electronic format and remain useable, searchable, retrievable and authentic for the length of the designated retention period.

(WAC 434-662-040)



Websites:

Retention Requirements

1. Website Design/Architecture
2. Website Content
3. Changes to Website Content



1. Website Design / Architecture

Applications – Technical Design and Implementation (GS50-06A-03)

- Records documenting the technical design and structure of website
- Includes connection between the website and other databases and applications
- Webpage style templates



2. Content

Website content falls into 3 main categories:

- a. Secondary Copies of Other Public Records
- b. Database-Driven Content
- c. Advice / Information



3. Changes to Content

Online Content Management (GS2010-007)

- Records documenting the publishing of website content:
 - Requests and approvals to upload / update / remove content
 - Point-in-time records of webpages (snapshots)



Website Spidering

- *Digital archives will ... copy state and local government web sites that are determined to have archival value either annually or more frequently. (WAC 434-662-140)*
- Archival snapshots.
- Will not satisfy all legal and other requirements to retain records of websites.
- Is not for the transferring of archival designated records
- Does not absolve agency from managing information
- No Transmittal Agreement needed – it just happens
- Currently piloting with a small number of agencies



Databases:

Retention Requirements

Apply same principles as websites

- Based on content and function of database
- Is it a repository of information held elsewhere?
- Does it contain evidence of business transactions not found in another format?
- Is the database dynamic with continuous changes, updates?



Capturing Databases

Options include:

- Change logs/audit logs
- Maintaining entire database
- 3rd party software for ECM



Web 2.0

Retention Requirements

Do you?



















Blogs, Wikis, Twitter, and emerging "technologies du jour"

Five 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?



The Challenge - Capture

How do we retain public records that we made or received, but don't have in our custody or control?

Email?

3rd party software?

- ✓Twinbox
- ✓TweetTake
- ✓ArchiveFacebook
- ✓SocialSafe



Points to ponder

Ask some questions:

- Make a business case – benefit vs. risk
- Check with legal counsel
- Check out terms of service agreements



An overlooked aspect of electronic records management:

MIGRATION



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Washington State Archives

MIGRATION: Why does it happen?

1. **Storage** – you have reached critical mass
2. **Databases** – implementing/updating/shifting
3. **Applications** – implementation/configuration/no longer being supported
4. **Business Process** – new/change/mergers/acquire
5. **Preservation** – obsolescence and need for long term access/retrieval/transfers



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Migration Happens - In Phases

- Design (developing the new/different and plan)
- Extraction (data pulled/extracted/read from old)
- Cleansing (scrubbing/tidying up the data)
- Load (data written or shifted to new)
- Verification (did it all migrate and take?)



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Break



Going to the Cloud

Consumer level products and servers are not appropriate for government use:

- Storage
- SaaS
- Online File Sharing
- Other Cloud Applications



Clouding the Issue

Issues to Consider:

- Custody
- Co-mingling of data (will probably not be held separately from others using storage server)
- Privacy, security / hijacking of information
- Data transmission/flow (Where is the server, exactly?)
- Disaster preparedness and recovery



Ask Questions!

- What about the vendor:
 - How stable? What's their history?
 - Do they outsource or sub-contract ?
 - How proprietary are their applications?
 - Their hiring practices for employment? Are there background checks, etc?
 - Their overall audit / security processes?
 - Can your rules apply?



Ask Questions!

- Is it appropriate?
- Establish rules for online file sharing and other cloud providers/services
- Do security risk assessments
- Any certifications?

"CAVEAT EMPTOR" (USER!)



Dispose!

Secure Destruction for Non-Archival Records

- (1) The prompt destruction shall be insured and the responsibility rests with the agency.
- (2) Records should be truly and completely destroyed, NOT JUST DELETED.
- (3) Records shall remain secure until destroyed.



Washington State Archives Digital Archives
MOVING YOUR ARCHIVAL E-RECORDS INTO THE FUTURE

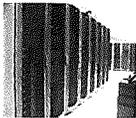
Our Purpose
Preservation and access of archival electronic records from State and Local Government agencies

Our Public Face
•The Website, digitalarchives.wa.gov
•Searchable Collections

Behind the Scenes
•Non-Searchable Records

•The Staff



The Digital Archives IS: 

The first archives in the nation electronic government records

Designed to preserve and centralize digital government records for future research and scholarship

Constantly developing and working on the preservation of ever changing formats and technologies – literally a work in progress!



Archival Electronic Records
Common Record Types :

- Minutes
- Ordinances
- Resolutions
- Auditors' Recordings
- Superior Court Clerks' Case Files
- Audio Recordings of Meetings
- Communications – Governing/Executive/Advisory



Archival Electronic Records

Formats:

- Images
- Audio Files
- Emails

Indexing for Search and Retrieval:

- Metadata or Indexing fields



To Transfer Electronic Records:

Identify archival records

Organize and sort, no junk or spam!

Tag and label appropriately

Identify any special considerations

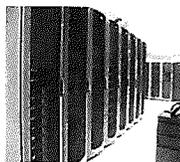


Transfer Process:

•Consultation Phase

•Acquisitions Phase

•Subsequent Self Service



Key Transfer Information:

A Digital Archives Transmittal Agreement and a Transfer Information Plan (TIP) are necessary for transfer of records to the Digital Archives:

- Records Series and DAN number*
- Formats of records*
- Size of files/folders*
- Metadata*
- Any considerations/special care/restrictions*



Archival Electronic Records Transfer:

“ARCHIVE THIS:”

A tool that enables agencies to do self-service transfers of agency archival digital records

A Secure File Transfer Protocol (SFTP) for agencies to transfer from their desktop/servers

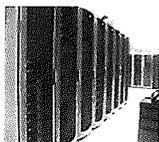
Agency appointed coordinators will be have security and password protocols for transfer



Ingestion

Virus scans, error checks, and verifications take place to ensure accurate transfer

As files are ingested, any errors are corrected



Migration

- When transferring to the Digital Archives, you are transferring data/data objects to a repository for preservation
- It is the Digital Archives role/responsibility to migrate information for permanent access/retrieval for future generations



Archival Electronic Records Transfer:

“Web Admin:”

Gives agencies direct access to their records in the Digital Archives

Agency appointed coordinators will be set up with security and password protocols



To Transfer Electronic Records to the Digital Archives contact:

Mike Saunders

Mike.Saunders@sos.wa.gov

425-564-3950



In Summary...

Agencies need to:

1. Retain all public records for at least the minimum retention period as listed on the approved Records Retention Schedule.
2. Destroy non-archival records at the end of their retention period.
3. Continue to retain, or transfer to Washington State Archives, all archival records.



You Are Not Alone

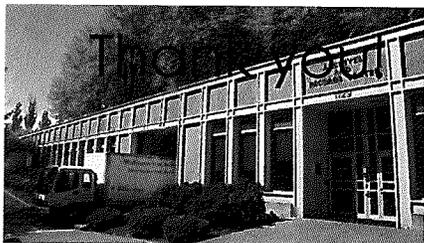
For advice and Assistance:

recordsmanagement@sos.wa.gov

Subscribe to listserv for the latest in updates:

<http://www.sos.wa.gov/archives/RecordsManagement/>





Washington State Archives:
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www.secstate.wa.gov/archives