

ELECTRONIC RECORDS SURVEYING & SCHEDULING

Reports from Minnesota, Wyoming, and Kansas

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Please **mute** your phone.



ACKNOWLEDGEMENTS

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WEBINAR EVALUATION

- Approximately 45 minutes after the webinar you will receive a follow-up email from Rebecca Julson.
- The follow-up email contains a link to a webinar evaluation survey.
- Please take 5 minutes of your time to complete this short survey.

INVENTORYING DIGITAL RECORDS AT THE MINNESOTA STATE ARCHIVES

Carol Kussmann
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University of MN Libraries

On behalf of the Minnesota State Archives

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MN RECORDS SCHEDULING

- **Records Management Act: Minnesota Statute 138.17**
 - Records with historical value may be transferred to the State Archives or retained by requesting agency
 - No legislative mandate or other requirement to preserve specific records
- **Records Disposition Panel**
 - Determines which records have continuing value
 - Approve retention schedules submitted by state and local government agencies

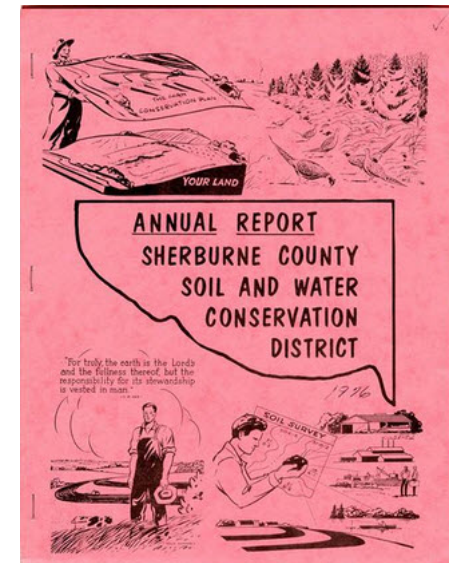
RECORD EXAMPLES

*Records from all branches of government

*Records from both state and local organizations

- Including:

- Territorial and state governor records
- Legislative committee records
- Supreme Court and District Court case files
- Selected records of state departments, commissions, and boards
- Selected records of local government

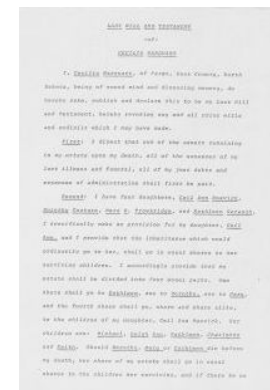


DIGITAL RECORDS

What do we have and what are we going to do about it?

- Digital records were being taken in
- Critical mass (or soon to be)
- Need to better understand the situation
- Develop procedures on how to move forward with additional digital materials

140		141	
Tp. 67 N. Range 19 West of the 4th P. M., Minn.		Tp. 67 N. Range 19 West of the 4th P. M., Minn.	
Description of claims. Stephen Brown claims SE 1/4 of the SW 1/4 of Sec. 31, the SE 1/4 of the NW 1/4 and the W 1/2 of the NW 1/4 of sec. 30.		Attest as the N 1/2 of the NE 1/4, SW 1/4 of the NE 1/4 of sec. 31, and the SE 1/4 of the SE 1/4 of sec. 31.	
Mr. Hurdle claims the SE 1/4 of the NE 1/4, the NW 1/4 of the SE 1/4, and the SW 1/4 of the SE 1/4 of sec. 31. There is four other claims in sec. 31.		Mr. Brown has a claim in sec. 31.	
There are 1 or 2 claims in sec. 31.		Lynn Anderson has a claim in N. 1/2 of Sec. 31.	
Mr. O'Connor has		These claims for all made good improvements	



INVENTORY

- **Set inventory scope**
 - State Archives and Manuscripts collections first
- **Determine what you need to know about your digital records**
 - Collection name, file format, total size, related records
- **Conduct inventory**
 - Record results, make edits to process as needed
- **Use results to move forward**

RESULTS OF INVENTORY

- Documented what was currently in-house
 - How much content (~20TB)
 - What file formats (various)
 - What types of collections they represented (various)
- Assisted with developing a preservation plan for long-term management of digital materials



PRESERVATION PLAN FIELDS

Preservation Plan For:		Tuesday, October 08, 2013 11:16:35 AM
Timber Commissioners Board		
Record Set Steward: State Archives	Date of Plan, Plan Author: 2012_09_17, Carol Kussmann	
Accession Number: 2013-28	Date Appraised:	Appraised By:
Location of Master Files: \\Fortknox\digital collections\State Archives Collections\Timber Commissioners Board		
Location of Access Copies: CD's of original disks: Rm 247 Level A. Digital Access copies are stored on Fort Knox: \\Fortknox\digital collections\State Archives Collections\Timber Commissioners Board\Access Copies; Finding Aid: http://www.mnhs.org/library/findaids/gr00664.xml		
Access and Use Conditions: Available online: http://www.mnhs.org/library/findaids/gr00664.xml CDs can also be distributed until they are gone or no longer functional.		
Description of Digital Records: GIS compatible collection of "Reports of Estimates and Appraisals of the Timber Commissioners Board, 1895-1905"; includes original scans, geo-referenced scans, and ArcView shape files. Scans of the originals do not show the color of the geographical features such as lakes and rivers. The organization of the digital files does not replicate the order of the paper records.		
Description of Related Records (if any): Digital files of "Reports of Estimates and Appraisals of the Timber Commissioners Board, 1895-1905".		
Description of Associated Metadata (if any): There are read.me files and an explanation of the project in the paper documentation. Mn Geo's website provides Metadata and can be pulled off if we need it: http://www.mngeo.state.mn.us/chouse/metadata/tmbr_db.html and links from http://www.mngeo.state.mn.us/chouse/land_use_historic.html		
File Formats: .aux (1), .csv (4), .db (7), .dbf (4156), .doc (1), .e00 (4156), .htm (1), .lgr (2), .mdb (2), .pdf (3), .shp (4156), .shx (4156), .tfw (5017), .tif (7410), .txt (9), .wbk (1), .xls (8), .zip (1)		
Notes about file formats (at risk): GIS data requires special software to view.		
Quantity of files: 29,256 files, 1.28 GB [does not include access copies; 58,711 files, 3.75 GB]		
Projected quantity of files: No additional files expected.		
Level of Service: High Value- accessioned, GIS component can't be replaced		
File Naming Scheme: Organized by county. Files on disk 1 are labeled v<vol>p<page>.tif. Files on disk 2 are labeled v<vol>p<page>rc.tif. Files on disk 3 end with p_c, l_t, or t_t and represent the points, lines, and polygons in the form of Arc/Ingo 8.1 export and ArcView shapefiles. Access copies are organized by County.		
Dates Content Verified by SA: 2013_10_07 (OK)		
Backup Date (Location): 4/9/12 (2011 DigColl 012)		
Backup Plan: backup again		
Date Next Scheduled Backup:		
Disposition of Digital Originals: One set of 3 CDs stored in B152. Additional copies stored in Rm 247 and can be distributed as access copies.		
Next Date for Annual Record and Plan Review: 2014_10_07		

- Accession number
- Location of files
- Description of files/metadata
- Access/use conditions
- File naming scheme
- File formats
- Quantity of files
- Level of service
- Backup date/location
- Date for annual plan review

DEVELOPING A PRESERVATION PLAN

- Determine fields for preservation plan
- Worked through backlogs one collection at a time; making changes as needed
- Documented workflow from content appraisal to preservation
- Created plans for 47 collections; ~40TB
- Immediate benefits

MOVING FORWARD

- Understand your environment
 - Organizational
 - Procedural
 - Technical
 - Legal
- Learn what digital records you have
- Think about what you want to do with them
- Take small steps and keep moving forward to reach your goals

SURVEYING & SCHEDULING ELECTRONIC RECORDS - WYOMING

Mike Strom
Wyoming State Archivist
michael.strom@wyo.gov



INTRODUCTION

- Little attention given to electronic records before 2011
- Received funding from the legislature to help us address the issue

ELECTRONIC RECORDS SURVEY

- Worked with Imerge Consulting
- Met with representatives from all state agencies
- Surveyed all records, not just electronic records

SURVEY QUESTIONS

GENERAL

- Describe the main functions and activities performed by the Agency
- Identify specific legal requirement for creating or maintaining records
- Describe access requirements and restrictions (security, privacy, intellectual property considerations, etc.) that impact your Agency records

SURVEY QUESTIONS ELECTRONIC RECORDS

- Identify any database or digital information system that is unique to your Agency and provide a brief description of its purpose.
- How does your Agency track *active* digital records?
- How does your Agency track *inactive* digital records?

SCHEDULING ELECTRONIC RECORDS

- Imerge helped us go from agency-based records schedules to function-based schedules
- We decreased the number of schedules from over 8000 to 600

OLD RETENTION SCHEDULE

WYOMING STATE ARCHIVES
Cultural Resources Division
Barrett Building, Cheyenne, WY 82002
Telephone # (307) 777-7826

ANALYSIS OF RECORDS

AR-1# 05-427
(Disposition Number)

Department Supreme Court

Division Circuit Court Section _____

Title of Records Traffic Citations and Dockets/Abstracts of Cases

Statutes Affecting Retention _____

Description and Use (Includes confidentiality of information)

Relating to or containing ONLY traffic citations. This authority does not apply to non-traffic misdemeanors or driving under the influence charges that are written on a citation. (Board of Judicial Policy and Administration Policy on Closure of Unpaid Traffic Citation Cases, issued December 13, 2002.)

CONTINUING AUTHORITY ACTION REQUESTED:

CLOSED/SATISFIED/DISMISSED: Retain 5 years from date of filing, then destroy.

OPEN: Retain 10 years after issuance, then destroy after the court has ordered the case dismissed. **NOTE:** After 10 years the Judge may dismiss the case if it is determined that it can not be satisfied.

For all electronic records including those received by the Supreme Court, retain 10 years after last activity, then delete or destroy if all cases have been closed, satisfied, or dismissed (Supersedes AR1 #98-157.) (Authority requested for all Circuit Courts.)

Date Request Approved: APPROVED MAY 23 2005 Denied: _____



NEW RETENTION SCHEDULES

Administration and Business Support (ADM)

Equipment and Vehicle Management (EVM)

Maintenance and Repairs	ADM-EVM-02	CP 5	No
<i>Records related to maintenance and repair of vehicles and equipment.</i>			
Retain 5 years after completion then destroy			
Vehicle File - Loss	ADM-EVM-03	CP 10	No
<i>Records related to vehicles including loss logs.</i>			
Retain 10 years after completion then destroy			
Vehicle Files	ADM-EVM-04	LOA 5	No
<i>Records related to vehicles including history, logs, manuals and operating procedures.</i>			
Retain 5 years after the Life of the Asset then destroy			
Vehicle Registration and Licenses	ADM-EVM-05	EXP 1	No
<i>Records related to government owned or leased vehicle registration and licensing.</i>			
Retain 1 years after expiration then destroy			

General Management (GMT)

Associations and Memberships	ADM-GMT-01	OBS 5	Yes
<i>Records related to membership, attendance and information in professional associations.</i>			
Retain 5 years after obsolete then destroy			
Calendars and Schedules	ADM-GMT-02	OBS 5	No
<i>Records related to appointments, task lists, and meeting schedules.</i>			
Retain 5 years after obsolete then destroy			
Correspondence - Directors	ADM-GMT-03	PERM	Yes
<i>Records related to internal and external communications to or from the directors and/or management of policy issues, concerns and issues, and actions taken.</i>			
Retain permanently			
Correspondence - Elected Officials	ADM-GMT-04	PERM	Yes
<i>Records related to internal and external communications to or from the elected officials of policy issues, concerns and issues, and actions taken.</i>			
Retain permanently			
Correspondence - General	ADM-GMT-05	CR 3	Yes
<i>Records related to routine correspondence of day-to-day office administration and not identified in other record series.</i>			
Destroy 3 years after create date			
Distribution, Mailing and Contact Lists	ADM-GMT-06	SUP 3	Yes
<i>Records related to lists of individuals and organizations for mailing or distribution.</i>			
Retain 3 years after superseded then destroy			
Event Management	ADM-GMT-07	CP 3	Yes
<i>Records related to the organization and conduct of events including facility scheduling, registrations and confirmations, flyers or brochures, presentation material, and other related documentation.</i>			

SCHEDULE APPROVAL PROCESS

Difficulty getting agencies and State Records Committee to approve schedules

- Schedules applied across agencies
- Some retention periods changed
- Different forms, different process
- State Archives more involved in the process

AGENCY APPROVAL PACKET

Family Services, Dept

Archival
Review

Admin (Family Services, Dept)

Administration and Business Support (ADM)

General Management (GMT)

Correspondence - General	ADM-GMT-05	CR	3	Destroy 3 years after create date	Yes
02-040 General Correspondence					
Retain 3 years, then evaluate for legal administrative, and historical value for transfer to State Archives. Destroy remaining records at discretion of agency director. (Supersedes AR # 91-121)					3

Legal and Judiciary (LGL)

Legal Matter Management (LMM)

Hearings and Appeals	LGL-LMM-21	CP	5	Retain 5 years after completion then destroy	Yes
01-018 Fair Hearing Files					
Retain 7 years from case closure, then destroy.					7

Child Support Enforcement (Family Services, Dept)

Governance and Compliance (GAC)

Audit, Oversight and Compliance (AOC)

Federal Programs and Reporting	GAC-AOC-03	CP	5	Retain 5 years after completion then destroy	Yes
03-042 Federal Reports					
Retain 6 years, then destroy. (Supersedes AR# 17628)					6

Public Health Services (PHS)

Child and Youth Services (CYS)

Child Support Services	PHS-CYS-03	CP	3	Retain 3 years after completion then destroy	Yes
03-043 POSSE (Parental Obligation System for Support Payments) Records					
Retain 3 years, then destroy.					3
91-421 Child Support Enforcement Program Case File					
Retain 3 years after completion of case, then destroy. (Supersedes AR-1 #12647)					3
91-424 Federal Tax Refund Intercept Program Administration Records					
Retain 6 years. Evaluate for legal, administrative, and historical value for transfer to State Archives. Destroy remaining records at discretion of agency director.					6

Wednesday, February 05, 2014

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STATE RECORDS COMMITTEE APPROVAL FORM

WYOMING STATE ARCHIVES
Cultural Resources Division
Barret Building, Cheyenne, WY 82002
Telephone # (307) 777-7826

AR-1# ADM-ALM-01
(Disposition Number)

ANALYSIS OF RECORDS

Function Administration and Business Support (ADM)

Activity Archives, Library and Museum Management (ALM)

Record Series Acquisitions and Decommissions

Scope Note Records related to the acquisition and decommission of material.

Disposition Retain 4 years after completion then destroy

Archival Review ☒

Authority

Supersedes the following:

00-159	Decommissioning Records Retain 5 years after the site is released for unrestricted use, then destroy.	University of Wyoming
01-215	New Book List Retain until superseded, then destroy.	University of Wyoming
02-273	Unclear Title Correspondence Retain until the title issues have been resolved, then transfer to the accession file.	Parks&Cult Resources
99-026	Requests for EDIS Approval Control File record: Retain for ten years, then destroy. Retain the record in the Electronic Record Analysts office for three years, then destroy.	Parks&Cult Resources 10
12104	Acquisitions File - Library (Contains records relating to the purchase or receiving of books for the Library) Retain 4 years, then destroy	Family Services, Dept 4

Date Request Approved: ____/____/____

Date Request Denied: ____/____/____

W.S 9-2-401 through 9-2-419 State Records Committee:

Department of State Parks
& Cultural Resources: Michael Strom _____, Chairperson
(SIGNATURE)

Office of the Attorney
General: Megan Nicholas _____
(SIGNATURE)

Department of Audit: Pamela J. Robinson _____
(SIGNATURE)



CONCLUSION

- Expect to get the schedules approved this month
- Revising all the schedules at once was the best option for us
- Part of our larger digital archives project

ELECTRONIC RECORDS RETENTION SCHEDULING - KANSAS

Marcella Wiget
Government Records Archivist
Kansas Historical Society

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785-272-8681 x288



RECORDS SCHEDULING IN KANSAS

- State Records Board approves R&D schedules for executive-branch agencies and county offices
- Electronic efforts began in mid-1990s
- Began with general guidelines and white papers, rather than specific scheduling projects
- Electronic Recordkeeping Plans

Normal records
retention
scheduling



CITO-
Reportable IT
Project Plan
Reviews



Electronic Recordkeeping Plans

CITO-reportable IT Project Plan Reviews

PROJECT PLAN REVIEW PROCESS

- Review process triggered by state IT projects costing more than \$250,000
- ITEC policy 2400-A requires the State Archivist evaluate all such projects and their potential impact on government records with long-term (10+ year) retention requirements
- Agencies provide an Electronic Records Retention Statement (ERRS) and additional forms and documentation for context
- State Archivist writes approval letter after reviewing project materials, relevant retention schedule entries (if existing), and discussions with agency staff
- Approval letter is submitted to agency head and centralized IT office

ELECTRONIC RECORDS RETENTION STATEMENT

9 questions, regarding:

1. What paper records are being replaced; what will continue to exist in both paper and electronically?
2. What new business functions will be implemented?
3. What legal, regulatory, & operational reasons exist for those business functions?
4. What legal, regulatory, & operational requirements exist for records retention requirements (including your agency's retention and disposition schedule)?
5. What data will be retained in another system, either within the agency or outside the agency?

ELECTRONIC RECORDS RETENTION STATEMENT

9 questions continued:

6. What legal, regulatory, & operational requirements exist for providing records access?
7. What legal, regulatory, & operational requirements exist for ensuring confidentiality and controlling records access?
8. *What records have retention periods of ten years or more?*
9. Estimate of 3-year total cost for addressing those long-term records (included on DA519, item #8)?

PROJECT PLAN REVIEW PROCESS

- Generally *not the last steps*—this is why records officers need to be involved
- Most systems, and many of these IT projects, will include long-term records
- Language in approval letter may indicate agency's pledge to continue working with the State Archives to ensure these records are properly maintained and preserved
- Next steps may include creating an ERP, revising existing retention and disposition schedule entries and performing other records analysis tasks, and/or creating new schedule entries
- Costs may include technical work to connect agency system to KEEP (Kansas Enterprise Electronic Preservation) system, the state's trusted digital repository

Electronic Recordkeeping Plans

ELECTRONIC RECORDKEEPING PLANS

- For systems containing records that need to be maintained for 10 years or longer
- Records Officers need to work with IT and program staff to complete
- ERP is submitted to the Electronic Records Committee (ERC), sub-committee of the State Records Board
- Once endorsed by the ERC, ERP goes with relevant retention schedule entry/entries to the State Records Board for final approval to keep records electronically
- Form & other electronic recordkeeping information available at <http://www.kshs.org/p/electronic-records/11334>

ELECTRONIC RECORDKEEPING PLANS

- Sections of ERP designed to help agency staff think through long term preservation of and access to electronic records
- Sections include questions on:
 - File Formats: are they proprietary? Will you be able to export them to something else if they are? Are there associated images?
 - Data Integrity and Authenticity: Can you go back in the system and find logs of changes made to data? Is there versioning control? How do you document changes to the actual system?

ELECTRONIC RECORDKEEPING PLANS

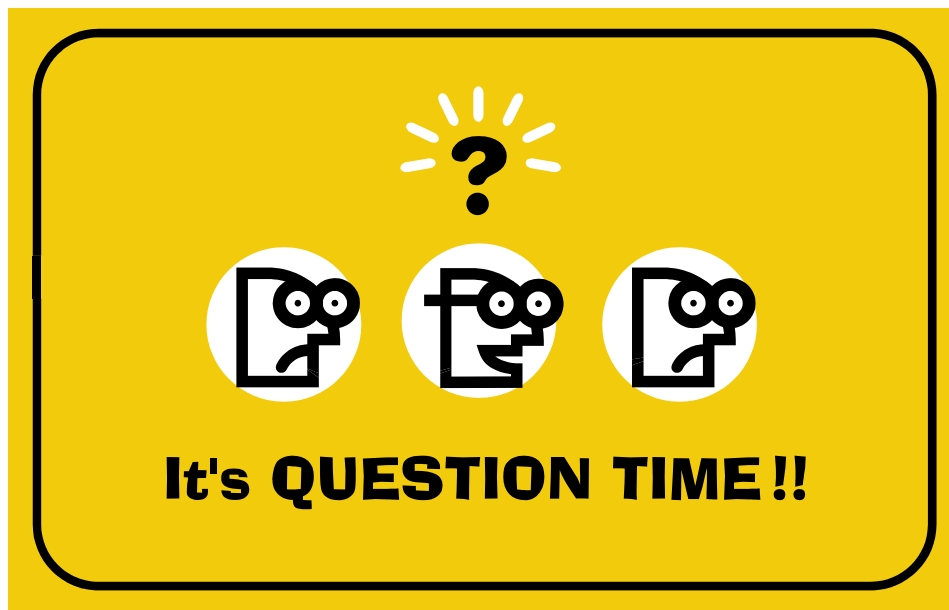
- **ERP sections continued:**
 - Data Security, Confidentiality, and Access: How is confidential data protected? What audit trails are in place again to log changes to data and ensure no unauthorized changes are made? How are open records requests handled?
 - System Backup and Recovery: How is data backed up? Has the recovery process been tested? Do you have a disaster plan?

ELECTRONIC RECORDKEEPING PLANS

- **ERP sections continued:**
 - Electronic Records Preservation: How does your agency currently store archived data? What steps do you have in place to refresh storage media and to monitor media obsolescence? What will you do about converting or migrating data when new storage media is available and your agency upgrades the current system?

FINAL THOUGHTS

- ERP continues to be backbone to electronic records retention scheduling in Kansas
- Ideal versus reality: staff time and resources commitment
- Keep working with agencies to ensure electronic records are appropriately scheduled and managed



UPCOMING SERI WEBINARS

- **March 11, 2014; 2:00 pm ET**
 - Hiring & Training Electronic Records Staff
- **March 27, 2014; 3:00 pm ET**
 - Advocacy & Awareness for Electronic Records

COST SHARE & EVALUATION

- Don't forget to complete a cost share form and return it to Becky Julson (rjulson@statearchivists.org).
- We really do appreciate your feedback, please complete the webinar evaluation survey by clicking the link in the follow-up email which you'll receive shortly.

