

COSA ELECTRONIC RECORDS DAY WEBINAR

WHAT ABOUT THE RECORDS?

**Making smart decisions about information
systems**

Use the chat box at the right of the screen to tell us who you are, where you're from, and who is participating with you today.
To open the chat window, click on the CHAT icon in the upper right corner.

Connect to the audio portion of the webinar through your phone line or through VoIP.



WHO IS TALKING TO ME?

Christian Skipper

**Appraisal & Outreach
Archivist**

Maryland State Archives

- **Detail enthusiast**
- **Has forgotten more about technology than most will ever know**

Kristopher Stenson

ORMS Administrator

Oregon State Archives

- **Professional talker**
- **Is “in charge” of a large state-wide electronic records management system**

ELECTRONIC RECORDS IN THE WILD

Records live in many different types of information systems

Systems may not be designed or intended for long-term record storage

Decisions about information systems driven by budget, business needs – not RM concerns

SECTION I

BUYING OR BUILDING A SYSTEM



WHAT RECORDS WILL RESIDE IN THE SYSTEM?

Will this software be used to store and access records?

- Must consider records management implications.
- Consult state records law/rules

How long will the records be kept in the system?

- Can it meet full retention requirements?
- How will records (& metadata) be exported for storage elsewhere?

What is the capacity for storage?

- Might not perform well over time if too much content is retained

HOW WILL I ACCESS THEM?

Must consider how records will be searched & used.

Can you search across content (ala Google) or just browse?

Will the system contain all info you need to find records later?

- Storing digitally is not a solution to poor inventory control:
garbage in = garbage out
- Groundwork needed *before* moving your records into a management system.

**Ease of access critical to comply rapidly
with FOIA/PIA/PRR requests.**

MONITORING YOUR RECORDS

Digital content can deteriorate without attention

Who is responsible? You? IT? Outside help?

Who can write, upload & delete content?

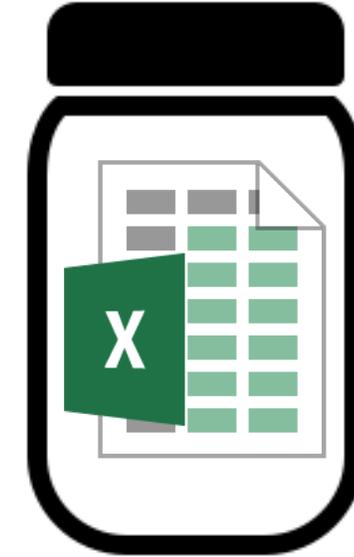
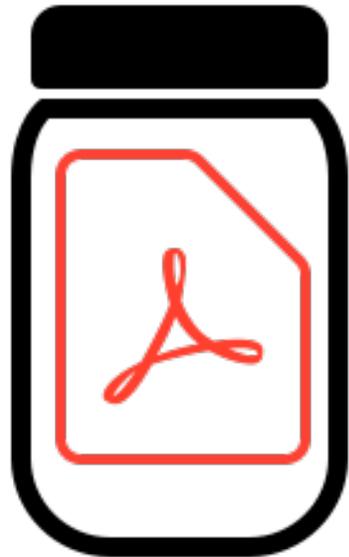
- Rules needed to protect authenticity of records
- Can you apply different levels of access?



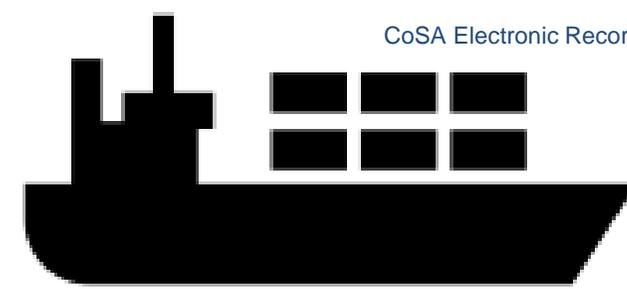
PRESERVING YOUR RECORDS

How will records be preserved over time?

- Fixity is key for ensuring public trust.
- What metadata will be captured, & how do you ensure completeness?
- Automation can be helpful for identifying files that are at risk.



EXPORTING RECORDS



If your system contains long-term records, they will not likely be in it forever.

- How many systems from 20 years ago are still being used?
- Think about those who will take over after you retire

Long-term records will likely need to be exported in the future

- Will their metadata come with them?
- Contracts can limit who owns aspects of imagery or metadata.
- Software developer gone? May not be able to count on support
- Should plan for migration every 10 years as benchmark

RECORDS DISPOSITION

Need to plan for regular records destruction

- Non-permanent records will eventually be destroyed.
- Does the system allow destruction of specific records?
- Can it destroy in bulk, or is it one-at-a-time?
- Does the system automate deletion, and does it give you reports of this for auditing purposes? Is there human oversight of the process?



SECTION 2

DEALING WITH EXISTING INFORMATION SYSTEMS



SO I'VE GOT THIS SYSTEM...

Legacy systems of all types present RM challenges

- Lack of contextual metadata
 - Intermingled record/non-record content
 - Poor or no export functionality
 - Software layers between you and the records
-
- Records exist only “virtually”
 - Retention not considered



CONDUCTING TRIAGE

How much life is left in the system?

What records are stored in the system?

Is life of records > life of system?

Is there an export function (and how complete is it)?



ARE YOU COMPLIANT?

Consult state statutes & rules regarding e-records management

Are records legally allowed to live in system long-term?

Are records kept in an acceptable format?

Are you legally required to destroy records at full retention?



SCENARIO ONE: MANAGE IN-PLACE



Records either short-term or there are significant barriers to export

Purge possible? Delete from system as appropriate

End of life for system = keep afloat in the background until ALL contents at full retention

SCENARIO TWO: EXPORT AND RETAIN ELSEWHERE

Records have significant retention or will outlive system

Identify logical export point, pull out records (& metadata?)

Must decide whether to duplicate data for ready access or move entirely when semi-active



CONSIDER ACCESS NEEDS



Does the system accommodate ready search & retrieval?

What is the active vs inactive life of the records?



Do you have an alternative search elsewhere?

WHAT TO DO WITH EXPORTED RECORDS?

Know your state requirements- Physical vs Electronic

Is there a system of management in place?

More than a decade or so need to consider ERMS



ELECTRONIC RECORDS MANAGEMENT SYSTEM

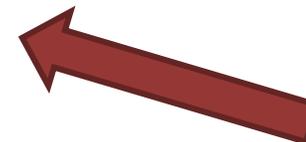
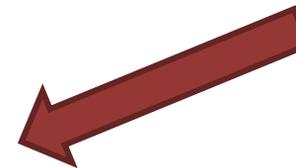
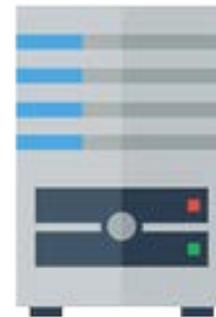
Allows for comprehensive management of records:

File plan, Search, Access,

Security, Retention & Disposition

Automates many routine tasks

Ensures accountability



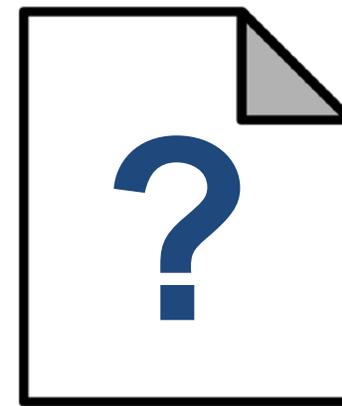
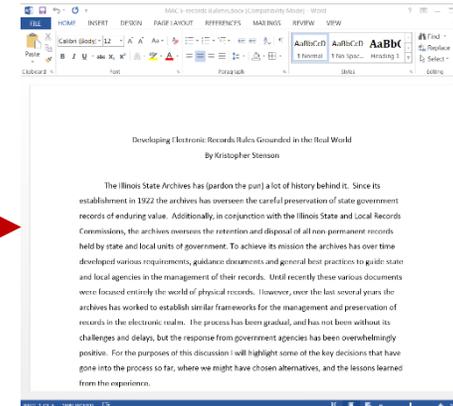
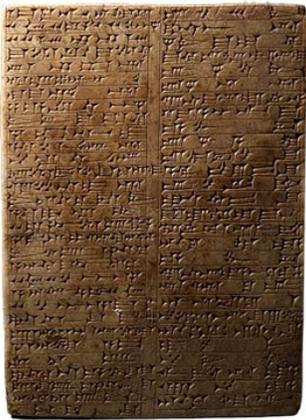
ADAPTING TO NEW TECHNOLOGIES

We don't know what will be used in a decade

Always ask “what about the records?”

Think about appropriate usage

Plan for creation, capture and retention before you're in the thick of it



QUESTIONS & COMMENTS



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