

# COSA ELECTRONIC RECORDS DAY WEBINAR

## WHAT ABOUT THE RECORDS?

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**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?**

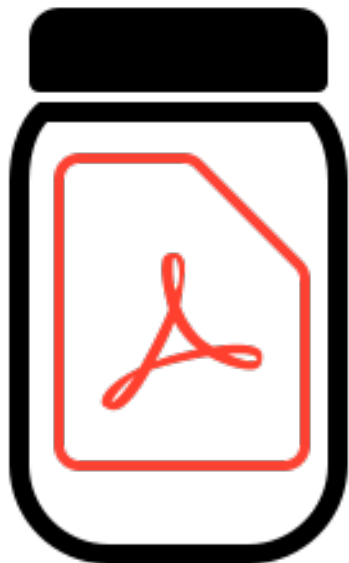
- Rules needed to protect authenticity of records
- Can you apply different levels of access?



# PRESERVING YOUR RECORDS

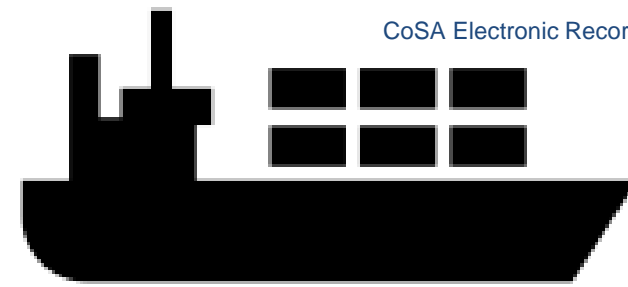
## How will records be preserved over time?

- 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

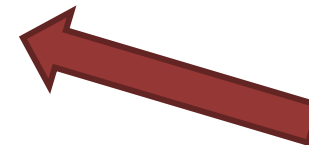
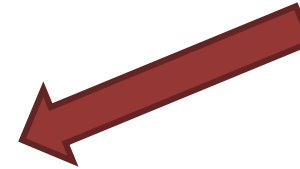
**Allows for comprehensive management of records:**

**File plan, Search, Access,**

**Security, Retention & Disposition**

**Automates many routine tasks**

**Ensures accountability**



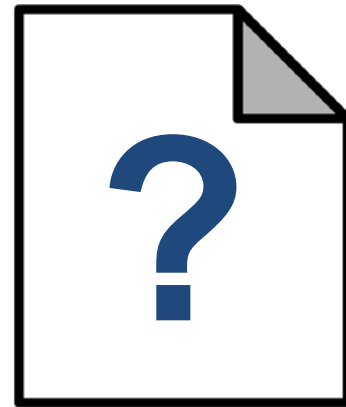
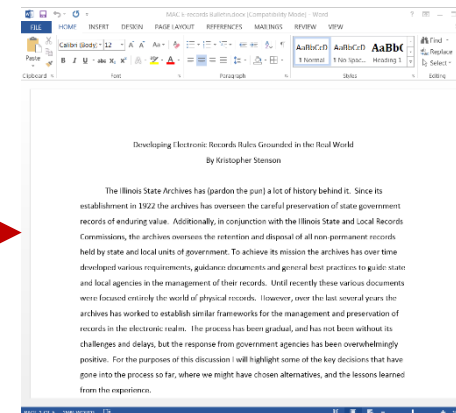
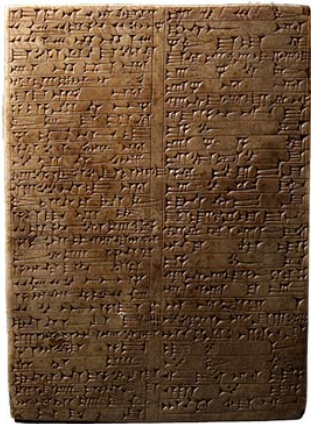
# ADAPTING TO NEW TECHNOLOGIES

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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# STAY CONNECTED & INFORMED

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## **CoSA Website**

[www.statearchivists.org](http://www.statearchivists.org)

## **PERTTS Portal**

[www.statearchivists.org/pertts](http://www.statearchivists.org/pertts)

## **CoSA Twitter Handle**

@StateArchivists

## **CoSA Facebook Page**

[www.facebook.com/CouncilOfStateArchivists](http://www.facebook.com/CouncilOfStateArchivists)