



An Introduction to

# **ELECTRONIC RECORDS MANAGEMENT**

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# Workshop Topics

1. Introduction to Electronic Records Management
2. Role of Records Management in an Information Governance Strategy
3. Electronic Records Management Program Fundamentals
4. Systems Design/Functional Requirements
5. Metadata Standards
6. Custodian vs. Non-custodial Models of ERM
7. Emerging Technology and New Forms of Unstructured Data
8. Getting Started with Real World Examples



# Electronic Records Management

## Part I



# Records

Information created, received, and maintained as *evidence and information* by an organization or person, in pursuance of *legal obligations* or in the *transaction of business*.

~ISO 15489-1



# Electronic Records

(also digital record; automated record, largely obsolete),  
n. ~ Data or information that has been *captured and fixed for storage and manipulation* in an automated system and that requires the use of the system to render it intelligible by a person.

~SAA Glossary of Archival and Records Terminology.

*Information captured through electronic means*, and which may or may not have a paper record to back it up. Also called machine readable record.

~Business Dictionary.com



# General Characteristics of a Record

- Content
  - Context
  - Structure
- } + Metadata

~ISO 15489-1:2001

# Characteristics of an Authoritative Record

- **Authenticity** – An authentic record can be proven to be what it purports to be, created or sent by the person purported to have created or sent it, and create or sent at the time purported.
- **Reliability** – A reliable record can be trusted as a full and accurate representation of the transactions, activities, or fact to which it attests.
- **Integrity** – A complete and unaltered record is said to possess integrity.
- **Usability** – A usable record can be located, retrieved, presented, and interpreted.

~ISO 15489-1:2001

# Records *and Information* Management

The *field of management* responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining *evidence of* and *information about* business activities and transactions in the form of records.

~ISO 15489-1



# Electronic Records Management (ERM)

- 
- (I) The application of records management principles to electronic records.
  - (I) The management of records using electronic systems to apply records management principles (e.g., *paper, CDs/DVDs, magnetic tape, audio-visual, and other physical records*).

~ARMA Glossary, 4<sup>th</sup> edition

# Records Management (RM)

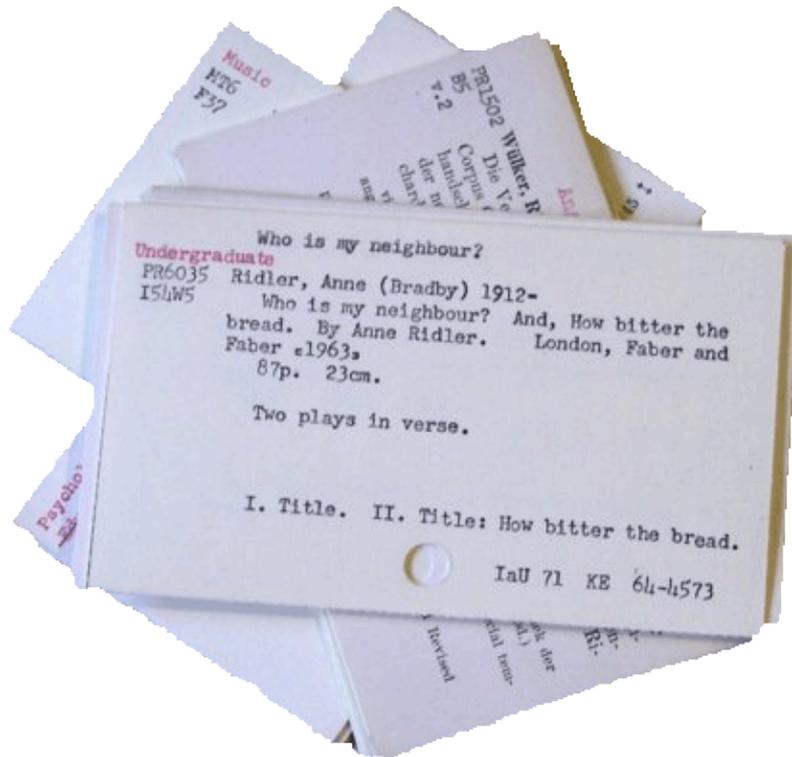
Traditional  
RM  
(manual)

Electronic Records Management  
(ERM) (automated)

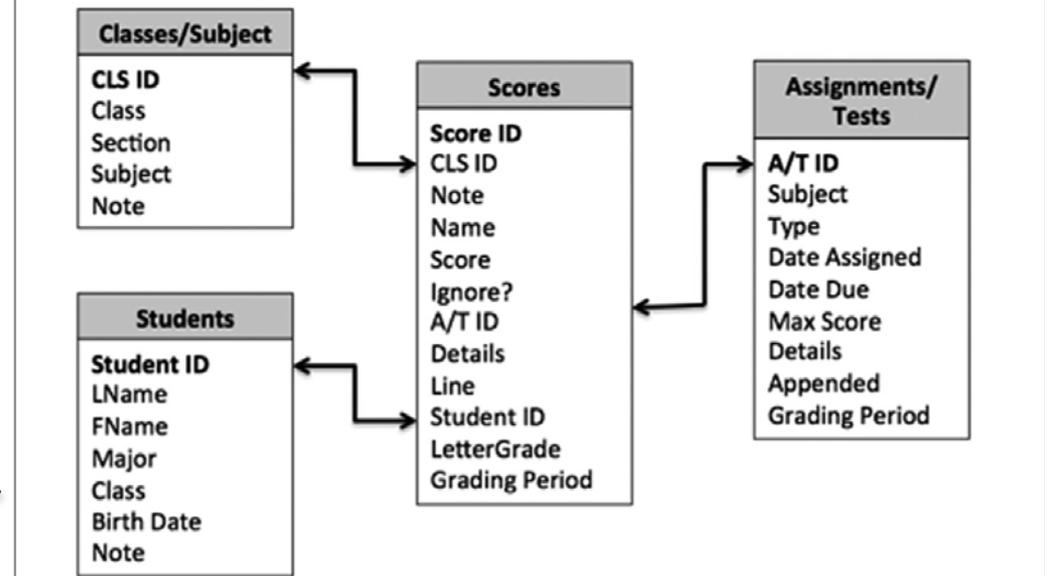
Other Media  
(e.g., paper,  
microfilm)

Electronic  
Recordkeeping  
(ERK)

# Structured Data



## Example: Tables (with fields) in a Relational Class Grades Database



The primary key (ID in bold) in each table relates to the same ID in another table.



# Each different type of file has a different *file format* (*format for encoding information in a file*)

## File types indexable by Google

Google can index the content of most types of pages and files. The most common file types we index include:

- Adobe Flash (.swf)
- Adobe Portable Document Format (.pdf)
- Adobe PostScript (.ps)
- Autodesk Design Web Format (.dwf)
- Google Earth (.kml, .kmz)
- GPS eXchange Format (.gpx)
- Hancom Hanword (.hwp)
- HTML (.htm, .html, other file extensions)
- Microsoft Excel (.xls, .xlsx)
- Microsoft PowerPoint (.ppt, .pptx)
- Microsoft Word (.doc, .docx)
- OpenOffice presentation (.odp)
- OpenOffice spreadsheet (.ods)
- OpenOffice text (.odt)
- Rich Text Format (.rtf, .wri)
- Scalable Vector Graphics (.svg)
- TeX/LaTeX (.tex)
- Text (.txt, .text, other file extensions), including source code in common programming languages:
  - Basic source code (.bas)
  - C/C++ source code (.c, .cc, .cpp, .cxx, .h, .hpp)
  - C# source code (.cs)
  - Java source code (.java)
  - Perl source code (.pl)
  - Python source code (.py)
- Wireless Markup Language (.wml, .wap)
- XML (.xml)

<http://support.google.com/webmasters/bin/answer.py?hl=en&answer=35287>

**Table 2.1. Comparison of file formats and their conformity with NARA criteria.**

Format type	Acronym	Description	Standard	Publicly and openly documented	Nonproprietary	Widespread use	Self-documenting	Can be accessed with readily available tools
/Archive	PDF/A	Defines a form of PDF for the long-term archiving of electronic documents (based on the PDF 1.4 specification).  Places requirements on a conforming reader that must follow certain rules for reading the file.	ASO 19005-1:2005	Yes	Yes	No, but increasing	Yes	Yes
Tagged Image File Format	TIFF	A file format for storing images, including photographs and line art.  Accommodates black-and-white, gray-scale, and color.  In document management systems, usually combined with CCITT Group IV 2D compression (bitonal).  Rights owned by Adobe Systems.  Contextual metadata must be external.		Yes	No	Yes	Yes	Yes
eXtensible Markup Language	XML	Started as a simplified subset of SBML, it is extensible because it allows users to define their own elements.  It is used in two broad categories: data-centric and document-centric. Data-centric is where XML is used in data transport. Document-centric SML is used for its SGML-like capabilities and is typically defined through the Document Type Description schema.	World Wide Web Consortium (W3C) XML 1.0, XML 1.1	Yes	Yes	Yes	Yes	Yes

Source: Excerpted from the Nuclear Information and Records Management Association Technical Guideline 15 (NIRMA TG-15-2011), *Management of Electronic Records*, Appendix B, "Format Sustainability." Courtesy of the Nuclear Information and Records Management Association (NIRMA).

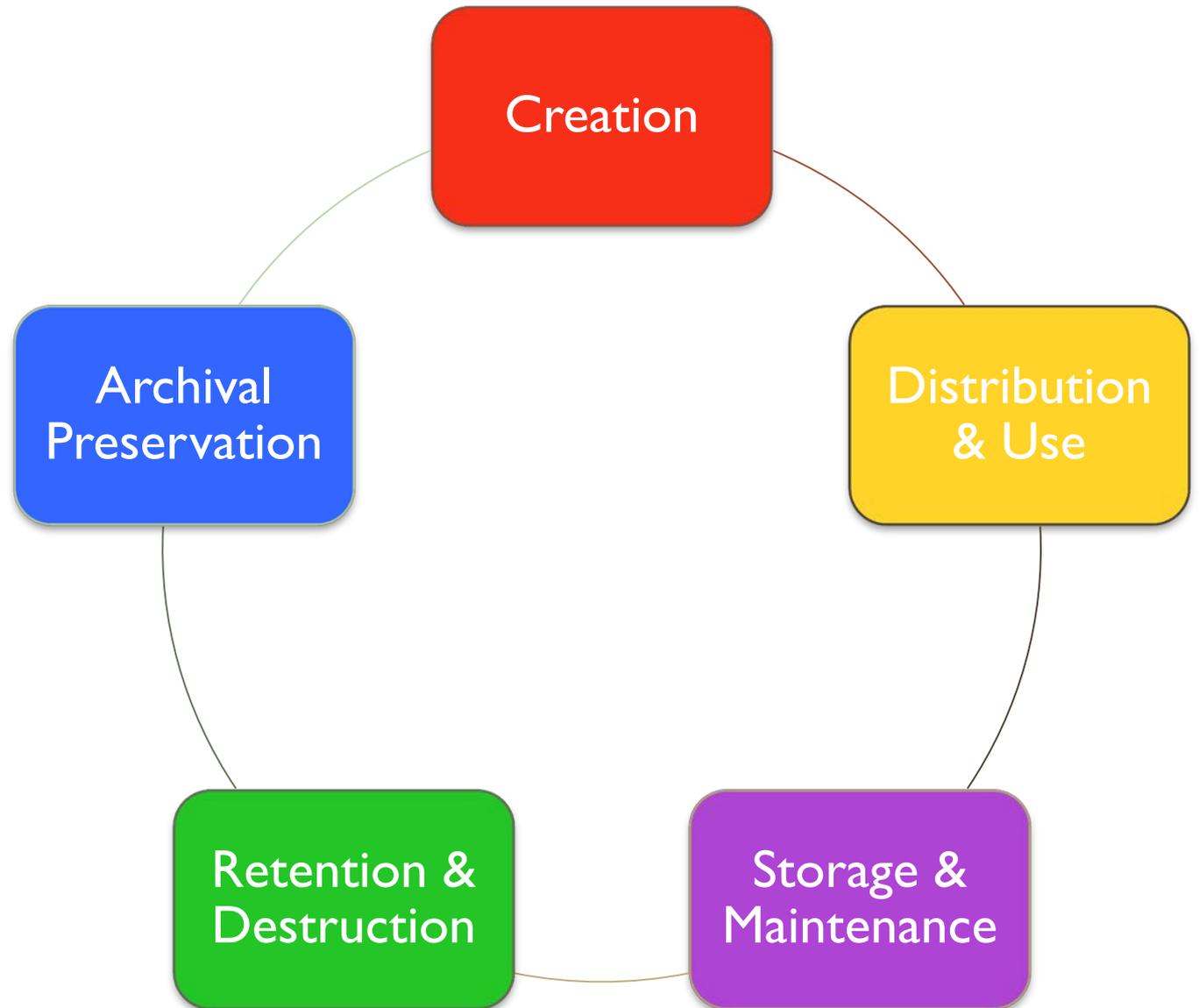
# Records Management Lifecycle

The *span of time* of a records from its creation or receipt, through its useful life, to its final disposition, whether that disposition is destruction or retention as a historical record.

*~ARMA, Requirements for Managing Electronic Messages as Records*



# Records Management Lifecycle



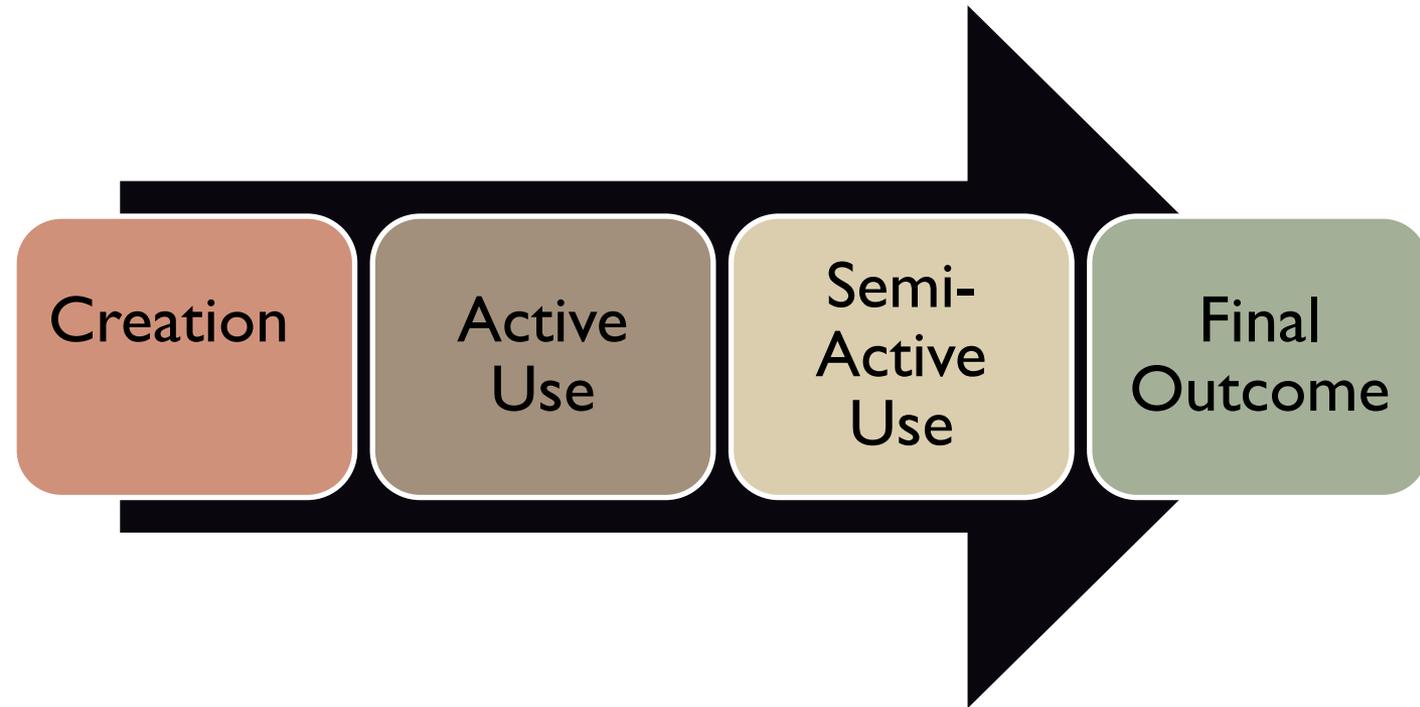


# Information Lifecycle Management (ILM)

- ILM is not a technology - it is a combination of processes and technologies that *determines how data flows through an environment*. It helps end users manage data from the moment it is created to the time it is no longer needed.
- ILM uses a number of technologies and business methodologies, including the following: Assessment, Socialization, Classification, Automation, and Review.

[http://www.computerworld.com/s/article/79885/The\\_new\\_buzzwords\\_Information\\_lifecycle\\_management?pageNumber=1](http://www.computerworld.com/s/article/79885/The_new_buzzwords_Information_lifecycle_management?pageNumber=1)

# Information Lifecycle Model



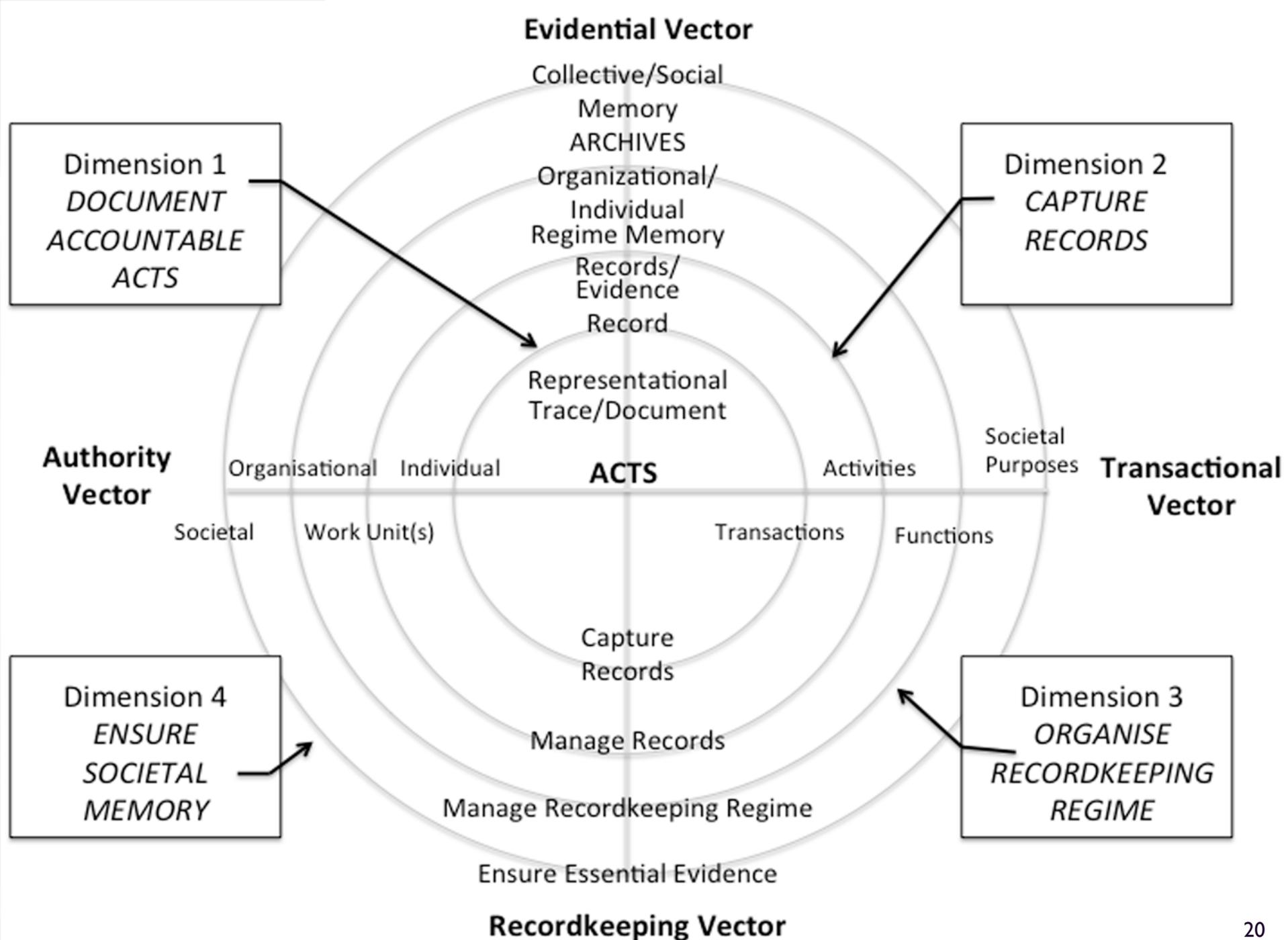
Information Lifecycle Model, based on model used as a basis for the JISC InfoNet *Information Management infoKits*.  
<http://www.jiscinfonet.ac.uk/information-management/Information-Management.pdf>

# Records Continuum

A *model of archival science* that emphasizes *overlapping characteristics* of recordkeeping, evidence, transaction, and the identity of the creator.

~Pearce-Moses, *A Glossary of Archival and Records Terminology*, ©SAA







# Role of Records Management in an Information Governance Strategy

## Part 2

# Information Governance

## Accountability Framework

Processes

Roles

Standards

Metrics

*to encourage desirable behavior*

enabling an organization to achieve its goals

# Information Governance

... the specification of decision rights and an *accountability framework* to encourage desirable behavior in the valuation, creation, storage, use, archival and deletion of information.

~Gartner





Goes beyond Records Management because of the *focus on electronically stored information (ESI)*, which includes management of metadata, storage platforms, security classifications, data privacy attributes, and digital rights management.

# Benefits of Effective Information Governance

- Reduce risk
- Improve e-discovery and FOIA preparedness
- Increase transparency, trust & reputation
- Reduce product and information cycle times as the result of improved information flows



# What is the difference?

**Records management** with its traditional focus on retention and disposition of both paper and electronic records is considered a *component of information* governance.

**Information governance** focuses on the preservation of confidentiality, integrity, availability, and quality of *ALL electronically stored information*.





## Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management



**Duty:** Legal obligation for specific information

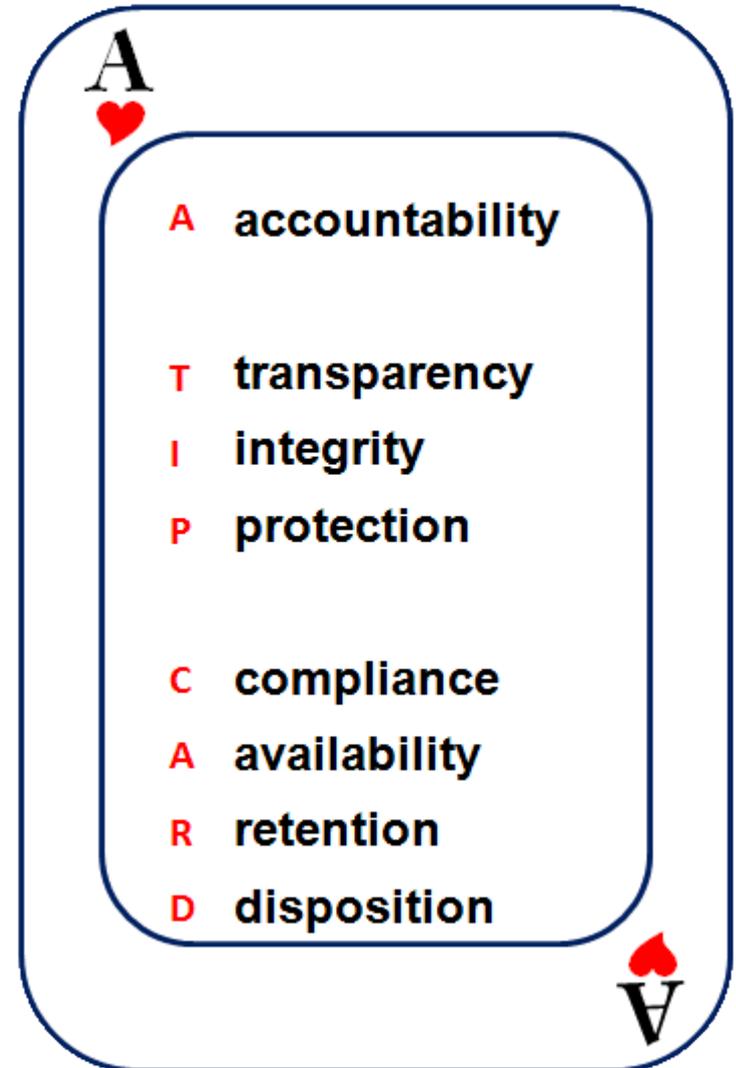
**Value:** Utility or business purpose of specific information

**Asset:** Specific container of information

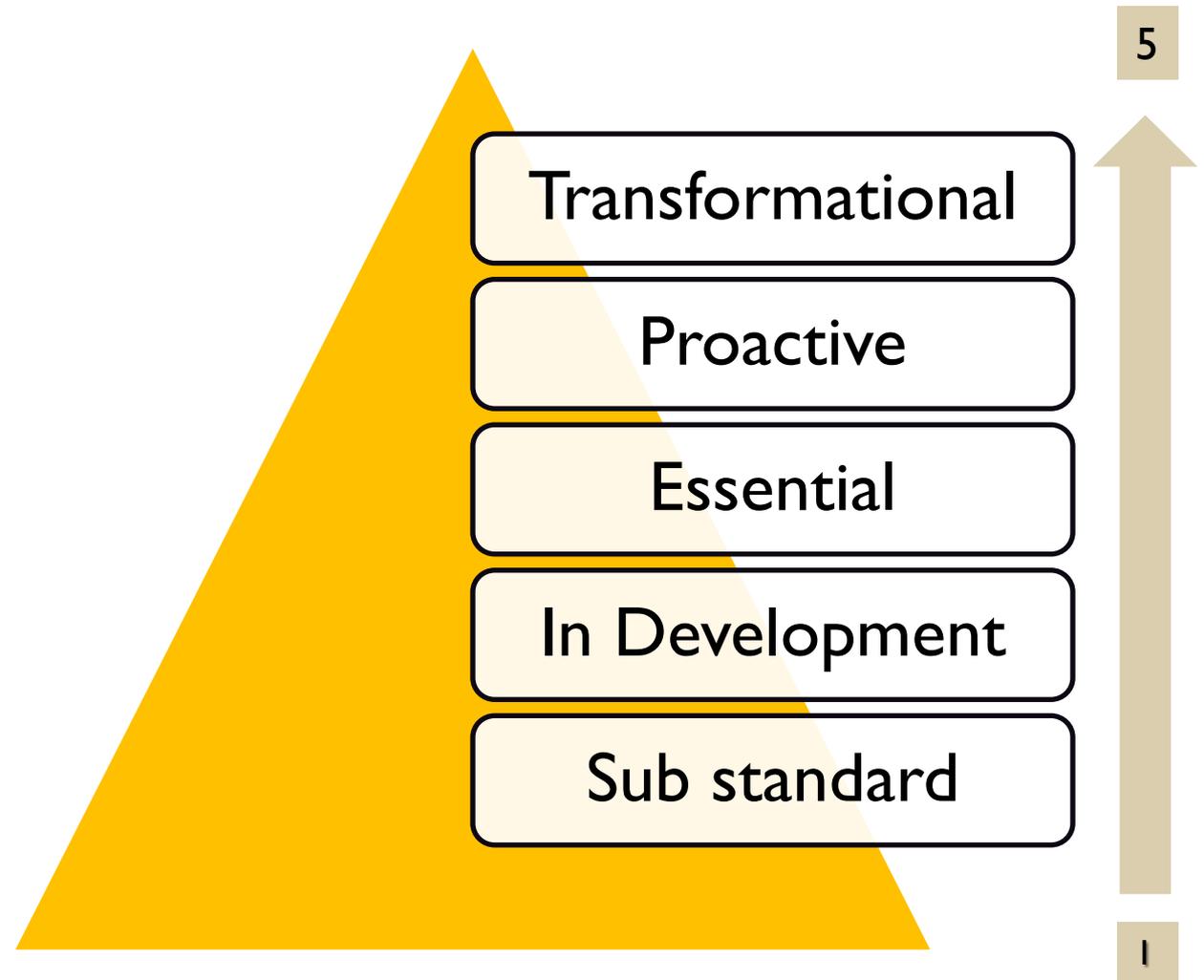
# Generally Accepted Recordkeeping Principles<sup>®</sup>



Download the Principles<sup>®</sup>  
handout from:  
<http://www.arma.org/garp/garp.pdf>



# Information Governance Maturity Model



Download PDF from:

<http://www.arma.org/garp/Garp%20maturity%20Model.pdf>

# Information Governance Maturity Model

## A Picture of Effective Information Governance

The Maturity Model for Information Governance begins to paint a more complete picture of what effective information governance looks like. It is based on the eight Principles as well as a foundation of standards, best practices, and legal/regulatory requirements.

<b>Principle</b>	<b>Level 1</b> (Sub-Standard)	<b>Level 2</b> (In Development)	<b>Level 3</b> (Essential)	<b>Level 4</b> (Proactive)	<b>Level 5</b> (Transformational)
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Download PDF from:

<http://www.arma.org/garp/Garp%20maturity%20Model.pdf>

# Accountability



People

A senior executive (or person of comparable authority) oversees the recordkeeping program and delegates program responsibility to appropriate individuals.

Policies

The organization adopts policies and procedures to guide personnel, and ensure the program can be audited.

# Accountability – Level I

## *Sub standard*

No senior executive (or comparable authority) responsible for the records management program.

Records manager role is largely non-existent or is an administrative and/or clerical role distributed among general staff.



# Accountability – Level 2

Records manager role is recognized, although he/she is responsible for tactical operation of the existing program.

May cover paper records only.

Information technology function or department is de facto lead for storing electronic information. Not done systematically. Records manager not involved in discussions of electronic systems.



**In Development**

# Accountability – Level 3

Records manager is an officer of the organization and responsible for the tactical operation of the ongoing program on an organization-wide basis.

RM actively engaged in strategic information and records management initiatives with other officers of the organization.

Senior management is aware of the program.

Organization has defined specific goals related to accountability.



**ESSENTIAL**

# Accountability – Level 4

The records manager is a senior officer responsible for all tactical and strategic aspects of the program.

A stakeholder committee representing all functional areas and chaired by the records manager meets on a periodic basis to review disposition policy and other records management-related issues.

Records management activities are fully sponsored by a senior executive.

**Proactive**



# Accountability – Level 5

The organization's senior management and its governing board place great emphasis on the importance of the program.

The records management program is directly responsible to an individual in the senior level of management, (e.g., chief risk officer, chief compliance officer, chief information officer) OR,



CRO

A chief records officer (or similar title) is directly responsible for the records management program and is a member of senior management for the organization.

The organization's stated goals related to accountability have been met.

Transformational

# Transparency

The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.



# Transparency – Level 5

## Transformational



FOIA &  
eDiscovery  
satisfied!

- The organization's senior management considers transparency as a key component of information governance.
- The organization's stated goals related to transparency have been met.
- The organization has implemented a continuous improvement process to ensure transparency is maintained over time.
- Software tools that are in place assist in transparency.
- Requestors, courts, and other legitimately interested parties are consistently satisfied with the transparency of the processes and the response.



A hand in a dark suit sleeve is shown from the bottom left, holding a glowing stream of colorful icons. The icons include an '@' symbol, two people, a speech bubble, a house, a globe with a magnifying glass, a musical note, a waveform, an envelope, and a smiley face. The background is a dark blue gradient.

# Integrity

A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.

# Integrity – Level 5 Transformational



Audits

There is a formal, defined process for introducing new record-generating systems and the capture of their metadata and other authenticity requirements, including chain of custody. This level is easily and regularly audited.

The organization's stated goals related to integrity have been met. The organization can consistently and confidently demonstrate the accuracy and authenticity of its records.



# Protection

A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.



# Protection – Level 5 Transformational



Audits

Executives and/or senior management and the board place great value in the protection of information.

Audit information is regularly examined and continuous improvement is undertaken.

The organization's stated goals related to record protection have been met.

Inappropriate or inadvertent information disclosure or loss incidents are rare.

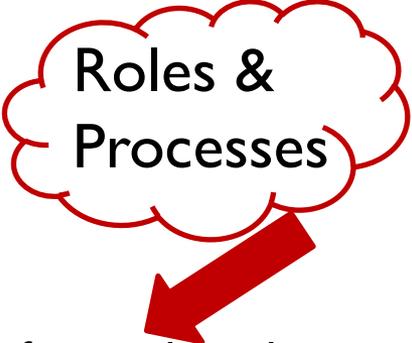


# Compliance

The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.



# Compliance – Level 5 Transformational



Roles &  
Processes

The importance of compliance and the role of records and information in it are clearly recognized at the senior management and board levels. Auditing and continuous improvement

The roles and processes for information management and discovery are integrated.

The organization's stated goals related to compliance have been met.

The organization suffers few or no adverse consequences based on information governance and compliance failures.

# Availability

An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.



# Availability – Level 5 Transformational



The senior management and board levels provide support to continually upgrade the processes that affect record availability. There is an organized training and continuous improvement program.

The organization's stated goals related to availability have been met.

There is a measurable ROI to the business as a result of records availability.



# Retention

An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational, and historical requirements.



# Retention – Level 5 Transformational



All information

Retention is an important item at the senior management and board levels. Retention is looked at holistically and is applied to all information in an organization, not just to official records.

The organization's stated goals related to retention have been met.

Information is consistently retained for appropriate periods of time.



# Disposition

An organization shall provide secure and appropriate disposition for records and information that are no longer required to be maintained by applicable laws and the organization's policies



# Disposition – Level 5 Transformational



Consistent &  
Defensible



Integration

The disposition process covers all records and information in all media. Disposition is assisted by technology and is integrated into all applications, data warehouses, and repositories.



Processes

Disposition processes are consistently applied and effective.

Processes for disposition are regularly evaluated and improved.

The organization's stated goals related to disposition have been met.

# To Get Started

Identify the gaps between the organization's current practices and the desirable level of maturity for each principle.

Assess the risk(s) to the organization, based on the biggest gaps.

Determine whether additional information and analysis is necessary.

Develop priorities and assign accountability for further development of the program.





## **The Generally Accepted Recordkeeping Principles® Health Checkup**

What's your organization's Principles health? Take this short health checkup to find out. While it's not as extensive as a complete audit tool, it can give you a quick idea of the health of your information governance program. This easy-to-use self-assessment is a quick way to put some numbers to the problem areas and help validate areas that shine.

Simply answer 66 questions and you'll be able to watch the mercury on the the Principles thermometer rise, giving you a score for each principle and an overall rating for your Principles compliance level.

[Download the free Health Checkup tool.](#)



<http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles/principles-health-checkup>



Let's stop to conduct our own  
**Principles<sup>©</sup> Health Check!**

# Program Improvement Areas

- Roles & Responsibilities
- Policies & Procedures
- Communication & Training
- Systems & Automation

# Assigning Ownership of the principles based on the EDRM Model



<b>GARP® Principle</b>	<b>BUSINESS</b>	<b>IT</b>	<b>RIM</b>	<b>LEGAL</b>
<b>Accountability</b>	<b>Owner</b>			
<b>Transparency</b>	<b>Shared Owner</b>	<b>Shared Owner</b>	<b>Shared Owner</b>	<b>Shared Owner</b>
<b>Integrity</b>	<b>Shared Owner</b>	<b>Shared Owner</b>	<b>Shared Owner</b>	<b>Shared Owner</b>
<b>Protection</b>		<b>Owner</b>		
<b>Compliance</b>				<b>Owner</b>
<b>Availability</b>		<b>Shared Owner</b>	<b>Shared Owner</b>	
<b>Retention</b>			<b>Owner</b>	
<b>Disposition</b>			<b>Owner</b>	



# ERM Program Fundamentals

## Part 3

# Phases in Planning & Managing an ERM Program

1. Inventory e-records
2. Link to the business process
3. Develop a taxonomy
4. Create a retention and disposition schedule
5. Protect vital records

Franks, P. (2013). *Records and Information Management*, p. 162.  
ALA/Neal-Schuman Publishers, Chicago, IL.

# Electronic Records Inventory – Some thoughts

- An inventory is a descriptive listing of each record series or system, together with its location and other pertinent data (NARA).
- It can be conducted at the same time as the physical inventory or independently and is used as the basis for developing a retention schedule and can be used to identify RM problems (e.g., insufficient identification of vital records and inadequate security and privacy practices).
- It will form the basis for management decisions and assist organizations in fulfilling current and future obligations when faced with e-discovery and/or FOI requests.
- It should concentrate on logical collections of records grouped by business function or subject and not on physical locations.



## To Conduct the Inventory:

- Determine the scope
- Identify who will be involved
- Understand the environment and culture
- Develop a strategy
- Gather inventory data
- Follow up

# Electronic Records Inventory – Location of Electronic Records



- **Centralized information systems:** email servers, content/document/records repositories, enterprise-wide application servers, and legacy systems.
- **Decentralized information systems:** Work units develop their own information technology resources to meet needs not relevant to other work units in the organization (e.g., 911 computer dispatch system in fire department).
- **Personal work stations and storage devices:** Other decentralized locations such as PC hard drives, laptops, digital cameras, smartphones, and tablets.
- **Third-party systems:** Social networking sites and cloud service providers (e.g., IaaS, PaaS, SaaS, and STaaS).

# Document Management Systems (DMS)

The use of a computer system and software to store, manage and track *electronic documents and electronic images of paper based information captured through the use of a document scanner*. The term *document* is defined as "recorded information or an object which can be treated as a unit".

DM systems allow documents to be modified and managed but typically lack the records retention and disposition functionality for managing records. Key DM features are: Check In / Check Out and Locking, Version Control, Roll back, Audit Trail, and Annotation.

<http://www.aiim.org/What-is-Document-Management#sthash.JqZEtGls.dpuf>

# Content Management System (CMS)

The term *content management system* can be used to describe specific types of systems in use for different purposes or within different industries, for example:

**Web content management system:** Allow users to maintain a website using a simple web-browser-based interface (instead of manually authoring webpages).

**Industry-specific content management system:** For example, the Care Converge healthcare WCMS that allows healthcare organizations to create and manage consumer websites and portals.

**Social content management system:** Combine social networking applications (e.g., blogs, wikis, image sharing) into one suite to make it easy to manage and share social content without building silos of information.



# Enterprise Content Management System (ECMS)

**Enterprise Content Management System:** ECMS are used to control unstructured content so that the information can be put to use in daily operations. But they are also designed to protect digital documents (primarily text and graphics) that serve as accurate and complete evidence of transactions.

According to AIIM, ECMS are able to perform five major functions:

- **Capture:** Create, obtain, and organize information.
- **Manage:** Process, modify, and employ information.
- **Store:** Temporarily back up frequently changing information in the short term.
- **Preserve:** Back up infrequently changing information in the medium

# Enterprise Information Systems (EIS)

*The applications that constitute an enterprise's existing system for handling companywide information.* These applications provide an information infrastructure for an enterprise. An enterprise information system offers a well-defined set of services to its clients. These services are exposed to clients as local or remote interfaces or both. Examples of enterprise information systems include *enterprise resource planning systems, mainframe transaction processing systems, and legacy database systems.*



**Figure 5.2. Automated requisition/purchase order workflow.**



Source: Corcentric, "Electronic Purchase Order Software and Purchase to Pay Solutions," Accounts Payable (AP) Automation and Workflow Services, accessed December 14, 2012, <http://www.corcentric.com/ap-automation/purchase-order-requisition.aspx>. Courtesy of Corcentric, <http://www.corcentric.com/>.

# Collect data:

- System title
- Business Owner
- IT Owner
- Dates covered
- System description
- File type & format
- Quantity and estimated growth
- Hardware
- Software
- Media characteristics
- Relationship to other records
- Retention requirements
- Supporting files
- Backup procedures
- Provisions for migration
- Reference & retrieval
- Restrictions on use
- Vital records status





**Figure 4.5. A standard electronic records inventory form.**

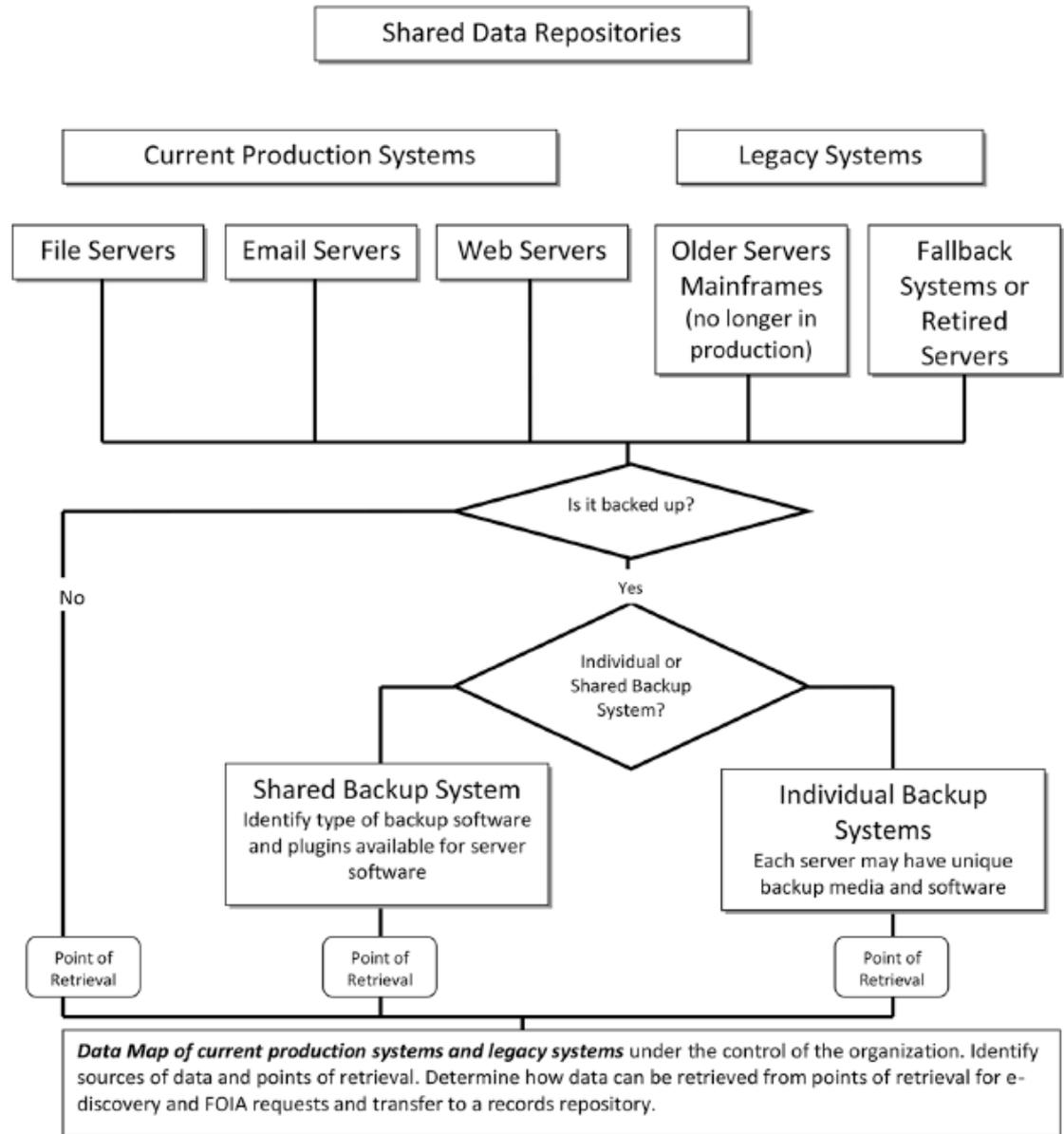
Figure 4.5. A standard electronic records inventory form.		
<b>INSTRUCTIONS</b> – Type or Print a separate form for each new or revised electronic record series. Forward with Records Retention Schedule (DGS 550-1) COMAR 14.18.04	DEPARTMENT OF GENERAL SERVICES <b>RECORDS MANAGEMENT DIVISION</b> 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 (410) 799-1930	<b>ELECTRONIC RECORDS INVENTORY</b>  PAGE _____ OF _____
1. Department/Agency	2. Division	3. Unit
<b>DEFINITION: Record Series</b> - A group of related records stored electronically and used as a unit for reference as well as retention and disposition purposes		
4. Electronic Record Series Title		5. Earliest Year/Latest Year  _____ to _____
6. INPUT - Identify source of information to be entered		7. OUTPUT - Identify the use/s of information generated by system
8. <b>ELECTRONIC RECORD SERIES DESCRIPTION</b> - Briefly describe the information/documents/forms contained in a series. Include purpose and function of the system.		
9. Policy on Access and Use – Explain or attach copy if established in writing.		
10. Updating Cycles or Conditions and Rules for Revising Information in the System		
11. Specify the Location and Media of the Main Electronic Data File. Explain the progression established to ensure the record's retention and usability throughout the record's authorized life cycle.		
12. Recommended Retention		
13. Typed or Printed Name of Preparer	14. Telephone Number	15. Date
16. Title of Preparer		
<small>DGS 550-6</small>		
<small>Source: Maryland State Archives, January 19, 2013, <a href="http://msa.maryland.gov/msa/Intromsa/html/record_mgmt/forms/dgs_550-6_electronic_records_inv.pdf">http://msa.maryland.gov/msa/Intromsa/html/record_mgmt/forms/dgs_550-6_electronic_records_inv.pdf</a>.</small>		

# Electronic Records Inventory and an ESI Data Map & Data Atlas

- A data map must be maintained for centralized and decentralized systems.
- It must include internal collaboration tools such as SharePoint.
- It must also include information hosted by social media sites and third-party providers, including records stored in the clouds.



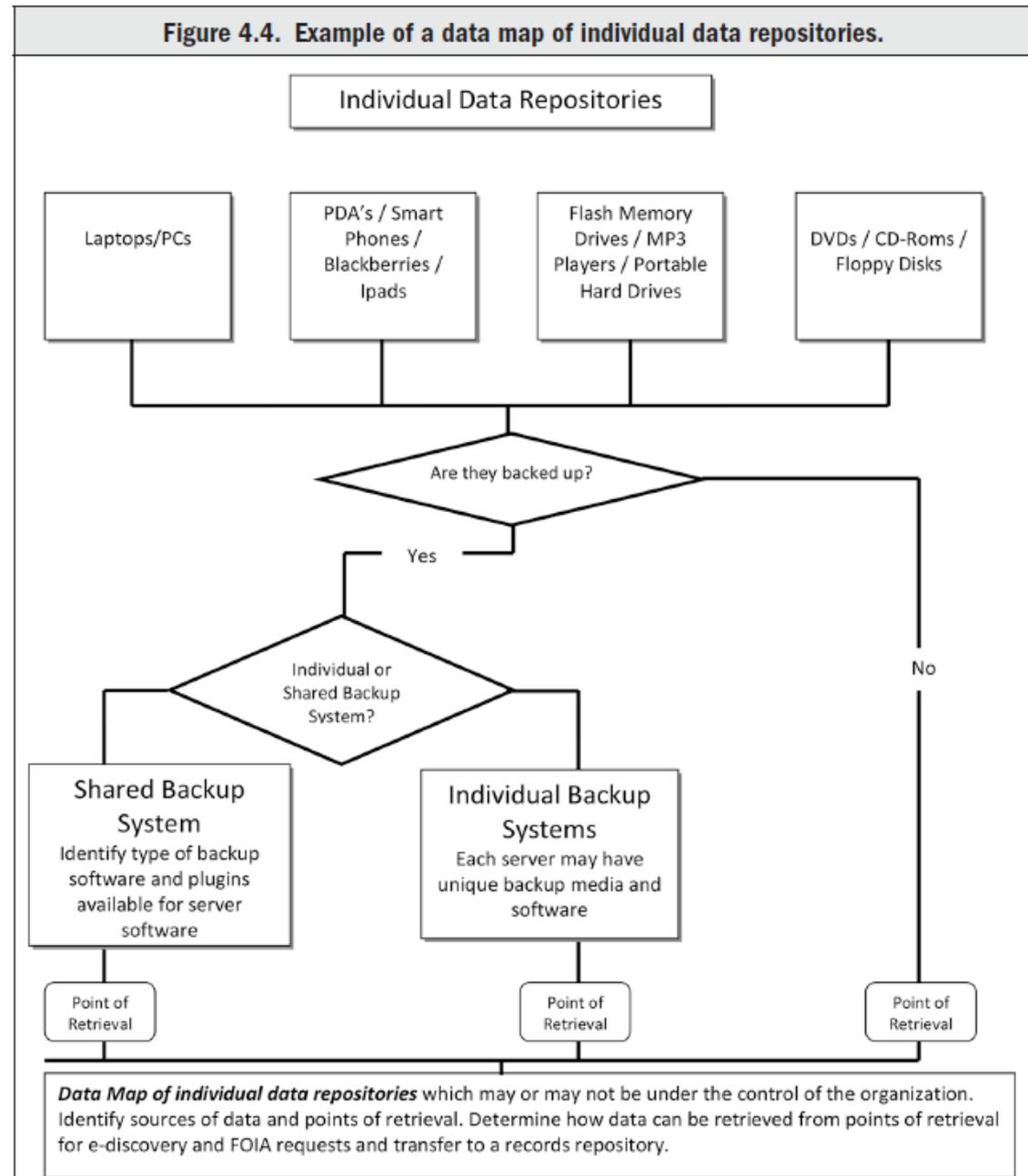
**Figure 4.3. Example of a data map for current production systems and legacy systems.**



Source: "Litigation E-Discovery Readiness: Creating a Data Map," November 12, 2007, Client Alert, Thompson and Knight LLP, <http://www.tklaw.com/publications.cfm>.



Figure 4.4. Example of a data map of individual data repositories.



Source: "Litigation E-Discovery Readiness: Creating a Data Map," November 12, 2007, Client Alert, Thompson and Knight LLP, <http://www.tklaw.com/publications.cfm>.

# Electronic Records Inventory and an ESI Data Map & Data Atlas (cont.)

The data map (or maps) supplemented by charts, lists, and tables, with supplementary illustrations and analyses that describe the information and the infrastructure and systems that host the information, provides a “total information systems overview” known as a *data atlas*.

~Wayne Wong. “Managing your way to compliance with a data atlas,”  
*Information Management* (January/February 2012), 21-29.



**NARA recommends that e-records are inventoried by information system, versus file series, which is the traditional approach for physical records.**



Let's stop to complete data fields for an **Electronic Records Inventory!**



A *taxonomy* is a *subject-based classification scheme* used to arrange terms in a controlled vocabulary into a hierarchical structure showing parent-child relationships. In a simple taxonomy, each item being classified fits into just one place in the taxonomy, with a single parent and any number of children.

**Table 3.2. Sample subject filing classification scheme for small governments.**

Category	Subcategories	Description
Financial	Accounts Receivable Accounts Payable Budgets Audits Financial Reports Payroll Records Current Grant Files	Financial records document fiscal transactions needed for financial management, budgeting, and audit purposes.
Legal	Land Records Contracts Agreement Employee Files	Legal records document contractual obligations of the organization, land titles, and attorney advice.
Managerial	Agency Correspondence Current Project Files	Managerial records include policies and procedures, management reports, and records that provide direction on how operations are handled.
Operational	Buildings Equipment	Operational records provide information on the day-to-day operations of the organization.
Historical	Council Meeting Minutes Photos	Historical records include incorporation documents, minutes, and records that document what has gone on in the past.

Source: Alaska Department of Commerce, Community, and Economic Development, *Sample Filing System for Small Communities*, accessed December 13, 2012, <http://www.dced.state.ak.us/dca/logon/admin/pub/SampleFilingSystem.pdf>.



A records classification scheme is also referred to as a *file plan*.

Home

Site Hierarchy

- ▲ Benefits
  - Folder Dental Benefits
  - Folder Medical Benefits
- Drop Off Library
- ▲ Personnel
  - ▶ Folder 002 – Andrews, Susan
  - ▲ Folder 007 – Lueders, Donald
    - Folder Annual Reviews
    - Folder Employment Records
    - Folder Expense Reports
  - ▶ Folder 008 – Johnson, Mary
  - ▶ Folder 010 – Jones, Robert
  - ▶ Folder 012 – Smith, Patrick
  - ▶ Folder 015 – Stevens, John
- Record Library
- Recruiting and Hiring



## State Government Regulatory Agency Functional Taxonomy

Accounting

Procurement

Contracts and Agreements

Licensing and Certification

Technical Assistance

Permitting

Compliance and Enforcement ← Function

Inspections ← Activities

Complaints

Emergency Response

Enforcement

Notice of Violation ← Transactions

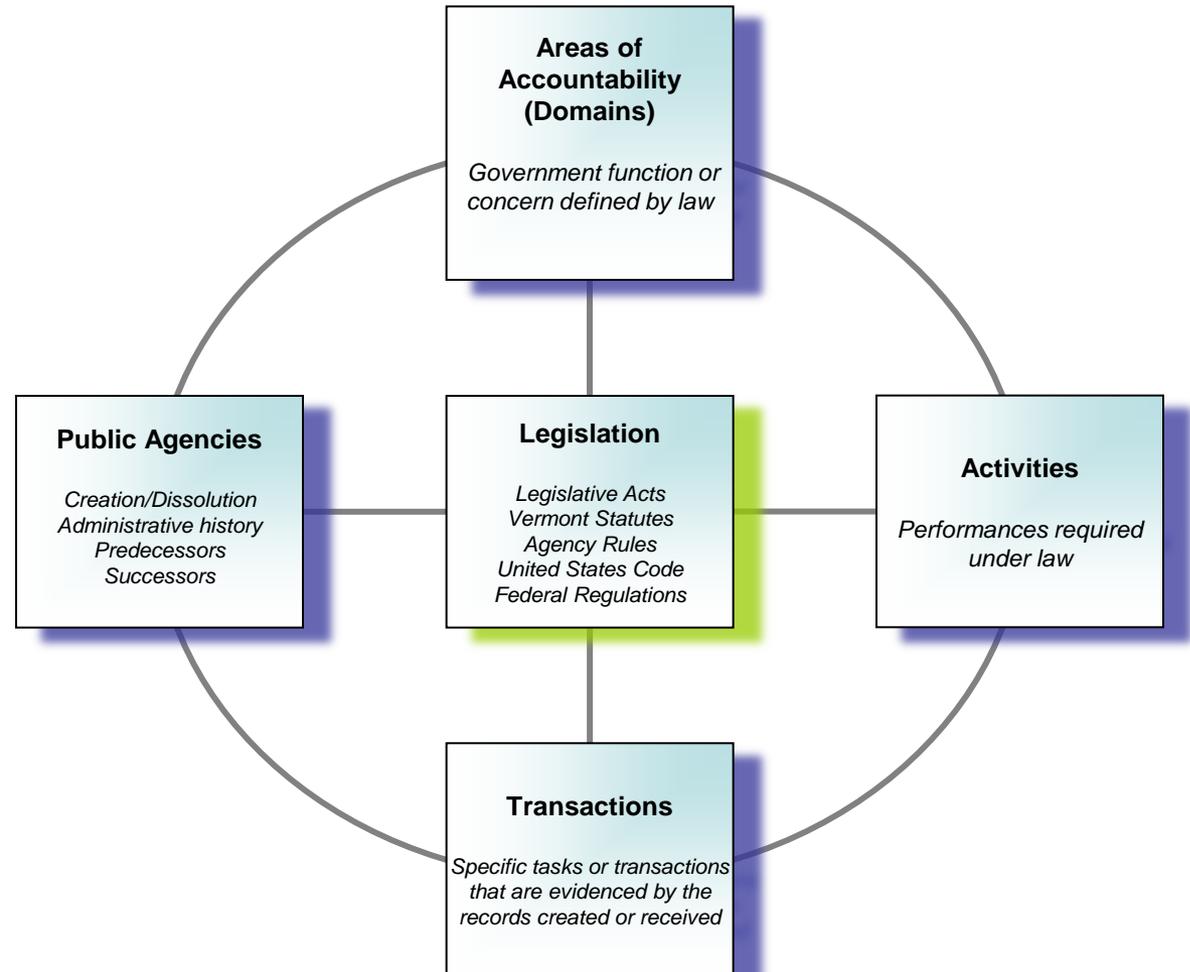
Consent Decree

Request for Response Actions

Stipulation Agreement

*Categorized based on functions an activities that produce them  
(Function/Activity/Transactions).*

# The Vermont Functional Classification System (VCLAS) Model





## VERMONT FUNCTIONAL CLASSIFICATION SYSTEM (VCLAS)

The Vermont Functional Classification System (VCLAS) is a tool for inventorying, appraising and scheduling government records and information. VCLAS provides a mechanism for uniformly and systematically defining, describing and managing public records within the State of Vermont.

Every undertaking of state and local government and supporting documentation can be described using functional classification. Functional classification is a faceted classification system that breaks down business functions and their supporting documentation into basic concepts (facets). VCLAS consists of three core facets: business functions; activities/services; and record types. Additional facets within the classification system include agencies/departments, people, and laws, regulations and policies. Additional facets may be added to support enterprise and web content management.

To learn more about **Managing Records**, please contact us at: [rim@sec.state.vt.us](mailto:rim@sec.state.vt.us). Specific staff contact information is located on our [staff contact page](#).

*This page was last updated on: 2011-01-18.*

### QUICK LINKS

[Records Thesaurus](#)

[Specific Thesauri](#)

[External Resources](#)

## SPECIFIC THESAURI

Agencies seeking thesauri specific to their functions and records may find the following list useful.

- Environmental Protection Agency: [Terminology Services](#)
- Library of Congress: [Legislative Indexing Vocabulary](#)
- Library of Congress: [Thesaurus for Graphic Materials I: Subject Terms](#)
- Library of Congress: [Thesaurus for Graphic Materials II: Genre and Physical Characteristic Terms](#)
- National Agricultural Library: [Agricultural Thesaurus](#)
- National Cancer Institute: [NCI Terminology Browser](#)
- National Transportation Library: [Transportation Research Thesaurus](#)

To learn more about **Managing Records**, please contact us at: [rim@sec.state.vt.us](mailto:rim@sec.state.vt.us). Specific staff contact information is located on our [staff contact page](#).

*This page was last updated on: 2011-01-18.*

# Records Appraisal

**Appraisal** (records): The evaluation of a document's worth or value for retention or archival purposes, based upon its current or predicted future use(s) for administrative, legal, fiscal, research, or historical purposes.

*~ARMA Glossary, 4<sup>th</sup> edition*



A hand in a dark suit sleeve is shown from the bottom left, holding a glowing stream of colorful icons. The icons include an '@' symbol, two people, a speech bubble, a house, a globe with a magnifying glass, a musical note, a smiley face, and a document with a checkmark. The background is a dark blue gradient.

# Value of Records

**Primary value:** administrative, fiscal, legal, and operational—derived from original use for which they were created.

**Secondary value:** useful or significant based on purposes other than that for which they were originally created. Includes information or evidential value as well as research value.

**Legal value:** Can be either primary or secondary, depending on the purpose and function of a record.

*Vital records may be identified in e-records inventory or the subject of a paper or separate vital records inventory.*

# Records Series

**Records series:** A group of related records filed/used together as a unit and evaluated as a unit for retention purposes; e.g., a *personnel file* consisting of an application, reference letters, benefit forms, etc.

~ARMA International, 4<sup>th</sup> edition

Laws and rules will determine retention requirement; e.g., 6 years after last action unless legal action prevents destruction.

# Records Retention & Disposition Schedule

**Records Retention Schedule (RSS):** A comprehensive list of records series titles, indicating for each series the length of time it is to be maintained.

~ARMA International, 4<sup>th</sup> edition





# Texas State Records Retention Schedule (Revised 4<sup>th</sup> edition) Effective July 4, 2012

## Category 3: Personnel Records

### Section 3.1 - Employee

**3.1.001. APPLICATIONS FOR EMPLOYMENT-NOT HIRED** - Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement. Retention: 2 years. Vital: No. Archival: No. Comments: 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].

**3.1.002. APPLICATIONS FOR EMPLOYMENT-HIRED** - Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement. Retention: AC + 5 years. Vital: No. Archival: No. Comments: AC = Termination of employment.

# Benefits of Disposing of Electronic Records



- Mitigating the risk of retaining records that could be used against the organization (the proverbial smoking gun)
- Reducing the cost of locating the requested records in response to e-discovery or freedom of information requests
- Reducing the cost of inspecting records to redact personally identifiable information (PII), such as SSN, credit card numbers, and driver's license numbers.

# Big Buckets

**“Big Bucket” or large aggregation schedule:** A type of flexible records schedule that applies disposition instructions against a large body of records grouped at a level of aggregation greater than the traditional file series or electronic system [and] that can be along a specific program area, functional line, or business process.



# Vital Records

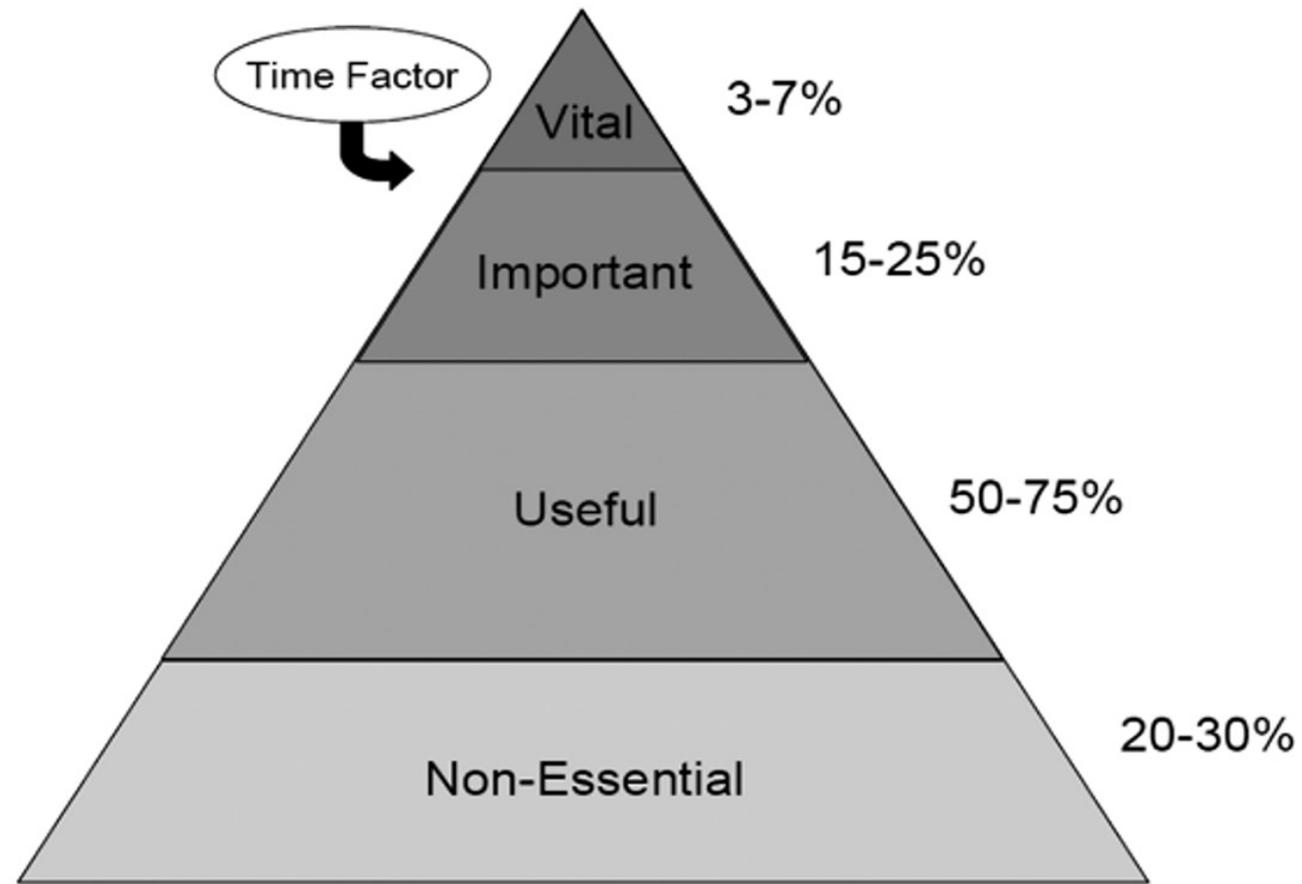
A *vital record* is recorded information, regardless of format (e.g., paper, digital, electronic, film, and tape) that contains information required by an organization to recreate its legal and financial status and to preserve the rights and obligations of stakeholders, including employees, customers, investors, and citizens.



# Classification of Records as vital, important, useful, or nonessential



## RECORDS VALUE SCALE



# Vital Records

Vital records specify:

1. How an organization will operate during an emergency or disaster
2. Those records necessary to the continued operations of the organization, and
3. Those records needed to protect the legal and financial rights of all stakeholders.



# Vital Records Program consists of...

- the assignment of vital records program responsibilities,
- the identification of vital records through a vital records inventory,
- a review of the protection methods currently in place for vital records and information,
- the establishment of vital records policies and procedures,
- the creation of a disaster preparedness and recovery plan,
- the development of a business continuity plan, and
- the implementation of auditing procedures to maintain ongoing and effective programs.

California Records and Information Management, Department of General Services, *Vital Records Protection and Disaster Recovery Handbook* (Sacramento, CA: California Department of General Services, n.d.), 2, <http://www.documents.dgs.ca.gov/osp/calrim/disasterhndbk12-03.pdf>.

# Storage media and length of record life



Media	Retention Period
Microfilm	500 years
Acid-free paper	300 years
Regular office paper	20-30 years
Electronic storage media	Availability of equipment and software to assess information (review every 3 years)



Let's pause to discuss:  
*Electronic Records and Your State  
Archives*



# Systems Design/Functional Requirements

## Part 4

# Implementation Strategies for Compliant Records Systems

- Designing records systems,
- Documenting records systems,
- Training records practitioners and other personnel,
- Converting records to new records systems, formats, and controls,
- Setting standards and measuring compliance and performance against them
- Determining retention periods and making decisions about records which have continuing value, in keeping with the regulatory environment.



# Records systems characteristics

- Reliability
- Integrity
- Compliance
- Comprehensiveness
- Systematic

~ISO 15489-1:2001

# Records systems functionality

- Document records transactions
- Physical storage medium and protection
- Distributed management
- Conversion and migration
- Access, retrieval and use
- Retention and disposition

~ISO 15489-1:2001



# ERM SYSTEM GUIDANCE

- US DoD 5015.02-STD: Electronic Records Management Software Applications Design Criteria Standard
- European Modular Requirements for Records systems (MoReq2010)

A hand in a dark suit sleeve is shown from the bottom left, holding a glowing stream of colorful icons. The icons include symbols for email, social media, communication, search, and other digital functions. The background is a dark blue gradient.

# DoD 5015.2-STD - Electronic Records Management Software Applications Design Criteria Standard

- Presents mandatory baseline functional requirements—as well as requirements for classified marking, access control, and other processes—and identifies non-mandatory but desirable features for managing the lifecycle of electronic records. Version 3 incorporates requirements for RMA-to-RMA interoperability and archival transfer to NARA.
- Also includes requirements for managing non-electronic (paper) records; simply the capability to create a profile (metadata representation of a physical record) and to include the physical location. .
- Is required for acquisition of RMA systems within the DoD. Versions 2 and 3 were endorsed by NARA for use by all Federal agencies.

**Figure 6.3. DoD 5015.02-STD compliance test results are shown on the RMA Product Register webpage.**

RMA Product Register								
Vendor	Product	Valid Thru	Baseline	Classified	FOIA & PA	RMA OS	RMA DB	RMA Email
<input type="checkbox"/> + Open Text Corporation	OpenText Records Management v10	15Dec13	X	X		MS Windows Server	MS SQL Server, Oracle	MS Outlook
<input type="checkbox"/> + Open Text Corporation	OpenText Application Governance & Archiving for Microsoft® SharePoint® 2010...	15Dec13	X			MS Windows Server	MS SQL Server	MS Outlook
<input type="checkbox"/> + Laserfiche	Laserfiche Records Management Edition for MS Office SharePoint 2010	22Jun13	X			MS Windows Server	MS SQL Server, Oracle	MS Outlook
<input type="checkbox"/> + wareITis Technologies, LLC	Records Studio Version 1.6.1	08Jun13	X			MS Windows Server	MS SQL Server	MS Outlook
<input type="checkbox"/> + Northrop Grumman Corporation	e.POWER 6.8 with EMC Documentum Records Manager 6.5	16Apr13	X			MS Windows Server	MS SQL Server, Oracle	MS Outlook

Source: Joint Interoperability Test Command (JITC), "RMA Product Register," Records Management Application, accessed December 22, 2012, <http://jitic.fhu.disa.mil/cgi/rma/reg.aspx>.



## Gimmal Strengthens its Records Management Support for Microsoft SharePoint with DoD 5015.2 Chapter 3 Certification

*Gimmal Compliance Suite for Microsoft SharePoint software is now certified for Chapters 2, 3 and 5 of the Department of Defense (DoD) 5015.2 standard*

May 30, 2013 - Houston, Texas - Gimmal, the world's leading provider of enterprise-class information governance, certified records management, and SAP integration software solutions built on Microsoft SharePoint, is excited to announce that the Gimmal Compliance Suite for Microsoft SharePoint is now the only native SharePoint solution certified against Chapter 3 of the Department of Defense (DoD) 5015.2 standard for records management. The Compliance Suite has also been re-certified for Chapters 2 and 5.

## On Why I No Longer Support the DoD 5015.2 Standard

**Community Topic(s): Keywords:** DoD 5015.2 Standard, Electronic Records Management Software Applications, records management, ERM

By Don Lueders, CRM, CDIA, Owner at HarborPoint Information Management

May 27, 2013 - 1:53 PM

# A real-world example



The screenshot shows the City of Bozeman website. At the top, there is a banner for the City of Bozeman with the tagline "the most livable place" and a photo of a yellow "Streamline" bus. Below the banner is a navigation menu with links for Home, Business, City Government, Departments, Residents, Visitors, and Directory. A search bar is located on the right side of the menu. The main content area is titled "City Government > Records Management" and "Records and Information Management". On the left, there is a list of links with a red dot next to "Records Management". On the right, there is a hierarchical diagram with "Records" at the top, branching into "E-Mail", "Network (NAS)", "Laserfiche", "Databases", "Web", and "Social Media". Below the diagram is a list of seven numbered items.

city of **Bozeman**  
the most livable place

Streamline  
Lead the Future

Home | Business | City Government | Departments | Residents | Visitors | Directory

Search for:

City Government > Records Management

## Records and Information Management

- Agenda and Events
- Citizen Advisory Boards
- City Clerk
- City Commission
- City Management
- Document Finder
- Ethics
- Government Branches
- **Records Management**
- Municipal Court
- Streaming Video

Records

- E-Mail
- Network (NAS)
- Laserfiche
- Databases
- Web
- Social Media

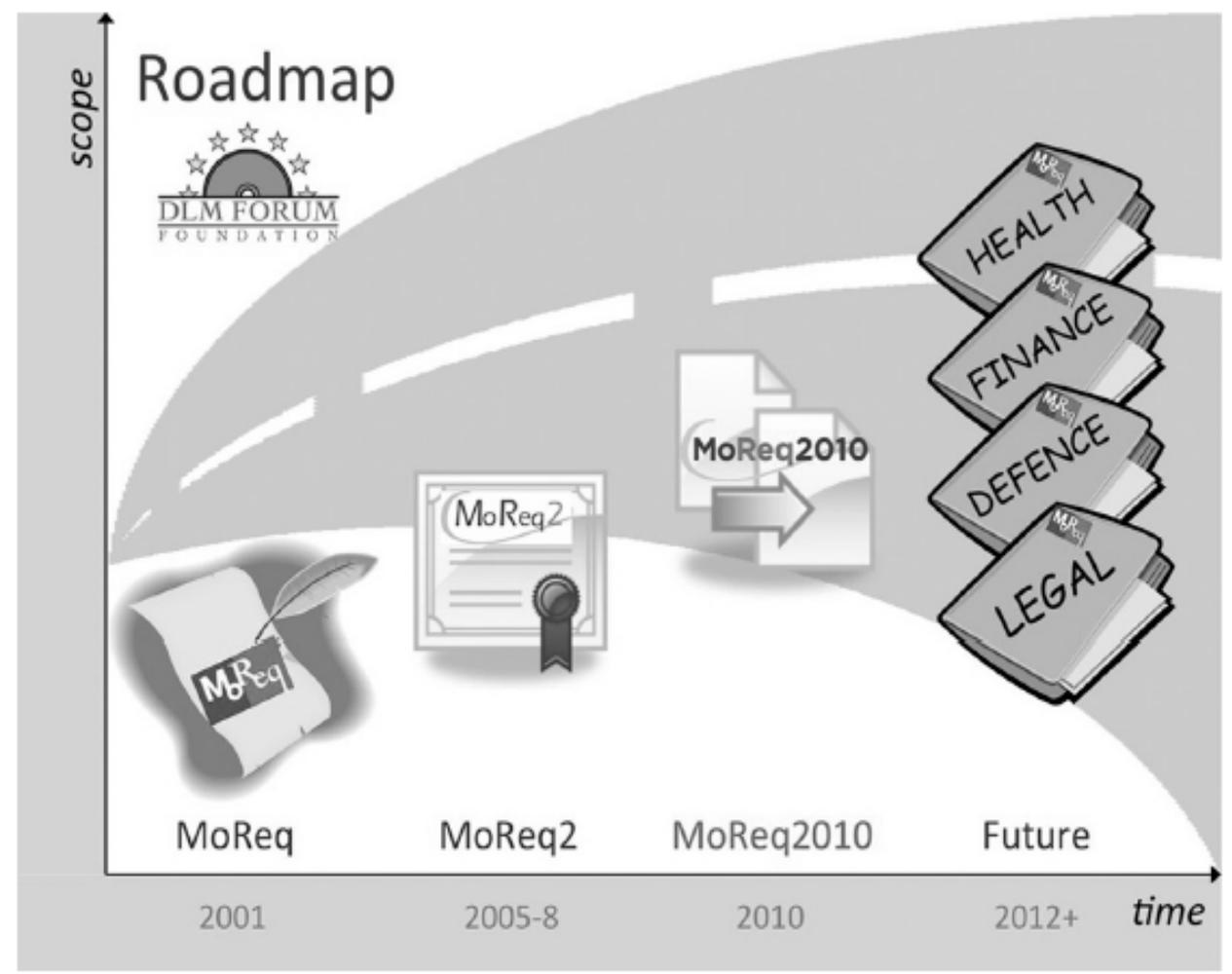
1. What is Records Management?
2. Why do we do it?
3. How do we do it?
4. Request Records
5. Reference Materials for the Public
6. Reference Material for City Employees
7. Additional Links

# Modular Requirements for Records Systems (MoReq2010)

- The *MoReq2010* specification was designed for users of electronic records, experts in records management, and suppliers of ERMS software outside of the United States.
- May 2011, this version contains functional and nonfunctional requirements for records systems as defined by *ISO 15489-1:2001*.
- Because it is a modular specification, it can be extended to allow for specialized application in different jurisdictions, markets, and industry sectors, including healthcare, finance, defense, and legal.



Figure 6.4. MoReq timeline.



Source: DLM Forum Foundation, *MoReq 2010: Modular Requirements for Records Systems, Vol. 1, Core Services and Plug-In Modules*, 2010 and 2011, 16, [http://moreq2010.eu/pdf/MoReq2010-Core+Plugin\(v1-0\).pdf](http://moreq2010.eu/pdf/MoReq2010-Core+Plugin(v1-0).pdf). © DLM Forum, <http://www.dlmforum.eu/>.

## Products & Services

Products & Services

**Compliant Systems**

Training Courses

Test Centres

## MoReq2010 Compliant Records Systems (MCRS)

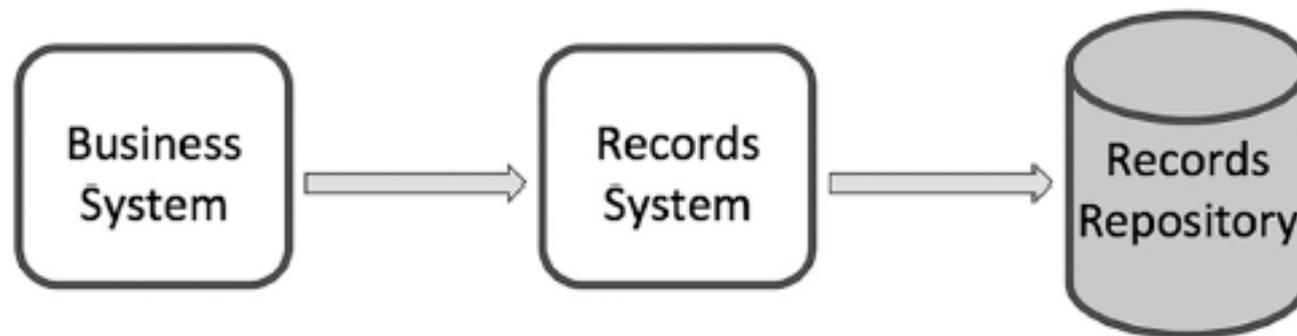
### The first two MoReq2010 Compliant Records Systems contracted for testing

*As announced at the DLM Forum members' meeting in Copenhagen, June 2012, two software vendors have contracted with Strategy Partners for compliance testing of their MoReq2010 based products. UK company **Automated Intelligence**, and **GimmelSoft** of Houston, Texas, USA will be the first vendors to have their products tested under the DLM Forum's MoReq2010 certification and testing programme. Under the programme, independent testing will be conducted by Strategy Partners, the pan-European Research based Advisory Group and first Accredited MoReq2010 Test Centre, leading to certification of the products by the DLM Forum as MoReq2010 compliant.*

See the [news here](#) or download the full [press release](#).



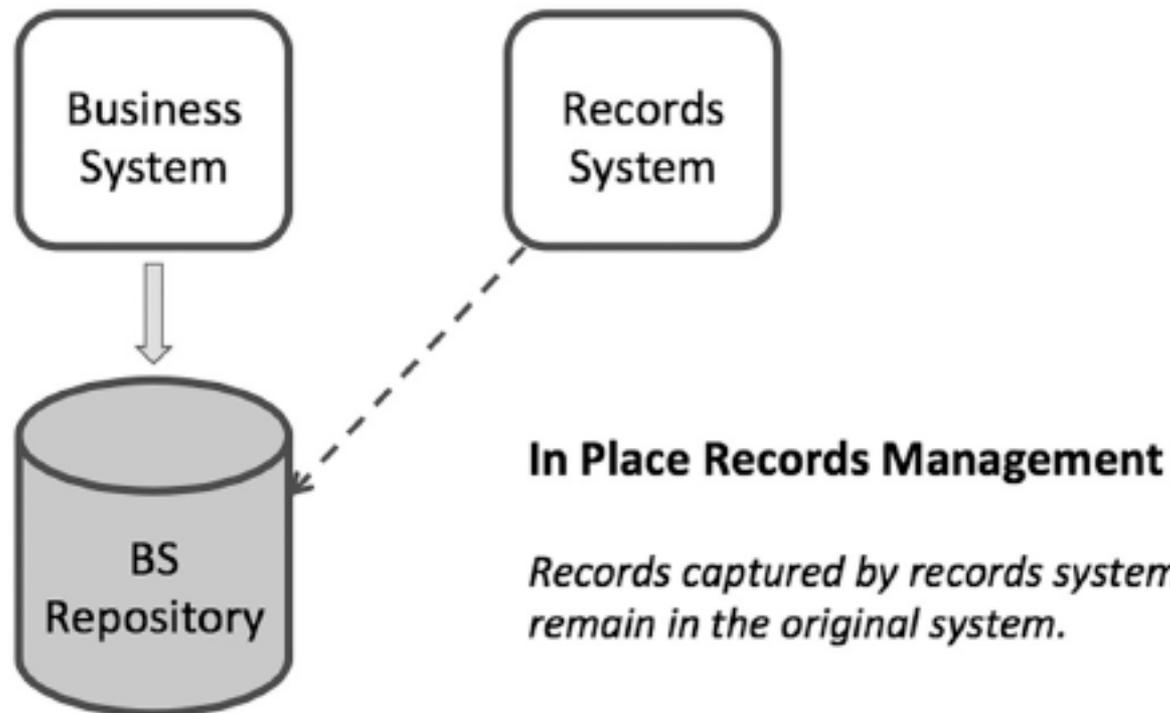
**Figure 6.8. Model 4—Records are captured from a business system and moved into a records repository for control by the records system.**



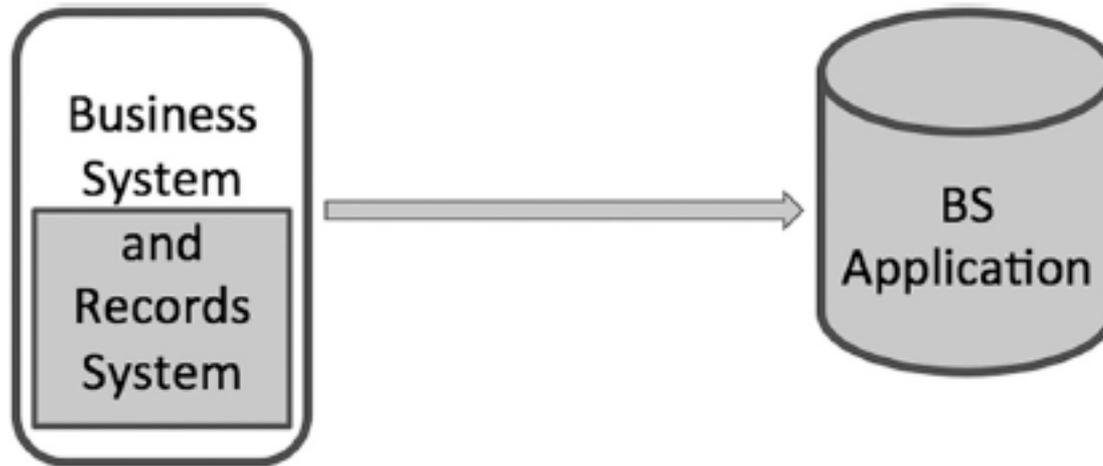
### **Single Records Repository/Server**

*Records captured by records system and moved to records repository for centralized management.*

**Figure 6.9. Model 5—Records managed by a records management system regardless of their location.**



**Figure 6.10. Model 6—Records management functionality built into a business system.**



**Business System as Records System**

*Records management controls and processes built into business systems*

## 1.2 The ERM Model

State Archives' responsibilities align with a model developed in the Electronic Records Management (ERM) field (see Figure 1).

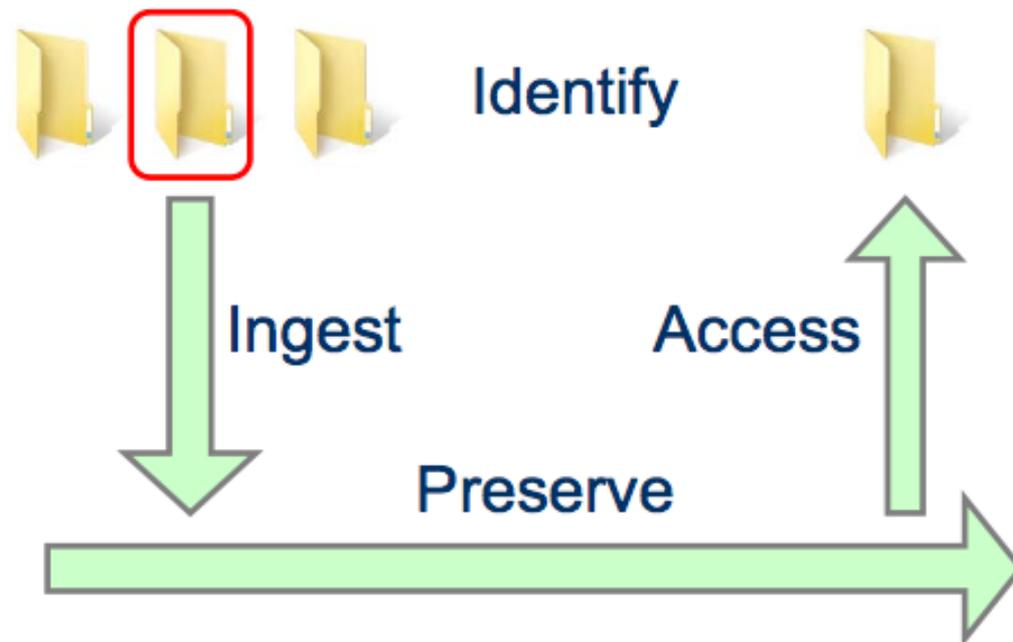


Figure 1: ERM Model

The model emphasizes the holistic approach needed in ERM—not just a focus on a particular aspect of the model. State Archives has always maintained this full view in its approach to handling records and must do the same in the electronic records arena.

[http://www.geomapp.net/docs/ut\\_ERMBusinessCase.pdf](http://www.geomapp.net/docs/ut_ERMBusinessCase.pdf)

**Draft Recommendation for  
Space Data System Standards**

**REFERENCE MODEL FOR AN  
OPEN ARCHIVAL INFORMATION  
SYSTEM (OAIS)**

**DRAFT RECOMMENDED STANDARD**

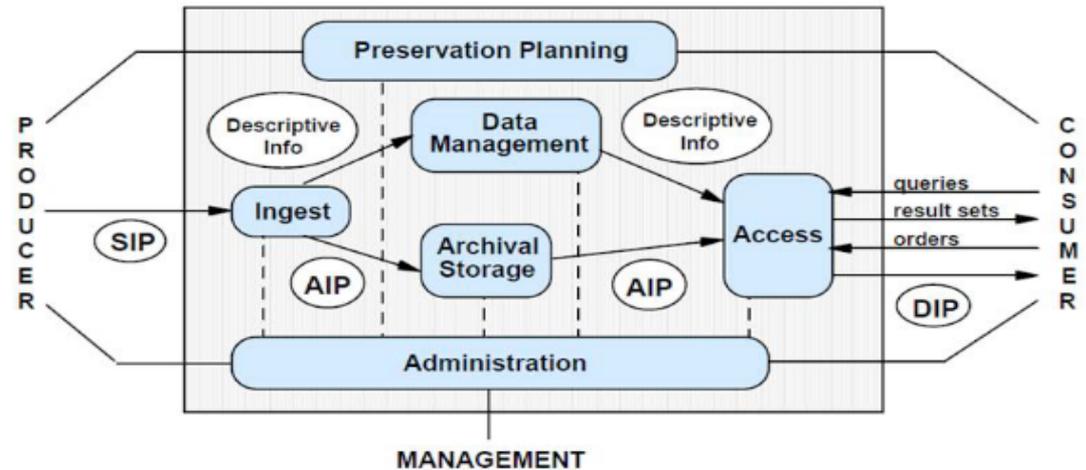
**CCSDS 650.0-P-1.1**

**PINK BOOK  
August 2009**

<http://public.ccsds.org/sites/cwe/rids/Lists/CCSDS%206500P11/Attachments/650x0p11.pdf>



## The OAIS Basic Model



*From the June 17, 2013 Open Archival Information System (OAIS):  
An Introduction*



# Records Management Metadata

## Part 5

# Metadata

“Structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.”

~NISO



# 3 Types of Metadata

- **Descriptive** (describes the intellectual content of the object; e.g., XML is an encoding language used to describe content)
- **Structural** (describes the physical and/or logical structure of complex digital objects; for example, how pages should be assembled into a book)
- **Administrative** (rights management and preservation metadata)



# Records Management Metadata

- *Documents the business* context in which records are created or captured, as well as the content, structure and appearance of those records.
- *Documents records management and business processes* in which records are subsequently used, *including any changes to the content, structure and appearance.*

*Structure of a record consists of physical or technical structure and logical structure (relationships between data elements).*



# Metadata Components to support ISO 15489-1

## *Metadata about:*

- The record itself
- The business rules or policies and mandates
- Agents
- Business activities or processes
- Records management processes



# Dublin Core metadata element set – ISO 15836:2009

- Title
- Creator
- Subject
- Description
- Publisher
- Contributor
- Date
- Type
- Format
- Identifier
- Source
- Language
- Relation
- Coverage
- Rights

`<dc:creator>Sam Franks</dc:creator>`



# Custodial vs. Non-Custodial ERM Models

## *Example: SharePoint 2013*

Part 6



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## SharePoint Online

With Office 365, SharePoint offers enhanced security technologies, is easy to manage, and can be accessed from almost anywhere.

[Learn more](#) 

## Yammer

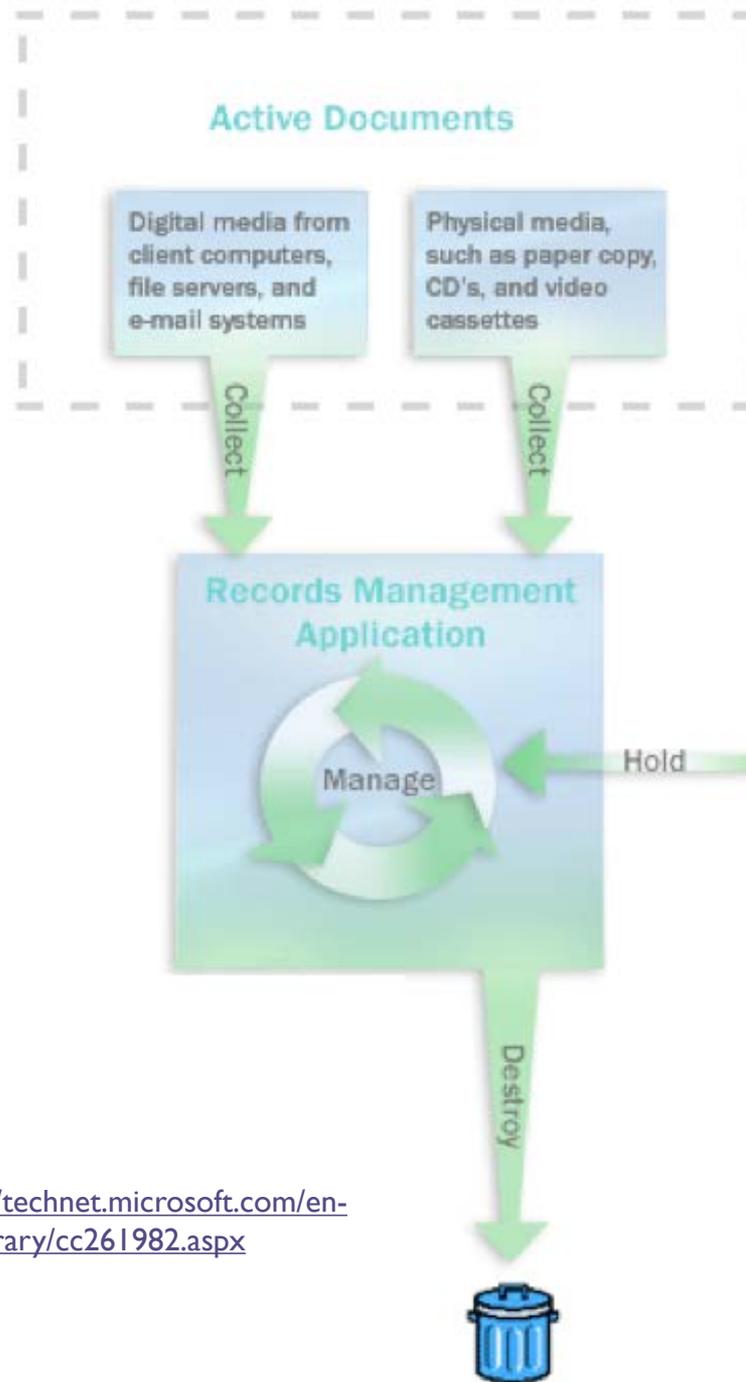
Extend the collaborative power of SharePoint by using it with Yammer—the enterprise social network.

[Learn more](#) 

## Apps for SharePoint

Apps are a great way to add more functionality to SharePoint. Browse and search for apps on the SharePoint store.

[Learn more](#) 



## SharePoint Server 2013 – Records Management

<http://technet.microsoft.com/en-us/library/cc261982.aspx>

## Differences between a records archive and in-place records

Factor	Records archive	In-place records
Managing record retention	The content organizer automatically puts new records in the correct folder in the archive's file plan, based on metadata.	There may be different policies for records and active documents based on the current content type or location.
Restrict which users can view records	Yes. The archive specifies the permissions for the record.	No. Permissions do not change when a document becomes a record. However, you can restrict which users can edit and delete records.
Ease of locating records (for records managers)	Easier. All records are in one location.	Harder. Records are spread across multiple collaboration sites.
Maintain all document versions as records	The user must explicitly send each version of a document to the archive.	Automatic, assuming versioning is turned on.
Ease of locating information (for team collaborators)	Harder, although a link to the document can be added to the collaboration site when the document becomes a record.	Easier.
Clutter of collaboration site	Collaboration site contains only active documents.	Collaboration site contains active and inactive documents (records), although you can create views to display only records.
Ability to audit records	Yes.	Dependent on audit policy of the collaboration site.
Administrative security	A records manager can manage the records archive.	Collaboration site administrators have permission to manage records and active documents.



### Resource differences between a records archive and in-place records

Factor	Records archive	In-place records
Number of sites to manage	More sites. That is,, there is a separate archive in addition to collaboration sites.	Fewer sites.
Scalability	Relieves database size pressure on collaboration sites.	Maximum site collection size reached sooner.
Ease of administration	Separate site or farm for records.	No additional site provisioning work beyond what is already needed for the sites that have active documents.
Storage	Can store records on different storage medium.	Active documents and records stored together.

# Drawbacks of in place RM

- Records and mixed in with non-records
- May wish to delete a team site (SharePoint) but one declared record resides there.
- Backing up Records requires backing up non-records as well
- Less control of records and security for records managers
- No easy mechanism to report on all in place records across the SharePoint environment

# Select & Implement an ERMS

- Establish the Project Plan
- Determine the Business Requirements
- Understand the Functional Requirements
- Determine if the system will manage purely physical records, purely electronic records or both (hybrid)
- Prepare and publish a Request for Information (RFI) or a Request for Proposal (RFP)
- Select a system and vendor
- Configure and Implement the ERMS
- Monitor the system
- Achieve success!



# Emerging Technologies & New Forms of Unstructured Data

Part 7

# Emerging technologies to consider

- Social media
- Cloud computing
- Mobile computing
- Big Data





page discussion view source history

# Federal Agencies

Welcome to the Federal Agencies page. By default, agencies and departments are listed alphabetically. Each office's use of Facebook, Twitter, YouTube, RSS feeds and Flickr are tracked. Click on the arrows in the header column to sort.

+ Share | [Facebook] [Twitter] [+1] [LinkedIn] [t] [YouTube] [RSS] [Email]

Permission to edit this page is open to the public. Click [here](#) to follow the agencies list on twitter.

### navigation

- Home
- GovSM Blog
- GovSM Consulting
- House
- Senate
- Governors
- Federal Agencies
- Presidential Campaigns
- Military
- Mayors
- More Federal Gov
- More State Gov
- Studies
- Influence
- Media
- Major League Baseball
- English Premier League

Count	Name	Level	Department	Facebook	Twitter	Youtube	Flickr	Other	RK
1	<a href="#">White House</a>	Cabinet	White House	f	Twitter	YouTube	Flickr	Other	85
2	<a href="#">Agriculture</a>	Cabinet	USDA	f	Twitter	YouTube	Flickr	Other	40
3	<a href="#">Commerce</a>	Cabinet	DOC	f	Twitter	YouTube	Flickr	Other	65
4	<a href="#">Defense</a>	Cabinet	DOD	f	Twitter	YouTube	Flickr	Other	74
5	<a href="#">Education</a>	Cabinet	ED	f f	Twitter	YouTube	No	Other	74
6	<a href="#">Energy</a>	Cabinet	DOE	f	Twitter	YouTube	Flickr	Other	81
7	<a href="#">Environmental Protection Agency</a>	Cabinet	EPA	f f	Twitter	YouTube	Flickr	Other	81
8	<a href="#">Health and Human Services</a>	Cabinet	HHS	f	Twitter	YouTube	Flickr	Other	71
9	<a href="#">Homeland Security</a>	Cabinet	DHS	f	Twitter	YouTube	No	Other	86

# Case Studies

Agency	Challenge	Initiative
Department of Energy	15,000 geographically dispersed employees using decentralized information systems in 17 national laboratories and 14 technical facilities	Powerpedia (wiki)  Now 15,000 pages, 700 edits a day, 1 million page views.
Department of State	Request from foreign diplomats is help for citizens to learn English	90-day pilot in Tunisia using English language instruction app for devices called feature phone.  535,000 participants out of 10 million population
Air Force Medical Service (AFMS)	75 medical treatment facilities worldwide and more than 1 million service members and their families had to visit a clinic in person for answers to healthcare questions	AFMS Surgeon General Facebook page built out to become primary dissemination point for content.  Two years later 86% of AFMS's medical facilities use the site to communicate and add information.



# In the news...



The State of Utah recently selected [Google Apps for Government](#) as its new email and collaboration platform for all 22,000 state employees. This makes Utah the second state to move all state employees to the Google cloud. The contract is available to all branches of state government and local government entities.

## Virginia Court Accepts Digitally Notarized Deed

The week of June 10 marked a first in the world of digital records as the Circuit Court of Alexandria, Va., accepted what it believes is the first digitally notarized property deed in the country, according to a report on The Chattanooga. Chattanooga, Tenn.-based digital signature company SIGNiX partnered with Trustmark Certification Services to allow an American couple in France to complete the digital, remote notarization of a property deed.

In addition to making things simpler for customers, managing these types of processes digitally makes records management easier and more secure, Harris said. The types of security and authentication they use, he said, isn't proprietary, which means customers don't have to worry about getting tied to SIGNiX as a vendor. "It's based on international cryptographic standards and that provides a lot of benefits in the long term for the signed document," he said.

The State of Arkansas is one of the leaders for delivering government services via mobile devices. On <http://mobile.ar.gov>, citizens can access a wide array of services, such as secure payment processing for real estate taxes, voter registration status, employment opportunity search, and others. The services are available on any smartphone operating platform, including iPhone, Blackberry, Google Android, Windows Mobile, and Palm.



**Figure 7.7. Web 2.0 and social media project proposal.**

## **Web 2.0 and Social Media Project Proposal**

Send proposal via email to: (e-mail address)

Name of Project:

Date proposal submitted:

Target date for launch:

Brief description of project and its goals:

Type of Web 2.0 Technology or Social Media site:

- Hosted on an external site or on the agency's web servers?
- How does this project support the agency's Strategic Plan?

Intended Audience (please check):

- Agency staff (e.g., employees, interns, and volunteers) - Please specify a particular department, office, unit, or all staff): \_\_\_\_\_
- General Public
- Researchers
- Genealogists
- Veterans
- Media and Press
- Records Managers
- Educators and/or Students
- Preservation and Archives Professionals
- Other (please fill in): \_\_\_\_\_

Estimate of resources required (# of staff, hours, materials, software, etc):

Will proposed social media be used to create or maintain data or information meeting the definition of a Federal record per 44 USC 3301 and 36 CFR 1222? \_\_ Yes \_\_ No \_\_ Maybe

If yes, how will the records, drafts, and other products from this project be captured and managed during their entire retention period?

Who will oversee or manage the project if approved?

Point of contact information:

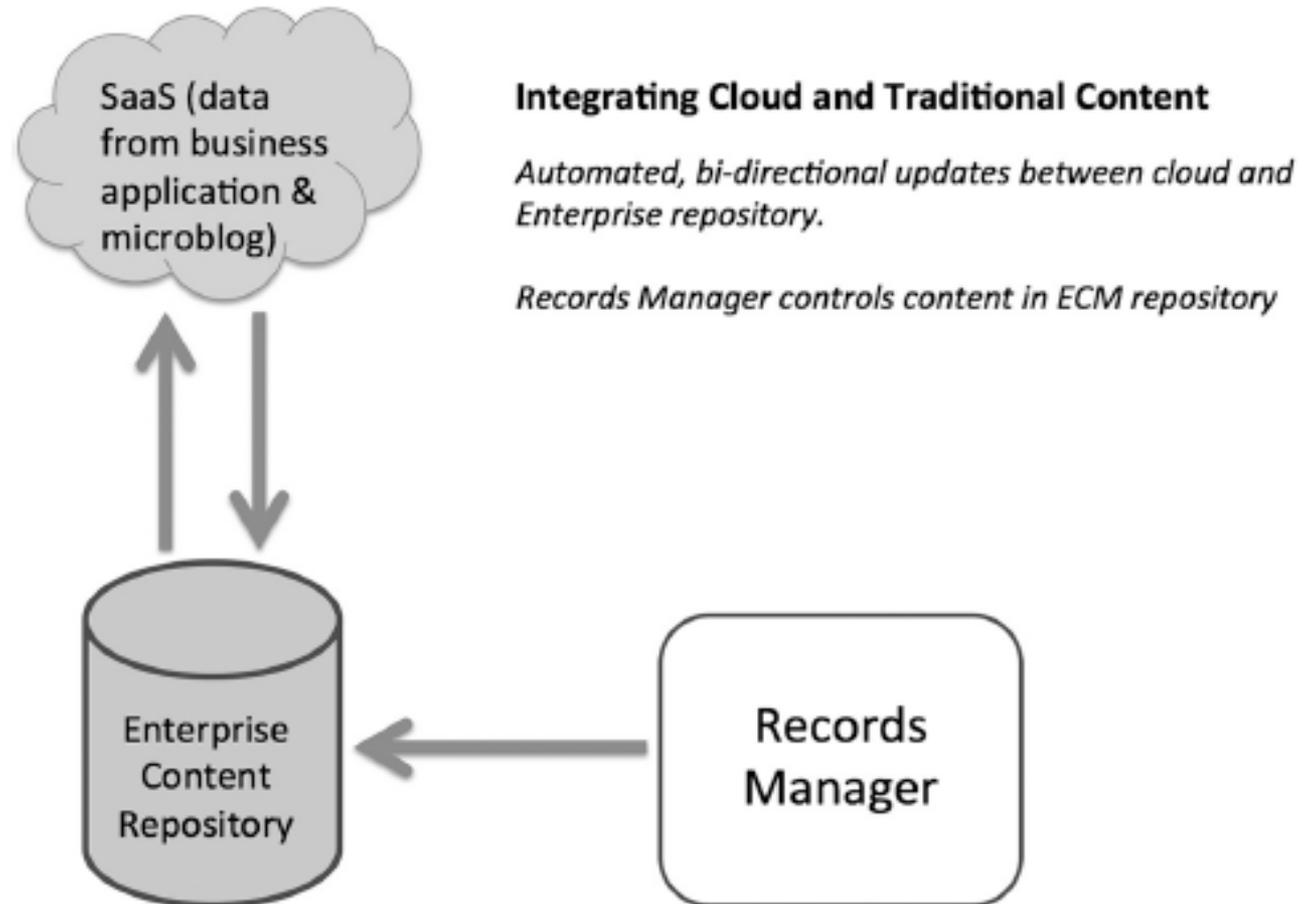
- Name
- Organization
- Telephone
- E-mail

Proposal Approved by:

- Name and Title
- Organization
- Telephone
- E-mail



**Figure 7.8. Integration enables records management for data created in the clouds.**







# Get Started with Real World Examples

## Part 8



## Oregon rides cloud to statewide records management system

By Rutrell Yasin | Jan 09, 2013

A cloud-based records management system in the office of Oregon's Secretary of State produced such improvements in access and processing time that officials are now expanding it statewide.

The Oregon Records Management Solution (ORMS) will let state, city and county agencies manage and provide access to records in an efficient, uniform manner and will save money on storage, risk and litigation costs, officials said.

ORMS, currently a pilot program that originated in the Secretary of State's office, uses HP TRIM, enterprise document and records management software developed by Autonomy, an HP company, to manage digital and physical records. Prior to implementing HP TRIM, employees had to sift through backup tapes, e-mails and file servers to satisfy public records requests.

With HP TRIM, requests are processed much faster. For example, a request for the 80,000 e-mails generated by the Secretary of State since taking office now takes 90 seconds to fulfill, instead of days. ORMS pilot agencies are experiencing similar benefits. Requests for public documents that used to take a week to process now take 30 seconds, Oregon officials said.

<http://gcn.com/articles/2013/01/09/oregon-cloud-statewide-records-management-system.aspx>

See also PDF file of paradigm *Records Management in the Cloud* written by Mary Beth Herkert, CRM, CA, Oregon State Archivist,

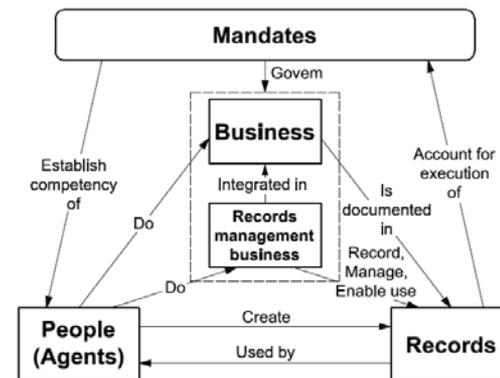
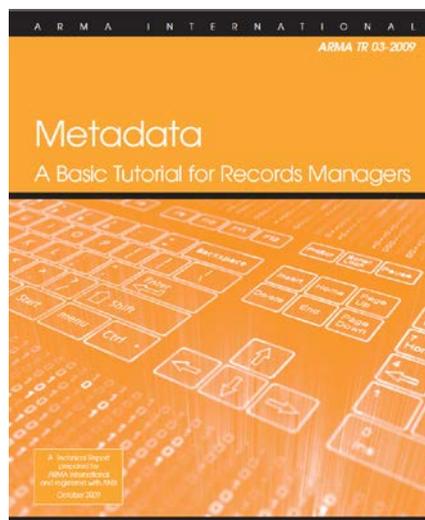


## 4 SPECIFICATIONS<sup>2</sup>

### 4.1 RECORD ENTITY METADATA ELEMENTS

Name	Description
Record Category Type	Identifies the level of aggregation of the record or group of records being described.
Record Identifier	Provides the unique identifier allocated to a record or aggregation of records, usually at the time of registration.
Record Title	States the name given to a record (or an aggregation of records) as free text. It can also be described with an alternative and/or abbreviated title.
Record Description	Provides a free text description of the contents and/or purpose of a record or aggregation of records.
Record Date	Specifies the date/time or a range of date/times applicable to a record or an aggregation of records.
Record Subject	Identifies the subject keywords, which describe the subject content of the record or aggregation of records.
Record Coverage	Identifies the jurisdiction in which the record is valid (i.e. place name, region, or geographical area) and/or the time period the record covers.
Record Language	Identifies the language in which the record is recorded.
Record Type	Identifies the type of record, its logical form.
Record Format	Identifies the media, data format, extent and physical form of a record or an aggregation of records.
Record Relation	Identifies and defines a relationship or set of relationships that exist between records/agent and functions.
Record Access	Identifies information that governs the accessibility of records. It includes business or legal requirements to prescribe access to records as open or closed to [organization] staff or the public, as appropriate.
Record Disposal	Documents the processes undertaken to ensure the appropriate disposal of a record or aggregation of records.
Record Location	Identifies the physical or virtual location of a record or aggregation of records.
Record Event History	Documents the preservation, retrieval, disposal, control, access or use related activities performed on a record or aggregation of records.
Record Classification	Identifies the business documented in the record or in an aggregation of records.
Record Agent	Identifies the corporate entity or individual responsible for some form of action on a record or aggregation of records.

<sup>2</sup> The elements listed in this guideline are based on: Queensland State Archives. (2008) *Queensland Recordkeeping Metadata Standard and Guideline*. This Standard is the first published standard consistent with ISO 15489 and ISO 32081. It has also been selected by the ARMA Standards Development Committee (SDC) Records Management Metadata Task Force as a model standard for examining pursuant to the future ANSI/ARMA Standard on Records Management Metadata.



Entity Model - From ISO 23081-1:2006

TECHNICAL REPORT

ISO/TR 23081-3

TECHNICAL SPECIFICATION

ISO/TS 23081-2

INTERNATIONAL STANDARD

ISO 23081-1

First edition 2006-01-15

Information and documentation —  
Records management processes —  
Metadata for records —  
Part 2:  
Conceptual model

Information et documentation —  
enregistrements —  
Métadonnées pour les enregistrements —  
Partie 2: Sujets conceptuels

Information and documentation —  
Records management processes —  
Metadata for records —

Part 1:  
Principles

Information et documentation —  
Processus de gestion des  
enregistrements — Métadonnées pour les enregistrements —  
Partie 1: Principes

## State of North Carolina - Social Media Archive

This free and open archive provides access to more than 100,000 social media records from selected North Carolina state agencies. **It is currently in beta.** Social media activity from these agencies is continually being captured and indexed, and additional agencies will be included in the future. The content in this archive has been captured because it was made or received pursuant to law or ordinance in connection with the transaction of public business by an agency of North Carolina government or its subdivisions (G.S. § 132-1).

Enter a keyword to search across the entire archive of social media sites, or use the [Advanced Search](#) for more options.

Quick Search

[Advanced Search](#)

Separate multiple keywords with spaces  
Use double quotes ("") around phrases  
Specify asterisk (\*) for wildcard searches

### Example Searches

[north carolina holidays](#) (Quick Search)

[mountains OR beach](#) (Advanced Search for Facebook photos)

[history](#) (Advanced Search for Twitter content)

### Related Links

- [NC State Government Web Site Archives](#)
- [State Archives of North Carolina](#)
- [State Library of North Carolina](#)
- [North Carolina Department of Cultural Resources](#)



**Newsroom**

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**We Are on TV**

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**Sponsor Your County**

[Sponsorship Guidelines](#)

**Block Grant Plan**

**FY12 Budget Videos**

**Employee Access**

[Mecklenburg County](#) > [Public Information](#) > [Social Media](#)

## Mecklenburg County Social Media

### Sites



FOLLOW ME ON TWITTER

- [@MeckCounty](#)
- [@meckhealth](#)
- [@MeckGIS](#)
- [@cmlibrary](#)
- [@LattaPlantation](#)
- [@ReedyCreekNC](#)
- [@Mecklenburg4H](#)
- [@raysplanet](#)
- [@Wipeoutwastenow](#)



Find us on Facebook

- [Mecklenburg County Main Facebook page](#)
- [Mecklenburg County Waste Reduction](#)
- [Park and Recreation](#)
- [Mecklenburg County Nature Preserves](#)
- [Latta Plantation Nature Center](#)
- [Reedy Creek Nature Center](#)
- [Ray's Splash Planet](#)
- [Mecklenburg County Cooperative Extension](#)
- [Veterans Service Office](#)
- [Mecklenburg Aquatic Center](#)
- [Water Watchers](#)
- [Therapeutic Recreation](#)
- [Mecklenburg County Athletics](#)
- [Charlotte-Mecklenburg Library](#)
- [McDowell Nature Center](#)
- [MeckCARES System of Care](#)
- [Mecklenburg County Wipe Out Waste - Business](#)
- [Mecklenburg County Fruit and Vegetable Coalition](#)
- [DV Mecklenburg County](#)
- [Mecklenburg County Solid Waste Management](#)



[Official Mecklenburg County News](#)



[Mecklenburg County's Official Message Board](#)



[Reedy Hikers](#)  
[CLT Parents](#)  
[Fit Reedy](#)





Let's pause to discuss: *The Impact of Emerging Technologies on your State Archives*

# Once you decide on an ERM Project, follow these steps:

- Define the aims and objectives of the project
- Define the project scope
- Determine the deliverables
- Identify project personnel
- Establish and maintain communications
- Ensure quality control
- Prepare project documentation, including project plan, risk register, reports.
- Establish evaluation procedures



# Thank you!

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