

Submitting Electronic Records to the Missouri State Archives

Scope

The Electronic Records Archives at the Missouri State Archives accepts records that belong to a record series on a State Records Commission approved Agency Records Disposition Schedule with a disposition of Permanent - Transfer to Missouri State Archives, or by separate agreement. Records accepted as part of a separate agreement must be approved for submission prior to sending them to the State Archives. Upon submission to the Missouri State Archives, records become the intellectual and physical property of the Missouri State Archives.

Designated Community

The Records and Archives Division of the Office of the Secretary of State is responsible for managing both current and historical records of the State to ensure those records are accessible to Missouri citizens. It is also responsible for assisting local governments in records preservation and management.

Submitters

All users submitting records through the state records tracking system must have completed training provided by the Division of Records Management. Users submitting electronic records must have legal authority to transfer the physical and intellectual rights of agency records to the Missouri State Archives. Authority to transfer records may be granted on the registration form for training. Users who do not have authority to transfer records may obtain read-only access to Electronic Records.

Login credentials are never to be shared or used by anyone other than the individual for which they were created for. The state tracking system records the submitter of an item by login credential. By logging in under a credential, the individual is affirming their identity.

Submitting Items

All electronic records submitted to the State Archives must be entered into the State of Missouri Agency Records Tracking (SMART) system. Records or folders smaller than 2 GB in size may be uploaded directly through the records tracking system. For records or folders greater than 2 GB, descriptive information must first be entered into the system, and the files sent to the State Archives on optical media (CD, DVD), thumb drive or external hard drive. Records arriving on media must be accompanied by a report describing the contents of the records and their associated barcodes. Agencies must notify Records Management at least one business day before media is to be sent. Agencies must also indicate whether the media may be destroyed after the records are accepted into the records tracking system, or to whom it should be returned.

Records Management will notify the agency that the media has been received and will check for malware, trojans and viruses. Agencies should not expect their data to appear in SMART immediately because of this crucial step.

Under no circumstances will Records Management or the State Archives accept encrypted or password protected records. However, records that are confidential due to statute or regulation will be treated as such. Agencies are to notify Records Management and the State Archives that submitted records are confidential under statute or regulation by checking the “Confidential” box in SMART.

Descriptive Information

Records Management will review information entered into SMART to ensure that it is complete and uniform. Records Management reserves the right to request that the submitting agency correct the data before acceptance by the State Archives.

Summary of the Ingest Procedure:

- The submitter enters descriptive information into SMART
- The electronic file(s) is uploaded via SMART or is sent via physical media
- SMART will send an automated e-mail stating the file(s) was uploaded and that the submitter must wait for approval from the assigned analyst before deleting the original from the submitting agency’s system.
- Analyst approval of the electronic submission (SIP) occurs after a processing archivist verifies that the file name matches what has been uploaded, that the file actually opens, and that all basic information on the SMART record is sufficient.
 - o If the SIP is insufficient, the processing archivist will notify the appropriate analyst to contact the agency about the missing information or to resubmit the record.
- Once the SIP is determined to be complete, the electronic record is accepted by the State Archives for accessioning.

Processed Records

Upon a completed submission, the State Archives will review information submitted by agencies, migrate records to a more suitable preservation format when necessary, and provide additional metadata.

Once the records are processed, a report containing a listing of processed files and metadata over a specified period of time will be generated by staff for review by supervisors. Metadata that does not meet quality control standards will be corrected.

Records that meet standards can at that point be considered an Archival Information Package (AIP), and the date on which the record was processed will be entered. The integrity of records that are transferred to another storage location will be verified using checksums.

Acceptance by the State Archives

The State Archives reserves the right to refuse any item submitted to the Electronic Records Archives. Common reasons for rejection may include, but are not limited to records belonging to the wrong records series, records deemed as not having permanent value to the state, or records being encrypted or password-protected. Records are not officially accepted by the Missouri State Archives until they

have been given an accession number. If the State Archives does not accept electronic information for any reason, Records Management will notify the agency that it has thirty days to download the information before it is deleted. The physical and intellectual property rights of returned records will revert back to the agency.

If the network is unable to handle the transfer due to file size, Records Management will work with the agency to determine an acceptable media format so that the information may be returned to the agency.

Removal of Records from Agency System

Records Management advises agencies to retain their copy of the submitted file(s) until they get notification that the submission was successfully accessioned by the Missouri State Archives, upon which they can delete the file(s) from their system.

Summary of the Accession Process:

- The processing archivist accessions the electronic record according to the accessioning procedures.
 - o If any problems occur during the accessioning process, the processing archivist will notify the appropriate analyst about contacting the agency to resubmit the record via the SMART system.
- If the record does not contain restricted information, the processing archivist adds the Processed Date to the SMART record once the electronic record has been successfully accessioned.
 - o Reference staff cannot grant access to any electronic records without a processing date.
- If the record contains restricted/closed information, the record will be accessioned, marked as “restricted” or “closed” with appropriate notes and the Processed Date field will remain null. Access to the record will not be granted without redactions of restricted content.
- The processing archivist notifies the appropriate analyst that the electronic record has been successfully accessioned.
- The analyst notifies the agency that the electronic record has been successfully received by the Missouri State Archives and that the record can be deleted from the agency’s system.

Storage

Records storage will consist of the production copy and two backups in two different locations. Records entering long-term storage will be read-only. Server logs will be forwarded to Records Services for review. If errors are found, staff will investigate and take corrective action when necessary.

Operational reports should be reviewed on a monthly basis and contain the following:

- Number of Submission Information Packages (SIP)
- Number of SIPs submitted per month for previous twelve months

- Number of Archival Information Packages (AIP)
- Number of AIPs processed per month for previous twelve months
- Amount of storage space used
- Amount of free storage space
- Number and percentage of total of confidential SIPs and AIPs
- Number and percentage of total of restricted SIPs and AIPs
- Number of items processed per employee
- Number of items submitted by agency
- Average size of SIPs and AIPs per month for previous twelve months
- Number of items rejected per month by agency

Storage media will be replaced according to IT best practices.

Conversion/Migration

The physical and intellectual transfer of property to the State Archives is integral for the long term preservation of the records. The State Archives administers records of enduring value, while technology rapidly changes. The records sent to the Missouri State Archives may become inaccessible due to obsolescence. To ensure the records may be accessed in the future, the State Archives will migrate, convert and/or modify the records to ensure long-term preservation. Documentation of such actions will be recorded and maintained by the Division of Records Services.

Disaster Recovery

Disaster recovery will follow the policies and procedures of the Information Technology Division, Office of the Secretary of State.

Data Management

A data dictionary of the Electronic Records Archives will be maintained by Records Services listing the database fields, a definition of the field contents, required and recommended fields and those that may be updated.

All queries that enter or modify records and/or metadata will be performed using the Electronic Records Archives application. Rights and permissions will be role and needs based as determined by Records Services.

Any update will be recorded in the history of the item, and may be reviewed upon request through a report listing the records, what the information was previously, and after the update.

Submission Agreement

State Records Commission approved record schedules serve as the primary submission agreement between the Missouri State Archives and state agencies. Schedules are to be created following the process outlined in the "Records Appraisal and Scheduling Standard for State Agencies." Only those

record series listed as “Permanent – Transfer to Missouri State Archives” and “Permanent” may be sent to the Electronic Record Archives.

The secondary agreement consists of the statement agencies agree to when submitting records. This agreement is the formal notification to the archives that the agency is transferring physical and intellectual property of the records.

Records of interest to the State Archives that are not covered by a retention schedule are to be added to a schedule if applicable. If the records are outside of the authority of 109.240 RSMo. (Supp. 2014), the records may be accepted if the State Archives accepts them and they are submitted through the Electronic Records Archives.

Submission Agreement - Statement

By submitting these electronic records to the Electronic Records Archives, either via SMART or physical delivery, I do hereby transfer to the Missouri State Archives the physical and intellectual rights of the information and its associated metadata.

The submission of these records does not automatically result in acceptance by The Missouri State Archives. The Archives reserves the right to refuse all or part of the submission into its collection.

By checking the box below, you acknowledge that you have read this agreement and agree to its terms.

Submission Schedule

State agencies may send records to the State Archives at any time, provided the records are on their State Records Commission approved Agency Records Disposition Schedule if the submitter has prior authorization by their agency. If an agency wishes to transfer records to the State Archives that are not on a schedule, the agency must contact their designated Records Analyst to determine if a transfer is appropriate.

Designated transfer times may be agreed upon between Records Services and the donating entity.

Monitor Resources

Information Technology will monitor system resource requirements and provide a report to Record Services on a monthly basis.

Submission Formats

Record Services will accept any format listed in *Records Services File Format Guidelines*. Agencies wishing to submit formats not in the guidelines must notify their designated Records Analyst to ensure the record may be accessible once submitted.

Authority and Scope

Chapter 109 of the Missouri Revised Statutes established the Missouri State Archives and Division of Records Management to help pursue the efficient and economical application of management methods for the creation, utilization, maintenance, retention, preservation, and disposal of official records. Under this authority, Records Services, which is comprised of the Missouri State Archives, Records Management, and Local Records, has the authority to create and implement guidelines for both physical and electronic records.

Roles and Conflict Resolution

Electronic Records Archives Roles

- Submitter (Electronic Record Center User)
 - Agency personnel responsible for uploading electronic records to the Missouri State Archives through SMART.
- Records Analyst (RM)
 - Records Management personnel that work with state agencies to determine retention and disposition of records. Analysts also serve as the point of contact for questions and guidance on records before they are formally accessioned by the State Archives. Staff also notifies state agencies on items that have been rejected.
- Processor (Archives)
 - Archives staff responsible for the addition of metadata.
- Reference (Archives)
 - Archives staff that accepts and responds to requests from the public and state agencies for records accessioned into the State Archives.
- System Liaison (System and Infolinx)
 - Individual responsible for communicating to the vendor about enhancements, errors and upgrades.
- IT (System Administrators)
 - The Information Technology Division at the Office of the Secretary of State responsible running the back end hardware and assisting in the upgrade of software.
- Director of Records Management and Archives Service
 - The Director of Records Services (State Archivist). This individual has the final say over roles and responsibilities.
- Electronic Records Services Administrator (Review reports, notify different parts of office)
 - Individual responsible for generating and reviewing reports and statistics. This individual is to notify administration as to any short and/or long-term concerns such as storage space, and the need to migrate records.

Succession

Per 109.300 RSMo. (Supp. 2014) upon the termination of the Missouri State Archives, if the function of the Electronic Records Archives is not transferred to another state agency, the State Records Commission is to determine which records are of sufficient value to warrant their continued preservation by the state. Records determined to have sufficient value by the Commission must be preserved per 109.250(2) RSMo. (2014).

Deaccessioning Policy

Deaccessioning records from the Electronic Records Archives will follow the policies set forth by the Missouri State Archives.

System Management

The Electronic Records Services Administrator will review system reports, usage and operation statistics and notify appropriate staff as to any issues or concerns including inventory reports and migration needs. The Administrator will also develop and implement plans for the evolution of the Electronic Record Archives. User feedback will be considered in determining the future needs of the Archives.

Physical Access

Access to the servers will be governed by the policy and procedures of the Information Technology Division, Office of the Secretary of State.

Agency staff wanting accession privileges in the system must complete training provided by Record Services. Upon completion, a user must submit a registration form signed by the agency Custodian of Records or agency head granting them the authority to transfer the physical and intellectual property of records to the Missouri State Archives.

Read-only privileges will be granted upon supervisor approval.

The public must contact the reference desk at the Missouri State Archives where staff will retrieve the information for the patron.

Policy Review

Policies must receive the approval of the Director of Records Management and Archives Service. Policies will be reviewed annually. Specific policies will be reviewed to determine viability of archival and format standards in light of change in best practice.

Usage

Requests made directly through the Electronic Records Archives will not be retained. Web statistics will be reviewed monthly to determine use and compare against the contents of the system.

Appeals

If an agency requests submission of a record to the State Archives and it is denied, they may appeal to the Director of Records Management and Archives Service.

Inventory Reports

Performance information and inventory reports will be sent to preservation planning quarterly. The reports will provide information on the space available in the repository, growth rates and file formats. Information in these reports will be used to update administration on the performance of the ERA and usage of the records.

Preservation Planning Reports

Best practices pertaining to preservation, alerts and standards will be compiled annually for administration review. This includes any recommended changes to submissions requirements.

Technological Obsolescence

Secretary of State, Information Technology is responsible for the monitoring of hardware. Record Services monitors software and file formats. Recommendations will be forwarded to administration for review.

Migration Planning

Preservation planning reports will be used to determine migration of information from different media, and conversion. Migration and conversion will occur according to best practice and will need to be designed around specific projects. All migration and conversion projects will be approved by administration.

Sample Metadata Schema						
Field	SIP	AIP	DIP	Required	Type	Dublin Core term
Ingest Fields						
Department	X	X	X	Yes	Text	Contributor/ Relation-Is part of
Division	X	X	X	Yes	Text	Contributor/ Relation-Is part of
Section	X	X	X	Yes	Text	Contributor/ Relation-Is part of
Sub-section	X	X	X	Yes	Text	Contributor/ Relation-Is part of
Record Series	X	X	X	Yes	Text	Relation – Is part of
From date	X	X	X	Yes	Date	Coverage-Temporal
To date	X	X	X	Yes	Date	Coverage-Temporal
Title	X	X	X	Yes	Text	Title
Description	X	X	X	Yes	Text	Description
Confidential	X	X		Yes	True/False	Access Rights
Reason for Confidentiality	X	X		Yes	Dropdown	Access Rights
File Type	X	X	X	Yes	Combo box	Format
Arrangement	X	X		No	Text	Description
Author(s)	X	X	X	No	Text	Creator
Contributor(s)	X	X	X	No	Text	Contributor
Publication date	X	X	X	No	Date	Date
Media delivery	X			No	True/False	Format-medium
Submission Acknowledgement	X	X		Yes	True/False	Rights
Copyright Release Information	X	X	X	No	Text	Rights
Location	X	X	X	No	Text	Identifier (file path)
Record Services Fields						
Native Checksum Verification	X	X		Yes	Text	Identifier
System Fields						
Original Checksum	X	X		Yes	Text	Identifier
Date ingested	X	X		Yes	Date	Date Submitted
Entered by	X	X		Yes	Text	None

Sample Metadata Schema (continued)						
Field	SIP	AIP	DIP	Required	Type	Dublin Core term
Processing Fields						
Processing Notes	X	X		No	Text	Description
Accession Number	X	X		No	Text	Identifier (barcode)
Accession date	X	X		No	Date	Date Accepted
Accessioned by	X	X		Yes	Dropdown	None
Processing completed	X	X		Yes	Date	Date-Accepted
Cross Reference	X	X	X	No	Text	Relation-References
Rejected (only metadata retained on these objects)	X	X		No	True/False	None
Reason for Rejection	X	X		No	Text	None
Restricted	X	X	X	No	True/False	Access Rights
Closed	X	X		No	True/False	Access Rights
Extent	X	X	X	Yes	Text	Relation-Is part of