



ELECTRONIC* RECORDS BASICS

*(TECHNOLOGY DEPENDENT)



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TECHNOLOGY DEPENDENT RECORDS

- The *State Records Act 1998 (NSW)* places a range of obligations on both public offices and the State Records Authority of New South Wales...designed to ensure better management of New South Wales Government records, promote more accountable government through improved recordkeeping and provide better protection for the State's archives. Section 14 of the Act places an obligation on public offices to "...maintain accessibility to equipment/technology dependent records..."

*Future Proof:
Ensuring the accessibility of equipment/technology dependent records
State Records Authority of New South Wales
April 2002*



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WHERE ARE WE GOING?

- The current milieu...
- How did we get here?
- What is this records thingy?
- Challenges...
- What/who is the OhioERC & how can it/we help?



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THE CURRENT MILIEU...



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THE RECORDKEEPING MILIEU: A TIME OF TRANSITION...


- "Organizations everywhere are in the midst of a long transition from paper-based to digital recordkeeping. However, because the process of assimilating new technology solutions for recordkeeping is a relatively slow and lengthy one, the transition to all-digital recordkeeping will not be complete for another few decades at least."



*Records Management:
Making the Transition from Paper to Electronic*
David O. Stephens, CRM — 2007





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THE DIVERSE AND EXPLODING DIGITAL UNIVERSE:

- Data Storage...
 - More data is being accumulated for longer periods of time w/o effective management of its life cycle...

"Data Growth Outruns Ability to Manage It"
Computer Technology Review, Fred Moore, 2002



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THE DIVERSE AND EXPLODING DIGITAL UNIVERSE:

- 2007 Digital Universe = 281EB (exabytes or 281 billion GB)
- 2011 projected to be 1.8ZB (zettabytes or 1,800EB or 1.8 trillion GB)

GB/Person

Year	GB/Person
2007	45
2011	288

+640%

The Diverse and Exploding Digital Universe:
An Updated Forecast of Worldwide Information Growth Through 2011
IDC Whitepaper
<http://www.emc.com/collateral/analyst-reports/diverse-exploding-digital-universe.pdf>
As reported in *The Information Management Journal*, September/October 2008

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HOW DID WE GET HERE?

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ORIGINS OF RECORDS MANAGEMENT

New World trade & the spindle file


Mid to late 1800s the rise of the typewriter

Vertical file 1890s

1934 NARA


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 **ORIGINS OF RECORDS MANAGEMENT**

 1943: Records Disposal Act


Hoover Commissions : 1948 & 1954 


1950: Federal Records Act


 1953: NJ Destruction of Public Records Act

 1956: ARMA & Schellenberg 


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 **ORIGINS OF RECORDS MANAGEMENT**


 1950s+ the rise of the photocopier

1966: FOIA 

Paperwork Reduction Act of 1980

1990s+ the rise of the printer 

2000: Government Paperwork Elimination Act

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 **WHY WE MAINTAIN RECORDS...**

PRIMARY VALUES	SECONDARY VALUES
■ Administrative 	■ Evidential Value 
■ Fiscal (audit) value	■ Informational Value 
■ Legal value 	

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WHAT IS THIS RECORDS THING?

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WHAT IS THIS THINGY CALLED RECORD?

Record

- Content
- Evidence
- Structure
- Context
- Fixity

...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

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RECORDS MANAGEMENT LIFECYCLE

Records Management Lifecycle

- CREATION**
 - Internal (Created)
 - External (Received)
- USE & MAINTENANCE**
 - Distribution
 - Storage
 - Retrieval
- DISPOSITION**
 - Archives
 - Permanent with Unit
 - Short Term
 - Long Term
 - Transient
 - Non Records
 - Destruction

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CHALLENGES...






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ELECTRONIC RECORDS CHALLENGES...

- Inadequate control over...
 - distributed creation
 - storage
 - maintenance
- Lack of tools for the aforementioned that are "functionally" integrated
- Hardware/Software dependence...
- Storage media...
 - stability
 - longevity






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ELECTRONIC RECORDS CHALLENGES...

- "Double-edged swords"
 - Redundancy w/non-electronic records
 - Storage Capacity (Storage is cheap or getting cheaper 1TB for <\$100, but managing, facility & utility expensive - What is the TCO?)
- Proliferation of devices...
- "It's mine!"
 - Is it really?
 - ...and what about reuse?





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 **ELECTRONIC RECORDS CHALLENGES...**

- e-discovery
- Security
- Viruses
- Lack of preservation standards...
 - Simple textual documents and visual images were "OK"
 - All bets are off on other formats...



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 **WHAT TO DO? WHAT TO DO?**

Policy:



- Articulate
- Concise
- Establish the "what" and the "why"
 - *Not procedural! That is the "how"*
- Encompass all records...
- Educate

Tools:


- Software:
 - EDMS/ERMS /ECM
 - IRs
 - Data Grid
- Analytic
 - GARP
 - TRAC
 - Crowd-sourcing



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WHAT/WHO IS THE OHIOERC & HOW CAN IT/WE HELP?

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AN OHIOERC CHRONOLOGY

1998
•ERC Formed

1999
•E-Recs Policy
•General Schedule for e-Recs

2000
•TISH
•Imaging
•Email

2002
•Databases
•Websites

2004
•Bylaws

2005
•Self-study

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AN OHIOERC CHRONOLOGY

2008
•Legal obligation to manage electronic records

2009
•Hybrid Migration

2010
•Seminars

2011
•Mission Statement
•Website Migration & Reorganization
•Bylaws review
•Tip Sheets
•Procedures Policy

2012
•Tip Sheets
•Implement new management plan
•Social Networking RM Guidelines

2013
•TIB

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MISSION

■ The Ohio Electronic Records Committee identifies best practices and develops resources concerning the creation, maintenance, long-term preservation, and access to the electronic records of Ohio's public entities. The Committee advocates for implementation of, and educates its constituencies regarding, these best practices.

Adopted 6/6/2011

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OHIOERC MEMBERSHIP & STRUCTURE

The diagram shows the OhioERC structure. At the center is a red circle labeled "ERC". Surrounding it are eight smaller circles representing different sectors: State, RIM, Higher Ed, ARV, Local, IT, K-12, and Policy. To the right, a circular flow diagram shows "Exec" (yellow), "ERC" (blue), and "Ad Hoc Sub-committees" (red) in a clockwise cycle. A list of roles and committees is provided on the right.

- Chair
- Vice Chair
- Membership Committee
- Secretary
- Past Chair
- State Archivist

- Bylaws
- Procedures
- Social Media
- Etc.

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EXISTING GUIDANCE

- Databases as Public Records
- Digital Document Imaging
- Electronic Publications
- E-mail Management
- File Management
- General Schedule for Electronic Records
- Records and Archival Management of World Wide Web Sites
- Trustworthy Information Systems
- Hybrid Microfilm Guidelines (2009)
- Social Media (2012)
- Coming...
 - Cloud Computing

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ELECTRONIC RECORDS MANAGEMENT GUIDELINES

- ID problems associated with managing e-records
- Identification and appropriate disposition
- Develop archival strategies
- Ensuring that capture, maintenance and preservation of essential characteristics

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 **ELECTRONIC RECORDS
MANAGEMENT GUIDELINES**

- Provide/improve more open/efficient access
- Share Resources
- More convenient and consistent interface
- Lower costs
- Opportunity for business process redesign




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 **ELECTRONIC RECORDS
MANAGEMENT GUIDELINES**


- Best Time to Address E-Record Management?
 - Besides now...
 - Replacement and Upgrading of Information Systems





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 **DOCUMENT IMAGING GUIDELINES**

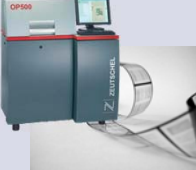
- Part of larger RIM program
- Business Process Analysis
- Cost justification
- Open Architecture
- Policies & procedures documenting:
 - Hardware & Software
 - File format
 - Indexing
 - QC
 - Step-by-step operational procedures
 - Disaster prevention & Recovery plan
 - Migration planning




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HYBRID MICROFILM GUIDELINES




- Digital file to microfilm
- Equipment basics
- Operational procedures considerations
- Technical specifications
 - Includes ANSI/AIIM references
 - Sample Targets





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EMAIL MANAGEMENT GUIDELINES

- Recordness of email
- Record Copy
- Storage options
- Filing schema
- Roles & responsibilities
- Appropriate backup & recovery plans



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TRUSTWORTHY INFORMATION SYSTEMS HANDBOOK

- A "trustworthy" system:
 - ...insures that the information is *safe and secure*, while...
 - ...*facilitating* organizational *operations and planning*, while...
 - ...documenting organizational *accountability*, and...
 - ...serving as *evidence of* organizational *activity* for current and future users.



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TRUSTWORTHY INFORMATION SYSTEMS HANDBOOK

- TIS Handbook lists detailed criteria in five main groups:
 - System documentation
 - Security measures
 - Audit trails
 - Disaster recovery plans
 - Record metadata



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SOCIAL NETWORKING

- improved communication with constituents
- opportunities for community engagement
- collaboration and exchange of ideas
- increased access to public information
- little or no cost to utilize








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SOCIAL NETWORKING

- blurring the line between personal and official use
- lack of control over site
- potential for criticism or negative feedback
- difficulty in maintaining public records
- the internet is forever - once it is posted, it can't be taken back



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SOCIAL NETWORKING: THE RECORDS MANAGEMENT CHALLENGE

- Capture of Content -
- Ownership and Control of Data
- Implementation of Retention Policy
- Duplication of Content
- Management of Non-Record Content
- Disposition of Content
- Public Records Requests -
- Legal Issues -
- Legal Issues
- Preservation
- Employee Use & Access
- Security
- Citizen Conduct

Yammer
The Enterprise Social Network

SOCIALCAST by VITVORP

f twitter LinkedIn




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PITFALLS

- Using email as a file-store...
- Using one big folder...
- Inconsistent file/folder naming...
- Keeping everything...
- Using proprietary formats...
- Storing PII or restricted data in an unsecure manner...
- No backups (or backups not geographically dispersed)





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ORGANIZING



- 1st ask yourself, "Whose is this?"
- Subject
- Project
- Chrono
- Student
- Restricted vs. Open
- Date stamp
- Balance effective detail w/excessive granularity
- What can you link back to?





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 **RESOURCES**


- OCLC Research
 - You've Got to Walk Before You Can Run: <http://tinyurl.com/OCLCYouveGotToWalk>
- Digital Preservation (from LOC):
 - File Naming Tutorial: <http://tinyurl.com/LOCFileNaming>
 - Personal Archiving: <http://tinyurl.com/LOCPersonalArchiving>




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 **EVOLUTION**

- "My job is to..."
 - Chris L. Erickson, Digital Preservation Officer @ BYU
- "We need to design evolutionary systems..."
 - Dr. Reagan Moore, Director DICE @ UNC



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 **NO SINGLE SOLUTION...** 

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