Records and Information Management (RIM) 101

Webinar 3 of 3

How to Manage Unique Formats

Destroying Scanned Paper Records

Working with Archives

Utah Division of Archives and Records Service

Upcoming Webinars

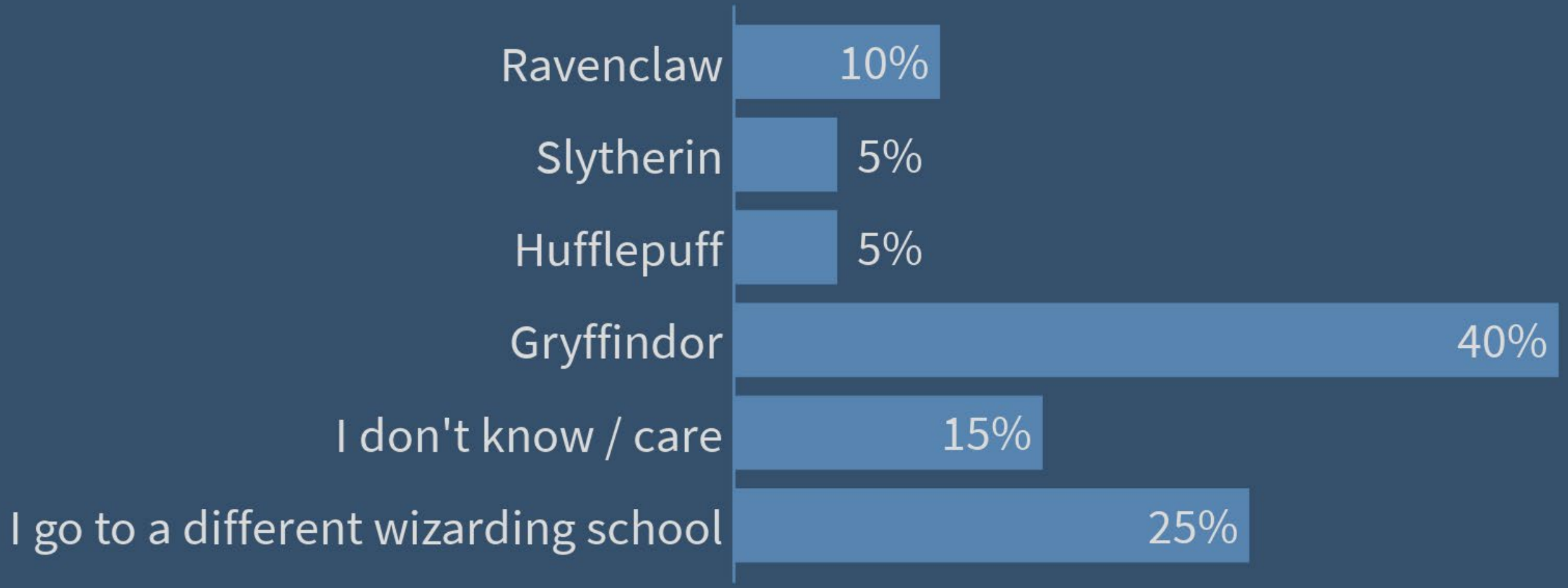
- Updates to Records Laws: GRAMA and Utah Expungement Law
  Thursday, May 28 with Rosemary Cundiff, Government Records Ombudsman

Register at archives.utah.gov/rim/training.html

When poll is active, respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join

Which Hogwarts house are you in?



Total Results: 20

When poll is active, respond at **PollEv.com/statearchive240**

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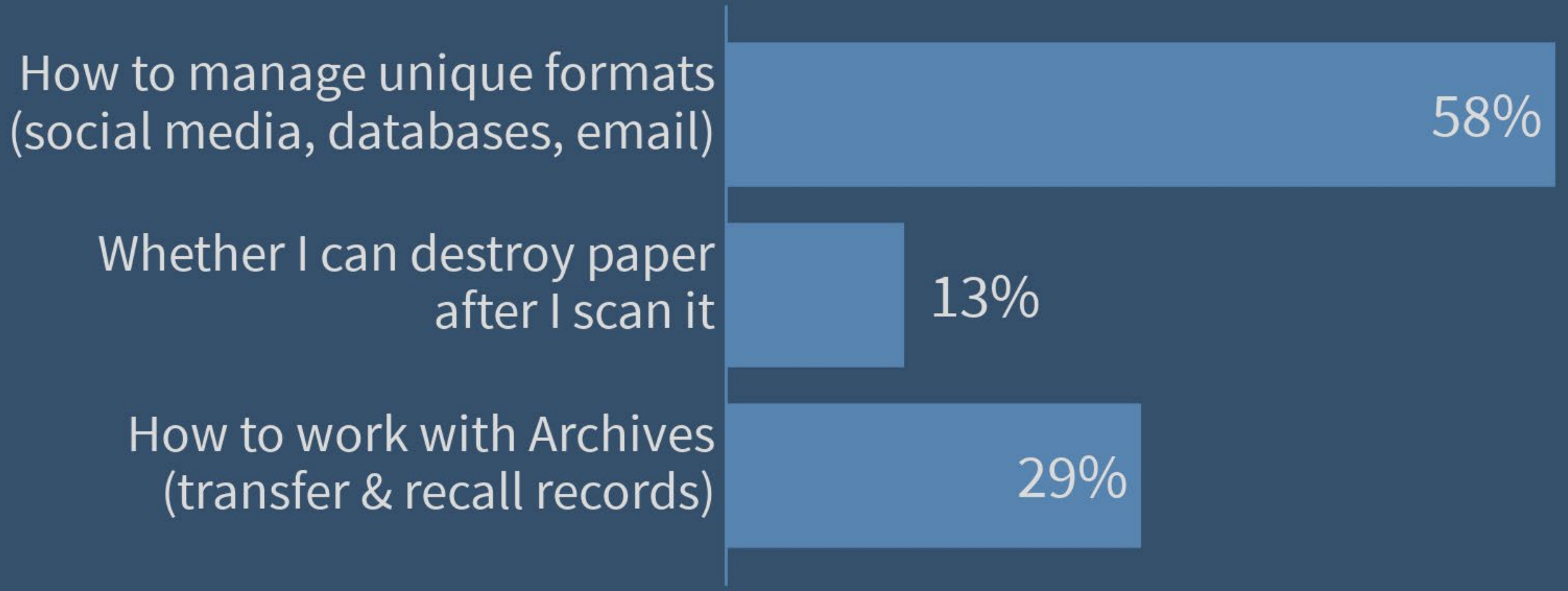
Which topic do you most want to learn about today?



Total Results: 24

1. How do I manage (format)?

2. Can I destroy the paper?

Disclaimer

We are not lawyers.

Content is based on professional best practices.

Please consult with your legal team.

1. How do I manage (format)?

Factors

- Format-specific challenges & options
- Applicable retention schedules (general or specific)
- Existing guidelines
- Things to do

General Solutions

- Know your records
  - What they are
  - Where they're located
  - Who creates, accesses, controls, or uses them
  - What value they hold
- Have current retention schedules
- Read existing guidelines
- Create policies & procedures
- Do your best (due diligence)

Social Media

When poll is active, respond at **PollEv.com/statearchive240**

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Which social media platforms does your agency use?

Total Results: 41

Social media: Challenges & options

What is a record?

- The post and all accompanying comments, shares, likes, etc.

Social media: Challenges & options

How to archive the records?

- Social media management application
  - Schedule posts, manage posts/comments, backup, export
  - State has contract with ArchiveSocial
- Hand export
- ~~Screenshots~~

Social media: Challenges & options

What do I do with comments or posts that have to be removed?

- Save a copy of deleted / removed comments
- Post acceptable use policies to warn users of potential removal of inappropriate comments

Social media: Challenges & options

Who should have access to / administer the account?

- That's up to your agency & your agency's needs
- Create internal policy to address:
  - Account administration
  - Audience
  - Acceptable content

Social media: Challenges & options

Do we own the records?

- Not usually. Refer to terms of service agreement
- See Archives guideline for specific considerations

Social media: Retention Schedules

- Posts, tweets, blogs, etc.
  - GRS-1678: Publications (permanent)
  - GRS-1716: Public relations records (permanent)
  - GRS-1759: Transitory correspondence (resolution of issue)

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Can social media posts be transitory correspondence?

Total Results: 29

Social media: Retention Schedules

- Posts, tweets, blogs, etc.
  - GRS-1678: Publications (permanent)
  - GRS-1716: Public relations records (permanent)
  - GRS-1759: Transitory correspondence (resolution of issue)
- Webpages
  - GRS-1678: Publications (permanent)
  - GRS-3: Annual or official reports (permanent)

Social media: Guidelines

- *Social Media Use Guideline for Government Agencies*

  Utah Division of Archives and Records Service

  https://archives.utah.gov/documents/social-media-guideline-2019.pdf

  - ^It's very thorough

Social media: Things to do

- Read the Archives guideline
- Have clearly-stated and easily-accessible acceptable use policies on all social media profiles
- Keep a copy of any deleted comments/posts
- Limit the number of account administrators to only a few employees
- Look into export/backup/archiving options

Social media

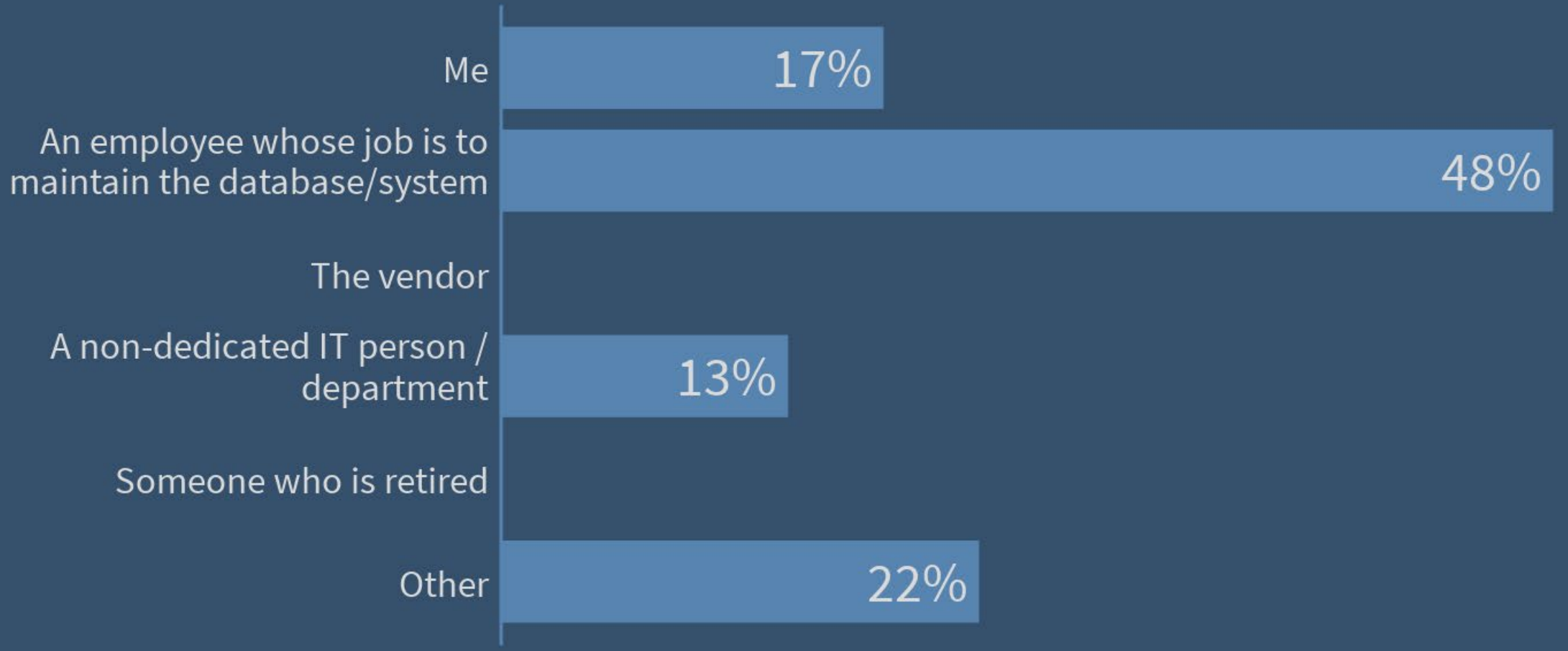
Questions?

Databases

When poll is active, respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join

Who is the expert on your agency's main database/system?



Total Results: 23

Databases: Challenges & options

How can I implement a retention schedule if I can't delete records or my database doesn't have retention capabilities?

- Work with vendor to implement retention capabilities
- Manually delete/transfer
- Maintain records if you cannot delete/archive them
- Ensure next system has retention tools

Databases: Challenges & options

How do I transfer database records to the Archives?

- Contact us
- Each system is unique
- Depends on volume of records, format, etc.

Databases: Challenges & options

What's the point of having retention schedules if I can't implement them?

- Eventually you'll move to a system **with** retention tools; you'll be prepared
- Shows the need for retention tools
- Shows management you're serious about RIM

Databases: Retention Schedules

- NO general retention schedules for databases
- Check series-specific retention schedules already set up
- May create a series-specific retention schedule for records in database

Databases: Guidelines

- *Electronic Records Management / Migration*

  Utah Division of Archives and Records Service

  https://archives.utah.gov/documents/ElectronicRecordsManagementMigrationGuidelines.pdf

Databases: Things to do

- Know what records are in your systems (including appraisal & retention needs)
- Have retention schedules for all your records
- Manage records & keep them safe (security, access, backups, policies) until you can implement retention
- Use existing retention tools in capable systems
- Insist on retention capability when moving to a new system

Databases

Questions?

Shared databases

When poll is active, respond at **PollEv.com/statearchive240**

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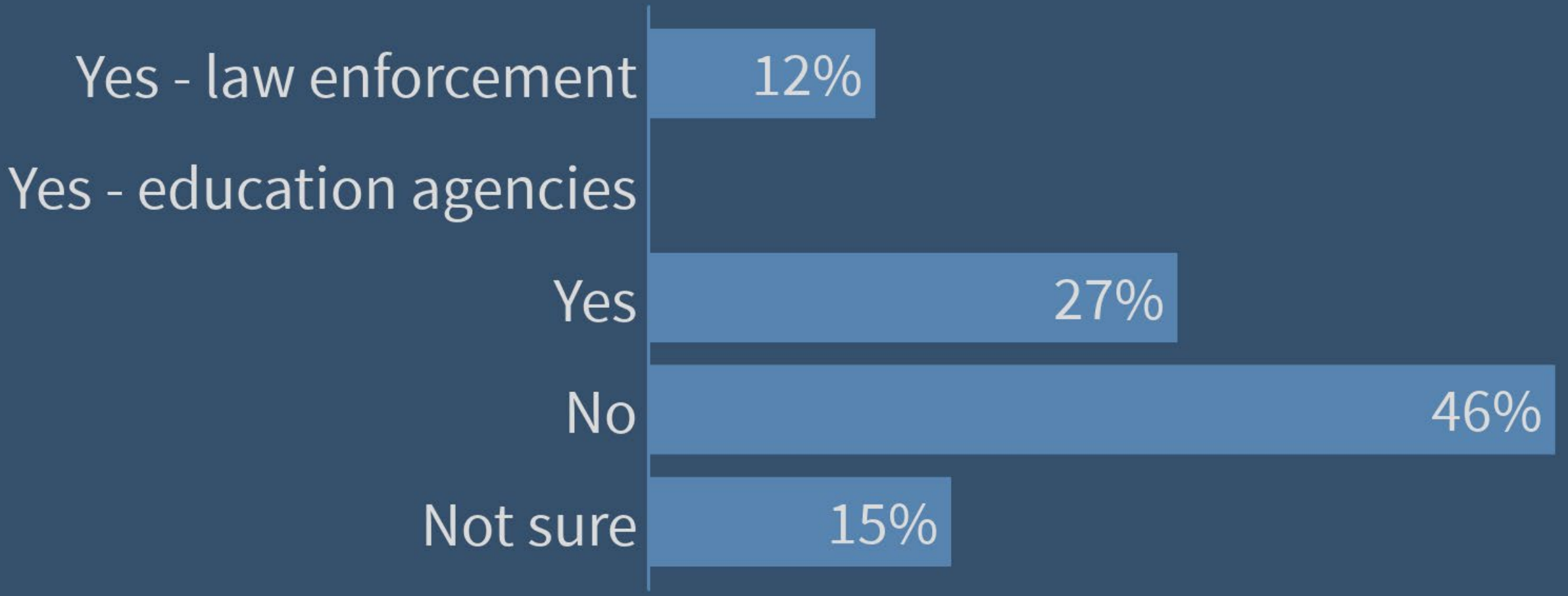
Do you share a database with other agencies?



Total Results: 26

Second Disclaimer

This is tricky stuff and we're not actually lawyers.

Please consult with your legal team.

Shared databases: Challenges & options

Who owns the record?

- It might be you, or it might not
- Create record-sharing agreement & policies to clarify roles & responsibilities

Shared databases: Challenges & options

Who provides access to the record?

- It might be you, or it might not
- If you receive a GRAMA request for a record that has been shared with you, you may NOT provide access to it (even if it's part of your new record)

Shared databases: Challenges & options

How can I implement retention? What if other people depend on these records?

- Coordinate with other users & analyze options
- Maintain records
- Make plans for the future

Shared databases: Retention Schedules

- NO general retention schedules for databases
- Check series-specific retention schedules already set up
- May create a series-specific retention schedule for records in database

Shared databases: Guidelines

- *GRAMA and Sharing Records*

  Rosemary Cundiff, Government Records Ombudsman

  https://archives.utah.gov/opengovernment/sharing-records.html

Shared databases: Things to do

- Know what records are in your systems (including appraisal & retention needs)
- Have retention schedules for all your records
- Have a record-sharing agreement
- Manage records & keep them safe (security, access, backups, policies) until you can implement retention

Shared databases

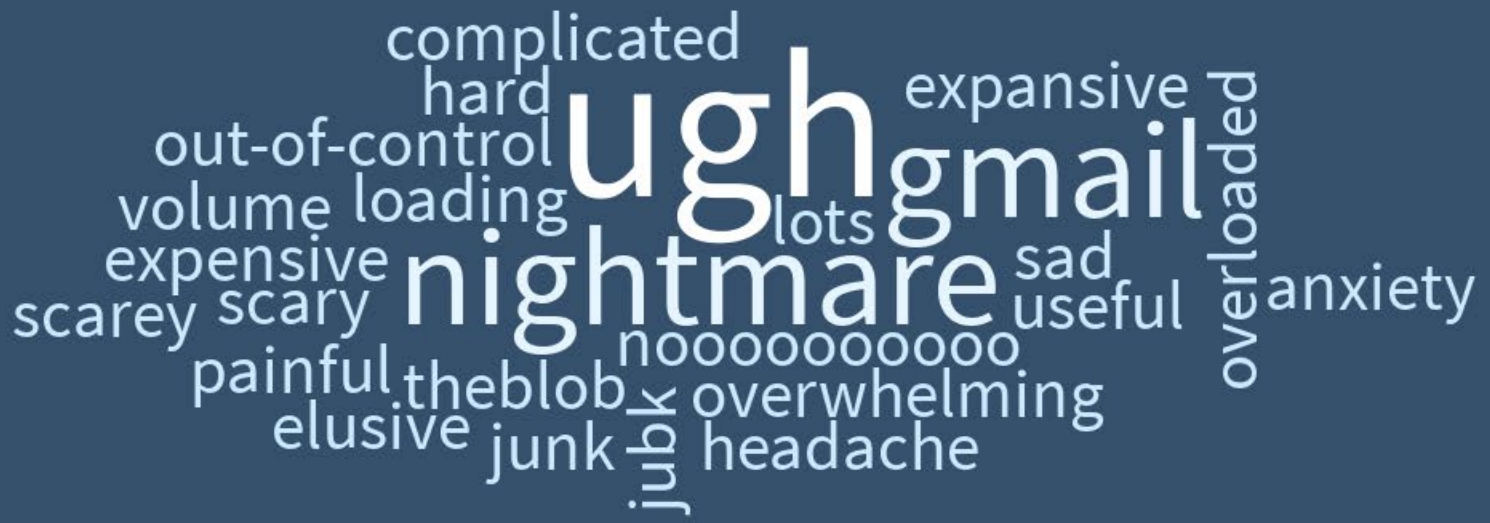
Questions?

Email

When poll is active, respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join

What is one word you associate with email management? (use no spaces in reply; no swear words, please)



Total Results: 27

Email: Retention Schedules

- GRS-1758: State agency executive correspondence
- GRS-1717: Program and policy development
- GRS-48: State government routine administrative correspondence (7 years)
- GRS-1760: Local government routine administrative correspondence (3 years)
- GRS-1759: Transitory correspondence
- Other retention schedules

Email: Challenges & options

Where do I even start?

- A. Existing policies, procedures, practices
- B. End goal: permanent prservation of historical records, non-permanent retention of others according to schedule
- How to get from A to B?

Email: Challenges & options

How to get from A to B?

1. Address historical records

- Capstone approach
  - Executive account preserved; agency defines executive positions
- Tags, labels, folders
- Single shared account
- System integration

Email: Challenges & options

How to get from A to B?

2. Address non-historical and non-transitory records

- Determine which retention schedules apply
- Tags, labels, folders
- Single shared account
- System integration
- Scheduled retention

Email: Challenges & options

How to get from A to B?

3. Address transitory records

- Tags, labels, folders
- Auto-delete
- Employee training

Email: Challenges & options

How do I send historical emails to Archives?

- Use .eml format
- State agencies - let us know when an executive leaves
- Local agencies - work with your RIM specialist and your IT people

Email: Challenges & options

Can I just delete all my email?

- No
- Phone calls or meetings instead of email

Email: BUT WHY?

What happens if you don't organize your email?

It will impact your agency when you receive a GRAMA request or you're involved in litigation and you have to find specific emails.

Email: BUT WHY?

More records = more time = more money

$18,000 cost per gigabyte for records discovery

- Seth Katsuya Endo, "Technological Opacity & Procedural Injustice," *Boston College Law Review*, Vol. 59, Iss. 3, pp. 822-875, 2018.

Email: Guidelines

- *Email Management Guideline*

  Utah Division of Archives and Records Service

  https://archives.utah.gov/rim/erm/Email%20Management%20Guideline_Revised_11-26-2019.pdf

Email: Things to do

- Read the Archives guideline
- Watch/attend Archives' email Q&A in August 2020
- Suggest/create a policy for email management
  - If not agency-wide, at least for your own email
- Tell Archives when an executive is leaving; work with Archives to transfer email for permanent preservation

Email

Questions?

Chat, instant messages, text messages

Chat, instant messages, text messages

- Formats best suited to transitory correspondence
- Have a policy
- Have retention schedules
- Help others understand that records are records regardless of whether on personal or work device

Chat, instant messages, text messages

- Work with service providers to transfer records as necessary
- State agencies: can decide whether to allow "conversation history" to be turned off or not in Google chat

Chat, instant messages, text messages

Questions?

Summary

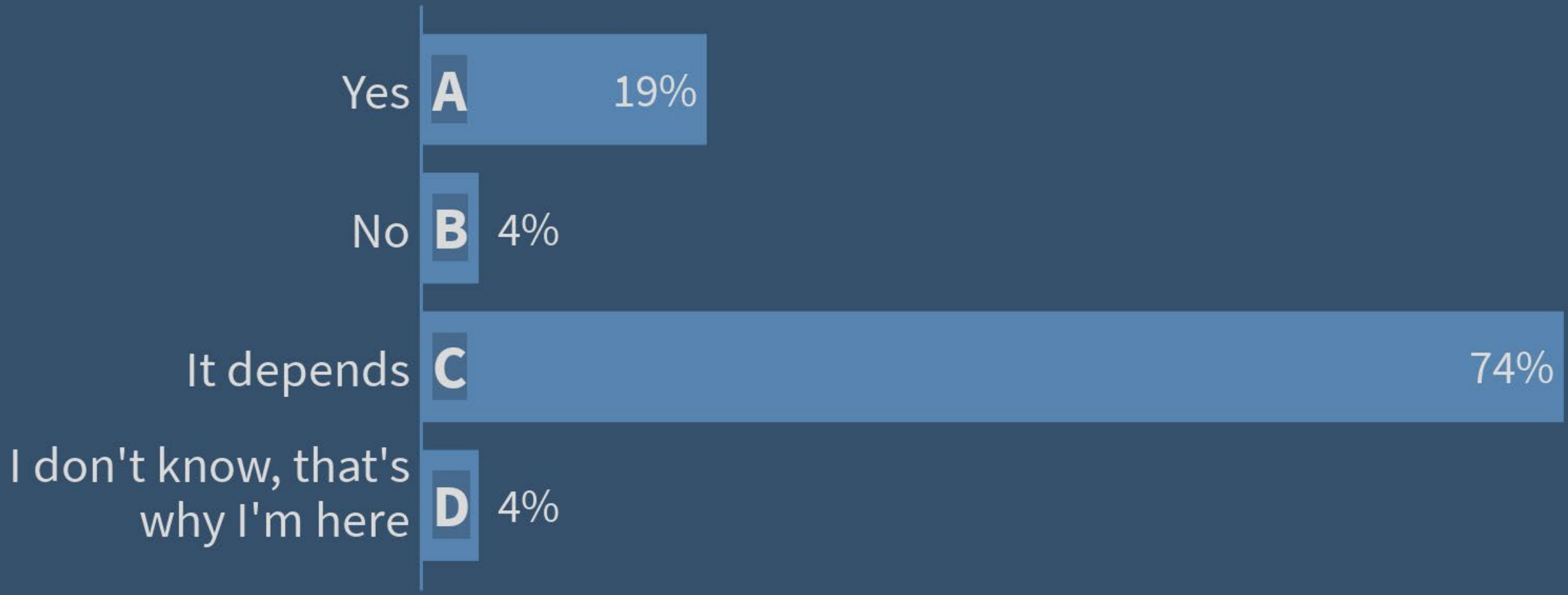
- Know your records
  - What they are
  - Where they're located
  - Who creates, accesses, controls, or uses them
  - What value they hold
- Have current retention schedules
- Read existing guidelines
- Create policies & procedures
- Do your best (due diligence)

2. Can I destroy the paper after digitizing it?

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, C, or D**

Can you destroy the paper record after digitizing it?



Total Results: 27

Short answer

YES! You can destroy those paper records IF

- digital records will remain accessible throughout retention period
- records are not permanent (please send permanent paper records to State Archives after scanning)

Considerations

1. Legal requirement to keep record copy
2. Format strengths and weaknesses
3. Fullest record information
4. Length of retention
5. Security / protection
6. Cost

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Record copy

- **Record copy** must be maintained according to approved retention schedule (Utah Code 63A-12-105(3))
- Sometimes called official copy
- May or may not be the original copy

Electronic record satisfies the law

- Uniform Electronic Transactions Act

46-4-301. Retention of electronic records -- Originals.
(1) If a law requires that a record be retained, the requirement is satisfied by retaining an electronic record of the information in the record that:
(a) **accurately reflects the information** set forth in the record after it was first generated in its final form as an electronic record or otherwise; and
(b) **remains accessible** for later reference.

* "..Unless a law enacted after May 1, 2000, specifically prohibits the use of an electronic record for the specified purpose."

Other types of copies

Security

- Temporary Backup
- Usually at alternate location

Access

- Convenience
- Protect the record copy

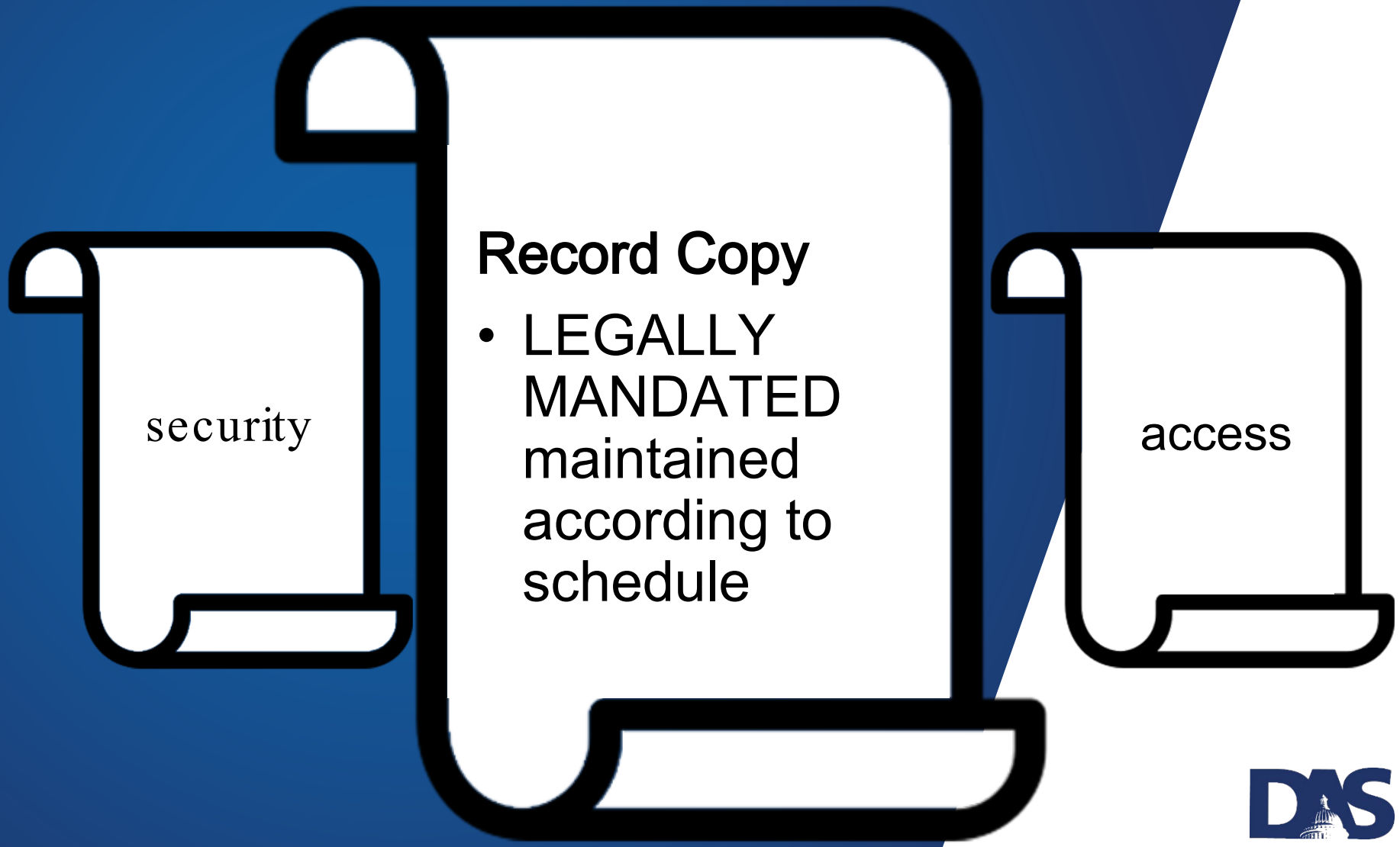
Preservation

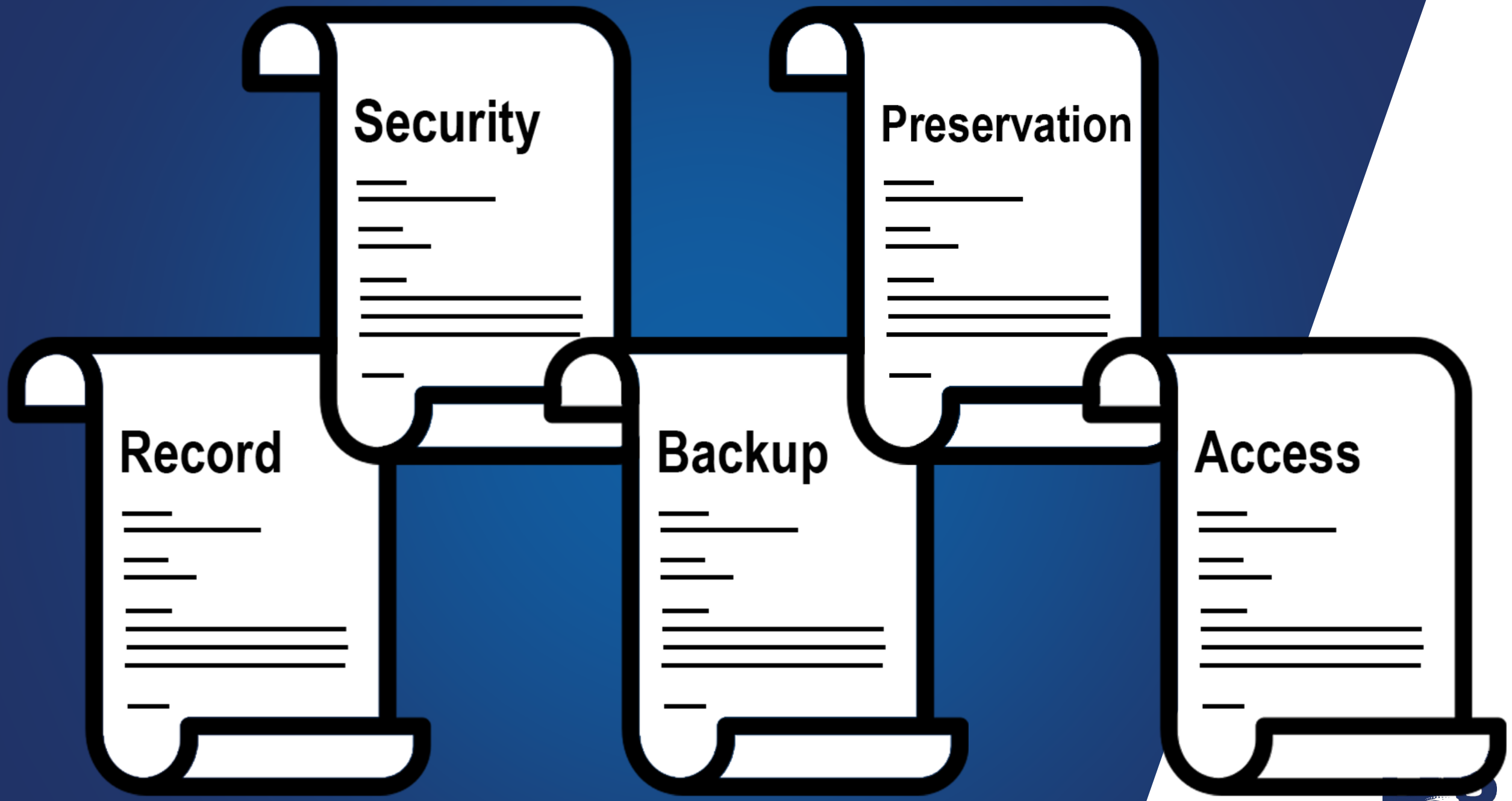
- Permanent Backup
- Alternate location

Which is the record copy?

Your agency:

- ✓Chooses
- ✓Commits
- ✓Manages all copies
- ✓Preserves
- ✓Disposes




Security
Preservation
Record
Backup
Access

Considerations

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Evolving media

Evolving media

Choose media with the function of the copy in mind

Considerations

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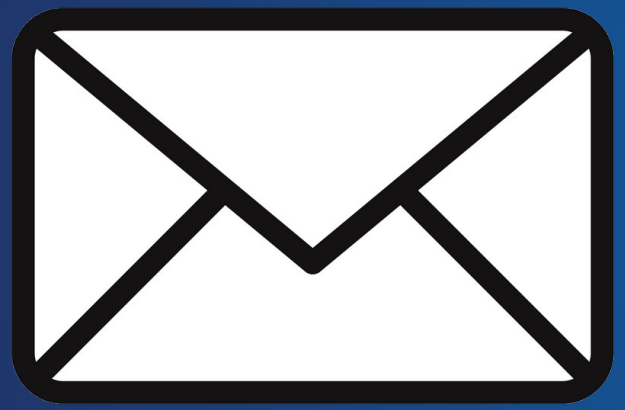
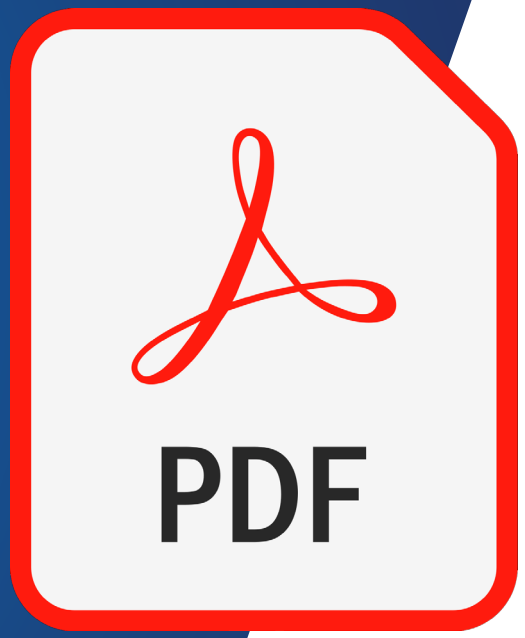
3. Fullest record information





A printed email is missing essential metadata

- PDF of the email does not contain all of the associated metadata (e.g., IP addresses)
- Not considered a legitimate version of the record
  - This was established by case law in 1996 when the Supreme Court ruled on Armstrong vs. Executive Office of the President

Considerations

1. Legal requirement to keep record copy
2. Format strengths and weaknesses
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Length of Retention ≥ 10 years?

Data Migration: Transferring or converting data from one technology to another in order to keep it accessible and preserve its essential characteristics (integrity) over

Permanent (or long retention) digital records

- **Preservation**
  Preserve original system and records
- **Emulation**
  Re-create the old environment in the new technology
- **Migration**
  Convert records to new formats over time

Liability and Risk Management: Finding a Balance

How important are the records?

Are they subject to audit?

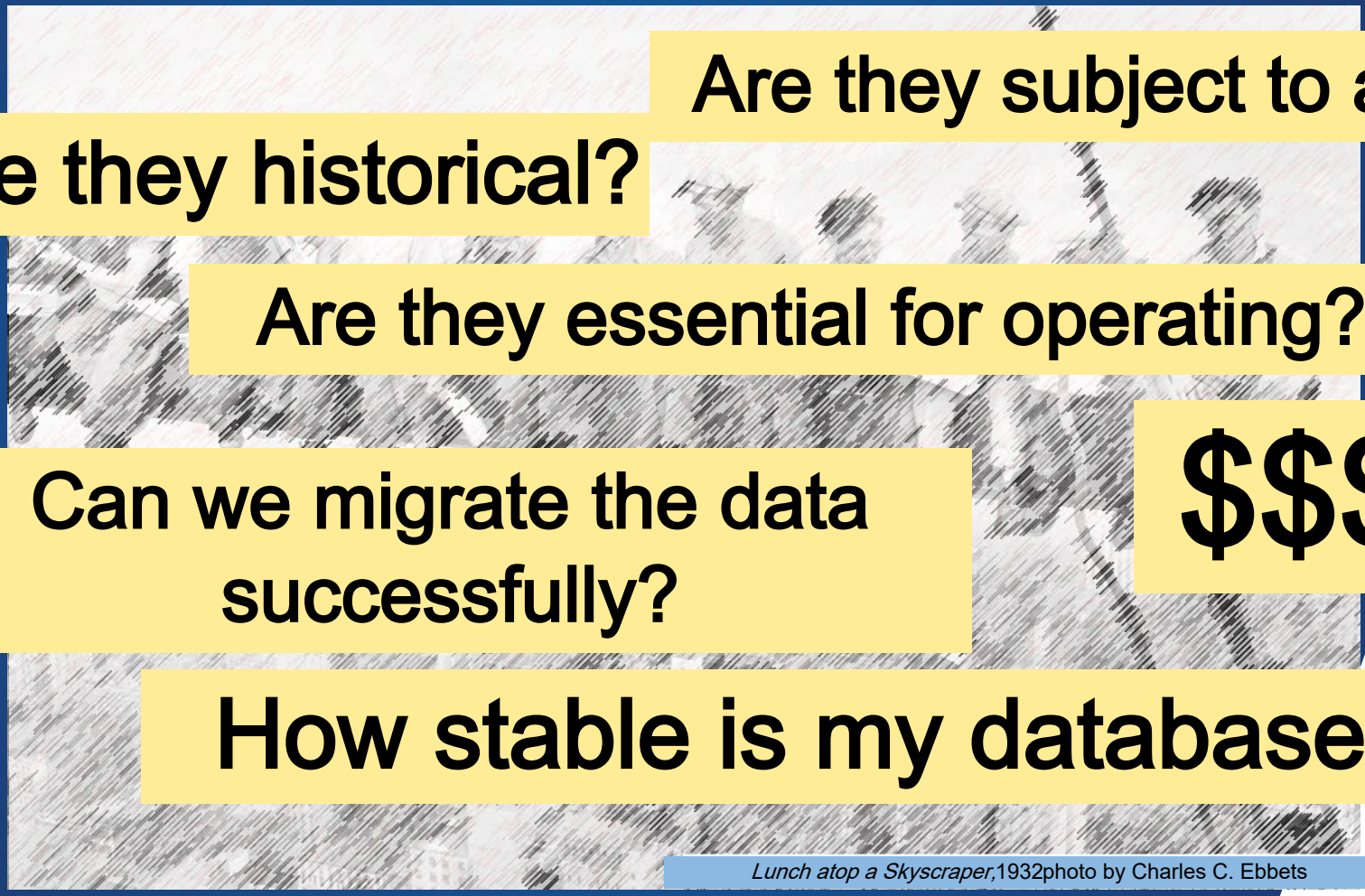
Are they historical?

Are they essential for operating?

Can we migrate the data successfully?

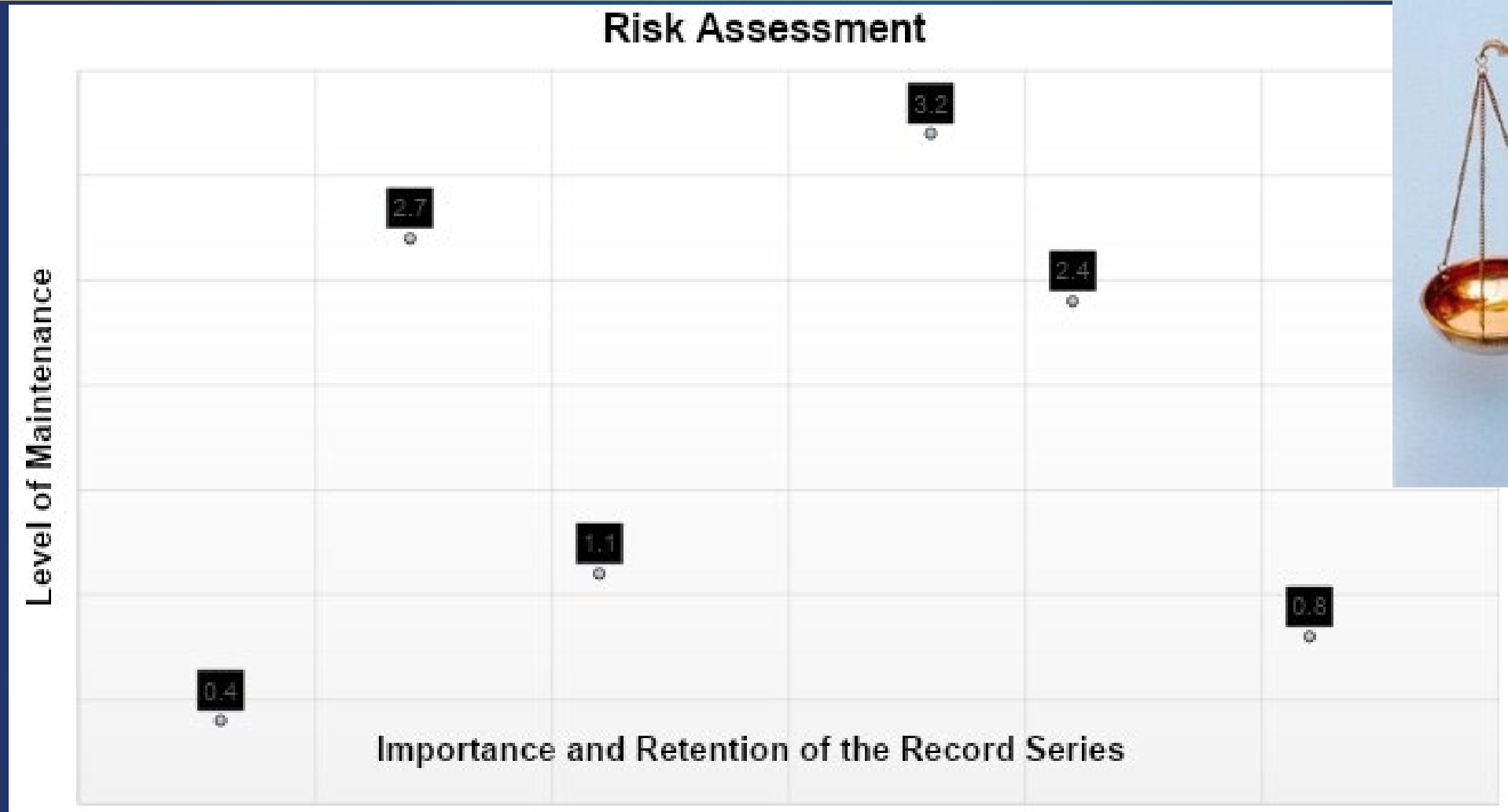
$$$

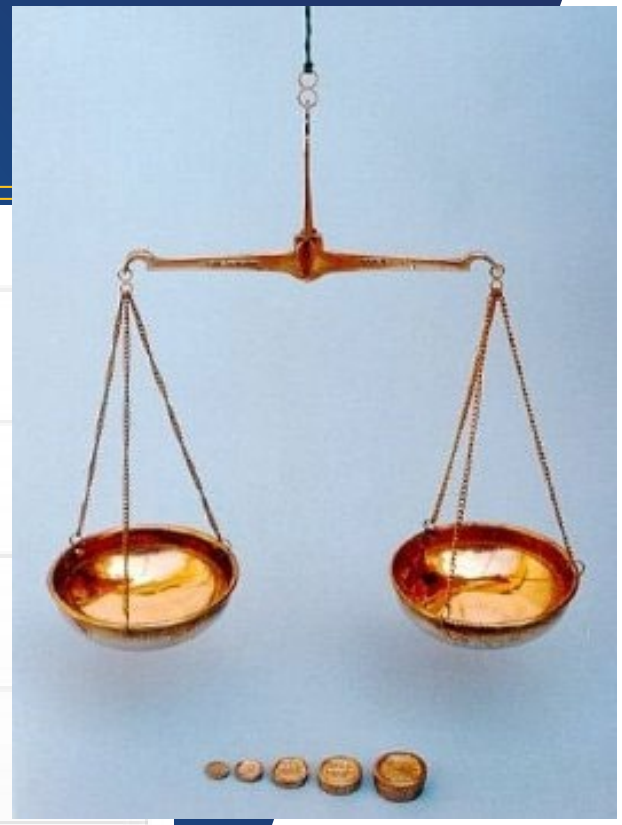
How stable is my database?



*Lunch atop a Skyscraper,*1932photo by Charles C. Ebbets

Finding a balance





Considerations

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Must be protected

- Alteration
- Deletion
- Damage
- Theft
- Loss

Protective measures

- Security protocols
  - Approved administrators and users
- System checks & error-checking utilities
- Disaster preparedness measures
- Backups stored in multiple locations at least 50 miles off-site
- Migration of data

Considerations

1. Legal requirement to keep record copy
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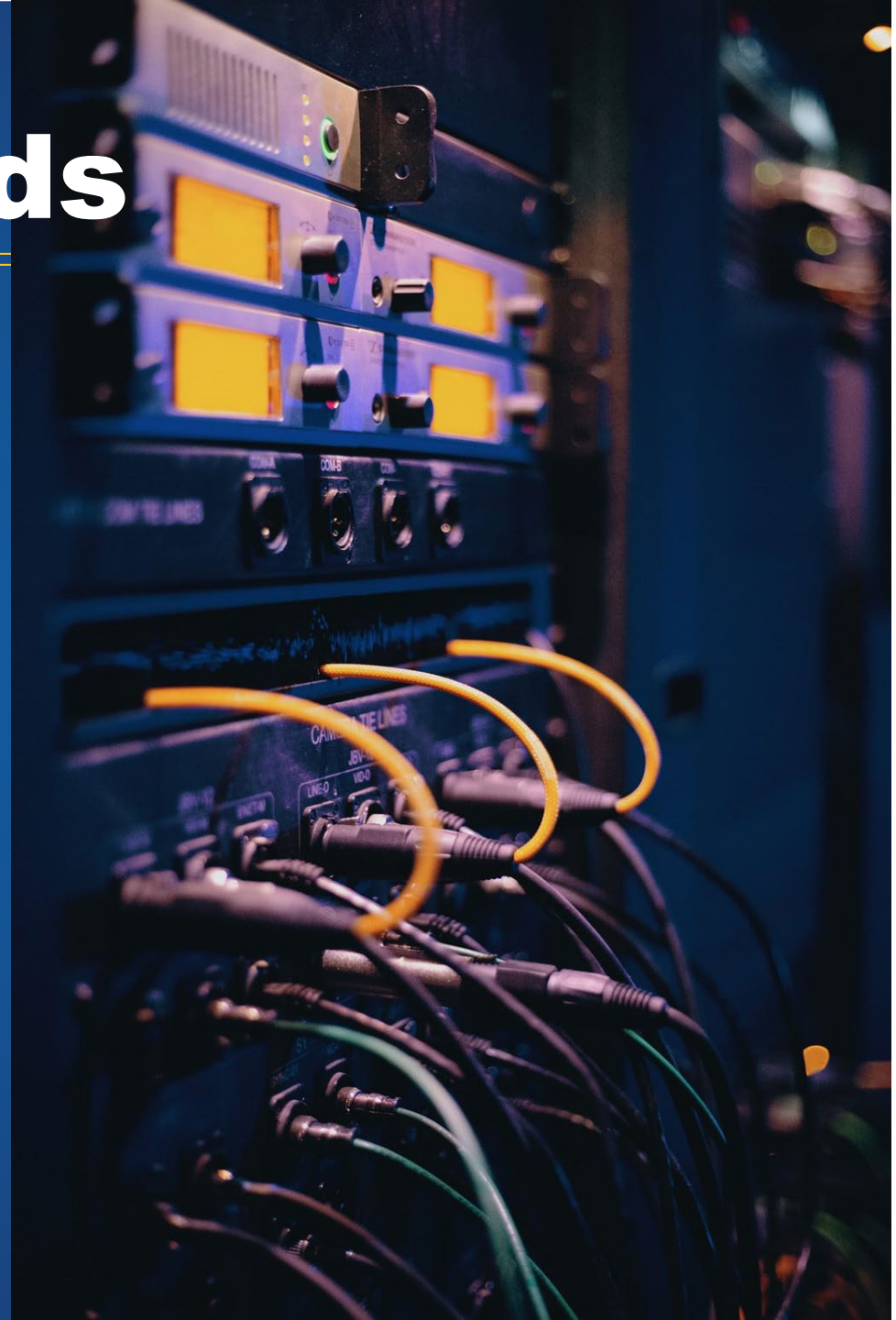
Cost of paper records

- Office space or State Records Center
- Backup?
- Security
- Staff access
- Public access

Cost of digital records

- Server space
- Systems and web integration
- Backups & integrity checks
- Cybersecurity
- Digitization
- Training staff
- Staff access
- Public access



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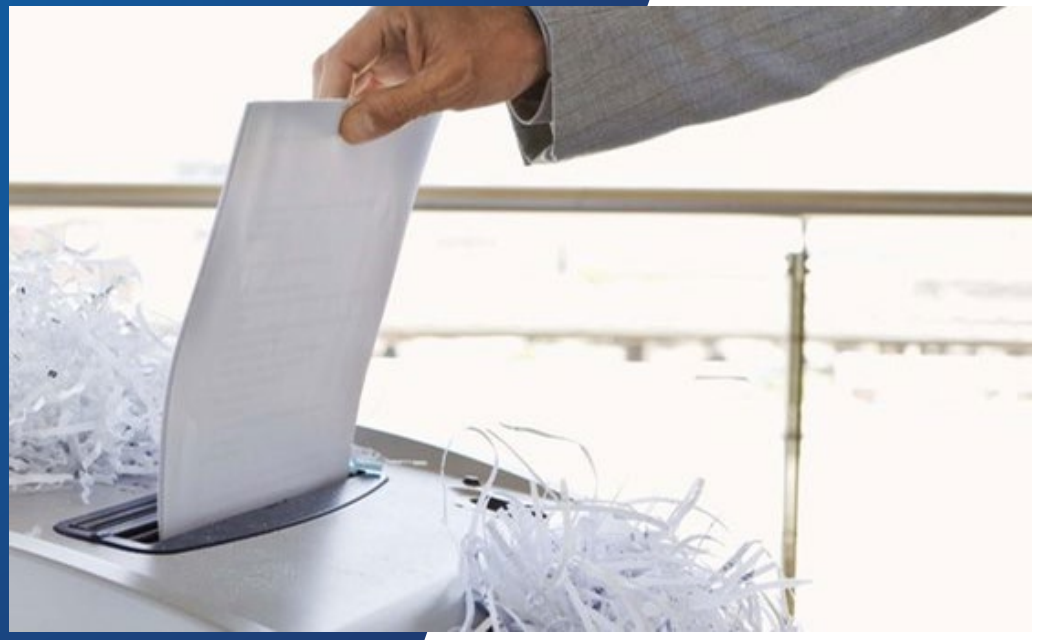

Questions?

Renée Wilson, RIM Specialist, Utah State Archives
reneewilson@utah.gov
801-531-3842

Find your RIM specialist at archives.utah.gov/rim/records-analysts.html