

Electronic Records and Record Disposition Strategies

Presenter: Marty Rehbein, CMC

Legislative Services Director/City Clerk

City of Missoula

Local Government Record Committee Chair

AIIM International Member

Local Government Record Committee

- SOSLocalGovtRecCom@mt.gov

Paige Trautwein– Clerk of the District Court, Ravalli County

Jodie Foley, Montana Historical Society – State Archives

Ray Dagnall, Secretary of State – Records and Information Management

Bonnie Ramey, Jefferson County – Office of the Clerk and Recorder

Terry Atwood, Genealogy Representative

Marty Rehbein, City of Missoula – Office of the City Clerk

Beth Riitano, Department of Administration – Local Government Services

Myth: You must either microfilm or use paper

Electronic storage allowed under 3-1-115 MCA
Electronic filing and storage of documents -- Rules
The Local Government Record Committee worked with the Secretary of State's office to revise an old outdated administrative rule.

- You can still retain long term records on paper or microfilm, but the new law allows electronic storage and the new rule provides a framework for electronic records management decisions for long term records (over 10 years)

New State Administrative Rule

- [44.14.202](#) STORAGE REQUIREMENT FOR ELECTRONICALLY STORED DOCUMENTS WITH GREATER THAN TEN YEAR RECORD RETENTION (LONG-TERM RECORDS)
- (1) The Local Government Records Committee adopts and incorporates by reference the Association of Records Managers & Administrators (ARMA) International's Generally Accepted Recordkeeping Principles® for local governments using electronic systems to store long-term records, ©2014 ARMA International, www.arma.org. Local governments should use them as the framework to design, implement, operate, and decommission the systems and to manage the records and data within the systems.
- (2) ARMA's Generally Accepted Recordkeeping Principles® can be accessed on the ARMA web site at the following link: http://www.arma.org/docs/sharepoint-roadshow/the-principles_executive-summaries_final.doc.

New Guidelines

- **Digital Records Creation and Preservation Guidelines for Local Government**
 - Montana State Archives
 - Local Government Record Committee
- Still draft, but full of great information!



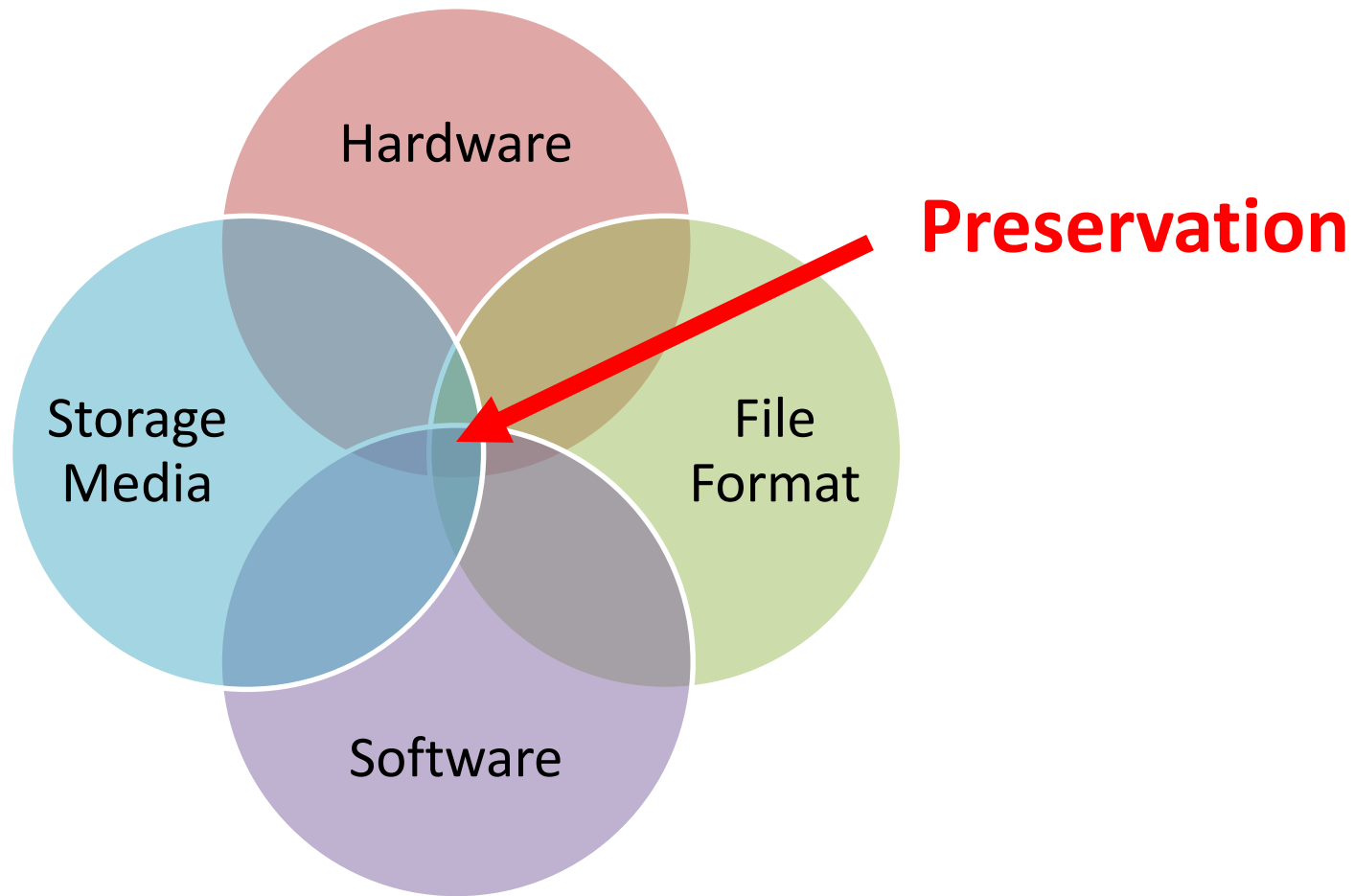
Learning Objectives

Generally Accepted
Recordkeeping
Principles

ERM Goals

Best Practices—
Scanning and
Disposal

Electronic Records are “Special”



What ARE You Managing?



What ARE You Managing?



To err is human—and to blame it on a computer is even more so!

~Robert Orben

Electronic Recordkeeping Principles The Principles[®]

www.arma.org



The Principles [®]

Accountability

Transparency

Integrity

Protection

Compliance

Availability

Retention

Disposition

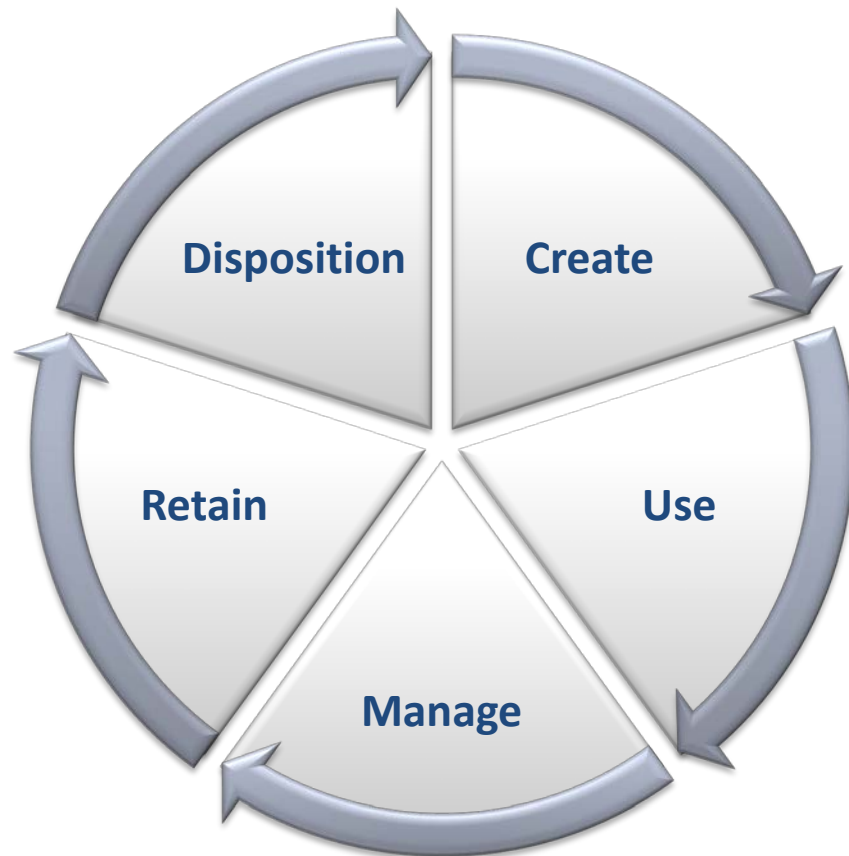


Records Continuum—Choices at every stage

Key Strategy:

Begin with the end in mind.

Be intentional.

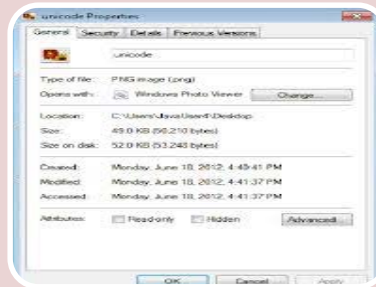




Questions to Ponder

- How many of you have had a hard drive or server failure and lost all your files?
- Have you ever not been able to find an electronic file you need?
- Have you ever bought a new information system to replace your old one? What did you do with the information and records on the old system? Did the transition go smoothly?
- Have you ever received a discovery request in a lawsuit for all records relating to X?
- Have you or someone you know ever been hacked or had their personal information compromised?
- Have you ever plugged in your backup only to find that your system was not actually backing up your files or the disk was unreadable or corrupted?
- Do you have information in “the cloud?” Where is the data center— is it in the US? Subject to US law? Do you own it, or does your service provider? Is it mirrored? Do you have a Service Level Agreement with respect to up time? What if you decide to change service providers?

Record Components



Content

Context

Structure



Electronic Records Management Goals



Electronic Records Preservation & Data Migration Plan

- A plan and commitment by your organization to ensure your long term electronic records are accessible and readable for their retention period.
- Use it to plan your exit from an existing recordkeeping system and/or plan the purchase and development of a new electronic recordkeeping system.

Preservation Strategies for Long Term Electronic Records

- Conversion
 - Example: Saving a Word Document as a RTF or PDF/A.
- Migration—Move record from one computer platform, storage medium or physical format to another.
 - Example: Moving records from CDs to a new storage medium.

Scanning: Quality Assurance (QA)

- Proof your images. Are they readable (even if they contain handwriting, colored ink, wrinkles, were skewed in the scanning process?)
- Did you capture the entire document—all the pages, front and back, if printed double sided?
- Are your scanning resolutions, formats set correctly for the document type?
- What are you scanning? Should it be scanned in color to preserve readability and/or authenticity?

Scanning: Quality Assurance (QA)

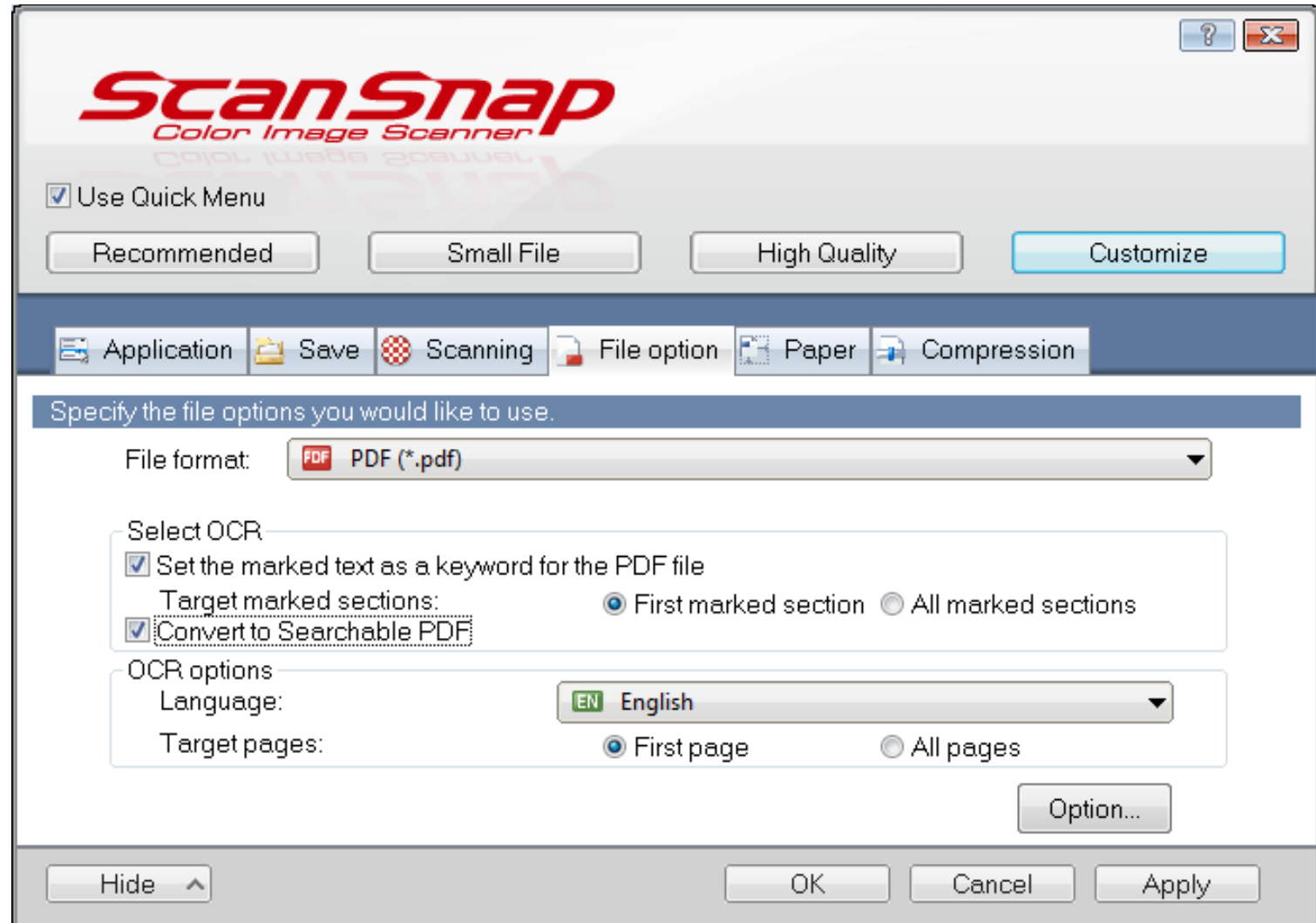
- Scanner encryption & compression settings—
Balance file size vs. information integrity
- File naming conventions—Staff should be trained. Often system file names relating to the date/time scanned are not sufficient.
- Sufficient indexing is required to reliably find records.

Scanning QA: Scanning Resolution

Text Documents

- 300 – 600 Dots Per Inch (DPI)

Optical Character Recognition (OCR)



Information Security Best Practices

- User rights management--Read only access for authorized users
- Do not require passwords to open files or to read media!
- Facility security—limit user access to storage facility (file rooms, server rooms, etc)
- Information protection—Use measures to protect the system, the hardware, and the information from hackers and disasters.
- Auditable—computers often include logs of who accesses information and when and what they do with it (print, copy, save, etc). How long are you retaining these logs on your system? Who has access? Can they be altered?

File format options for documents-- TIFF and PDF and PDF/A

| | TIFF | PDF | PDF/A |
|---------------------------|------------------------|------------------------|------------------------|
| Widely used & accepted | Yes | Yes | Yes |
| Encryption allowed | No | Yes | No |
| Considered archival | Yes | No | Yes |
| Embeds fonts | No | Sometimes | Always |
| Bookmarks in the document | No | Supported | Supported |
| File sizes | Generally smaller | Generally smaller | Generally larger |
| OCR | Yes, must be turned on | Yes, must be turned on | Yes, must be turned on |
| Digital signatures | No | Yes | Yes |

Choosing storage media: Best Practices

- All digital media and hardware have limited life expectancy. Some are longer than others. Choose wisely.



Choosing storage media: Best Practices

- Durability--Withstand wear and environmental conditions—"Mean time between failures."
- Widespread Adoption and Use—More stakeholders have a vested interest in keeping storage media viable and well-supported.

Choosing storage media: Best Practices

- Integrity—Protection against data corruption
- Redundancy—Business continuity, data recovery, loss protection—at least one copy in a separate geographic location.

Choosing Media

| Format | Short Term | Long Term | Do Not Use |
|---------------------|------------|-----------|------------|
| Hard Disk Drive | X | X | |
| Solid State Drive | X | X | |
| Magnetic Tape | X | | |
| Cloud Storage | X | X | |
| Optical (All Types) | X | | |
| USB Flash | | | X |
| Obsolete media | | | X |

Electronic Records Summary

- Be intentional, do research
- Use the right tools to manage your electronic documents
- Regularly assess accessibility
- One size does not fit all documents, business processes, risk profiles
- Use broadly adopted standards and methodologies
- Back up your information!
- Vigilance—no “set it and forget it”
- Migratable—You’ve thought about how your records can outlive systems they are created by and/or media they stored on.

Questions?