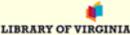


Intermediate Records Management



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What we'll cover

- Performing a Records Officer's duties (RM-25 Form)
- Ensuring schedule accuracy (RM-20 and RM-19 Forms)
- Records disposition (RM-3 and RM-17 Forms)
- Being an effective Records Officer



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What is a record?

"Public record" or "record" means recorded information that documents a transaction or activity by or with any public officer, agency or employee of an agency. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.

Code of Virginia, § 42.1-7
Virginia Public Records Act

RM-19 Form

- Have those that use the records complete the survey
- Check for any state or federal regulations or laws
- Consult with your Records Analyst
- Submit completed RM-19 to your Records Analyst



Step 3: Create and review schedule

Once you have submitted all RM-19s, your analyst will

- Review the form and ask for clarification when necessary
- Take the information and craft it into a draft schedule
- Review draft schedule with Records Analysis division
- Submit draft schedule to you for approval
- Present draft schedule to the Records Oversight Committee (ROC) at the LVA



Step 4: Schedule approval

Once the schedule has been approved at ROC, you will

- Receive schedule cover page from your analyst
- Sign the schedule
- Obtain agency head signature
- Return schedule to your analyst
- Wait for analyst to return final schedule to you



Records Disposition

Destroying non-permanent records or transferring permanent records to the Archives at LVA

Records disposition

- **Destroy** records that have reached the end of their retention and complete a Certificate of Records Destruction (RM-3 Form)
- **Transfer** eligible permanent records to the Archives at the Library of Virginia on a Records Transfer List and Receipt (RM-17 Form)

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Certificate of Records Destruction (RM-3 Form)

www.lva.virginia.gov/agencies/records/forms.asp

- Complete form
- Obtain approving official signature
- Sign
- Arrange for records to be destroyed
- Obtain signature of individual or company that witnessed destruction of records after the records have been destroyed Submit original RM-3 to LVA
- Maintain copy of RM-3 in your office in accordance with GS-19 or GS-101

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Code of Virginia § 42.1-86.1

Virginia Public Records Act (VPRA)

"C. Each agency shall ensure that records created after July 1, 2006 and authorized to be destroyed or discarded in accordance with subsection A, are **destroyed or discarded in a timely manner** in accordance with the provisions of this chapter; provided, however, such records that contain identifying information as defined in clauses (ii) through (ix), or clause (xii) of subsection C of §18.2-186.3 shall be **destroyed within six months of the expiration of the records retention period.**"

What does a "timely manner" mean?

The Library of Virginia interprets "timely manner" to mean that records scheduled for destruction will be destroyed no later than the end of the year (calendar or fiscal) in which the retention period expires.

17VAC15-120

Regulations Governing the Destruction of Public Records Containing Social Security Numbers

- Paper records must be shredded, pulped, or incinerated. If shredding, must use a cross-cut shredder that reduces paper to a size no wider than 3/8 inches
- Back-up tapes and computer hard drives must be overwritten or destroyed
- Magnetic media must be overwritten or exposed to a magnetic field to disrupt information
- Vendors must be bonded

Records Transfer List and Receipt (RM-17 Form)

- Identify schedule and series number
- Determine the volume of records and order acid free boxes
- Label boxes
 - name of the agency or locality
 - administrative subdivision
 - records series title and dates
 - contents of the box, meaning the name or number of the first and last files in the box
 - box number

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**Being an Effective
Records Officer**

Strategies to gain support from
management and staff

Strategies

- Include records management duties in job description and identify the percentage of time devoted to the responsibility
- Incorporate the Records Officer function into your daily work routine
- Designate records coordinators

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Management support

- Meet with management
- Make designation as Records Officer publicized throughout organization
- Have management introduce you as the Records Officer

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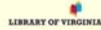
Staff support

- Communicate with staff through a Web site, mailing list, or publications
- Coordinate records management events, such as a shredding day, that include prizes and recognition within the agency
- Meet with each department or division and offer your assistance



Program budget

- Outline major projects or tasks to be accomplished
- Submit a listing of all necessary supplies, services, equipment, and staffing with a cost justification
- Calculate the cost of major objectives such as records disposal, reformatting programs, and records storage per fiscal year



Auditing

- Review RM-3 Form's to ensure that records are being disposed properly
- Check with staff to determine if new series are being created but not scheduled
- Seek the assistance of your internal auditor and others who are knowledgeable about use of the records



Professional organizations



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Virginia Public Records Management Manual

The VPRMM is a guide to the best practices for managing public records and information. The manual offers guidance on using schedules, destroying records, reformatting records, and more.

www.lva.virginia.gov/agencies/records/manuals/vprmm.pdf

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Join the Virginia Records Officer Listserv

VA-ROL is an electronic mailing list through which Records Analysis staff announce upcoming workshop and updates to the General Schedules. The listserv also offers a forum for the discussion of records management topics by Virginia's local and state government officials.

www.lva.virginia.gov/agencies/records/varol.htm

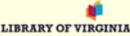
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BREAK

0
Minutes
Remaining

Coming up: Electronic Records Management

**Electronic Records
Management**



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What we'll cover

- Electronic records responsibilities and challenges
- Storage media and database concerns
- Reformatting
- Metadata
- Email management



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What is a record?

"Public record" or "record" means recorded information that documents a transaction or activity by or with any public officer, agency or employee of an agency. **Regardless of physical form or characteristic**, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. **The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.**

COV § 42.1-77, Virginia Public Records Act

What is an electronic record?

- An electronic record is a record created, generated, sent, communicated, received, or stored by electronic means.
- **Formats Include:**
 - Word processing files
 - Spreadsheets
 - Email
 - Web sites
 - Databases
 - PowerPoint presentations
 - Scanned images
 - Multimedia files
- **Storage Media Include:**
 - Hard drives
 - CDs
 - Magnetic Tape
 - Diskettes
 - DVDs
 - Network Servers

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Electronic Records Responsibilities and Challenges

Your responsibilities with electronic records

Responsibility for electronic records

The agency shall be responsible for ensuring that its **public records are preserved, maintained, and accessible throughout their lifecycle, including converting and migrating electronic records** as often as necessary so that information is not lost due to hardware, software, or media obsolescence or deterioration. Any public official who converts or migrates an electronic record shall **ensure that it is an accurate copy of the original record**. The converted or migrated record shall have the force of the original.

COV § 42.1-85

Electronic records challenges

- Media degradation and obsolescence
- Format obsolescence
- Cooperative effort between
 - Records management staff
 - Management
 - Legal counsel
 - Information technology department
- Major advantage = major liability
 - Ease of copying and modification

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More challenges

- Controlling accumulation and duplication
- Maintaining records in a way which will enable retrieval of all documents relevant to a transaction
- Ensuring that records are destroyed at the end of their retention period in order to avoid
 - Overloading systems
 - Indiscriminate dumping

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Electronic records destruction

- Records containing identifying information must "be destroyed within six months of the expiration of the records retention period." COV § 42.1 -86.1
- Electronic media containing Social Security numbers must be overwritten, degaussed or physically destroyed at the end of its retention period. 17VAC15-120
- Deletion ≠ destruction!



Storage Media and Database Management

Criteria to consider when selecting media

Database Management

- Have ability to take files offline and store them (inactive table)
- Retrieve inactive files for the full duration of the retention period
- Identify records eligible for deletion or preservation
- Document what has been deleted or transferred



Storage media considerations

- Large enough to accommodate future growth.
- Appropriate level of certainty for the recovery and security of data.
- Non-rewritable media is best when concerned about record longevity or security.
- Digital storage media is not adequate for long-term or archival preservation of records. Migration will be necessary.

Reformatting

Advantages and disadvantages of digital imaging

When reformatting, remember...

- It is legal to reformat records into digital form (*Code of Virginia* §8.01-391, Copies of Originals as Evidence)
- No Certificate of Records Destruction (RM-3 Form) required for destruction of originals
- Must have a quality control process in place
- RM-3 Form is required when reformatted records are destroyed
- Need an indexing system

Reformatting Standards

- **ANSI/AIIM MS44-1988 (R1993)**
Recommended Practice for Quality Control of Image Scanners
- **AIIM MS52-1991**
Recommended Practice for the Requirements and Characteristics of Documents Intended for Optical Scanning

Digital Imaging Advantages

- Reduced need for physical storage space
- Multiple users and access levels
- Shorter retrieval time for users or during discovery
- Ability to search using optical character recognition (OCR)

Digital Imaging Disadvantages

- Retention periods may be harder to implement
- Significant equipment costs
- Hardware and software upkeep
- Complex and time-consuming
 - Image capture
 - Quality control
 - Metadata management

Metadata

Data about data

Metadata

- Data describing context, content, and structure of records and their management through time
- Data about data
 - Creator
 - Contributor
 - Date
 - Modifications
 - Document type

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Email is not always correspondence!

■ Work Orders - Administrative Copies

Retain 3 years then destroy.

■ Grant Records (Non-fiscal)

Retain in accordance with terms of grant or 5 years after termination, whichever is greater, then destroy in compliance with no. 8 on the schedule cover page.

■ Grievance Records and Reports

Retain 3 years after closure then destroy in compliance with No. 8 on schedule cover page.

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Non-records vs. records

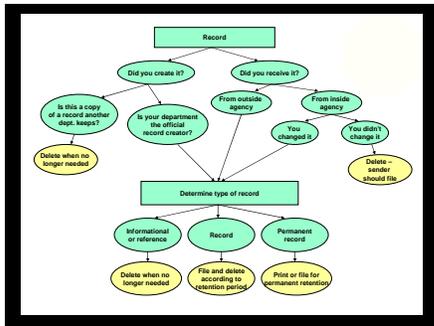
Non-Record

- Routine requests for information
- Security backup files
- Reference copies

Record

- Responses requiring special compilation or research
- Correspondence concerning policy
- Implementation/management of programs

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Acceptable e-mail storage

- Storing e-mail within an electronic mail system
- Printing e-mail along with any transmission and receipt data and maintaining them in a manual filing system
- Storing, accessing, and managing e-mail messages and other electronic records using an Enterprise Content Management (ECM) system
- Creating folders that are stored outside of the mailbox but can be viewed using the e-mail client (.pst file)

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Organizing your email

- Organize e-mail in folders by records series or subject area and fiscal or calendar year.
- Establish agency- or division-wide filing structures.
- Archive manually and frequently.



Manual versus Auto-Archiving

- "AutoArchiving" is an automatic process (if turned on within Outlook) that takes place at regular intervals
- Rather than using the "AutoArchiving" function, users should set aside time (every week or month, for example) to clean up mailboxes and manually organize emails according to retention schedules

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Discoverability and liability

- E-mail records are subject to the same accessibility requirements as other public records – they are exempt from access only if they fall within the exemptions provided under FOIA.

The screenshot shows the Library of Virginia website's "Electronic Records" page. The header includes the Library of Virginia logo and navigation links for "For the Public", "For Localities & State Agencies", and "For Libraries & Educators". The main content area is titled "Electronic Records" and contains three sections: "Electronic Records Overview (October 2010)", "Records Management Guidelines (May 2010)", and "Digital Imaging Guidelines (October 2008)". A blue hyperlink is provided: www.lva.virginia.gov/agencies/records/electronic/index.htm. The footer contains contact information for the Library of Virginia, including the address (800 East Broad Street, Richmond, Virginia 23219), phone number (804-692-3600), fax number (804-692-3603), and website URL.

Records Analysis Services

800 East Broad Street
Richmond, VA 23219

Phone: 804-692-3600
Fax: 804-692-3603

www.lva.virginia.gov/agencies/records