Introduction to Records Management

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Records and Information Management Service

| Department of Education and Early Development (DEED) |
| Division of Libraries Archives and Museums (LAM) |
| Alaska State Archives |
| Records and Information Management Service (RIMS) |
| Imaging and Microfilm Service (IMS) |
In this presentation, we will look at:

- Terminology
- State Statutes and Regulations
- Records Management in Action
- Retention Schedules
- Disaster Preparedness
- Additional Resources and Services
RIMS TERMINOLOGY
RIMS Terminology

**Records Management**

- The creation and implementation of systematic controls for records and information activities from the point where they are created or received through final disposition or archival retention, including distribution, use, storage, retrieval, protection and preservation.
RIMS Terminology

**Retention Schedule** [AS 40.21.150 (6)]
- A comprehensive list of records series stating the length of time each record type is to be maintained along with their final dispositions (destruction or historical archiving).

**Record Series**
- A group of records filed together and treated as a unit because they are related by their function, activity, or subject.
RIMS Terminology

**Record** [AS 40.21.150 (6)]
- ... document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic...

**Electronic Record** [AS 40.21.150 (4)]
- Any information that is recorded in machine readable format.
RIMS Terminology

**Record Copy**

- The copy of the record that must be retained to fulfill any legal responsibilities and must be retained for the total retention period on the retention schedule.

**Non-Record Copies and Duplicates**

- Copies of records used for reference or convenience.
RIMS Terminology

**Active Records**
- Records that are still used regularly and need to be retained for easy access or use

**Inactive Records**
- Records that are no longer used regularly, but still need to be retained in order to complete their retention period.
STATE STATUTES
“record” means any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them
Provides certain protections for personal information, such as:

- Passport, driver's license, or state identification numbers
- Credit, debit or payment card number
- Financial account information, or information from a financial application; or

- A combination of an individual's
  - (i) name and
  - (ii) medical information, insurance policy number, employment information, or employment history
RECORDS MANAGEMENT IN ACTION
Why is Records Management Important?

- Comply with federal regulations and state statutes
- Document history of institution
- Improve efficiency and productivity
- Provide proof of existence, activities, and processes
- Provide litigation and audit support
Benefits of Records Management

- Manage growth of record holding
- Improve storage and retrieval
- Identify and protect essential records
- Meet fiscal, archival, legal, and administrative requirements
- Preserve corporate memory
Implications of Improper Records Keeping

- Waste of resources to store records
- Waste of staff time to search for records
- Possible liability issues
- Possible destruction of permanent or archival records
- Possible destruction of records before meeting fiscal or legal requirements
- Required to produce records in discovery proceedings that otherwise should have been destroyed
Implications of Improper Records Keeping

- Poor management of information assets
  = wasting resources to store and search
- Lack of enforcement invites ad hoc decisions
- Haphazard and reactive records destruction
  = liability and possible loss of historic and/or essential records
Lifecycle of a Record

Create or Receive → Active → Inactive → Dispose or Archive
Long-Term Storage and Preservation

- Parchment paper: 5000 years
- Paper: 1000 years
- Microforms: 500 years
- Magnetic: 20 years
- Electronic: Depends
# Preservation Formats for Electronic Records

<table>
<thead>
<tr>
<th>File Type</th>
<th>Preferred Formats</th>
<th>Acceptable Formats</th>
</tr>
</thead>
<tbody>
<tr>
<td>Text</td>
<td>PDF/A, ODF, Unicode Text</td>
<td>DOC, DOCX, PDF</td>
</tr>
<tr>
<td>Scanned Text</td>
<td>TIFF, JP2, PNG, PDF/A</td>
<td>JPEG, GIF, PDF</td>
</tr>
<tr>
<td>Spreadsheet</td>
<td>CSV, ODS, XML</td>
<td>XLXS, XLS</td>
</tr>
<tr>
<td>Email</td>
<td>EML, MBOX</td>
<td>XML, MSG, PDF</td>
</tr>
<tr>
<td>Images</td>
<td>TIFF (uncompressed)</td>
<td>JPEG, DNG, PNG, JP2</td>
</tr>
<tr>
<td>Audio</td>
<td>BWF, FLAC</td>
<td>AIFF, MP3, WAV</td>
</tr>
<tr>
<td>Audiovisual</td>
<td>DPX</td>
<td>AVI, MOV, WMV, MPEG4, MPEG2</td>
</tr>
<tr>
<td>Vector Graphics</td>
<td>X3D, STEP</td>
<td>PDF/E, U3D, PRC</td>
</tr>
</tbody>
</table>

Electronic Records

TAKE IMMEDIATE ACTION

Electronic records require immediate attention to ensure they are preserved and accessible. Do not wait until your software is being replaced or a project is ending to think about how your records are going to be preserved.

MAKE YOUR RULES

Naming conventions, hierarchical file organizations, version control, and disposition strategies will help you now and in the long term. Ensure all employees and contractors know and follow these rules.

BACKUP YOUR RECORDS

Backups serve to guarantee short-term continuity of operations, capturing a snapshot of electronic records at a certain moment in time and allowing for quick restoration after data loss, system crashes, or natural disasters.
RETENTION SCHEDULES
### Local Government Model General Administrative Records Retention Schedule

#### Schedule 300.1

**Local Government Model**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Records Series Title &amp; Description</th>
<th>Retention &amp; Disposition</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.1</td>
<td>Accession Records: Documentation library/museum acquisitions and may include data purchased/owned, publisher, classification code, donor/ donor file, etc.</td>
<td>Retain Permanently</td>
<td></td>
</tr>
<tr>
<td>15.2</td>
<td>De-accession Records: Items transferred, returned to donor, or disposed</td>
<td>Retain Permanently</td>
<td></td>
</tr>
<tr>
<td>15.3</td>
<td>Circulation Records: May include privileged patron information, circulation cards, overDue notices, etc.</td>
<td>C then destroy</td>
<td>Confidential per AC 02.19.14 (Confidentiality of Library Records)</td>
</tr>
<tr>
<td>15.4</td>
<td>Shelf Lists, Inventories &amp; Information Systems: Documenting repository materials.</td>
<td>C then destroy</td>
<td>Record disaster recovery base are stored offline. Disposition of records are related according to established repository procedures.</td>
</tr>
<tr>
<td>15.5</td>
<td>Accreditation Files: Documenting library and museum accreditation.</td>
<td>Retain Permanently</td>
<td></td>
</tr>
<tr>
<td>15.6</td>
<td>Reference Request Files: This records series is used for statistical purposes and documents pertinent researcher data (name, address, research topic and materials requested).</td>
<td>C = Until administrative need is met. Confidential per AC 40.15.14 (Confidentiality of Library Records).</td>
<td></td>
</tr>
</tbody>
</table>

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**Conservation Reports:**

Series consists of artifact conservation records. Includes survey reports, treatment reports, eight and negatives, negatives, slides and negatives. Retain Permanently.
Agency Specific Schedules

**Division of Libraries, Archives & Museums**

- 76 - State Historical Records Advisory Board #05-76.2 [PDF]
- 141 - Alaska State & Sheldon Jackson Museums #05-141.1 [PDF]
- 145 - Director #05-145.1 [PDF]
- 524 - Alaska State Archives/Records & Information Management Service #05-524.1 [PDF]
- 682 - Alaska State Library #05-682.1 [PDF]

**Division of Early Development**

- 454 - Division of Early Development #05-454.1 [PDF]

**Alaska Commission on Postsecondary Education**

- 156 - Alaska Commission on Postsecondary Education #05-156.2 [PDF]

**All Agency Retention Schedules**

- 01 - Office of the Governor
- 02 - Administration
- 03 - Law
- 04 - Revenue
- 05 - Education and Early Development
- 06 - Health and Social Services
- 07 - Labor and Workforce Development
- 08 - Commerce, Community, and Economic Development
- 09 - Military and Veteran's Affairs
- 10 - Natural Resources
- 11 - Fish and Game
- 12 - Public Safety
- 16 - Environmental Conservation
- 20 - Corrections
- 25 - Transportation and Public Facilities
- 33 - Legislature
### Agency Specific Schedule

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Title &amp; Description</th>
<th>Format</th>
<th>Total Retention</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>004</td>
<td>Inter-Library Loan (ILL) Requests</td>
<td>H &amp; E</td>
<td>CY+3</td>
<td>Confidential under AS 40.25.140, Confidentiality of Library Records. Retention per CONTU Guidelines.</td>
</tr>
<tr>
<td>005</td>
<td>Reference Requests</td>
<td>H &amp; E</td>
<td>C</td>
<td>Confidential under AS 40.25.140, Confidentiality of Library Records.</td>
</tr>
<tr>
<td>006</td>
<td>Historical Collections Researchers Log</td>
<td>H</td>
<td>CY+2</td>
<td>Confidential under AS 40.25.140, Confidentiality of Library Records.</td>
</tr>
<tr>
<td>007</td>
<td>Historical Collections Pending Accession File</td>
<td>H &amp; E</td>
<td>C</td>
<td>Confidential under AS 40.25.140, Confidentiality of Library Records.</td>
</tr>
<tr>
<td>008</td>
<td>De-Accession File</td>
<td>H &amp; D</td>
<td>FD</td>
<td>Confidential under AS 40.25.140, Confidentiality of Library Records.</td>
</tr>
</tbody>
</table>

**Inter-Library Loan (ILL) Requests**

This records series is used for statistical purposes. May include information such as name, address, research topic, and materials requested as well as correspondence with the patron regarding fulfilling ILL requests. Personally identifiable information is removed from ILL requests once the request has been fulfilled. Arranged chronologically.
Records Retention Schedule Examples

- Records Retention and Disposition Schedule, Albright-Knox Gallery Archives
- Records Retention Schedules, Baltimore Museum of Art
- Records Schedule, Smithsonian Institution Archives
- Getty Information Management Schedule, The J. Paul Getty Trust
- Records Disposition Schedule, National Park Service
- Records Retention and Disposition Schedule, Cleveland Museum of Art
KEEP OR TOSS?
Is the email related to your job or official business?

- **YES**
  - Official correspondence?
  - Meeting minutes?
  - Related to policy decisions?

  **MOST LIKELY PERMANENT:**
  Check against your retention schedule. Transfer records to long-term storage.

  - Travel reservations?
  - Appointment confirmations?
  - Routine correspondence?
  - Drafts?

  **MOST LIKELY NON-PERMANENT:**
  Retain and delete according to retention period listed on your retention schedule.

- **NO**
  - Personal?
  - Junk mail?
  - Unsolicited?

  **NON-PERMANENT:**
  Delete when reference value ends (or delete immediately).
Is the document related to the work you do?

- **Yes**
  - Did you create the document?
    - **Yes**
      - Does it explain, justify, or document an action or decision?
        - **Yes**
          - **MOST LIKELY PERMANENT:**
            - Check against your retention schedule.
            - Transfer records to long-term storage.
        - **No**
          - **MOST LIKELY NON-PERMANENT:**
            - Retain and delete according to retention period listed on your retention schedule.
    - **No**
      - **MOST LIKELY NON-PERMANENT:**
        - Retain and delete according to retention period listed on your retention schedule.

- **No**
  - Did you receive the document?
    - **Yes**
      - Do you need to take action?
        - **Yes**
          - **MOST LIKELY PERMANENT:**
            - Check against your retention schedule.
            - Transfer records to long-term storage.
        - **No**
          - **MOST LIKELY NON-PERMANENT:**
            - Retain and delete according to retention period listed on your retention schedule.
DISASTER PREPAREDNESS
Disaster Preparedness

- Prepare a written disaster plan
- Keep a disaster supply kit
- List your essential records
- Communicate with your local first responders
- Keep backups off-site
Disaster Preparedness

- Lives are more important than records

- Identify essential records:
  - Essential records are **IRREPLACEABLE** and vital to an organization
  - Necessary to resume or continue operations
  - Necessary for emergency response
  - No more than 7% of total records
<table>
<thead>
<tr>
<th>PRIORITY FOR ACCESS</th>
<th>ESSENTIAL RECORDS ARE RECORDS THAT:</th>
<th>EXAMPLES INCLUDE:</th>
</tr>
</thead>
</table>
| Priority 1: First 1-12 hours | Are necessary for emergency response | • Copy of emergency and/or Continuity of Operations (COOP) Plan  
• Disaster recovery plan  
• Infrastructure and Utility plans  
• Maps and building plans  
• Emergency contact information |
|                     | Are necessary to resume or continue operations | • Employee lists or rosters  
• Delegations of authority  
• Contracts and leases  
• Payroll  
• Prison, jail and parole records  
• Insurance records  
• Accounts payable and receivable records |
| Priority 2: First 12-72 hours | Protect the health, safety, property, and rights of residents | • Deeds, mortgages, land records  
• Birth and marriage records  
• Medical records  
• Active court proceedings or police investigations  
• Education and military service records  
• Voting records  
• Professional licenses  
• Hazardous substance files |
|                     | Would require massive resources to reconstruct | • Geographic information systems data  
• Tax records  
• Unique computer programs |
| Priority 3: After first 72 hours | Document the history of communities or families | • Historical documents  
• Photographs  
• Identity records  
• Property ownership records  
• Municipal incorporation/charter documents |
ADDITIONAL RESOURCES
GUIDANCE

Basic:
- Permanent and Historical Records (PDF)
- Agencies Being Reorganized or Terminated (PDF)
- Benefits of Effective Records Keeping (PDF)
- Filing and Storing Records (PDF)
- Guide for Departing Employees (PDF)
- Guide for New Employees (PDF)
- Quick Guide to the Best Record Format (PDF)
- Records Vesting Planning (PDF)
- Records Retention and Disposition Schedules (NRDS) (PDF)
- Records Retention for File Creation and Updates (PDF)
- Storage of Permanent Digital Records (PDF)
- Tips for Good Records Keeping (PDF)
- Transferring Records to the Archives

Electronic Records:
- ARDAI Model (PDF)
- Building a Trustworthy Information System Master (PDF)
- E-Records Tips (PDF)
- Guidelines for Digitizing or Microfilming Records (PDF)
- Guidelines for Writing Emails (PDF)
- ESP-125 Electronically Stored Information Hold and Search Requests Policy (State Employees Only)
- Naming Conventions for Digital Documents (PDF)
- Open Archival System (OASIS) 2014 (PDF)
- Records Management Metadata (PDF)

Records Officers:
- Department/Agency Records Officers (PDF)
- Introduction For New Records Officers (PDF)
- Records Officer Delegation Examples (PDF)

Business Essential Records/Emergency Planning:
- Records Emergency Planning and Response for the Alaska State Archives (PDF)

E-MAIL MANAGEMENT

- E-mail Archiving Policy (PDF)
- E-mail Archiving FAQs
- Quick Reference Guide, Executives (PDF)
- Quick Reference Guide, Non-executives (PDF)
- ETS Messaging Website (Includes e-mail archiving)
- Longterm E-mail Policy request Form (PDF)
Imaging and Microfilm Service

- Document preparation for scanning or microfilming
- Digital scanning or microfilming of source documents
- Digital scanning of microforms (film, fiche, aperture cards)
- Quality control check of source documents
- Optical Character Recognition (OCR) for text searchable PDF files
- Secure microfilm storage for disaster recovery and essential record copies
QUESTIONS?
Contact Information

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archives.alaska.gov