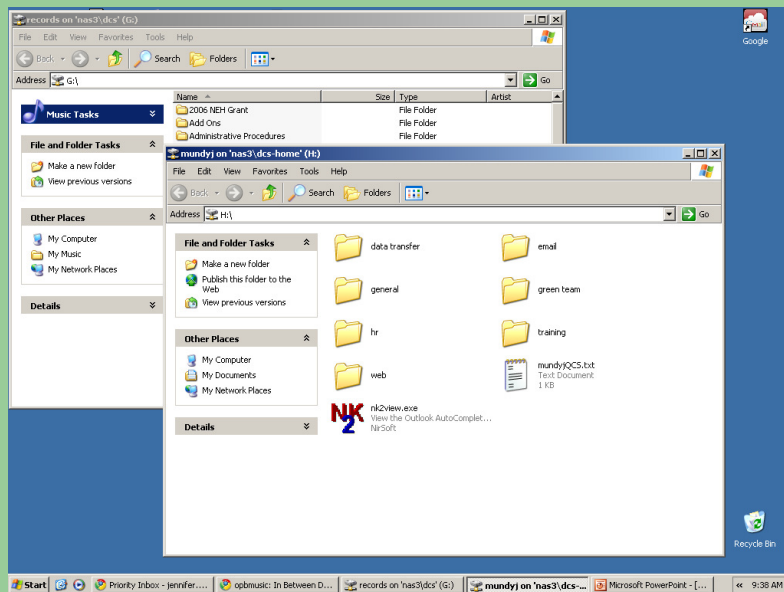


Electronic Records Management



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Max Johnson

Record Management Program
Multnomah County

Agenda

- Introductions
- Why?
- Definitions
- Retention
- Classification
- Managing Electronic Records

Goals for Today

1. Identify reasons and a common language for working together on organization
2. Determine what to keep/delete
3. Master “Classification 101”
4. Learn tips for managing electronic records

Records Management Program

- Records Center and Archives
- Retention schedules
- Consulting and training
- Image conversion services

Why?

Why do you need skills in good records keeping?

The responsibility is in your hands to use these technologies in a manner that protects the public interest.

Why?

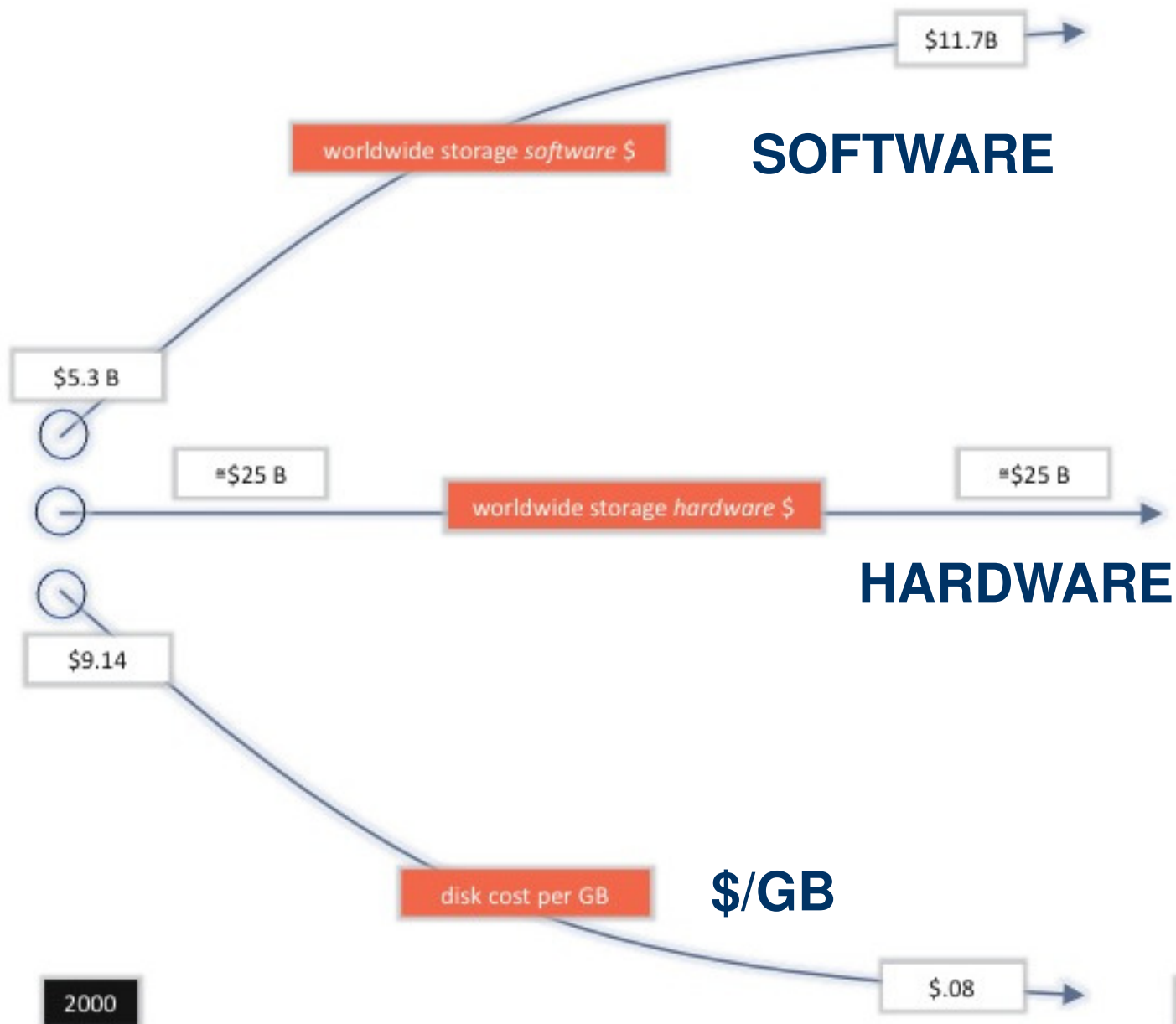
Improves Accountability and the Quality of Public Service



Public records responses become more efficient, accurate, and consistent.

Reduces Costs

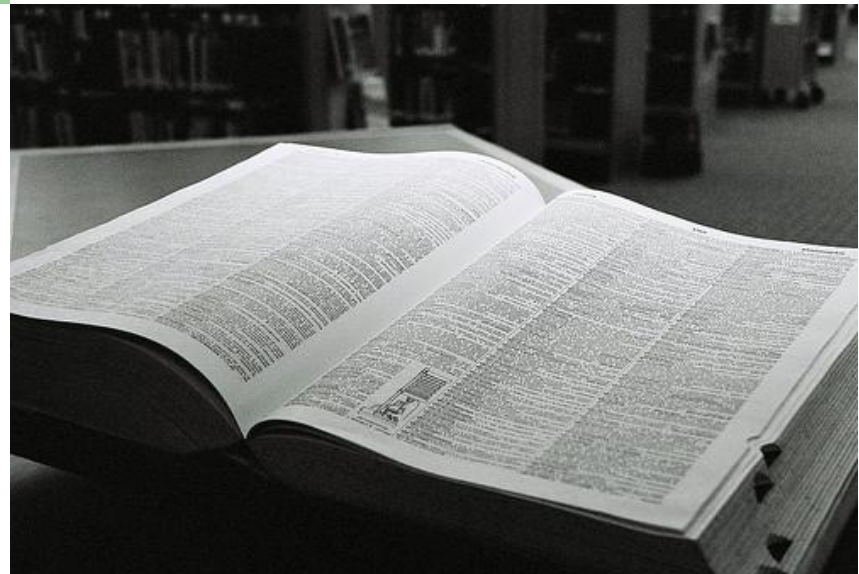
- Ensures records are available for audit and legal purposes
- Reduces costs of maintaining too many records



Sources:
 -IDC Quarterly Storage Software Tracker
 -Worldwide Quarterly Disk Storage Systems Tracker
 -Cost of Hard Drives 1956-2010

Definitions and Concepts

- 1. Public Records**
- 2. Record Copy**
 - **Custodianship**
 - **Completeness**
 - **Context**
- 3. Public Access**
- 4. Retention**



greeblie, "Dictionary," 8 March 2009 via Flickr, Creative Commons Attribution.

1. “Public Record” means any information that:

- (A) Is prepared, owned, used or retained by a state agency or political subdivision;
- (B) Relates to an activity, transaction or function of a state agency or political subdivision; and
- (C) Is necessary to satisfy the fiscal, legal, administrative or historical policies, requirements or needs of the state agency or political subdivision.

1. Public Records

Do not include:

- “(d) Extra copies of a document, preserved only for convenience of reference.
- (e) A stock of publications.
- (f) Messages on voice mail”

Oregon State Archives, ORS 192.005 (5)

2. Record Copy

- County's official copy of a public record
- The opposite of “(d) *Extra copies of a document, preserved only for convenience of reference.*”
- “3 Cs”: *Custodianship, Completeness, and Context*

2. Record Copy: *Custodianship*

- “Records custodians” are the people responsible for maintaining the record copies that document the particular activities, transactions or functions their office is responsible for.

2. Record Copy: *Custodianship*

- Who that is varies depending on the business needs of a given organization
 - Program Specialists who **create** reports.
 - Office assistants who **file** records.
 - People who **manage** programs.
 - Records Center and IT staff who **maintain** enterprise records systems.
 - Where also varies: SAP, Shared Drives, EPIC, Central Files.

2. Record Copy: *Custodianship*

- In large shared systems, the roles we play as records custodians are established by policy and procedure.
- In general, you are the records custodian for the records you create and maintain at your desktop.

2. Record Copy: *Custodianship*

- A. A weekly activity report you create, which you occasionally share with others.
- B. The “Wednesday Wire” outlining upcoming county events which you receive every Wednesday.
- c. An email response you sent to a citizen in answer to a question involving your services.
- D. A scanned image of a document.

2. Record Copy: *Custodianship*

- Safe rules - You are the records custodian responsible for maintaining the record when:
 - you create a record related to your job duties or business function, or
 - you receive a record related to your job duties or business function from an external source.

2. Record Copy: *Completeness*

- The “record copy” is also the version of the record which is the most *complete*.
 - Most commonly, this occurs at the end of a workflow, such as a complete timesheet.

2. Record Copy: *Completeness*

1. Your report on contracts is incorporated as a whole into a larger departmental report.
2. You created draft A, which was merged with Suzie's draft B, and Michael's draft B.2, all of which got incorporated in Molly and Bob's draft F.5.2, which produced the final report.

2. Record Copy: *Context*

- A complete record maintains its context.
- Context is what gives a record meaning.

2. Record Copy: *Context*

- Sometimes the same record may serve a different purposes when placed in different contexts. *In this case, both would be considered “record copy”.*



2. Record Copy: *Context*

- The quarterly reports on volunteer hours worked, from last year, are incorporated into a grant application for next year.
- Context = complete memory. *Will I need this information in the future to do my job?*

2. Record Copy: *Summary*

- You need to keep the record because:
 - You are the Record **Custodian**, responsible for the activities, functions and transactions documented in the record; and/or
 - The record you are maintaining is the most **complete** version; and/or
 - The record provides important **context** to provide documentation of activities, functions and transactions, and...
 - ..keeping this record will help me do my job.

3. Public Access

- Every person has a right to inspect any public record of a public body in this state, except as otherwise expressly provided by ORS 192.501 to 192.505. (ORS 192.420(1))
- Applies to both record copy and non-record copy. Applies to records in any media or technology.
- REC-2: Records Disclosure Practice

Questions?



4. Retention

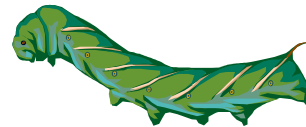
- Each state agency or political subdivision shall maintain a public record or accurate copy of a public record in accordance with a retention schedule authorized under ORS 192.105 or section 3 of this 2011 Act, without regard to the technology or medium used to create or communicate the record.

ORS 192.005(4)

4. Retention: Records Life Cycle

Creation

- Sending an email
- Filling out a form
- Opening a case file
- Creating a tax bill for payment

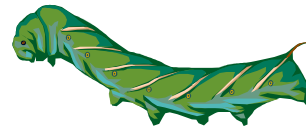


4. Retention: Records Life Cycle

Active

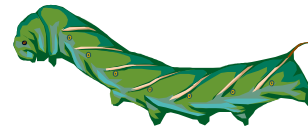
- “...records that are consulted in the performance of current administrative work.”

Information and Records Management,
Meadke, Robek and Brown



4. Retention: Records Life Cycle

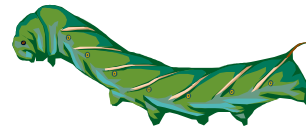
- Examples of **active** records include:
 - Budget working documents for next year's budget.
 - An open case file.
 - A current contract.
 - An unpaid invoice.
- *Active records need to be easily available while they are active.*



4. Retention: Records Life Cycle

Examples of when records become **inactive**:

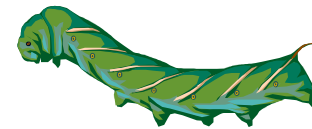
- The task is complete.
- The information is acted upon.
- The case is closed.
- The contract expires.
- Payment is received.



4. Retention: Records Life Cycle

Inactive

- The period of time between when a record ceases to be active, and its *disposition*.
- Usually the longest period of time of the life cycle
- *Inactive records can be in a less accessible place*



4. Retention: Records Life Cycle

Disposition

- End of the records life cycle/retention.
- For permanent records, may be the time the records are transferred to an archives.
- For non-permanent records (most), this is the time when the records can be destroyed or deleted.



Records Retention Schedule

Environmental Compliance Retention Schedule (WQ1)

Hierarchy	Series Descriptions	Department Name
Series Title	Series Title (Agency Series #): Description, Retention (Legal Citation)	Agency Series Number
Description	<p>Correspondence, Ephemeral (WQ1-003): Series documents communications received or sent which do not contain significant information about programs, fiscal status, or routine operations. Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature. Retention: Retain until read. (MOAR 166-150-0005(8))</p>	Legal Citation
Retention	<p>Correspondence, General (WQ1-004): Series documents communications received or sent which do not contain significant information about an agency's programs. Records include letters sent and received, memoranda, notes, transmittals, acknowledgements, community affair notices, charity fund drive records, routine requests for information or publications, enclosures, and attachments. Retention: Retain 1 year. (MOAR 166-150-0005(8))</p> <p>Correspondence, Program (WQ1-005): Correspondence, memoranda, and similar records which document and add significant information to the program or primary functional responsibility of the office. Includes letters sent and received, memoranda, notes, and other records related to specific programs or primary functions. Retention: Retain 5 years. (MOAR 166-150-0005(8))</p>	Legal Citation

- Retention based destruction = “normal course of business”
- Never destroy records subject to an open public records request or on-going litigation!

Re-Cap

- Why is record keeping important?
- Public Records Law and The 3 “Cs” of Record Copy
 - Custodianship, Completeness, and Context
- Public Access and Appropriate Use
- Retention and the Records Life Cycle
 - Creation, Active, Inactive, Disposition
- Records Retention Schedules

Organizing Electronic Files

Easier to find
Easier to share



Takashi, "Files" 12 June 2005 via Flickr, Creative Commons Attribution.

First Market

- The shelves are cluttered and not very organized.
- It depends.....



Second Market

- Organized by types of products: meat, produce, frozen food, dairy
- Classification System



Classification Systems

- Libraries
- Biology
- Commerce
- Systems that group like items together for purposes of identification and efficiency.
- Classification makes it easier to find things.



Classification Systems

- There is no right way or wrong way to tag, name or classify items.
- What's important is that it has meaning to you, and, if necessary, your workgroup.

Good Classifications are:

1. Logical
2. Consistent
3. Mutually Exclusive
4. Understandable
5. Functional
6. Simple
7. Retention Conscious
8. Flexible

1. Logical

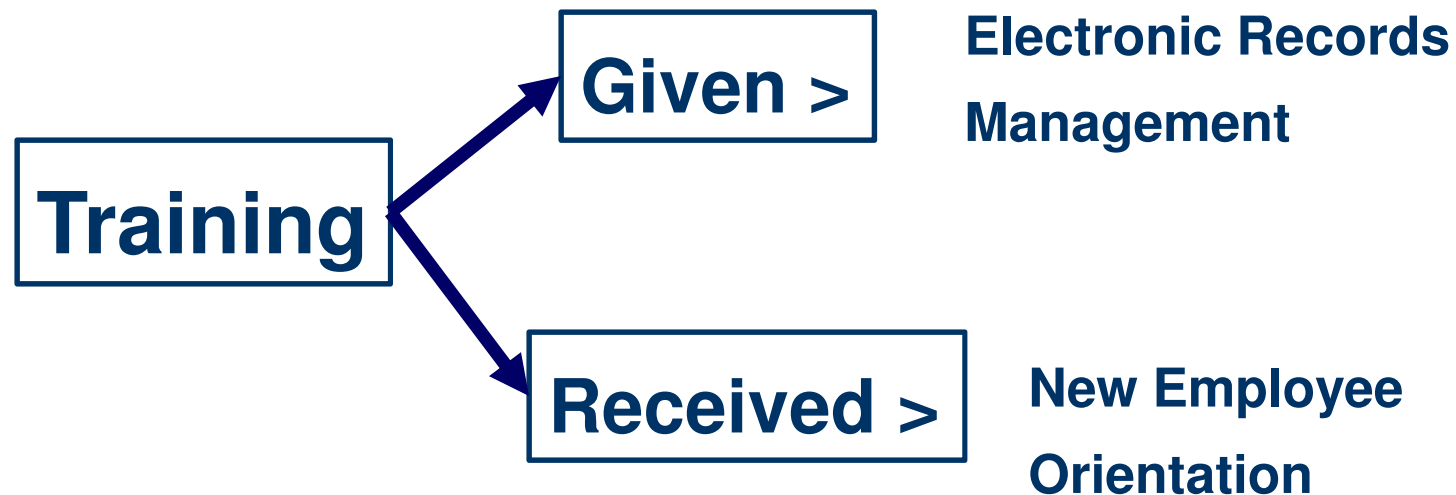
- What would be a good tag for this power point presentation?

 Payroll

Training

- Aid memory, and make a shared system more effective
- You don't have to remember the entire system, just the logic

2. Consistent

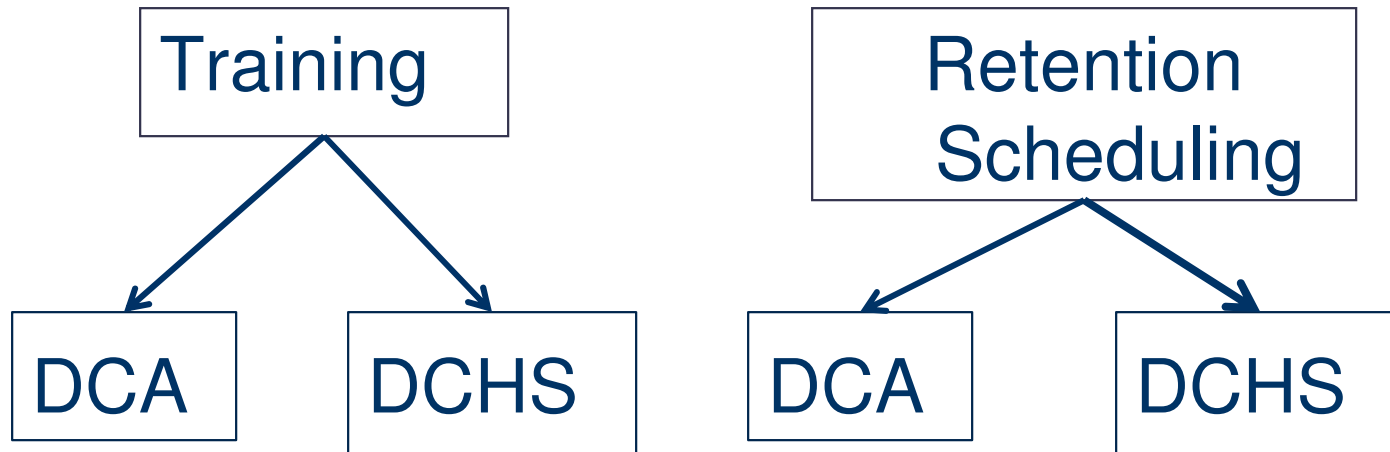


- Go from the major to the minor

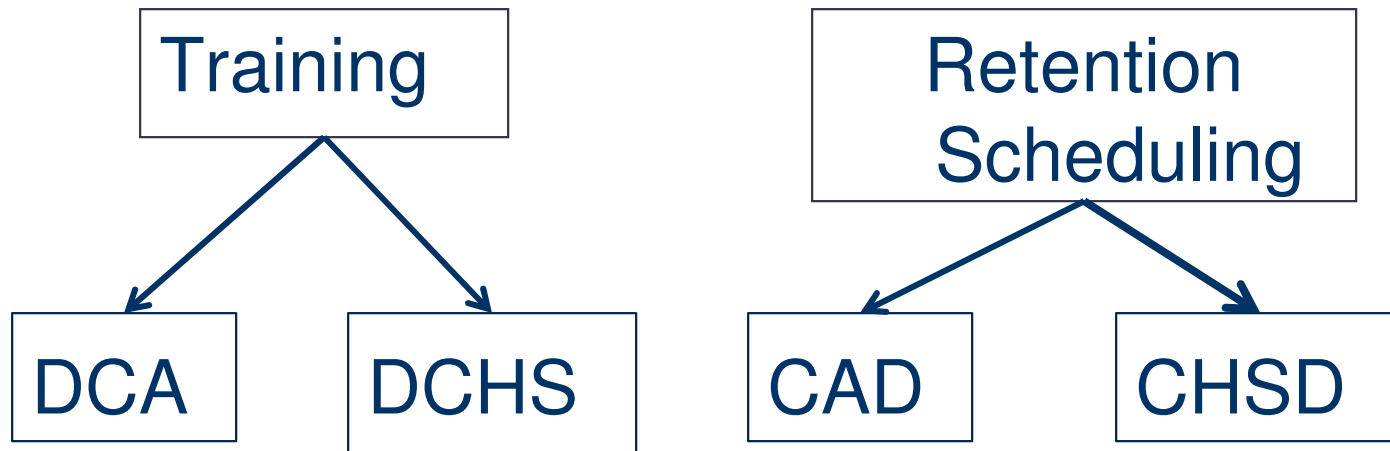
3. Mutually Exclusive

- “Training” or “Education”
- “Building” or “Facility”
- No right or wrong way to do this.
 - For personal system, use the terms you feel you will most consistently use.
 - For shared systems, negotiate the terms as a group. Reflecting organizational language helps.
 - “Facilities Management”, not “Building Management”
 - “Departments”, not “Bureaus”

3. Mutually Exclusive



3. Mutually Exclusive



- SOM, School of Medicine, etc

4. Understandable

- SAP
 - Prd 1
 - MIGO
 - Prd 2
 - CATS
 - CATS_APPR_LITE
- “Timekeeping” or “Payroll”

5. Functional

Analyze Records Management Program, including Records Center operations, Archives, retention scheduling, image conversion and Records Management consulting. Develop, monitor and implement related budget, purchasing and contracting. Monitor facilities usage.

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Analyze Records Management Program, including Records Center operations, Archives, retention scheduling, **image conversion** and Records Management consulting. Develop, monitor and implement related budget, purchasing and contracting. Monitor facilities usage.

6. Simple

Multnomah
..Portland
.....Salem



.....Carrothers Addition

.....Block A

.....Tax Lot 3

•.....1310 Alder St.

•.....Commerce building

6. Simple

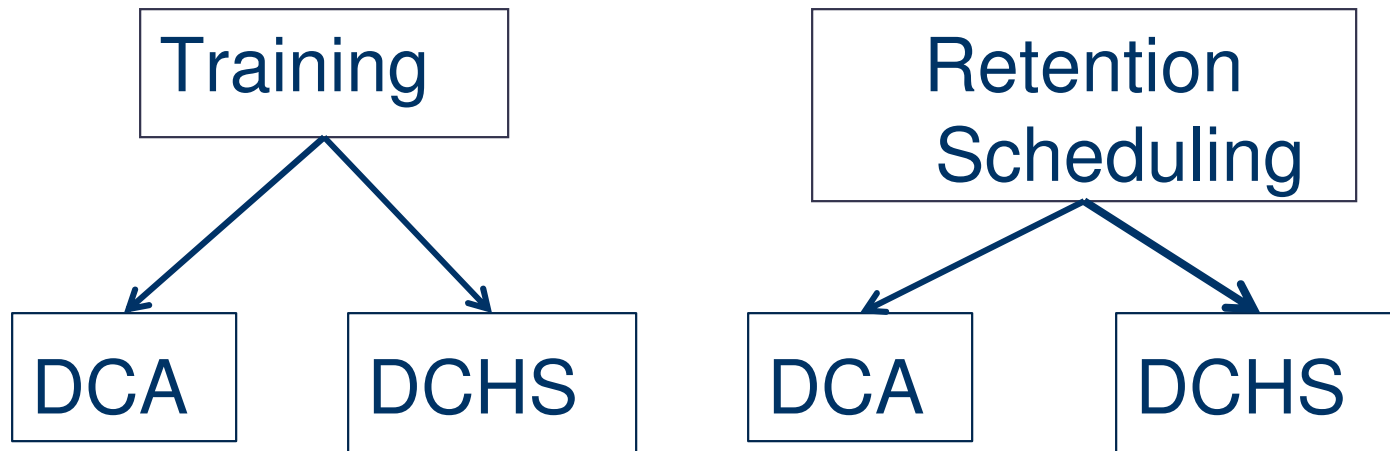
- Don't create classifications beyond 4 levels. (Optimum is 2-3)
- Start with only the major functions or topics you need now, then expand as demand warrants.

7. Retention Conscious

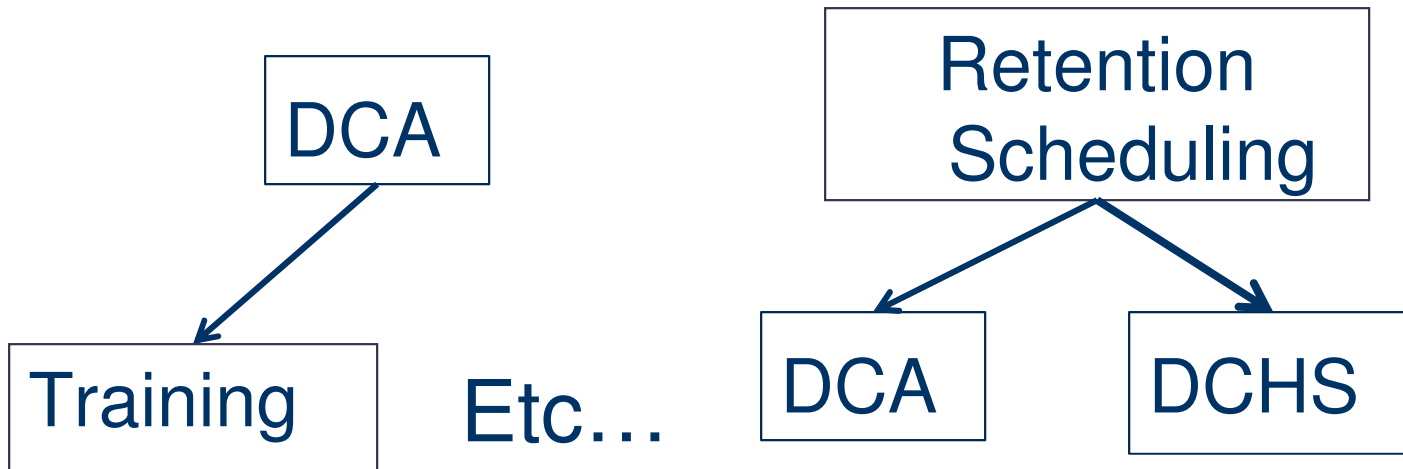
From the Budget Office retention schedule:

- Budget Preparation Records: 10 years
- Budget Evaluation Records: 10 years
- Adopted Budgets: Permanent
- Could be handled by different tags, classification categories, even naming conventions (including “Adopted” in the file name).

8. Flexible



8. Flexible



- Be flexible enough to do what makes sense for your particular needs, and to allow for easy expansion if necessary.

Questions about Classification?

1. Logical
2. Consistent
3. Mutually Exclusive
4. Understandable
5. Functional
6. Simple
7. Retention Conscious
8. Flexible

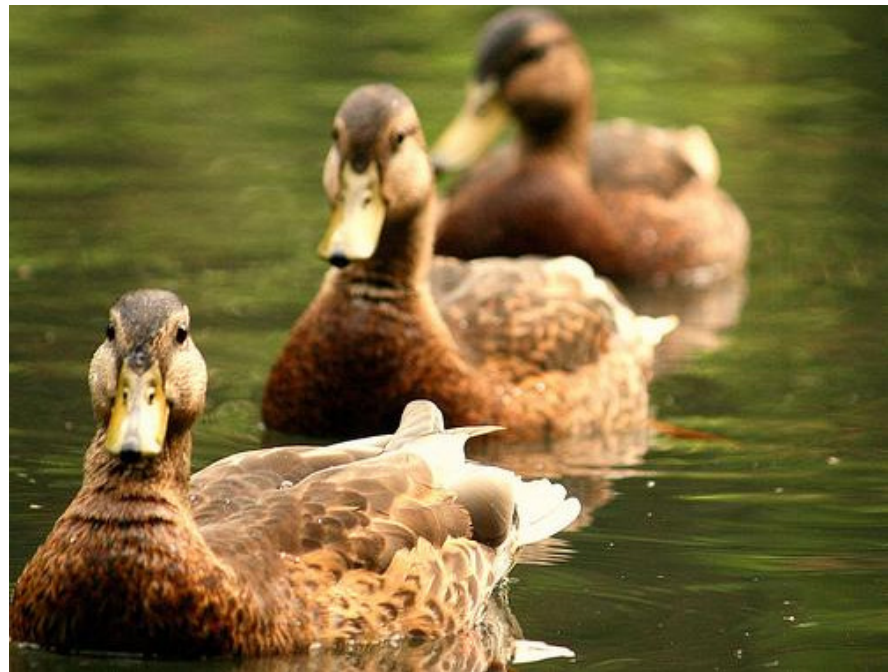
How might you organize these files?

Managing Electronic Files



Standards

Getting
your
ducks in
a row



Ducklover Bonnie, "Three ducks in a row," 2 August 2010 via Flickr, Creative Commons Attribute

Where to Save

Your networked drive	= Working drafts = Position specific records
Department drive	= Shared program records
C: drive	= NOT backed up
DVD/CD/Flash	= transfer: yes, storage: no

Windows Folders

- Easy to browse when organized
- Easy to share files with coworkers
- Records in Context = Full picture

Organizing Your Folders

- Classification by office function
- Keeps related content together
- How will you look for it later?

Using Metadata

- Descriptive Titles
- Adding to File>Properties
- Using Windows Search

Email : Gmail

- Gmail labels
- Faceted classification
- Inbox as a “to do” list

Email : Record Copy

- Postini
- Delete if no longer needed
- Appropriate use policy

Email : Saving offline

- Print-to-PDF
- For context or to share w/coworkers
- No need to download PST files

Why Organize if You Can Search?



Naming Conventions

Use descriptive file names

Example:

Your office's annual report to the division director from 2006.

Examples: AR06.doc -----> Not understandable
Report06.doc -----> Still too vague
AnnualReport2006.doc -----> Better

Naming Conventions

Use unique file names

Example:

Your office's budget spreadsheet for fiscal year 2009/2010.

Examples: Budget.xls -----> Too little information
Budget_FY0910.xls -----> Better
Budget_template.xls -----> Also useful

Naming Conventions

Use dates or version numbering

Example:

Updated project files for Project 17432

Examples: Project17432_new.pdf -----> Which new is “new”?

Project17432_20110214.pdf -----> Better

Project17432_ver2.pdf -----> Better

Project17432_final.pdf -----> What do you think?

Naming Conventions

Avoid spaces and periods;
Use underscores and hyphens

Examples: Invoice 2006 6863L.pdf -----> Spaces used
Invoice.2006.6863L.pdf -----> Period used
Invoice_2006-6863L.pdf -----> Better

Posting to the Internet:

Employee Contact List 2006.pdf = Employee%20Contact%20List%202006.pdf

Questions?

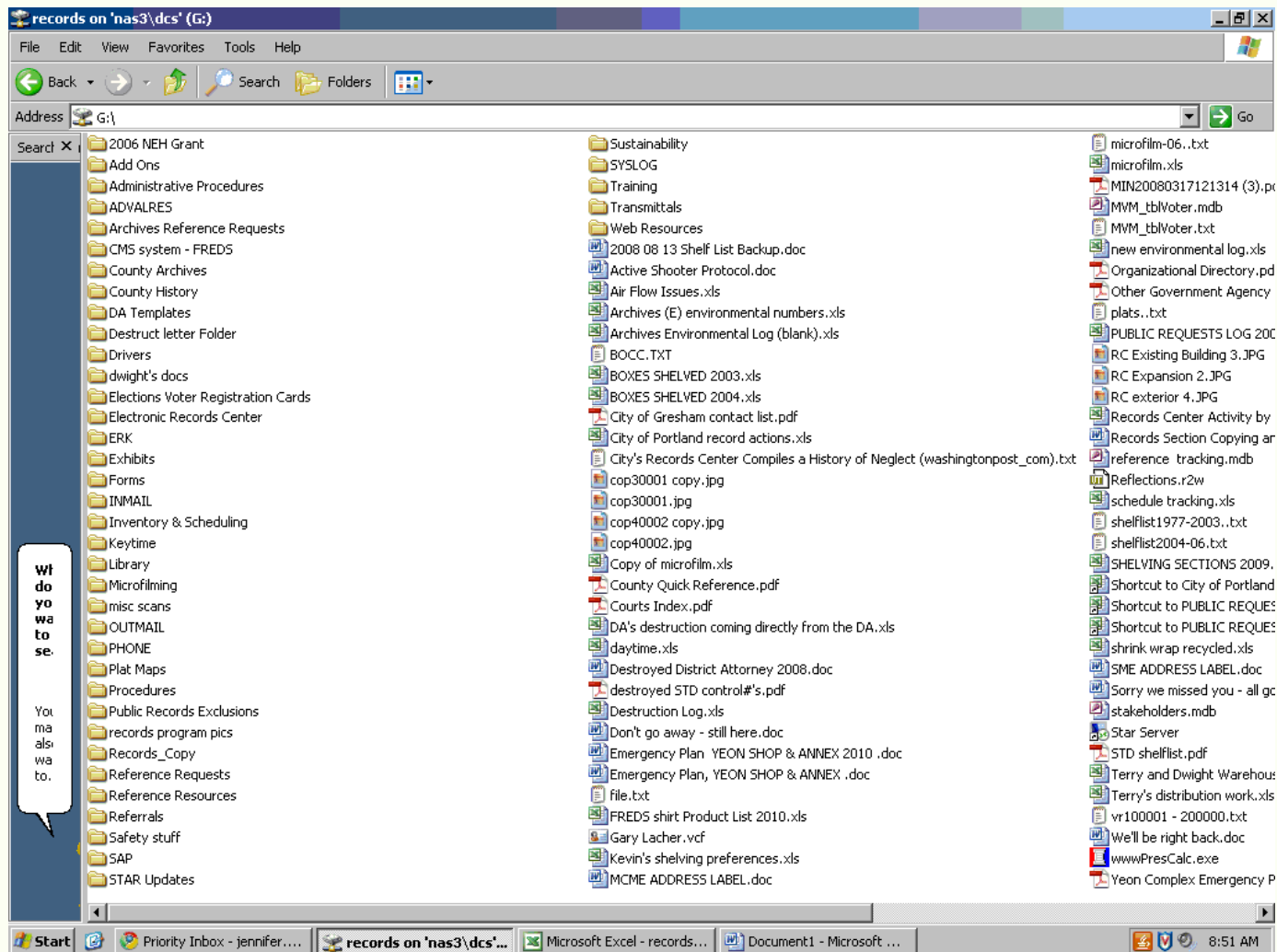


Planning for Organization



Cornell University Library. "Two views of unusual type of filing cases used by textiles and clothing department. ..." 25 August 2009 via Flickr Commons.

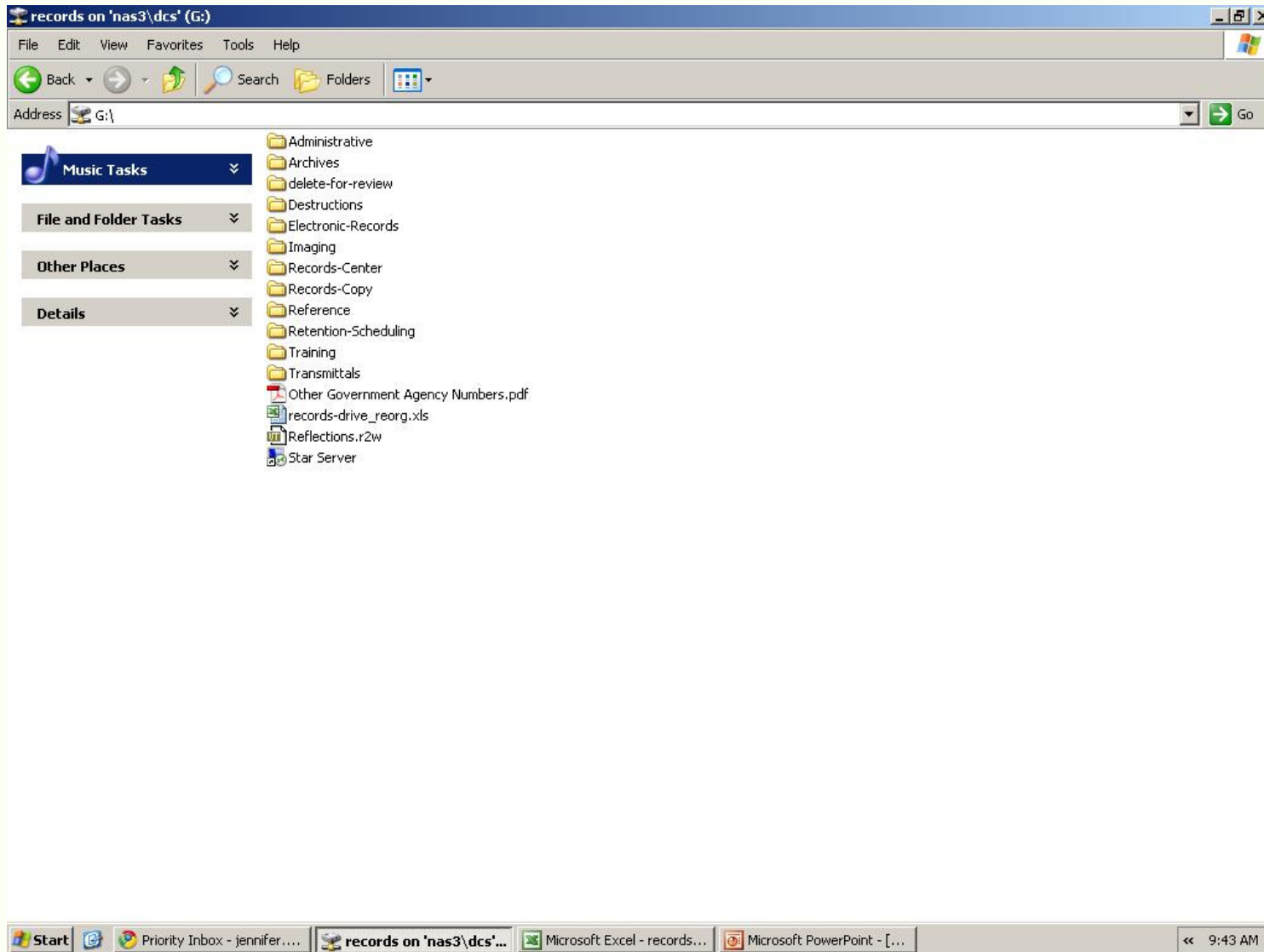
Before Reorganization



During Reorganization

Microsoft Excel - records-drive_reorg.xls				
File Edit View Insert Format Tools Data Window Help				
Type a question for help				
D8				
	B	C	D	E
1	Title	Top Level	Second Level	Notes
29	DA's destruction coming directly from the DA.x	Records Center	Destructions	Resave w/o ' in file name
30	daytime.xls	Records Center	Keytime	Keytime from 2004/05. Retain all stats 10 years per retention schedule.
31	Destroyed District Attorney 2008.doc	Records Center	Destructions	Where is data for 2009-2010? - None; this was part of initial data analysis
32	destroyed STD control#s.pdf	Records Center	Destructions	Resave w/o # in file name
33	Destruct letter Folder	Administrative	Forms	Destruction notice cover letter - content only, not folder
34	Destruction Log.xls	<delete>		No longer relevant.
35	Don't go away - still here.doc	Administrative	Facility Maintenance - Signs	Resave w/o ' in file name
36	Drivers	Administrative		
37	dwright's docs	Electronic_Rec	Google	Email guidelines / retitle? Shift contents of folder to Google folder
38	Elections Voter Registration Cards	Electronic_Records		Move into Electronic Records Center Folder
39	Electronic Records Center	Electronic_Records		
40	Emergency Plan YEON SHOP & ANNEX 2010	Administrative	Safety	Resave w/o & in file name
41	Emergency Plan, YEON SHOP & ANNEX .doc	<delete>		Duplicate/supersceded
42	ERK	Electronic_Records		
43	Exhibits	Administrative		
44	Forms	Administrative		
45	FREDS shirt Product List 2010.xls	<delete>		Should get most recent version when needed
46	Gary Lacher.vcf	<delete>		Save info in email client if needed
47	INMAIL	<delete>		Delete
48	Inventory & Scheduling	Retention_Schedules		
49	Kevin's shelving preferences.xls	Records Center		Resave w/o ' in file name
50	Keytime	Records Center		
51	Library	Administrative		Saved articles for reference
52	MCME ADDRESS LABEL.doc	Administrative	Forms	
53	microfilm.xls	<delete>		Password protected by Terry.
54	microfilm-06.txt	Imaging		Resave w/o . in file name
55	Microfilming	Imaging		
56	MIN20080317121314 (3).pdf	Electronic_Rec	Images	Scanned cover of road construction report
57	misc scans	Electronic_Rec	Images	
58	MVM_tblVoter.mdb	<delete>		Does not work
59	MVM_tblVoter.txt	Electronic_Records		
60	new environmental log.xls	Administrative		
61	Organizational Directory.pdf	<delete>		Outdated
Top-Level_Files / Administrative / Archives / County History / Electronic-Records / Imaging / F				
Ready				
NUM				
Start Google Calendar... Downtown FRE... Forms and Proc... records-drive... Desktop_Conte... Network and Int... Microsoft Power... 12:51 PM				

After Reorganization



Goals for Today

1. Identify reasons and a common language for working together on organization
2. Determine what to keep/delete
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**Contact us with your questions.
We're here to help!**

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