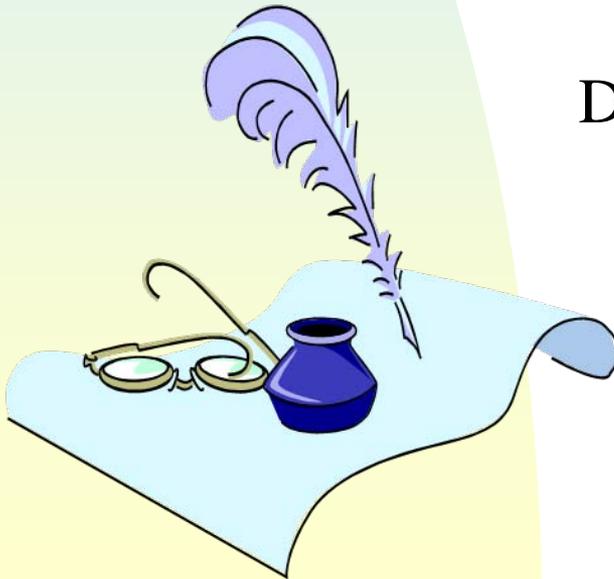


Electronic Records in Maine

Presented by
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What are records, anyway?

RECORDS: All books, papers, photographs, maps, or other documentary materials, regardless of physical form or characteristics, made or received in connection with the transaction of public business, which are maintained because they serve as evidence of the functions, policies, decisions, procedures, operations and other activities of state organizations or because of informational value contained therein.

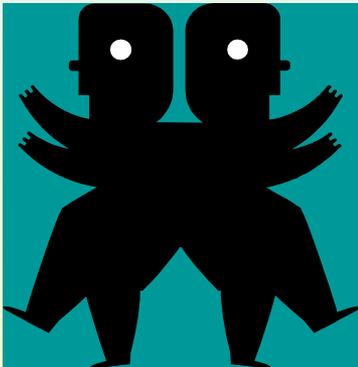


Source: *Guidelines for Your Records Management Program*,
Maine State Archives

A dual mission:

- Efficient and cost effective management of digital records for business purposes
- Identification and preservation of born digital archival records

Notice the built-in conflicts?



Digital records management in Maine State government: a brief history

- Late 1980s - Information architecture principles
- Early 1990s - “Camp Pitt”
- Late 1990s - Maine Digital Records Management Plan
- 1999 - Treasurer’s Office Functional Schedule (fully implemented in 2004)
- 2005 - GeoArchives Project
- 2006 - 2008 eRIM Project



What does Maine law say about records and their retention?

From Title 5, Chp. 6, §95:

7. The head of each state agency or local government agency shall establish and maintain an active, continuing program for the economical and efficient management of any records in compliance with the standards, procedures and regulations issued by the State Archivist.

8. Transfer of state records. To provide for the transfer to the archives of state records, disposed of under subsection 7, paragraph C, that have archival value;

9. Destruction of state records. To authorize and receive confirmation of the destruction of the state records of any state or local agency that, in the opinion of the head of the agency, are no longer of value to the state or local government agency, and that, in the opinion of the State Archivist and the Archives Advisory Board, have no archival value to the State...



Are digital records different, from a legal standpoint?

From Title 16, Chapter 3, §456-A:

A. If a rule of law requires that certain documents, records or information be retained, that requirement is met by retaining electronic records as long as the following conditions are satisfied:

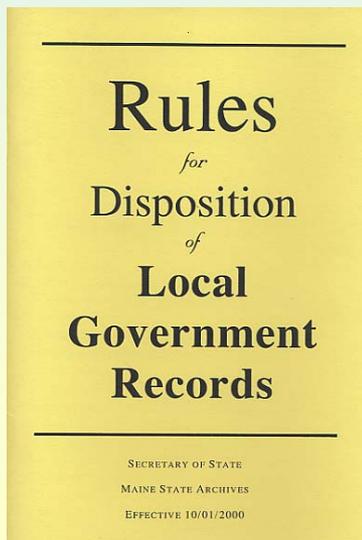
- (1) The information contained in the electronic record remains accessible so that it is usable for subsequent reference;
- (2) The electronic record is retained in the format in which it was generated, stored, sent or received, or in a format that can be demonstrated to reflect accurately the information as originally generated, stored, sent or received; and
- (3) Any information that enables the identification of the source or origin and destination of an electronic record and the date and time when it was sent or received is retained.



Current developments: Local government electronic records

8. APPROVED MEDIA FOR RECORDS STORAGE

Local government records which have been identified as having archival (permanent) value must be maintained on one or more of the following media: paper; microfilm produced according to archival standards, as established by the American National Standards Institute; microfiche produced according to archival standards, per ANSI. Permanently valuable records may be maintained for convenience on nonarchival media (such as magnetic tape, diskette, hard disk, optical disk), but the same records must in every case be maintained on an archival medium or must be maintained...



8. APPROVED MEDIA FOR RECORDS STORAGE (continued - proposed replacement for current language))

...in compliance with Title 16: Court Procedure – Evidence (Chapter 3: Records and Other Documents, Subchapter 3: Public Records, §456-A. Admissibility of electronic records). Records maintained in digital formats only must be migrated as necessary to keep them accessible using currently available hardware and software, for the full retention periods required. Where archival records are maintained in digital formats only, such migration may cease only after the records are converted to an archival medium. Digital records systems should provide real time double data storage, with the two mirrored storage sites located in separate rooms at a minimum (geographically separated storage sites shall be provided wherever possible). The system shall be designed to provide instantaneous full data recovery.



Current developments: State government electronic records

- Document management systems
- E-mail “archiving” system
- Instant messaging
- Web sites
- Education of state employees re their records management responsibilities
- Plans for enterprise-wide Records Management Application (RMA)
- Preservation of permanently valuable digital records



Why we do not recommend digital formats as the **ONLY** version of permanent records at this time - some quotes from authorities in the field:

“The long-term preservation of magnetic tape, hard drives and compact disks is challenging, and their future use is threatened by the very speed with which computers are changing. So relentless are the cycles of innovation, and so rapidly does hardware and software become obsolete, that the digital archive is in danger of becoming a crypt for a dead technology...that is why it is vital to convert and store digital records in a standard and stable format.” - *Dr. Peter Shergold, Secretary of the Department of Prime Minister and Cabinet (media release issued by the National Archives of Australia on 15 June 2004)*



Migration, not physical conservation, is both the key to preservation and the #1 cost factor

"Today we're documenting the activities of state on a medium, that chances are, we won't be able to read 10 years from now...The strategy for keeping electronic records is a migration strategy, it is not a physical-conservation strategy."
- *Mr. Chris Siefried, Director of Information Management at National Archives of Canada*



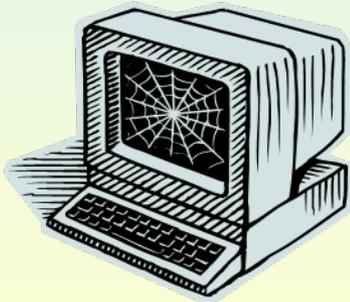
Electronic records “guru” Dr. William Saffady speaks of this as “committing tomorrow’s dollars to today’s records” - (*ARMA International Electronic Document workshop attended by Maine State Archives staff*)

What about preserving web sites?

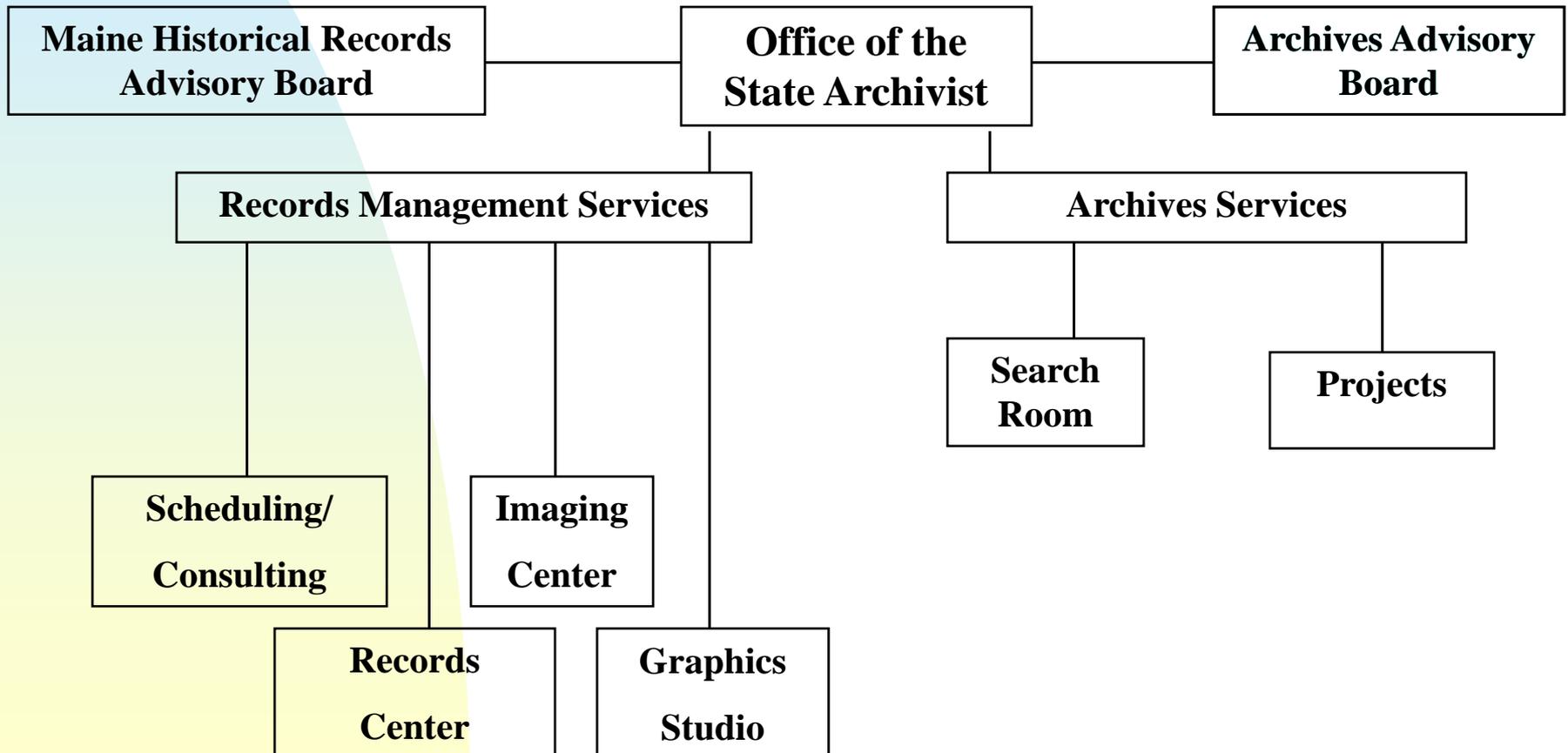
(Material below is excerpted from: NARA Web Harvest Background Information, Tuesday, April 15, 2008)

The National Archives and Records Administration (NARA) issued a memorandum to agency records officers on March 27, 2008, stating that NARA would not conduct an end of administration web snapshot or harvest of Executive Branch websites nor require agencies to do so.

... While a snapshot may provide some indication of "look and feel" of a particular department's or agency's web presence on one particular day out of over 1,400 days of a Presidential term, the web snapshot does not systematically or completely document agency actions or functions in a meaningful way. Such records are found in other ongoing, systematic records series that agencies must identify, and NARA approve, for retention and disposition, including in some cases transfer to the National Archives for permanent preservation.



How is the Maine State Archives reaching out to meet the future? (Jeff Brown will have a lot more to say about this!)



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Useful links:

- National Archives and Records Administration:
<http://www.archives.gov/>
- Maine State Archives:
<http://www.maine.gov/sos/arc/>
- Maine GIS Data Catalog:
<http://megis.maine.gov/catalog/>
- ARMA International (records management for both private industry and government agencies):
<http://www.arma.org/>
- Archives and Archivists Listserv:
<http://listserv.muohio.edu/archives/archives.html>



