



Secretary of State Records Management Newsletter

JANUARY 12, 2018

VOLUME 2, NUMBER 1

Grow Nebraska

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WHO?

Who is the Records Officer in your Agency and what are the duties of the Records Officer?

STATE AGENCY RECORDS OFFICER DUTIES

The state agency Records Officer is responsible for the overall coordination of Records Management activities in the agency and is the agency liaison to the Secretary of State, Records Management Division for all services which include:

- Coordination of the development and all updates of the agency Records Retention and Disposition Schedule.
- Coordination of State Records Center activities including agency records transfer activities, agency holdings reports and final approval of all dispositions.
- Coordination of agency scanning and microfilm conversion projects outsourced to the Records Management Division.

In addition, the Records Officer assists the agency Director in fulfilling their duties as required by state law 84-1207 (see below).

- LERMAN'S LAW OF TECHNOLOGY: Any technical problem can be overcome given enough time and money. LERMAN'S COROLLARY: You are never given enough time or money.

84-1207.

State or local agency head; duties.

In accordance with general law and with the rules and regulations adopted and promulgated by the administrator and the board as provided in section [84-1216](#), the head of any state or local agency shall:

(1) Establish and maintain an active, continuing program for the efficient, cost-effective, modern, and economical management of the record-keeping activities of the agency;

(2) Make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency, designed to furnish information to protect the legal and financial rights of the state, and of persons directly affected by the agency's activities;

(3) Make and submit to the administrator schedules proposing the length of time each record series warrants retention for administrative, legal, historical, or fiscal purposes, after it has been made in or received by the agency, and lists of records in the custody or under the control of the agency which are not needed in the transaction of current business and do not possess sufficient administrative, legal, historical, or fiscal value to warrant their further retention;

(4) Inventory the records in the custody or under the control of the agency and submit to the administrator a report thereon, containing such data as the administrator shall prescribe, including his or her recommendations as to which of such records, if any, should be determined to be essential records. He or she shall review the inventory and report periodically and, as necessary, shall revise the report so that it is current, accurate, and complete;

(5) Comply with the rules, regulations, standards, and procedures issued and set up by the administrator and the board and cooperate in the conduct of surveys made by the administrator pursuant to the Records Management Act; and

(6) Strive to reduce the costs to manage record retention.



Please contact our office to update your Records Officer and we will send out a Records Officer Appointment Form to you.

It is crucial that our records be updated and your Agency adhere to state statute regarding the appointment of their agency records officer as pursuant to §84-1207.01, (R.R.S. 1999) “...**Each state agency head shall designate a records officer from the management or professional level who shall be responsible for the overall coordination of records management activities within the agency.**” This individual will be the only contact for any updates or changes to your agency's records retention schedules.

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TRAINING

January 10, 2018 – We had our records officer training at the Nebraska State Office Building. Thank you to all those that attended. Austin Rhodes shared a PowerPoint presentation with us. I emailed that presentation to all records officers. If you would like a copy of that presentation, please email Austin or myself and we would be happy to share that with you. In addition, as agencies are working on their Disaster Recovery Plans or COOP plans, please contact us if we could help with the Records Recovery portion of your plan. We do not want to have a plan like this:



Our next training session will be in the spring and details will be relayed to all Records Officers and Agency Heads.

HVAC WORK IN THE CAPITOL BUILDING

As a side note to agencies that are using the vaults in the State Capitol to store records, the large HVAC revocation project is underway and workers are performing construction activities that may affect records that are stored in the vaults. The basement vaults will be deemed a construction zone and access to those vault area will be limited as construction continues because of liability issues. Please consider contacting the State Records Center to transfer those records to the State Records facility or let us work with you on a plan to ensure that at least the first 5 feet in each vault is accessible to construction crews.

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Secretary of State Records Management Newsletter

FEBRUARY 15, 2018

VOLUME 2, NUMBER 2

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Tips for Getting Boxes Ready to Send over to the State Records Center: How to pack Containers for Records Center Storage:

- **Storage Container:** Pack the records in State Records Center Boxes. Boxes in larger amounts can be ordered by your agency's authorized office supplies purchaser or the Records Center has limited supply of the sturdy brown boxes for storage. We have new ones and old ones that are available. Please call or talk to Ernie for pricing. (402-471-2640)

Commodity Numbers and Box Dimensions:

- **Standard Boxes:** Used for legal and letter-sized files, binders, etc. (15.5" x 12.5" x 10.5")
- **Long Boxes:** Used for rolled items, such as plans. Note: do not use for regular files. (26" x 12" 9.75")
Staples Item #2429582

Order of Files in the Box: Pack boxes in an organized manner in the same order as they are filed in the office.

Letter Size Files: Face toward the front of the box, which is where the label is to be fixed.

Legal Size Files: Face toward the side of the box that is to the left of the label.

Space in Box: Leave one-inch clearance in the box to facilitate referencing.

Interfiles: If it is anticipated that records will need to be added in the future, leave adequate space in the box for interfiles.

Disposal Dates: Do not put records with different disposal dates in the same box.

Records Series: Do not put records from different records series in the same box.

Bar Coded Box Label: The label is affixed in the clearly designated space on the end of the container.

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We are working with Gayla Koertig, curator of government records for the Nebraska State Historical Society to have an open house to show off their new facilities in April which is also National Records Management Month. Please stay tuned for details and save the date of Tuesday, April 24th.

Looking for Partners for Information Governance: The Records Management Division is looking for state or local agencies to team up with to open a discussion on how to move to an information governance model to protect records created as assets.

If you are interested in joining a discussion roundtable, please contact Jeanette Greer at the Records Management Division (Jeanette.greer@nebraska.gov)

Information Governance vs. Records Management:

Information governance balances the use and security of information. Information governance helps with legal compliance, operational transparency, and reducing expenditures associated with legal discovery. An organization can establish a consistent and logical framework for employees to handle data through their information governance policies and procedures. These policies guide proper behavior regarding how organizations and their employees handle electronically stored information.

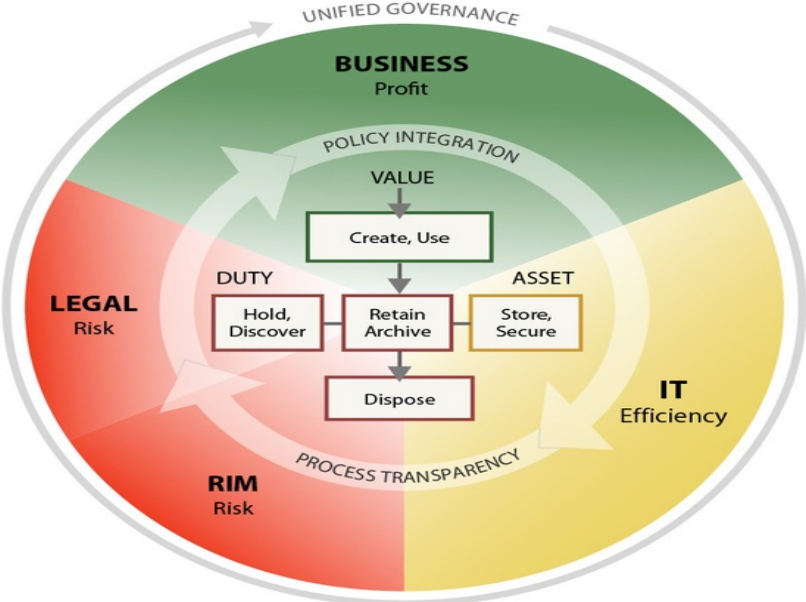
Information governance encompasses more than traditional Records Management. It incorporates information security and protection, compliance, data governance, electronic discovery, risk management, privacy, data storage and archiving, knowledge management, business operations and management, audit, analytics, IT management, master data management, enterprise architecture, business intelligence, big data, data science, and finance.

- From Wikipedia, the free encyclopedia

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Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management



Duty: Legal obligation for specific information

Value: Utility or business purpose of specific information

Asset: Specific container of information

Information Governance Reference Model / © 2011 / v2.1 / edrm.net



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Secretary of State Records Management Newsletter

MARCH 20, 2018

VOLUME 2, NUMBER 3

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Training Opportunity

April is Records Management Month and the Record Management Division is offering three exciting opportunities for training across the great State of Nebraska.

State and Local agencies will have the opportunity to attend one of three training sessions in Kearney, North Platte, or Scottsbluff.

Sessions are as follows:

April 16th, 2018 – 2:30 pm – 3:30 pm (CT) at the Central Community College at 1215 30th Ave, Lecture Hall 131, Kearney NE. We have space available for 50 attendees.

April 17th, 2018 – 9:30 am – 10:30 am (CT) at the Mid Plains Community College, North Campus, 1101 Halligan Dr., Room 209 in the WW Wood building, North Platte, NE. We have space available for 40 attendees.

April 18th, 2018 – 9:00 am – 10:00 am (MT) at the University of Nebraska Complex, 4502 Avenue I, Blue Stem Room, Scottsbluff NE. We have space available for 40 attendees.

Future training opportunities in Lincoln and Omaha are also being planned.

Please email me (Jeanette.greer@nebraska.gov) with your RSVP including your name and the location that you would like to attend. Please RSVP early as space is limited in each venue. Presentation will include Basic Records Management Training and we will have time for questions after each presentation.

Changes to the RTS Tracking system:

We have upgraded the RTS tracking system to include another permissions level. We have created a Records Coordinator – Request only permission level. This position will have the following capabilities:

- Allows users to request files/boxes and view request history
- Review current holdings and disposed holdings reports
- This permission level CAN NOT add boxes, edit boxes or update the disposal status of boxes

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Another added feature for Records Officers and Coordinators is the contents box for editing is now much larger and will track the character total to prevent extra characters from being typed into that box.



Gayla Koertig, curator of government records for the Nebraska State Historical Society will have an open house to show off their new facilities on April 24th, at 3:00 PM. Please RSVP if you are able to attend as space is limited to the first 30 respondents.

Gayla will conduct an informal tour of the new facility at 5050 N 32nd Street and describe the collections arrangement and the compact shelving for Government Records. She will also be available to answer questions.



Still Looking for Partners for Information

Governance: The Records Management Division is looking for state or local agencies to team up with to open a discussion on how to move to an information governance model to protect records created as assets.

If you are interested in joining a discussion roundtable, please contact Jeanette Greer at the Records Management Division (Jeanette.greer@nebraska.gov)

Looking to Update Your Records Retention Schedule?

Austin Rhodes is our RIM (Records and Information Management) Specialist and in the month of April is looking to update Retention Schedules for Records Management Month. He will be contacting agencies to work on Retention Schedules but feel free to contact him also to start the process of updating your schedule.

- Retention schedules should be reviewed at least biannually and updated as needed, considering the following requirements:
 - Fiscal
 - Administrative
 - Historical
 - Legal

Information becomes far more a commercial commodity, ephemeral, instant, disposable, yet powerful, indispensable, and sought after. It'll be an interesting ride, but can we cope?



Secretary of State Records Management Newsletter

MAY 31, 2018

VOLUME 2, NUMBER 4

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Records Management Division

The Record Management Division is offering three exciting opportunities for training in the eastern portion of Nebraska. This class will be a basic records management class so would be a good resource for new records officers.

State and Local agencies have the opportunity to attend training sessions in either Norfolk, Omaha, or Lincoln. Sessions are as follows:

- June 25th, 2018 – 1:00 pm – 2:00 pm (CT) at the Norfolk Public Library at 309 N. 5th Street, Norfolk NE. We have space available for 50 attendees.
- June 26th, 2018 – 10:30 am – 11:30 am (CT) at the Omaha Public Library, 215 S. 15th Street, Omaha NE. Meeting Rooms 2 & 3. We have space for 50 people.
- June 26th, 2018 – 2:30 pm – 3:30 pm (CT) at Jack J. Huck Continuing Education Center, 301 S. 68th Street Place, Auditorium, Lincoln NE We have space available for 75 attendees.

Please email me (Jeanette.greer@nebraska.gov) with your RSVP including your name and the location that you would like to attend. Please RSVP early as space is limited in each venue. Presentation will include Basic Records Management Training and we will have time for questions after each presentation.

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Boxes

The State Records Center has limited supply of the sturdy brown boxes for storage. We have new ones and old ones that are available. Please call or talk to Ernie for pricing. (402-471-2640)

Retention Schedules

Austin has been working diligently on updating retention schedules. Since the push in April for Records Management month, he has worked with 12 agencies and they have completed and updated 19 retention schedules. He is still working with approximately 10 agencies and they are in the process of updating another 25 schedules. If your agency would like to start the task of updating your schedule, please call Austin at 402-471-4184

Conversion Services

The Records Management division is able to convert paper to electronic images, microform (microfilm, microfiche) to electronic, paper to microfilm, electronic image to microfilm all at low costs to your agency. We have high-speed conversion capability and can export images/data across the network into your current imaging system: OnBase, PaperVision, PDF, or TIFF.

We also offer daily pickup of records to be converted from Lincoln area offices and strict confidentiality by trained and professional staff. Let our staff help you by providing fast, friendly, and free safe transport of local materials to the Records Center.





Secretary of State Records Management Newsletter

JULY 23, 2018

VOLUME 2, NUMBER 5

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We have had multiple agencies ask us about durable medium for storage of records so I am including the definition below:

If anyone has any questions or would like to discuss durable medium for records further, please call Austin or myself.

Durable Medium

The Secretary of State as State Records Administrator, through Rule and Regulation adoption authority, developed the following definition of Durable Medium, which is found at 430 NAC Ch. 1, § 001.18, effective October 31, 2009.

Durable Medium Definition

Durable medium shall be any information storage medium that is created by a durable process.

A process shall be the combination of hardware, software, storage media, techniques and procedures used to manage, create, store, retrieve, and delete information belonging to the custodian agency.

A process shall be a durable process if it meets all of the following criteria:

- (1) The process is capable of creating and storing information for the required records retention period as specified by the Records Retention and Disposition Schedules approved by the State Records Administrator and the State Archivist;

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- (2) The process can be migrated to a successor process when necessary and will retain all information available in the original process after migration to the successor process;
- (3) The process maintains the integrity of information in a readily accessible manner, makes it retrievable, makes it processable through an established usual or routine set of procedures using available hardware and software, and makes it accurately reproducible in a human-readable form as determined by the needs of the custodian agency;
- (4) The process provides for disaster recovery backups, which are periodically, depending on a retention schedule, verified for restorability and readability, and can be stored in a separate geographical location from the original information.
- (5) The process is demonstrated to create and maintain information for the retention period as specified, in an accurate, reliable, trustworthy, dependable and incorruptible manner.
- (6) The process allows the removal of information when it reaches the end of its required retention period.
- (7) The process is documented so as to demonstrate to a reasonable person compliance with these criteria.

Written Best Practices and Procedures may be developed as voluntary guidelines for use by any agency in furtherance of implementation of the above definition of durable medium, as it relates to records retention and disposition schedules. Any Best Practices and Procedures developed are guidelines only and do not have the force and effect of rule and regulation or of law.

Boxes

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Secretary of State Records Management Newsletter

SEPTEMBER 27, 2018

VOLUME 2, NUMBER 6

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It is that time of year again, fall is upon us and harvest time is here.

This is a great time of the year to look over your records and plan a cleanup day. The end of the fiscal year is over and the decisions can be made on storage, digitization, or disposal of records.

Records Management is the foundation of transparency in government and public information requests can occur frequently. A solid Records Management program ensures that such requests are easily accessible. It also ensures that agencies are following the generally accepted Recordkeeping Principles:

- 1. Principle of Accountability**
- 2. Principle of Transparency**
- 3. Principle of Principle of Integrity**
- 4. Principle of Protection**
- 5. Principle of Compliance**
- 6. Principle of Availability**
- 7. Principle of Retention**
- 8. Principle of Disposition**

Where does your agency stand with the Recordkeeping Standards?

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1. **Level 1 (Substandard):** This level describes an agency where information governance is not addressed at all, addressed minimally, or is addressed in a sporadic manner. Agencies at this level usually have concerns that they will not meet legal or regulatory requirements and may not effectively serve their business needs.
2. **Level 2 (In Development):** This level describes an agency where there is a developing recognition of information governance. Agencies at this level are vulnerable of legal, regulatory, and business requirements because its practices are ill-defined, incomplete, or marginally effective.
3. **Level 3 (Essential):** This level describes an agency at the essential or minimum requirements that must be addressed to meet the agencies legal, regulatory, and business requirements. This level has defined policies and procedures and the implementation of processes specifically intended to improve information governance. Agencies at this level may be missing significant opportunities for streamlining business and controlling costs, but they demonstrate the key components of a sound program and may be minimally compliant.
4. **Level 4 (Proactive):** This level describes an agency with an organization wide, proactive information governance program with opportunity for continuous improvement. For the most part, agencies are compliant with industry best practices and meets its legal and regulatory requirements.
5. **Level 5 (Transformational):** This level describes an agency that has an integrated information governance program into its infrastructure and business process such that compliance with the agencies policies and legal/regulatory responsibilities are routine. Agencies at this level recognize that effective information governance plays a critical role in implementing strategies and tools for ongoing success.

Boxes

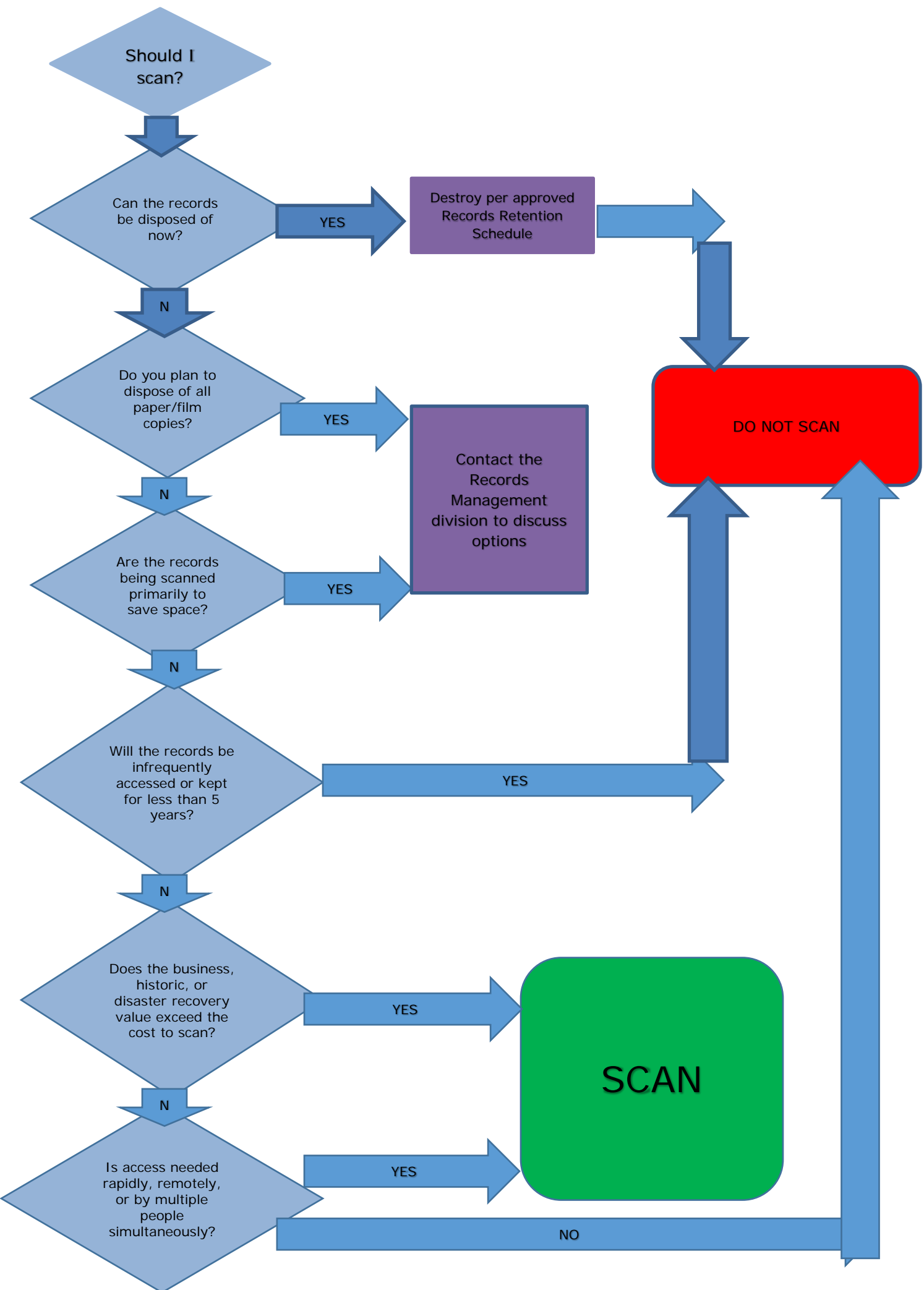
The State Records Center has limited supply of the sturdy brown boxes for storage. New brown boxes that are double sided on the long side and triple thick on the short side are available for \$1.50. We have a few used boxes that we can supply to agencies for free. Please call Ernie at 402-471-4156, talk to him when you see him on the run, or email the state Records Center at: sos.recordscenter@nebraska.gov for more information.

Conversion Services

The Records Management division is able to convert paper to electronic images, microform (microfilm, microfiche) to electronic, paper to microfilm, electronic image to microfilm all at low costs to your agency. We have high-speed conversion capability and can export images/data across the network into your current imaging system: OnBase, PaperVision, PDF, or TIFF.

We also offer daily pickup of records to be converted from Lincoln area offices and strict confidentiality by trained and professional staff. Let our staff help you by providing fast, friendly, and free safe transport of local materials to the Records Center.

If you are considering scanning a project, the following decision tree may help you decide if you should proceed:



1. Can the records be disposed of now? If the documents in question have no further operational value, they may be eligible for disposal and unnecessary to scan. Non-records can be disposed of as needed. Records that have reached the end of their scheduled retention period may be disposed of as per the Records Retention Schedule.
2. Do you plan to dispose of all paper/film copies? Depending upon the type of records being scanned and the length of the scheduled retention there may be additional requirements for any agency that wishes to maintain only digital copies of records. Contact the Records Management division of the Secretary of State's office if you plan on doing so.
3. Are the records being scanned primarily to save space? The costs of scanning, combined with the increased maintenance costs of electronic records, will often be higher than the cost of storage for paper records. If the records in question are not heavily used, microfilming may be a good alternative to scanning. Microfilm takes up very little space and can be relied upon for over 100 years in the proper storage environment with minimal maintenance. The State Records Center offers secure, climate-controlled storage of state and local government microfilm.

State agencies may also utilize the State Records Center for storage of Paper Records. Contact the Records Management Division of the Secretary of State's office to discuss which options might be best for you.

4. Will the records be infrequently accessed or kept for less than 5 years? It is seldom cost-effective to embark on extensive scanning projects for records that are used very infrequently or those that are kept for only a short time. Microfilming is a better option for low-access records, and the storage costs for short-term records will almost always be cheaper than scanning.
5. Does the operational/administrative, fiscal, legal, historical/archival or disaster recovery value exceed the cost to scan and manage electronically? Costs to prepare files for scanning such as removal of staples, creation of coversheets, and formatting irregularly shaped documents all affect the cost of scanning. You will want to weigh factors such as risk of loss, value of records, and costs of either scanning or maintaining in paper when making the decision to scan.
6. Is access needed rapidly, remotely, or by multiple people simultaneously? Electronic access is often the best method for fast retrieval, full text search capabilities, and cross-referenced metadata. Access can often be extended to distributed locations for "in the field" use. Collaboration is also enhanced by electronic access. Heavily used records thus are usually better candidates for scanning than those that are seldom touched.

Questions? Contact Records Management for guidance on making crucial decisions about your records:

Austin Rhodes – RIM Specialist
402-471-4184

Jeanette Greer – Records Management Division Manager
402-471-2747



Secretary of State Records Management Newsletter

DECEMBER 17, 2018

VOLUME 2, NUMBER 7

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News Alert

We have a new link on our website under the records management tab. On this link, you will find our previous trainings, newsletters, and forms that are pertinent to records officers.

Included in this link is a Welcome to Records Management training that I would encourage all records officers to have agency staff complete.

Records Inventory

Now may be the time for agencies to conduct a records inventory. A records inventory is a comprehensive list of all documents, files, and records created or received and maintained by an agency. It describes the title, function, purpose, content, date, format, etc., and helps in development of a records retention schedule.

Retention schedules serve as your guideline for storing and disposing of records, regardless of the media on which they reside. Consult your agency specific schedule first, then consult the general records schedule (124).

Keep records as long as they have:

- Operational/Administrative Value
- Fiscal Value
- Legal Value
- Historical/Archival Value

Conversion Services

NEW: We now have the ability to digitize color slides! Please call us if you would like more information on this process.

Start your New Year fresh and contact us at the Records Center to discuss options to digitize records from past, present or to discuss future plans to store items electronically.

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Retirement

Ernie Butler who has been our Records Center Storage technician will be retiring at the end of the year. Please wish Ernie well as he reaches this achievement. We wish him a happy retirement filled with fun and happiness. Best wishes on the new chapter in his life.

We will be continuing our services as usual and will be filling that position in the new year.