



GOVERNOR'S OFFICE OPERATIONS

**Managing Gubernatorial  
Records:  
A Guide for Governors**

Office of Management Consulting & Training  
2010 Management Note

**The National Governors Association (NGA)**, founded in 1908, is the collective voice of the nation's governors and one of Washington, D.C.'s most respected public policy organizations. Its members are the governors of the 50 states, three territories and two commonwealths. NGA provides governors and their senior staff members with services that range from representing states on Capitol Hill and before the Administration on key federal issues to developing and implementing innovative solutions to public policy challenges through the NGA Center for Best Practices.

NGA's Office of Management Consulting & Training serves as management consultant to governors and their offices and as NGA's primary liaison to governors' chiefs of staff. The office helps governors lead and manage state government and assists staff in organizing and operating the governor's office. The unit provides these services as part of a state's membership in NGA.

For more information, please visit [www.nga.org](http://www.nga.org).

**The Council of State Archivists (CoSA)** is a national organization comprising the heads of the state archival agencies. The state archivists and records managers are the officials primarily responsible for ensuring that government records are properly managed within their states and that records with ongoing legal, fiscal, and administrative value are preserved.

Through CoSA, the state archivists work together to encourage cooperation among the states on matters of mutual interest, define and communicate archival and records concerns at a national level, and ensure that public and private programs are in place so that the nation's documentary heritage is preserved and accessible. In support of these activities, CoSA works with other organizations, like the National Governors Association, to develop guidelines and resources for programs that sustain the nation's essential and historical records. This manual is the latest example of the state archivists' efforts to define and promote best practices in managing records across state and territorial lines.

A full list of reports, programs, and other resources produced by CoSA, as well as up-to-date contact information for every state archives, is available on the website [www.statearchivists.org](http://www.statearchivists.org).

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# Acknowledgements

Records management is a key management tool that supports efficient operations and minimizes a range of risks in any office. However, this aspect of sound business practice is often neglected in the governor's office. This report seeks to guide governors and their staff in developing and maintaining a successful system for managing governor's office records. State government, like the rest of modern society, has become increasingly dependent upon quick access to complex information systems. It is the goal of this publication to emphasize the importance of an efficient, reliable records management operation and provide the tools necessary to implement and maintain such a program.

This management note updates and expands on a similar publication originally developed by the National Association of Government Archivists and Records Administrators (NAGARA) and published by the National Governors Association (NGA) in 1989. The Council of State Archivists (CoSA) substantially revised that publication in 2006 and again in 2010 to ensure the records issues addressed reflected modern practices and standards. The current revision was coordinated by Christine Ward, New York state archivist. Bonita Weddle of the New York State Archives and Kelly Eubank of the North Carolina State Archives revised and updated the section on digital and other machine-readable records.

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NGA provided additional editing assistance and coordinated the final production of both the 2006 and 2010 editions. Christie Amberman made revisions, created the executive summary, and coordinated the final production process in both 2006 and 2010. Nikki Guilford and Allison Carpenter provided editing assistance for the current revision, and Peter Wiley,

Martha Hatcher, and Angelyn Shapiro provided editing assistance in 2006. Nelle Sandridge developed the final publication layout used in both editions.

CoSA and NGA are grateful to all individuals who contributed their time and intellectual energy to the development of this publication.

The National Governors Association Office of Management Consulting and Training (OMCT) provides direct management services and training to governors, chiefs of staff, and key members and units of governors' offices. OMCT helps governors lead and manage state government and organize and operate the governor's office. For more information about OMCT services and additional publications, please contact OMCT at (202) 624-5300.

# Executive Summary

Records management is one of the basic responsibilities of every gubernatorial administration. Thorough record keeping enhances services and improves operations while the governor is in office. It also signals that the administration supports open government, transparency, and accountability—concepts that have become bywords for good government and practices to which every administration will undoubtedly wish to aspire. At the end of an administration, record keeping ensures the preservation of archival records that have enduring value. Gubernatorial archives present a rich source of information regarding specific programs, policies, issues, legal decisions, and procedures that impact the citizens of the state. This guide is designed to help governors and their staff members make informed decisions about managing one of the state’s most important assets—the records of the governor’s office.

There are many important issues to consider when developing and implementing systematic record-keeping processes. Some key decisions include distinguishing between official and personal records; establishing a comprehensive records management program, preferably within the context of an enterprise-wide approach to managing all records of state government or, at least all records of the executive branch; and preserving electronic media and digital records, including e-mail, text messages, websites, and the content of social media.

## Official Records versus Personal Records

There is no universal legal standard applicable to all states on what constitutes an official or public record and what, alternatively, may be a non-official or personal record. However, the archival and records management professions accept the core definition for “*official records*” to be “records created or received in the conduct of government business by the governor, the governor’s staff, and other units and individuals in the governor’s office, regardless of physical form or characteristics”. Official records are evidence of the constitutional, administrative, and ceremonial functions of the office. On the other hand, “*personal records*” contain personal or private material that does not relate to the official duties of the governor or his/her office.

The consequences of mixing official public records and personal records can be serious. Public relations problems can arise from a conflict over access to, or the management of, such records. There are important legal considerations as well. The governor’s legal counsel should review all appropriate legal authorities and citations concerning records to determine a clear and legally defensible delineation of public versus personal records. If personal records are in electronic form and are inserted into the electronic files and databases of a governor’s office, such storage could threaten their “personal” classification. It is important to

note **the trend in many, if not most, states to broaden the definition of public records and to restrict the authority of the executive to classify records as “personal.”**

Official executive records are generated almost from the point of election. **Gubernatorial transition offices may find that if they accept state resources (office space, personnel, and equipment) to create, maintain, and file transition documents, these records may be considered “public” because of the investment of public resources.** Furthermore, any records an outgoing administration sends to the transition office also could be classified as public since they were created while that administration was incumbent. Campaign records present another concern. If an incoming administration mixes its campaign records with transition records, it is likely the campaign records would be newly classified as official government records. **The governor-elect must be prepared to deal with the possibility that records created or accepted during the transition period may become official records, even before the inauguration.** Knowing how to deal with these issues is essential to managing records properly and alleviating risk.

Most states’ records laws and federal law treat e-mail as a record, making e-mail messages subject to disclosure under open records statutes and subject to the retention and disposition rules and regulations of the state. The governor’s legal counsel and office manager should **ensure from the outset that the governor’s office is complying with their individual state requirements for the management and appropriate preservation of e-mail** to ensure that the governor’s office staff members are aware of the extent to which their e-mail may be or become public records.

## **Records Management Principles**

**Ensuring all records are properly maintained throughout the administration’s lifetime and disposed of according to set procedures is a far easier task if pursued rigorously from the outset of the administration.** A comprehensive records management program offers numerous benefits. Having a records retention and disposition system in place facilitates access to files and allows for orderly disposition, proper records handling, identification of records for microfilming or scanning, and identification of records essential to the resumption of business in the aftermath of an emergency. It also benefits the governor’s office by allowing orderly and regular legal disposition of records. (Disposition is a term used in records management to refer to disposal of records through destruction, transfer to off-site temporary storage, or transfer to archival storage for permanent retention.)

Key elements of the records management program should include: comprehensive filing systems and records retention and disposition schedules, clear definitions of public and personal records, and electronic recordkeeping systems that incorporate records management requirements into their design. If a records management program is already in place, it is important to determine whether the existing system meets the new administration’s needs or requires revision to reflect new initiatives or changing information systems.



## Preserving Electronic Records

**Special attention should be paid to the preservation of public records in electronic and digital formats.** Regular file backup is important to preserve accessibility of these records.

Electronic records pose many unique challenges including, but not limited to, the following considerations.

- Records created with computers, smart phones, digital cameras, etc., are **dependent upon specific hardware and software** to remain accessible and usable, and they are often required to be retained after the technology used to create them has become obsolete. Records that must be retained for more than 10 years and those encoded in proprietary formats (i.e., formats owned and controlled by a software company) are particularly vulnerable if the format is not widely used or if the proprietary software is no longer available.
- Increasingly, **records created in electronic formats have no paper counterpart**; the electronic or digital record is the only record that exists.
- There are often **multiple versions and multiple copies** of each electronic record, and it may not always be easy to determine which one is the official “record copy.”
- **Records that lack enduring value are often retained on individual devices** (computers, portable storage media) **or servers long after they have ceased to serve a business need.** This can be costly in terms of the storage space used and legal actions and freedom of information requests.
- **Electronically generated records are often the first point of discovery in legal actions, since they are known to be vulnerable to deletion.** The challenges noted above can dramatically increase the cost of responding to public records requests and compel the production of records that could have been destroyed legally at the end of their retention period.

Given these circumstances, it is therefore essential to establish security, authentication, backup, and migration procedures for records that will be maintained only in electronic format.

Another factor to consider with electronic records is that with the increasing availability, use, and power of portable electronic devices, **data can reside in multiple places, many of which are outside the direct control of the governor’s office, information technology (IT), or records staff.** Employees using smart phones, personal digital assistants (PDAs), and other portable devices to transact public business must be aware that data stored on those devices can be subject to public records requests.

**The governor’s office should consider the unique properties and conditions concerning records in the following formats.**

**E-mail:** Like other forms of correspondence, much of the e-mail from a governor's office will be retained permanently. Staff members must be cognizant of the extent to which their e-mail may be or become public records. Otherwise, e-mail users may have unrealistic expectations of privacy and informality when they send or receive messages.

It may be necessary to preserve e-mail records electronically. In some states, the retention requirements for a particular e-mail message are dependent upon its content and the purpose for which it was created. A growing number of states have policies mandating that e-mail, regardless of its content, be retained and kept in an e-mail management system. This requirement usually includes e-mail attachments.

**Text messages:** Text messages and instant messages made or received in the transaction of public business may be subject to your state's public records laws and should thus be managed and/or captured accordingly.

**Voicemail:** Although almost all voicemail messages have little value beyond identifying the caller and the reason for the call, those messages that convey important information, provide direction or guidance on significant issues, or authorize specific actions meet many states' legal definition of a public record.

**Websites:** Both internal (intranet) and public (Internet) websites contain records (such as reports, statistics, guidelines, advice, policies, and procedures), and increasingly, governments post this information directly online without creating a paper version. If a website is used to support transactions between the governor's office and its constituents, the records documenting these transactions must be identified and retained.

**Social media:** Social media websites have large, loyal user bases and, thus, are increasingly important outreach and communication tools for government entities to improve interactivity with the public. However, be aware that the content you create and the citizen comments you receive may be public records.

Your office should have a clear communications strategy and should take the time to ensure that all communications via social media outlets remain professional in nature and are conducted in accordance with your communications policy and other regulations and policies including: applicable state, federal, and local laws; information technology security policies; office and statewide acceptable use policies; and records retention and disposition schedules.

In addition, since each form of social media has its own unique terms of service (TOS), it is important to ensure that the TOS does not contradict your state's procurement guidelines or other state regulations or policies if employees are using social media on behalf of the governor's office. Consider involving legal counsel in the decision on whether use of such media is appropriate.

**Cloud computing:** Cloud computing technology allows users to access and use shared data and computing services via the Internet or a virtual private network (without having to build

infrastructure to support these resources within their own environments or networks). While there are many benefits of cloud computing (including ready accessibility, pay-as-you-go billing, and the ability to outsource), information is housed in a shared environment that is outside your control. Sensitive or legally restricted information must be protected. There are currently no data portability standards, and most cloud computing applications lack comprehensive records management capabilities. Before deciding to store your records in a cloud computing environment, you should consult with your legal counsel and your information technology team.

**Electronic records should be included in your records retention and disposition schedule,** just as traditional paper records are. The schedule should specify if the series is maintained solely in electronic format or if it consists of both paper and electronic records. Electronic records, including digital video and audio, and especially those with retention periods of 10 years or more, need to be migrated to new software to ensure the accessibility of the information for the entire retention period.

In some states, the archival or records management agency and the office of the state chief information officer (CIO) have developed overarching standards concerning the design and maintenance of electronic record-keeping systems.

Given the importance of electronic records and their fragile nature, the governor's office should be certain to seek guidance concerning the proper management of electronic records including electronic legal discovery.

## **Where to Turn for Help**

Governor's office staff should contact their state's records management or archival agency for immediate assistance with issues relating to the management of official records. In most states, a variety of direct services are available to the governor's office. The Council of State Archivists (CoSA) and the National Association of Government Archives and Records Administrators (NAGARA) are professional organizations that also can provide valuable information pertaining to records management and archives.



# Introduction

Governors address a wide range of vital and complex problems and exercise significant authority over policy, implementation of the law, and allocation of state resources. The governor and key staff members confront issues on a daily basis that are crucial to the interests of the state and the nation, including education, health care, economic development, security, emergency preparedness, environmental protection, transportation, crime, and housing. The official records created or received during a governor's tenure document that administration's policies, actions, and service. They include the records of the governor and all executive staff, including cabinet officials and advisors.

The record of a governor's actions is part of that administration's legacy. Keeping that legacy alive depends upon the preservation of the records that document the administration's policies, decisions, and actions. It is only through records that future generations will know, understand, and learn from what went before.

Records also support the ongoing and efficient operation of the governor's office. Their proper management will ensure a range of administrative efficiencies including the ability to locate information quickly; track and respond to actions, directives, and expectations; and save on storage costs by systematically and legally disposing of records no longer needed. Records contain the information needed to

make decisions and implement policy. Consequently, improving the quality of the information base enhances the quality of the resulting decisions. During an administration, properly managed records make it possible for a governor to ensure that his/her office is accountable to the state's citizens and that the actions of the administration are transparent. In today's political environment, these broadly accepted concepts are the hallmarks of an effective governor. Good government is open government and both require thorough records and effective record-keeping procedures.

Records management is one of the basic responsibilities of every administration. Effective record-keeping enhances services and improves operations while poor record-keeping leaves the office vulnerable to risks associated with freedom of information or e-Discovery requests for access to records; legal challenges to executive authority, actions, or policies; and disasters or emergencies that involve destruction of records or records systems. This guide is designed to help governors and their staff members make informed decisions about managing one of the state's most important assets—the records of the governor's office. It will help avoid the risks that accrue from inattention to, or lack of oversight of, this critical resource.

Records exist in many different formats, from paper and microfilm to computer tapes and DVDs. It is the information con-

tained in the record that is important to preserve, not necessarily the format in which the record was created. The information that resides on websites, in e-mail transactions, or on “smart” personal devices may be just as essential to the legacy of an administration as the paper files of correspondence housed in the governor’s office file cabinets.

The proliferation of records that accompanied growth in government and advances in technological innovation over the last half century makes their proper management increasingly complex and consequential. All levels of government—federal, state, and local—are involved in addressing the need to improve business processes and operational efficiencies and to ensure accountability through systematic record-keeping.

Since Watergate in the 1970s, national attention has focused on the concept of public ownership of government records. Access to public records and the conflicting concerns of executive privilege, privacy, and accountability of public officials are no less noteworthy issues today than they were then, especially as citizens are demanding that their governments operate in a transparent and open manner. Within the last several years, we have experienced renewed public interest in access to mayoral and gubernatorial records as incumbents in various cities and states left office during their tenure to undertake new endeavors. In one state, a record-keeping nightmare hit the news when many of the records of an entire gubernatorial administration were mistakenly recycled instead of reaching their intended destination of the state archives.

Governors and their staff must be aware of current best practices and procedures for handling records of the governor’s office, particularly the disposition of files and papers when transitioning out of office. Without an office-wide records disposition program, the risk of discarding or destroying records that should be preserved for historical purposes is great. Furthermore, governors are faced with the dilemma of determining which of their files are official (public) records and which are personal records. At the federal and state levels, laws exist to clarify what constitutes a “public record” and provide guidelines for access and privacy considerations. Most states have public records laws and every state has an archival agency to assist in the management of governor’s office records and to oversee the preservation of permanent public records.

This guide was prepared by the Council of State Archivists, with assistance from the National Governors Association to help address issues associated with the administration and disposition of governor’s office records. It examines the broad public policy issues involved with the administration of records as well as the more mundane, immediate problems of records management and use. Practical guidelines are presented to help staff maintain and dispose of governor’s records in a manner that is legal, timely, efficient, and cost-effective.

This guide will help governor’s office staff:

- understand why comprehensive and systematic management of records is important;

- distinguish between official records and personal records so that each may be treated appropriately;
- facilitate the proper, orderly, and systematic disposition of governor's office records in accordance with established procedures and on a scheduled basis, resulting in operational efficiencies and cost savings to the public;
- describe records management practices that will facilitate efficient handling of records and retrieval of information when needed;
- use technology to accommodate record-keeping mandates and program goals;
- ensure proper identification and maintenance of essential records;
- provide for the preservation of historical records to ensure accurate documentation of each governor's administration for posterity;
- smooth the transition between outgoing and incoming administrations, thus promoting efficiency and avoiding interruptions in the operations of state government;
- reduce litigation risks resulting from improper control and disposition of records; and
- minimize the potential for public embarrassment by ensuring the state's public records laws are followed and the rights of the citizens are respected.

This guide is intended for the use of:

- incoming and incumbent governors and their staff, who will benefit from having critical records immediately available during the early days of a new administration;
- outgoing governors, who will benefit from the identification of potential problems concerning the disposition of their records;
- outgoing staff, who may be in a position to resolve otherwise unanticipated problems concerning records; and
- state government archivists and records analysts, who are charged with providing assistance to governors and their staff in managing and disposing of governor's office records.

As this publication is intended to provide general guidelines applicable across states, it is essential that the governor's staff consult the state agency responsible for archives or records management to discuss these management practices within the context of the state's statutory, regulatory, and budgetary framework.

*Note: This manual uses terms specific to the archival and records management professions. A glossary of terms with definitions is provided in Appendix A.*





# Governor's Office Records: An Important State Asset

The chief executive officer of state government and his/her staff deal with a multitude of essential and complex issues and wield broad authority over policy and programs, the composition and structure of the state's bureaucracy, and the allocation of resources. Governors are the nexus between federal and state mandates and programs and are the primary contacts for citizens seeking services, expressing opinions, or proposing initiatives.

The governor's office creates, receives, transmits, and maintains records associated with each of these roles. These records constitute one of the most valuable resources owned by state government. They document the mandates, policies, and programs of an administration; the activities of cabinet and agency officers in fulfillment of those mandates; and the concerns of constituents.

Effective management of these records is essential to mitigate risks, achieve administrative efficiencies, support the delivery of government services, and contain costs. As records are increasingly created, received, stored, and transmitted within complex information technology systems, their systematic management from the point of their creation through their active use and eventual disposition is critical. Proper management will ensure the governor's office exercises appropriate stewardship over, and makes the most advantageous use of, this significant resource.

Systematic management of governor's office records ensures the records are authentic, protected, and accessible. A comprehensive program should embrace the records of the entire executive staff and be sustained across administrations. The remainder of this publication explains the rationale for, and components of, a records program, as well as strategies for maximizing its benefits.



# Official Records versus Personal Records

Governors and their staff create and maintain records as part of their official responsibilities. They also may keep personal files that do not relate to state government business. The distinction between official state records and personal records is an important and often complex matter. New governors and their staff are advised to be clear on that distinction from the point at which they first begin to create public records—certainly no later than inauguration, but preferably during the transition period between election and inauguration.

**There is no universal legal standard applicable to all states on what constitutes an official record** that belongs to the state and that must be managed within the context of the state’s statutory requirements for public records and what, alternatively, may be a non-official or personal record over which the governor has the ultimate decision-making discretion. The incoming legal counsel for a new administration is advised to consult with all the appropriate parties—state archives, state department of administration, attorney general, secretary of state, office of information technology, and any other entities or individuals traditionally part of that state’s records maintenance, retention, and destruction process—as early as possible after election. and certainly at the point at which discussions regarding office

organization and management occur to ensure the new administration conforms to the state’s existing records management procedures and requirements.

Counsel should review all appropriate legal authorities and citations concerning records, including state statutes and regulations, at-

*The trend in many, if not most states, is to broaden the definition of public records and to restrict the authority of the executive to classify records as “personal.”*

torney general opinions, state case law, and administrative code. From this process, there should emerge a clear and legally defensible delineation of public versus personal records. However, in some states, this review process reveals a less than “bright line” standard on public versus personal records. In this case, there are several indicators a cautious legal counsel

can look to for guidance. Before undertaking that process, it is important to note the trend in many, if not most, states toward openness and transparency, broadening the definition of public records and restricting the authority of the executive to classify records as “personal.” This is for purposes of controlling the final disposition and exempting or exerting a privilege of personal confidentiality in restricting certain records from freedom of information requests. In the archival and records management professions, the terms “official records” and “personal records” have standardized definitions.

“*Official records*” are those records created or received by the governor, the governor’s

staff, and other units and individuals in the governor's office in the conduct of government business. Official records are evidence of the constitutional, administrative, and ceremonial functions of the office.

*"Personal records"* contain personal or private content that does not relate to the carrying out of official duties. A traditional indicator of personal records has been that they are not created or maintained by state employees with state equipment on state time. However, common use of personal cell phones and other personal devices as well as personal e-mail accounts to transmit business-related information has led, in some states, to rulings that records created under such circumstances are considered to be official records. It is important to note that the classification of "personal" records in electronic form could be threatened if they are inserted into electronic files and databases maintained in a governor's office.

The following discussion may help clarify the generally accepted difference between official and private records. In many states, if any of the following questions can be answered "yes" and no other state guidance exists that allows particular documents to be exempted as "personal records," the document is an official record.

- Did the office create, receive, or accept and maintain the record?
- Was the record created or used to conduct or facilitate state business?
- Is the record a draft or preliminary document created for background or a similar purpose? Does it contain unique information that explains formation of significant program policies and decisions (provided there is no specific

state legal authority or guidance exempting draft or preliminary documents from the definition of public records)?

- Was the record distributed to other offices or agencies as a formal directive or for approval, comment, or clearance?
- Was the record placed in a file within the governor's office?
- Is the record part of an electronic information system used to conduct state business?
- Does an item on the retention schedule for the governor's office cover the record?

Personal records are likely to include the following:

- Business or professional files created before entering state service—for example, files created during or relating to previously held private positions and political materials;
- Private files brought into the office including family and personal correspondence, materials documenting professional activities and outside business or political pursuits, and volunteer and community service records that are considered personal because they do not relate to state business; and
- Work-related personal files including diaries, journals, notes, and personal calendars and appointments schedules. Though work-related, they may be personal if they are used only as reminders and personal observations on work-related topics, not for the transaction of government business. However, in cases in which the same

calendar contains both public and private appointments or schedules, the calendar would be considered a public record.

The dividing line between official business and personal or political concerns can sometimes be blurry, although most states' open government statutes lean toward declaring records that fall into a "gray area" as public. **Avoid the potential problems of public access to personal or political records by ensuring no personal business, other than of a *de minimis* nature, is conducted in the governor's office.** Consider maintaining separate offices and staff to conduct personal and political business.

The consequences of mixing official public records and private records can be serious. Public relations problems can arise from a conflict over access to, or the management of, records. There are important legal considerations as well. As previously discussed, many states have statutes defining "public records" that stipulate procedures to be followed in the management of official records. The disposition of public records usually is regulated stringently, making it inappropriate and often illegal to destroy any record without following established procedures. Although state public records laws differ, there has been a definite trend in recent years toward considering any record produced and maintained by a public official in a public office using public employees, equipment, and supplies to be an official public record owned by the citizens of the state.

In many states, records relating to confidential state business are protected for as long as necessary by existing state laws. Any attempt to protect a confidential rec-

ord further by placing it with private records is misguided, and permanently removing such records from public files or databases could be illegal. To avoid such problems, it is strongly advised that when no policy on treating confidential records exists, the governor's legal counsel should prepare one that conforms to the state's particular laws and regulations. The state's archival or records management agency directly responsible for the management and administration of official state records has employees who have a working knowledge of all relevant confidentiality statutes or rules and can provide assistance in preparing such policies.

Governor's office staff need to be aware that records exempted permanently or temporarily from disclosure may be required to be produced in concert with the discovery process of a civil lawsuit or a criminal or ethics investigation. It is not within the scope of this publication to discuss fully these possibilities, but to call the reader's attention to the fact that they do arise and that the governor's legal counsel must ensure compliance with the law.



# An Overview of Records Management Principles

Records management is the systematic control of recorded information from creation or receipt in the governor's office until its final disposition, either by destruction or transfer to the state archives.

A comprehensive records management program (preferably a subset of a broader enterprise-wide approach to managing the records of state government, or at least of the executive branch of government) offers numerous benefits to the governor's office and is based on the following practices:

**Risk management.** Risk management addresses several questions.

- Does the governor's office have written policies and procedures that address the use, access and retention of public records; are staff trained in the implementation of these policies and procedures?
- Do governor's office records meet state statutory or other mandates governing the creation, preservation, destruction, and accessibility of public records?
- Are privacy, executive privilege, attorney-client privilege, or other confidentiality provisions understood by cabinet officers, executive assistants, and other staff and consistently identified and applied as records are created or received?

- Are electronic records routinely backed up and stored off-site so that operations can be quickly restored in the event of a disaster, cyber security attack, or human error?
- Is there a policy governing who has what level of access rights to computer systems and networks?
- Have those records with an archival (continuing) value been identified and are they managed so they remain authentic and accessible over time and across administrations?

**Cost-benefit analysis.** Storage of records, whether paper or electronic, can be expensive and can complicate the systematic and timely retrieval of essential records. A cost-benefit analysis of existing procedures and practices should consider certain questions.

- Are records scheduled to be kept only as long as they have a legal, administrative, or fiscal value and then destroyed or transferred to the state archives?
- Does the existing filing system allow staff to identify and retrieve records quickly, whether they are on paper or electronic media?
- Does the executive branch of state government, including the governors' office, routinely conduct comparative cost-benefit analyses and cost projections over time when deciding

what record-keeping systems (paper or electronic) to implement?

These considerations become even more important as more and more records are created through the use of new information technologies. Almost every state has its own horror story about costly and embarrassing IT failures. A recent Gartner study found that 15 percent to 20 percent of IT projects are over budget, over time, or do not meet the specified objectives of the project.

Records management programs should include several key elements.

***Comprehensive filing systems:*** To facilitate the filing and retrieval of records, group related records together (called record series), use consistent file names whether the records are electronic or paper, and note any access restrictions.

***Comprehensive record schedules:*** Working with the aid of the state's archival or records program, analyze fiscal, legal, administrative, and historical values of each series and schedule for periodic destruction or transfer to the state records center or archives.

***Clear definitions of public records and personal records:*** While the majority of governor's office records will fall under the state's public records definitions, some may not. Most states categorize governor's office records as either public or personal, but governors will have responsibility in both cases to ensure appropriate maintenance and ultimate transfer to the state archives of the former and preserve and transfer the

latter to an appropriate repository. Whether designated as public or personal, some records still may be legally destroyed in accordance with the individual state's records retention and destruction protocols. Applying the appropriate definition to public and personal records and ensuring all records are properly maintained throughout the administration's lifetime and disposed of according to set procedures is a far easier task if pursued rigorously from the outset of the administration.

***Electronic record-keeping systems that incorporate records management requirements into their design:*** In virtually all jurisdictions, electronic records fall within the broader public records definition. Record values are determined by content and purpose of information, not by the media on which the record is created. Electronic records, however, require additional considerations. There have been court challenges to the automatic deletion of e-mail, regardless of content. To manage electronic records, states may pursue solutions such as maintaining records in an electronic record-keeping system that can manage records retention, disposition, and access, or store them offline. Many states are developing enterprise-wide approaches to managing electronic records, including e-mail, to ensure consistent application of records management principles. Every option for dealing with electronic records has its own risk and cost-benefit considerations and consultation with the state's records management or archival agency and information technology office is advised.



# Implementing the Records Management Program

The official records of a governor are generated almost from the point of election. During the transition and opening days of an administration, governors receive records from agencies reporting on their current status and plans. They create records dealing with recruiting and nominating cabinet and staff, shaping campaign pledges into programs, and developing inaugural and

A few words of caution: while records and documents of the campaign rarely are considered to be public, newly created records from the transition may become public even before inauguration. Gubernatorial transition offices may find that if they accept office space, personnel, and equipment from state government to create, maintain, and file such records, they may be consid-

*It is impossible to overstate the importance of implementing a comprehensive records management program as soon as possible, preferably as part of the transition into office.*

budget addresses. Incoming or newly inaugurated governors may inherit records from a previous administration including classified records related to federal and state homeland security.

It is impossible to overstate the importance of implementing a comprehensive records management program as soon as possible, preferably as part of the transition into office. If not done at the outset, it will be time consuming and costly to establish a records program. The greatest cost, however, will occur if records that should have been archived are lost to history or those that could have been legally destroyed become embroiled in litigation around their undocumented absence.

ered “public” due to the investment of public resources. Any records an outgoing administration sends to the transition office also could be classified as public since they were created while that administration was incumbent. Campaign records present another concern. If an incoming administration mixes its campaign documents with transition documents—for instance, by downloading campaign documents to store on state provided computers—it is likely those campaign documents would be newly classified as official government records. Therefore, **the governor-elect must be prepared to deal with the possibility that new documents created or accepted during the transition period may become official records, even before inauguration.** Knowing

how to deal with such records is essential to manage them properly and alleviate risk.

If a records management program is already in place, it is important to determine whether the existing system meets the new administration's needs or requires revision to reflect new initiatives or changing information systems. Does the existing system reflect the smorgasbord of paper and electronic files that support modern business processes? While such an analysis always must be based on the function and content of the records, it is important that the records management system offers a comprehensive view of all the records, regardless of their physical form or characteristics, and distinguishes between public and non-public records as well as between records of short- and long-term value.

Whether a records management system is inherited or created, it is important for key staff to work with the state's archival or records management agency. Legal counsel should review the state's records laws to identify those requirements governing access to, or management of, governor's office records. Top administrative staff or cabinet officers must be familiar with the resulting record-keeping decisions. It is futile to identify certain communications as confidential in the executive's files if the recipient is unaware of those restrictions and treats them as open records. For instance, records properly designated as restricted, but transmitted to an administration official who does not treat them as such and provides them without restriction to a third party may destroy the restriction

that had been attached properly to those records.

The benefits of inaugurating a comprehensive records management program at the beginning of an administration are far-reaching. Records will be easy to find and retrieve as needed. Public records can be made available at reduced cost while restricted information can be protected in accordance with law. Records that have fulfilled their administrative need and do not have a continuing value can be disposed of in a systematic and legal manner. Program implementation and evaluation can be enhanced by ready access to records documenting intent and performance. Conversely, retroactive implementation of a records management program is time consuming, costly, probably ineffective, and carries the risk of legal challenges.

## **Records Retention and Disposition Schedules**

While it is not the purpose of this guide to provide an in-depth explanation of archival or records management practice, it is useful to have a general understanding of the basic elements of records management programs and how they relate to records in the governor's office. The first step is to work with the state's archival or records program office to review or create a comprehensive inventory of records created, received, or held by the governor's office (some states mandate the creation and maintenance of records inventories). A records inventory focuses not on individual records, but on records series—groups of records related by function, activity, or subject. An inventory lists the records under the control of an of-

office and clarifies their purpose and any conditions on their use.

The archival or records program staff can then help to appraise (i.e., identify the legal, administrative, or other value of) each series to determine how long it should be retained. It is important that senior staff be familiar with the appraisal decisions to determine the official custodian of each series, as in many states it is the “official custodian” who responds to public record requests.

Appraisal decisions are then incorporated into records retention and disposition schedules that establish the record-keeping requirements. The schedules generally indicate when records no longer have an administrative, fiscal, or legal value and can be disposed of, freeing office and server space. This also can reduce risks by preventing the accumulation of unnecessary records that are nonetheless subject to discovery, freedom of information, or other requests for access. Schedules also affirm or establish which series have a continuing value and are eligible for inactive storage in the state records center or transfer to the archives when no longer needed in the creating office.

It is important to note that, in some states, a document may be exempt from immediate disclosure if it is a draft or working document. However, such an exemption may end when there is final action on the matter and all drafts then may be required to be maintained for archival purposes along with the final version, all being subject to a public information request. Conversely, in other states, the draft documents may be destroyed without ever being disclosed. It is strongly advised that

the governor’s legal counsel and the state’s archivists review jointly the legal status of all such documents. They also should ensure that the office personnel charged with record maintenance understand and appreciate these distinctions for the related purposes of record keeping as well as responding to public information requests.

## **Regular Disposition**

Records retention and disposition schedules benefit the governor’s office by allowing the orderly and regular disposition of records through immediate destruction, transfer to off-site temporary storage at the state records center, or transfer to the state archives for permanent retention. Without a system to schedule their disposition, records may accumulate within the governor’s office, consuming expensive office or server space, complicating record searches, and risking hurried, ad hoc decisions about disposition (with associated legal risks) in the waning days of an administration. As governors in several states have discovered, waiting until the end of an administration to identify records for retention or disposition can lead to public, political, or legal challenges and embarrassment.

**In the case of electronic record-keeping systems, it may be possible to build retention decisions into the system’s design.** Systems can be programmed to identify restricted or open records; provide notice when the end of a retention period has been reached; and, through consistent naming conventions, allow for the quick identification of records for retrieval. This allows greater uniformity in managing the office’s records and reduces the amount of time spent on sustaining a records management program.

## Benefits of the Records Schedule

Records retention and disposition schedules benefit offices in a number of ways.

***Orderly Disposition:*** Schedules eliminate the tedious job of sorting through records throughout and at the end of a term of office to determine what to transfer to the state archives, leave in the office for the successor administration, and what to destroy. Selective disposition, done as a part of the regular course of business, prevents the accumulation of valueless records and reduces the risks of legal challenges.

***Proper Records Handling:*** Staff can handle records in a manner consistent with their value from the point of creation to ultimate disposition (transfer to the state archives or destruction). Records of continuing value—minutes of a public body, for example—can be managed from the start to ensure their long-term authenticity and accessibility.

***Identification of Records for Reformatting:*** Record schedules can identify voluminous records series that are appropriate for reformatting (microfilming or scanning, for example), freeing space, and enhancing access.

***Identification of Essential Records:*** Schedules identify those records necessary to the operation of the office. These essential records can then be protected (by duplication or back-up) and identified for quick retrieval in the event of emergency or disaster.

## Filing Systems

Although new technology is diversifying methods of storing information, the “paperless office” is still far from reality. The most serious implication of the sheer bulk of paper found in most offices today is that specific information often becomes “anonymous,” lost somewhere in the mass of

paper. The best defense against this very common records problem is to establish and maintain effective filing systems.

The records retention and disposition schedule serves as an elementary file guide. The organization of the schedule into records series is extremely helpful because it reinforces the need to organize records into logical, related units. Records series found in an office may vary widely in volume from just a few file folders (for the minutes of a board that meets only once a year) to hundreds of file folders (for subject reference files). Regardless of size, each records series should be maintained separately.

**It is especially important to identify and organize information into records series as it is created or received, whether that information is recorded on electronic media or paper.** The staff member assigned responsibility for maintaining a records series should develop a logical, consistent filing scheme. By coding and routing every new document into its logical records series, which in turn is described in a records schedule, the office maintains a basic level of intellectual control and protection against inadvertent loss of information. In addition, organization of all files into records series will facilitate orderly records disposition.

State records management or archival agencies usually provide consulting services, workshops, or other training to assist in developing efficient filing systems.

## **CHECKLIST OF ACTIONS:**

The following checklist provides a summary of actions to establish a records management program to maintain your public records and identify and preserve your personal records.

The records management and/or archival agency in your state can provide assistance in these areas (see Appendix B for a directory of State Archivists and Records Managers or go to <http://www.statearchivists.org/statearchivists.htm>).

This assistance may include records scheduling assistance; staff training in records management; advice regarding the management and maintenance of both records and non-records materials, filing systems, and equipment; storage of inactive records in the state records center; microfilming or imaging services; storage and preservation of permanent records in the state archives.

### **A. Records Management Program**

- Work with the records management or archival agency in your state to prepare a records retention and disposition schedule identifying all records series produced or maintained in the office. Have the schedule officially approved and keep it up to date through amendments and revisions.
- Develop a written policy manual addressing all aspects of records administration. Assign responsibility and authority for carrying out these policies. Include procedures to ensure proper handling of computer and audiovisual records.
- Code all incoming or newly produced records so they are identified according to records series and properly filed for ready retrieval and facilitated disposition.
- Conduct annual weeding of all records series in accordance with the approved records schedule. Transfer eligible records to the state records center or archives if such facilities are available.
- Establish filing systems that reflect the integrity of each records series and take into account the ultimate disposition plans for the records. Select equipment and supplies that are suitable for the file system chosen. Use file guides and procedure manuals to formalize filing plans.
- Employ digital imaging and micrographics techniques when appropriate to better manage records.

## **CHECKLIST OF ACTIONS (cont'd):**

### **B. Maintaining Personal Records**

- Set up procedures for maintaining personal records.
- Maintain personal records separately from public or official records in both paper (in separate file cabinets or file drawers) and electronic formats (on removable disks or in separate personal directories on a computer).
- If you or your staff intend to create and maintain extra copies of records for personal use, verify with the agency in your state that has oversight for records management that the creation and removal of such copies is acceptable. If so, identify the types of work-related files in which you have an interest and establish procedures for the routine copying of those materials.
- Ensure that the materials you seek to remove do not contain information for which disclosure is otherwise prohibited by law and that your removal of the materials complies with agency policies regarding legally privileged or otherwise restricted information.
- Establish a procedure for routinely listing the copies you will be removing from your office.
- If you are at the end of your tenure, identify, separate, and prepare for removal of personal records to ensure that you will not be removing public or official records. Arrange for the designated individual (such as the records officer or legal counsel) to review the materials, including extra copies of records you plan to remove.

# Digital and Other Machine-Readable Records

Most offices use an array of information processing tools and systems to facilitate both the conduct of business and the creation and maintenance of records. While professionals associated with the archiving process generally deal with the technical challenges of maintaining records in electronic formats, front-line program staff should be aware of the issues related to managing electronic records.

As stated earlier in this manual, records are created and maintained in a wide variety of digital or other machine-readable formats that require special equipment to read, manipulate, and store the information. Examples of such formats include e-mail messages, databases, word processed documents, spreadsheets, digital images, text and instant messages, voicemail, videotapes, audiotapes, microfilm, and motion picture films.

Regardless of the media or format, recorded information usually is considered a public record if it documents official activities or functions of a government agency or entity. **Many states' public records laws consider format or media inconsequential when determining what constitutes a "public record."** In other states the inclusion of non-textual or machine-readable records

under the authority of the public records law is more implicit than explicit, but the preponderance of legal decisions in specific cases treat these non-textual records in the same fashion as their textual counterparts.

The governor's staff should work with the state's archival and records management agencies to ensure the preservation of valuable information and allow for the systematic legal destruction of records no longer needed to conduct the business of the office. **Many non-textual records, especially electronic records, are far less durable than paper records and will require special protective measures, such as recopying to new storage media and, in some instances, conversion to different file formats, if they are to remain accessible and usable into the future.**

The following discussion provides significant detail on managing and maintaining non-textual records. Governors and their staff do not need to make decisions about how to handle such materials. Your state's archival and records management agencies and the office of the state chief information officer (CIO) are prepared to provide expert advice and consultation on these matters. Governors are encouraged to work with these agencies to ensure appropriate decisions are made.

## Electronic Records: An Overview

Machine-generated and supported records pose special challenges for record-keeping and preservation. Information communicated between and among electronic devices produces records that may document government business. These records must be managed in a way that ensures the integrity and preservation of content for as long as is legally required.

Records created with computers, smart phones, digital cameras, etc., are dependent upon specific hardware and software to remain accessible and usable, and they are often required to be retained after the technology used to create them has become obsolete. Increasingly, records created in electronic formats have no paper counterpart; the electronic or digital record is the only record that exists. For example, mailing lists, web pages, and databases frequently are created, revised, and updated electronically. E-mail exists only in electronic format unless a paper copy is printed and saved. At the same time, electronically generated records may often be the first point of discovery in legal actions, since they are known to be vulnerable to deletion. It is thus essential to establish security, authentication, backup, and migration procedures for records that will be maintained only in electronic format. This is particularly important for those records that must be retained long-term.

A frequently cited case concerning federal census records highlights the challenges inherent in electronic recordkeeping. The 1960 census was the first to utilize computers. Raw data from the census, still in the original machine-readable format, came to

the attention of the National Archives in Washington, D.C. in the mid-1970s. This data held enormous potential value for research. However, the equipment necessary to read the records was extremely difficult to locate because of changes in computer technology that took place between the time the data was created and the time the National Archives attempted to access it. National Archives staff eventually found a computer capable of reading the records, located at the Smithsonian Institution, where it had been deposited as a museum artifact.

A more current example is a situation that occurs frequently. Data stored several years ago on routinely used 5 ¼" floppy disks is difficult to access because the hardware to read those disks is no longer easily available. And even if the correct hardware were to be found, the software used to create the data is undoubtedly no longer viable. This points to the need to regularly migrate important electronic data to new technology before old technology becomes obsolete.

Not all electronic records possess permanent historical value. Some have only short-term value. However, if electronic records need to be retained for more than 10 years, the risk of losing the accessibility and authenticity of the record increases.

Electronic records also present other challenges:

- In many instances, there are multiple versions and multiple copies of each record, and it may not always be easy to determine which one is the official "record copy."



- Records that lack enduring value are often retained on individual computers, portable storage media, or servers long after they have ceased to serve a business need. The storage space that such records take up is costly and may be needed for newer or more important records. Further, records that are retained beyond the time when they might have been legally destroyed are subject to discovery and freedom of information requests.
- Many records are created in formats that are proprietary (i.e., formats owned and controlled by a software company). If the firm that controls the development of a given file format stops creating software that can access such encoded files, these files will ultimately become inaccessible. Records that must be retained for more than 10 years and those encoded in proprietary formats that are not widely used are particularly vulnerable.

Moreover, like paper records, electronic records are subject to legal discovery proceedings. The challenges noted above—a profusion of copies and versions, keeping records beyond the end of their retention period, and the use of proprietary formats—can dramatically increase the cost of responding to such requests and compel the production of records that could have been destroyed at the end of their retention period.

The proper management of electronic records requires consideration of the following questions:

*If electronic records need to be retained for more than 10 years, the risk of losing the accessibility and authenticity of the record increases.*

- Do record creators, information technology staff, and legal counsel know how long individual records series need to be retained?
- Have legal counsel and information technology staff developed procedures for responding to legal discovery requests for electronic records?
- Are records with short-term value destroyed routinely and appropriately, and records with long-term value protected from inappropriate destruction?
- Are files clearly identified so access is not dependent on one person's knowledge and filing idiosyncrasies?
- Do individuals know who is responsible for retaining the “record copy” of a file?
- Are files containing confidential or sensitive information restricted from unauthorized access?
- Are files containing valuable information routinely backed up and backup copies stored off site?
- Are files regularly checked for deterioration and damage?
- As hardware is upgraded, is all information immediately converted to

compatible storage media (including backup copies)?

- As software is upgraded, is all information immediately migrated to the new file format (including backup copies)?
- What would be the consequences if electronic files at one location were suddenly damaged by fire, flood, or some other disaster?

Electronic records should be included in your records retention and disposition schedule, just as traditional paper records are. The schedule should specify if the series is maintained solely in electronic format or if it consists of both paper and electronic records.

Your state archives or records management agency can provide guidance concerning proper management of electronic records, electronic legal discovery, and preferred file formats.

## Electronic Record-keeping Systems

Every record, regardless of format, is part of a record-keeping system—a paper, electronic, or hybrid system designed to create, store, and allow access by authorized personnel. **These systems consist of both the equipment needed to store the records—folders and file cabinets or hardware and software—and the people, policies, and procedures that govern how the system operates.**

Electronic records may be stored in many different types of record-keeping systems. For example, your office may have a digital imaging system that creates and stores electronic copies of incoming correspondence and other paper documents, a system that

tracks personnel changes, and a system that manages the calendars of key staff.

An assessment of your office's record-keeping systems is a good way to ensure that these systems will meet your needs. Questions you should ask when evaluating each existing system—and each system you are thinking of creating or purchasing—include:

- Does the system fully support your business needs?
- Does the system document the date and time each record was created or modified, the identity of the creator or modifier, and other information that can help prove that the record is authentic and unaltered?
- Does the system guard against deliberate or inadvertent tampering?
- Does the system incorporate records retention requirements and alert staff when a given group of records has reached the end of its retention period?
- Does the system make it easy to move records and the information documenting their authenticity and completeness into another system, or will extensive custom programming or the purchase of additional software be required?

Enterprise Content Management (ECM) systems are specialized record-keeping systems that are widely used to manage certain types of computer records (e.g., digital images, e-mail messages, word-processed documents, web pages, and spreadsheets). **These tools are often available as part of a statewide enterprise architecture and can**

**support risk management, compliance, storage, business process reengineering, workflow, version control, file sharing, security, and records management.** The records management components of these tools, called Records Management Applications (RMAs), are very important because they ensure that the records stored in the ECM repository are authentic evidence of the office's actions, and they automatically implement legally mandated record retention requirements. If your state already has an ECM system, verify that it has an RMA component. Your archival or records management agency and state CIO can advise you on this.

Your state's archives or records management agency can also help with functional requirements analysis, business process analysis, document conversion, file system design, and record retention issues. In some states, the archival or records management agency and the office of the state CIO have developed overarching standards concerning the design and maintenance of electronic record-keeping systems.

## **E-mail Records**

Electronic mail (e-mail) is an important communication tool for conducting government business. Governors' offices use e-mail systems to distribute memos, circulate drafts, disseminate directives, transfer official documents, send external correspondence, and support various aspects of government operations. Well-designed and properly managed e-mail systems expedite business communications, eliminate paperwork, and automate routine office tasks. Many states now use enterprise e-mail solutions that provide uniform e-mail services to all state agencies and offer many

features and functions in a consolidated environment. **Your legal counsel and office manager should ensure from the outset the governor's office is complying with state requirements for the management and preservation of e-mail.**

If you use e-mail to conduct public business, you need to be aware of the following:

- Staff members must be cognizant of the extent to which their e-mail may be or become public records. Otherwise, e-mail users may have unrealistic expectations of privacy and informality when they send or receive messages,
- Many state records laws and federal law treat e-mail as a public record, making e-mail messages subject to disclosure under the same terms as records in other formats.
  - A growing number of states have policies mandating that e-mail, regardless of its content, be retained and kept in an e-mail management system (sometimes referred to as "archiving," even though in this context it does not imply permanency). Further, this requirement usually includes e-mail attachments.
- E-mail is subject to legal discovery.
- If an e-mail message exists (e.g., in active accounts, on backup tapes, in a computer archive system) when a request for access to information is received, or when litigation is imminent, legal staff must evaluate that message to determine if it should be released.

- **Use of private or third party e-mail accounts to conduct public business is strongly discouraged. However, the content of e-mail generated through such use may be subject to public records laws in your state, and relevant information sent or received via these accounts may be subject to litigation. As a result, messages sent or received in the conduct of state business will need to be saved and managed according to those laws. Consider encouraging your employees to refrain from using private accounts to conduct public business.**
- E-mail messages contain system information that is not visible to the sender/receiver and that does not appear in printouts of messages. Some courts have ruled that this system data is integral to the records.
- The governor's office must understand and implement retention requirements for e-mail including the transmission information (metadata) generated by the e-mail system. This metadata must be retained with the e-mail message to document the authenticity of the record if it is needed for litigation. As a result, it may be necessary to preserve e-mail records electronically.
- In some states, the retention requirements for a particular e-mail message are dependent upon its content and the purpose for which it was created. Like other forms of correspondence, much of the e-mail from a governor's office will be retained permanently.
- If your office chooses to use a third party vendor to provide e-mail services, ensure that the terms of service (TOS) or other contracts guarantee that the e-mail is maintained in a trustworthy environment and that e-mail can be extracted and produced to comply with public records requests and litigation, and is ultimately available for transfer to the state archives.
- Given the availability and presence of increasingly powerful devices in the workplace, data can reside in multiple places, many of which are outside the direct control of the governor's office, information technology (IT), or records staff. Employees using smart phones, personal digital assistants (PDAs), and other portable devices to transact public business must be aware that data stored by those devices can be subject to public records requests.
- IT staff should understand their role in ensuring that e-mail is properly managed and preserved.

Your state's archival or records management agency can provide guidelines and best practices that will help you manage your e-mail records.

### **Text Messages**

Like e-mail, text messaging and instant messaging (IM) using mobile phones, mobile computing devices, and websites that offer text messaging capability are also an effective means of communicating in "real time" with staff and constituents.

Text messaging offers the ability to send short text messages to a device such as a cellular phone, PDA, or pager. In addition, some social networking sites and other commercial sites allow users to receive updates via mobile devices.

Instant messaging (IM) allows users to “chat” in real time across a network, similar to a phone call but using text to communicate. Typically, instant messaging systems alert users whenever somebody on their private list of contacts is online. A user can then initiate a chat session with that individual. You should be aware that, because of the security risks, most state IT policies prohibit the use of consumer external IM services.

Text and instant messages made or received in the transaction of public business may be subject to your state’s public records laws and should thus be managed and/or captured accordingly. Your state archives and records management agency can furnish additional information. You may also wish to consult the office of the state CIO.

## **Voicemail**

Voicemail systems enable callers to leave messages. Although almost all of these messages have little value beyond identifying the caller and the reason for the call, those that convey important information, provide direction or guidance on significant issues, or authorize specific actions meet many states’ legal definition of a public record.

There are a number of possible options for keeping voicemail messages that have short- or long-term value, among them:

- Keeping messages within your voicemail system. Most systems automatically delete messages at regular intervals, but it may be possible to keep messages that have short-term value within the system itself. Moreover, your system administrator may be able to retain selected messages for a longer time, either within the system itself or in another location.
- Requesting that callers convey important information via e-mail or letter. Although this approach is not always feasible, you may be justified in doing so if the information must be captured and retained for legal, administrative, or other purposes, such as when messages authorize or direct specific actions.
- Using software that captures messages as digital files and allows them to be stored and managed on a computer. Giving one or two employees the software needed to do so and instructing other personnel to forward important voicemail messages to them will contain the cost and ensure that saved messages are filed appropriately.
- Having staff prepare written summaries of the contents of important messages and file the summaries with related records. This option constitutes a good-faith effort to capture the contents of voicemail messages; however, it does not preserve the messages themselves, and the accuracy of the summaries may be questioned.

- Having an employee prepare official transcripts of important messages. This approach preserves the exact content of the messages, but it is time-consuming and expensive; however, if the number of messages is small or the messages contain information that has compelling legal, administrative, or other value, it may be worthwhile.

## Websites

Both internal (intranet) and public (Internet) websites contain records, such as reports, statistics, guidelines, advice, policies, and procedures. Increasingly, governments post this information directly online, without creating a paper version. This content may take the form of a static document or it may be a dynamic database that can be queried by the user. Unless specific policies and procedures are in place, many web-based records documenting the business of the governor's office will not be scheduled and retained appropriately. If a website is used to support transactions between the governor's office and its constituents, the records documenting these transactions must be scheduled and retained.

**Although standards for managing the long-term preservation of web-based materials are still being developed, web-based records are preserved best in electronic format.** Some formats used on the web, particularly those for playing audio and video files, are often non-standard and of low quality. If multiple copies exist for photos, videos, or audio files that have been displayed on the web, it is important to ensure that a high quality copy of the material is

saved in digital or analog format, in addition to the access copy provided on the web.

While it may not be practical to save all changes to a website, "snapshots" of a whole website can be captured when significant reorganizations or administration changes occur. Your state archival or records management agency can help you determine how best to manage and preserve your web-based records.

## Social Media

The role of technology in the 21<sup>st</sup> century workplace is constantly expanding and now includes social media communication tools that facilitate interactive information sharing, interoperability, and collaboration. Social media websites such as Facebook<sup>®</sup>, Twitter<sup>®</sup>, MySpace<sup>™</sup>, YouTube<sup>®</sup>, Flickr<sup>®</sup>, Blogger<sup>™</sup>, and LinkedIn<sup>®</sup>, have large, loyal user bases and are thus increasingly important outreach and communication tools for government entities from the federal to the local level.

Social networking can improve interactivity between your office and the public, and it reaches populations that do not consume traditional media as frequently as traditional audiences.

If your office decides to employ social media sites, keep the following considerations in mind:

- Your office should have a clear communications strategy and should take the time to determine how social media fits into this strategy.
- Communications via social media outlets should remain professional in nature and should always be conducted in accordance with your

communications policy, practices, and expectations.

- Avoid using your office’s official social networking accounts for political purposes, to conduct private commercial transactions, or to engage in private business activities.
- The content you create and the citizen comments you receive may be public records.
- Staff use of social networking sites should be consistent with applicable state, federal, and local laws, regulations, and policies, including information technology security policies, office and statewide acceptable use policies, and records retention and disposition schedules. Due to security concerns, some states block staff access to social networking sites.
- Each form of social media has its own unique terms of service (TOS) that regulate usage of that particular form of media. Any employee using social media on behalf of your office should consult the most current TOS in order to avoid violations. If the TOS contradict your state’s procurement regulations or other state regulations or policies, you will need to decide whether use of such media is appropriate. Consider involving legal counsel in this decision.
- E-mails and other communications sent or received via e-mail services offered through social media sites may be public records. This means that both the posts of the employee administrator and any feedback from

other employees or non-employees, including citizens, will become part of the public record.

- Account administrators who receive messages through the private message service offered by the social media site should encourage users to contact them at a public e-mail address maintained by their agency. Account administrators should treat any message they receive via these services as constituent e-mails and, therefore, as public records. Account administrators or another authorized staff member should reply via an official state e-mail account.
- Set all account privacy settings to “public.” Doing so will help you comply with your state’s public records laws and facilitate appropriate retention and preservation of the records associated with the account.

Your state archives and records management agency can help you determine how best to manage the records within your social media accounts and offer advice on preserving archival records.

## **Cloud Computing**

As technology continues to evolve, ways of storing and accessing data evolve as well. One of the new technologies that has emerged is cloud computing. Simply defined, cloud computing technology allows users to access and use shared data and computing services via the Internet or a virtual private network without having to build infrastructure to support these resources within their own environments or

networks. According to the National Institute of Standards and Technology (NIST), cloud computing is “a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.” (NIST Definition of Cloud Computing, Version 15, 10-07-2009) [<http://csrc.nist.gov/groups/SNS/cloud-computing/index.html>]

Cloud computing offers a number of benefits to institutions that lack or prefer not to maintain the technical infrastructure needed to support their business needs. They offer:

- Ready accessibility, often from any computer connected to the Internet;
- Pay-as-you-go billing for services; and
- Ability to outsource.

However, cloud computing also raises several concerns:

- Information is housed in a shared environment that is outside of your control.
- Ownership of data must be clearly defined.
- Moving data in and out of the cloud may prove difficult.
- Sensitive or legally restricted information must be protected.

In addition to general concerns, cloud computing presents some critical challenges from a record-keeping point of view:

- At present, there are few technical standards governing how the cloud provider manages and manipulates data. As a result, the sustainability and trustworthiness of your records may be called into question.
- At this time, there are no data portability standards for data housed in cloud environments. This situation could jeopardize your ability to extract the data from the cloud and place them into another environment. In a worst-case scenario, your records might be trapped in the cloud.
- At present, most cloud computing applications lack comprehensive records management capabilities, thus limiting your ability to identify and destroy records that have reached the end of their retention period and ensure that records that must be retained are protected.
- Before deciding to store your records in a cloud computing environment, you should consult with your legal counsel and your information technology team. Your state archival or records management agency and the office of the state CIO will also be able to provide guidance and assistance.

The preceding information on cloud computing is from the National Archives and Records Administration

[<http://www.archives.gov/records-mgmt/faqs/cloud.html>].



## Digital Imaging

Although an ever-increasing number of records are created and maintained in electronic form, your office may still create and receive a substantial number of paper records or continue to consult older paper records. If the quantity of these records is large or the records are heavily used, you may wish to create digital images of them.

Digital imaging encompasses techniques for electronically capturing, recording, processing, storing, transferring, and using images of paper documents. Digital imaging has many advantages: it reduces the amount of physical space needed to store records, allows more than one person in different places to look at a given record at the same time, and speeds retrieval time. However, successful digital imaging efforts require careful attention to technical matters:

- The digital images must be of sufficient quality to be readable and admissible in court.
- Essential information (date, creator, subject, etc.) about the original records must be captured at the time the images are produced.
- The system that houses the images must capture essential information about the original records and the production of the images, guard against inadvertent or deliberate tampering or deletion of records, and facilitate the migration of both the scanned images and the information documenting their creation and management to newer systems.

Some states use an enterprise strategy for document imaging that has the benefit of cost savings and controlled and consistent application of standards and solutions. Your state's archival or records management agency and the office of the state CIO can help conduct a needs assessment and a cost-benefit analysis to determine if digital imaging is a suitable approach for a particular business process or need. Your state's archival or records management agency can also furnish information about how to produce high-quality images, capture essential information about the records and the imaging process, and ensure compliance with state records laws.

## Micrographics

The term *micrographics* refers to the photographic technique used to reproduce images in miniaturized form. Microfilm has been widely used since the 1930s, and standards and best practices govern its use for archives and records management purposes. It is an extremely effective tool for reducing the bulk of paper and providing a secure medium for permanent preservation of recorded information. Space savings resulting from conversion to microfilm may be as high as 98 percent. The shelf life of processed silver gelatin microfilm, when produced and stored under optimal conditions, is estimated at up to 500 years.

However, owing to the proliferation of electronic records and the increasing popularity of digital imaging, the number of manufacturers who produce microfilm and the equipment needed to produce and read it is declining. As a result, a number of records and information management professionals

predict that micrographics will eventually become obsolete.

Nonetheless, micrographics remains a proven means of preserving records and, in some states, paper and microfilm remain the only legally acceptable formats for maintaining permanent records. If your state is among them, computer output microfilm (COM) may be an acceptable means of producing copies of electronic records that meet this requirement. COM technology permits the creation of 35 mm or 16 mm microfilm from digital images of paper documents or electronic textual records.

Before undertaking any micrographics project, you should contact your state's archival or records management agency, which can help you identify records series that should be filmed or placed on COM. Most state archives and records management agencies also perform low-cost quality control tests and publish micrographics standards. Adherence to these standards is essential to guarantee permanent preservation of the records. In many states, a security copy of archival microfilm can be stored at the state archives or records center at little or no cost.

If microfilm is used to preserve historical records, the original copy should be produced on silver gelatin film, processed according to archival standards, and stored in an environmentally controlled facility. Detailed information concerning micrographics standards is available from the Association for Information and Image Management (AIIM) [<http://www.aiim.org/>] or your state's archival or records management agency.

## **Digital Multimedia, Photographs, Videotapes, and Audiotapes**

Photographs and recordings of special events, ceremonies, and speeches are particularly valuable. These formats have the potential to provide especially vivid historical records, and they are of great interest to scholars and average citizens alike. Certain scenes from the past—such as President Kennedy's assassination and the first walk on the moon—have become indelible in our civic memory.

Increasingly, photographs, videos, and sound recordings are being created and maintained in digital versions. These digital files are frequently created using proprietary software that is required in order to view the records. Additionally, because these digital files require a lot of computer storage space, they are often compressed and such compression may result in data loss. Once created, high quality digital files should be saved using minimal compression on secure network storage devices, in standards-based file formats (such as TIFF or JPEG with minimal compression for photos, MP3 for sound recordings, and MPEG for videos). These files should be given the same care and attention as other electronic records created by your office.

Traditional photographic prints and analog audio and videotapes are steadily decreasing in popularity, but your office may still create or receive materials in these formats. Photographs are a relatively stable medium, if they are developed properly and stored under proper conditions (however, color prints will deteriorate over time). Information on the proper care of photographic

materials is available from your state's archival or records management agency.

Videotapes and audiotapes are especially vulnerable to deterioration and require extra care. Those with long-term value should be duplicated routinely, and master tapes should be retained in an environmentally controlled facility. Tapes should be played at real time and rewound at least every six months. They also should be copied to new media once every five years.

Your state archives and records management agency can furnish additional information about creating, managing, and preserving these records.



# Archival Records

Archival records or “archives” are those official records of the governor’s office that have enduring value. This value is often determined by

Due to the status of the governor’s office, a relatively high proportion of records produced there will be considered archival.

*Archival records are unique and irreplaceable, requiring careful preservation so they will be available to generations to come.*

the records’ potential historical usefulness to future scholars and researchers. Many archival records, however, also have significant ongoing legal and administrative value. Most public policy issues facing the governor are ongoing and will persist from administration to administration. Consider, for example, the issues of economic development, education, or crime control. Certain records will be necessary or beneficial in providing administrative continuity for program management in such areas, especially when administrations change. **Archives comprise the documentation that remains after the massive volume of routine records and records of intermediate value have outlived their usefulness and been destroyed.** Once segregated from the bulk of these other records, archives present a rich source of information regarding specific issues, policies, or programs.

Archives also are essential to protect the legal rights of citizens. They document decisions and procedures relating to the administration of various rights and privileges. Archives are an invaluable resource for future scholars and researchers, as well as citizens, current policymakers, and administrators.

Such records include executive orders, correspondence (e.g., communications from constituents and citizens as well as agencies and political and professional colleagues), files relating to boards and commissions with which the governor is involved, budget files, special project files, meeting minutes, appointments, schedules and itinerary files, and communications, speeches, and publications files.

Because archives are unpublished, archival records are unique and irreplaceable, requiring careful preservation so they will be available to generations to come. Archival records should be clearly identified during the process of records scheduling. State records managers and archivists are trained to understand what types of records have archival value. They will work closely with the staff of the governor’s office to ensure protective measures for these records are written into the schedule. This protection usually will mean transfer of the records to an appropriate repository, typically the state archives, either when they no longer have administrative value or when the governor’s term of office ends.

In most states, the state archives is the legally mandated repository for all public records determined to have permanent value. In states where the public records law is silent on this point, governors or designated members of their staff are encouraged to consult with staff in their state archival agency regarding a suitable archival repository. They will be aware of facilities, including the state archives, having the equipment, facilities, and staff with the specialized expertise to properly administer and preserve these valuable records.

Finally, early in the course of the administration, governor's office staff members are advised to work with the staff of the state's archival and records management agency to **identify those records with archival value and develop a plan to address access to them once they have been transferred to an archival repository.** Because some executive records contain confidential or sensitive information, a thorough review within the context of the state's public records and freedom of information laws should be conducted. Depending upon the nature of the laws governing access in the state, a governor may decide to seal or close access to certain records for several years. However, since these archival records will fix a governor's place in history by providing direct documentary evidence of his/her contributions, governors who have the authority to seal records are encouraged to open most records for access within a reasonable time.

# Where to Turn for Help

Governor's office staff should contact their state's archival or records management agency for immediate assistance with issues relating to the management of official records. In most states, a variety of direct services are available, at little or no cost. These include assistance in inventorying and appraising records and developing records retention schedules; storage of inactive records in the state's records center, usually with reference and retrieval services; preservation of archival records in the state's archives; and microfilming of permanent records. Consulting services pertaining to a wide range of records management topics also may be available, including the design of filing systems; purchase of storage equipment and supplies; management of electronic records; design of micrographics or imaging systems; forms management; and workshops and training

in various aspects of records management. Each state's archival and records management agency is listed in Appendix B. Current contact information may be found on the Council of State Archivists' website (<http://www.statearchivists.org/states.htm>).

General information pertaining to records management and archives is available from several professional organizations listed in Appendix C. Of these, the Council of State Archivists (CoSA) membership includes every state archivist and key state archives staff. The National Association of Government Archives and Records Administrators (NAGARA) also is involved with issues pertaining to government records of all kinds and at every level—federal, state, and local.





# APPENDIX A: A Glossary of Terms Relating to Records Management and Archives

*Records Management* refers to the systematic control of recorded information from the time that information is created until its ultimate disposition. *Disposition* is a term used in records management to refer to disposal of records through destruction, transfer to off-site temporary storage, or transfer to archival storage for permanent retention. Because information increasingly is handled in various formats and media, *records* can include magnetic tapes and disks, optical disks, photographs, microfilm, maps, motion picture films, DVDs, videotapes, audiotapes, paper, as well as digital media (including e-mail, web pages, text messages and voicemail messages).

*Records Series* refers to file units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use.

An example of a simple records series would be a purchase order file in which completed forms are filed in straight numerical sequence. There is no variation among the individual documents; each comprises the same form but contains variable information. A more complicated records series would be a personnel folder in which a variety of documents in each particular file all relate to one employee.

A records series also can be understood as one step in the hierarchy of records organization. The individual document is the most specific record. Documents are then grouped together in records series, which are grouped together in records groups (all records maintained by the personnel officer would be a records group, for example). The records series generally is recognized as the first level of specificity at which records can be reasonably controlled. Many records management activities focus on the records series, including appraisal and the writing of records retention and disposition schedules. Understanding the concept of the records series and handling records accordingly are the first steps toward better organization of all office files.

*Appraisal* refers to the assignment of value to particular records series to determine how long each should be retained. The appraisal analysis is made in conjunction with an inventory of all office records. Various characteristics of each records series are examined.

- **Function:** Why were the records created? What is their purpose?
- **Use:** Who currently uses the records? Are they likely to be used in the future, and if so, by whom?
- **Informational Content:** What information do the records contain? How important is the information to current users, and is there potential for future use? Is the information unique, or is it available elsewhere? Is the format of the information unique and valuable in itself?

In examining these characteristics, the appraisal analysis considers four types of value.

- **Administrative Value:** the usefulness of the records to the creating agency to conduct ongoing business, or give continuity to policy or document operations (the office creating the record generally determines administrative value).
- **Fiscal Value:** the importance of the records in documenting the collection, management, and disbursement of funds. Fiscal value is particularly important for government agencies to consider because of the need to be accountable for public monies (the creating office, in conjunction with the office's financial officer and auditors, determines fiscal value).
- **Legal Value:** the relationship of the records to particular statutes or regulatory codes, or to the documenting of specific legal rights or obligations (the creating office and the office's legal counsel determines legal value).
- **Historical and Other Research Value:** the potential of the records to have enduring importance for historical or other research because they contain unique information or important evidence of the operations of government (archivists determine historical value).

These values are used to decide if the records series should be kept permanently or if it should be destroyed following a fixed period of time. The appraisal analysis usually will determine that a large proportion of all active office records will have no remaining value after five years.

***Records Retention and Disposition Schedule*** (also referred to as “records schedule” or “retention schedule”) is a listing of all records series identified within an office, with recommendations based on the appraisal analysis for how long each records series must be retained and where. In effect, the schedule provides a plan of action for the ongoing maintenance and eventual disposition of office records. Usually the schedule is officially approved by the proper authorizing agencies and carries the weight of law.

***Records Center*** is a specialized building, or portion of a building, designed for the storage of inactive records. Its function is to provide inexpensive housing for inactive records that have a low reference rate but cannot be destroyed because they have some continuing value. The transfer of records to a records center occurs in accordance with authorized records retention and disposition schedules.

Removing records from active office areas frees valuable space, and the cost of maintaining the records is greatly reduced. Records centers utilize steel shelving and standard-size corrugated cartons and are arranged for maximum efficiency in use of space.

Records housed in a records center remain in the official custody of the originating office, and access to the records is allowed only to that office or individuals with written authorization from that office. Many state records management or archival agencies operate records centers with storage available at no cost or on a minimal charge-back basis.

*Archives and Archival Management* refer to the facilities for, and operation of, a repository for records deemed to have permanent historical value. The essential function of an archive is to preserve records for administrative and historical research.

Archival management includes the following components: appraisal to identify records with enduring value; the arrangement and description of archival records to make them more accessible and useful; provision of reference service to users of the archives; preservation and conservation of records to ensure future generations can benefit from them; and management of security and other controls for the ongoing protection of the records.



# APPENDIX B: Directory of State Archives and Records Management Programs

This directory of offices is current as of October 2010. An up-to-date directory of all state archivists and records managers is available on the Council of State Archivists website at <http://www.statearchivists.org/statearchivists.htm>.

## ALABAMA

Alabama Department of Archives and History  
<http://www.archives.state.al.us>

## ALASKA

Alaska Division of Libraries and Archives  
<http://www.archives.state.ak.us>

## AMERICAN SAMOA

Territorial Archivist  
Office of the Attorney General  
<http://americansamoa.gov/department-type/department/legal-affairs>

## ARIZONA

Arizona History and Archives Division  
<http://www.lib.az.us/archives>

## ARKANSAS

Arkansas History Commission  
<http://www.ark-ives.com>

## CALIFORNIA

California State Archives  
<http://www.sos.ca.gov/archives>

## COLORADO

Colorado State Archives  
<http://www.colorado.gov/dpa/doit/archives>

## CONNECTICUT

Connecticut State Library  
<http://www.cslib.org/archives>

## DELAWARE

Delaware Public Archives  
<http://archives.delaware.gov>

## DISTRICT OF COLUMBIA

DC Public Records/Archives  
<http://os.dc.gov>

*(Under Services, select "Public Records and Archives")*

## FLORIDA

State Library and Archives of Florida  
<http://dlis.dos.state.fl.us>

## GEORGIA

The Georgia Archives  
<http://www.sos.state.ga.us/archives>

## HAWAII

Hawaii State Archives  
<http://www.hawaii.gov/dags/archives>

## IDAHO

Idaho Public Archives and Research Library  
<http://history.idaho.gov/history.html>

## ILLINOIS

Illinois State Archives  
<http://www.cyberdriveillinois.com/departments/archives/archives.html>

## INDIANA

Indiana Commission on Public Records  
<http://www.in.gov/icpr/2358.htm>

## IOWA

State Historical Society of Iowa  
<http://www.iowahistory.org>

## KANSAS

Kansas State Historical Society  
<http://www.kshs.org/research/collections/documents/govtrecords/index.htm>

**KENTUCKY**

Kentucky Department for Libraries and Archives  
<http://www.kdla.ky.gov>

**LOUISIANA**

Louisiana State Archives  
<http://www.sos.louisiana.gov/tabid/53/Default.aspx>

**MAINE**

Maine State Archive  
<http://www.maine.gov/sos/arc>

**MARYLAND**

Maryland State Archives  
<http://www.msa.md.gov>

**MASSACHUSETTS**

Massachusetts Archives at Columbia Point  
<http://www.sec.state.ma.us/arc>

**MICHIGAN**

Department of History, Arts and Libraries  
<http://www.michigan.gov/archivesofmi>

**MINNESOTA**

Minnesota Historical Society  
<http://www.mnhs.org/preserve/records>

**MISSISSIPPI**

Mississippi Department of Archives and History  
<http://mdah.state.ms.us/arrec/index.php>

**MISSOURI**

Missouri State Archives  
<http://www.sos.mo.gov/archives>

**MONTANA**

Montana State Archives  
<http://www.his.state.mt.us/research/library/archcoll.asp#State%20Government%20Records>

**NEBRASKA**

Nebraska State Historical Society  
<http://www.nebraskahistory.org/lib-arch>

**NEVADA**

Nevada State Library and Archives  
<http://nsla.nevadaculture.org>

*(Select "State Archives")*

**NEW HAMPSHIRE**

New Hampshire Division of Records  
Management and Archives  
<http://www.sos.nh.gov/archives>

**NEW JERSEY**

New Jersey Division of Archives and Records  
Management  
<http://www.njarchives.org>

**NEW MEXICO**

New Mexico State Records Center and Archives  
[http://www.nmcpr.state.nm.us/archives/archives\\_hm.htm](http://www.nmcpr.state.nm.us/archives/archives_hm.htm)

**NEW YORK**

New York State Archives  
<http://www.archives.nysed.gov>

**NORTH CAROLINA**

North Carolina Division of Archives and History  
<http://www.archives.ncdcr.gov>

**NORTH DAKOTA**

State Historical Society of North Dakota  
<http://history.nd.gov/archives>

**OHIO**

Ohio Historical Society  
<http://www.ohiohistory.org/resource/archlib>

**OKLAHOMA**

Oklahoma Department of Libraries  
<http://www.odl.state.ok.us/oar>

**OREGON**

Office of the Secretary of State  
<http://arcweb.sos.state.or.us>

**PENNSYLVANIA**

Pennsylvania Historical and Museum Commission  
[http://www.portal.state.pa.us/portal/server.pt/community/state\\_archives/2887](http://www.portal.state.pa.us/portal/server.pt/community/state_archives/2887)

**PUERTO RICO**

Instituto de Cultura Puertorriquena  
<http://www.icp.gobierno.pr>

**RHODE ISLAND**

Rhode Island State Archives  
<http://sos.ri.gov/archives/>

**SOUTH CAROLINA**

South Carolina Department of Archives and History  
<http://scdah.sc.gov>

**SOUTH DAKOTA**

South Dakota State Historical Society  
<http://history.sd.gov/Archives>

**TENNESSEE**

Tennessee State Library and Archives  
<http://www.tennessee.gov/tsla>

**TEXAS**

Texas State Library and Archives Commission  
<http://www.tsl.state.tx.us/agency/contact/contactaris.html>

**UTAH**

Utah State Archives and Records Services  
<http://archives.utah.gov>

**VERMONT**

Vermont State Archives and Records Administration  
<http://vermont-archives.org>

**VIRGIN ISLANDS**

DPNR/Division of Libraries, Archives and Museums  
<http://www.virginislandspubliclibraries.org/usvi/archives.asp>

**VIRGINIA**

Library of Virginia  
<http://www.lva.virginia.gov/agencies/records>

**WASHINGTON**

Washington State Archives  
<http://www.secstate.wa.gov/archives>

**WEST VIRGINIA**

West Virginia Archives and History  
<http://www.wvculture.org/history>

**WISCONSIN**

Wisconsin Historical Society  
<http://www.wisconsinhistory.org/libraryarchives>

**WYOMING**

Wyoming State Archives  
<http://wyoarchives.state.wy.us>





# APPENDIX C: Professional Associations Relating to Records Management and Archives

**Council of State Archivists (CoSA)**  
308 East Burlington Street, # 189  
Iowa City, IA 52240

Telephone: 319-338-0248  
Fax: 319-354-2526  
E-mail: [info@statearchivists.org](mailto:info@statearchivists.org)  
<http://www.statearchivists.org>

The members of the Council of State Archivists (CoSA) are the directors of the principal government archival agencies in every state and territory. These same individuals also serve as State Historical Records Coordinators and, in that role, serve as chairs for federally mandated State Historical Records Advisory Boards (SHRABs) in each of the 50 states, five territories, and the District of Columbia.

The state archivists and records managers are the officials primarily responsible for ensuring that government records are properly managed within their states and that records with ongoing legal, fiscal, and administrative value are preserved. State and local government records are important to both the government itself and those who are governed. They provide essential evidence for administrative continuity, inform ongoing government functions, provide a source for government accountability, and secure individual citizenship and property rights.

Through CoSA, these state officials work together to encourage cooperation among the states on matters of mutual interest, define and communicate archival and records concerns at a national level, and ensure that public and private programs are in place so that the nation's documentary heritage is preserved and accessible. In support of these activities, CoSA works with other organizations to develop guidelines and resources for programs that sustain the nation's historical records.

The CoSA website provides numerous resources through its Resource Center, a web-based information clearinghouse, including directories of state archivists and state archives and records programs as well as records-related statutes and regulations; technical manuals and guidelines on topics such as electronic record keeping, records management, preservation, and emergency preparedness and response; and issues including confidentiality, privacy, and access to public records. Visit <http://www.statearchivists.org> to learn more.

**National Association of Government Archives and Records Administrators (NAGARA)**  
1450 Western Avenue, Suite 101  
Albany, NY 12203

Telephone: 518-463-8472  
E-mail: [nagara@caphill.com](mailto:nagara@caphill.com)  
<http://www.nagara.org>

NAGARA is the National Association of Government Archives and Records Administrators. It is an association dedicated to the improvement of federal, state, and local government records and information management. It puts special emphasis on the challenges associated with electronic records management and preservation.

## **Mission**

The National Association of Government Archives and Records Administrators (NAGARA) is a professional organization dedicated to the effective use and management of government information and publicly recognizing the efforts and accomplishments of its members.

## NAGARA's Services

- **Annual Meetings:** Meetings feature workshops, papers, and discussion sessions on current aspects of government records and information management.
- **Clearinghouse:** A quarterly newsletter which provides news on developments at the local, state and federal level.
- **Crossroads:** A quarterly bulletin with news on electronic records and information policy issues.
- **www.nagara.org:** an active website with information on the associations' activities, developments in the field, position papers, listing of members, links to member programs, and other information.
- **Initiatives:** NAGARA address issues at all three levels of government by nurturing intergovernmental records initiatives and annual surveys and reports on state government archival and records programs.
- **Cooperative ventures:** NAGARA cooperates with other organizations and institutions on priority issues such as the importance of government records management and principles for management of electronic records.

**Society of American Archivists (SAA)**  
527 South Wells Street, 5th Floor  
Chicago, IL 60607

Telephone: 312-922-0140  
Fax: 312-347-1452  
E-mail: [info@archivists.org](mailto:info@archivists.org)  
<http://www.archivists.org>

Founded in 1936, the Society of American Archivists (SAA) is North America's oldest and largest national archival professional association. SAA includes more than 3,400 individual and institutional members concerned with the identification, preservation, and use of records of historical value. SAA members work in a variety of repositories, including those associated with colleges and universities, businesses and corporations, historical societies, museums, libraries, religious organizations, as well as local, state, and federal government agencies' in all geographic regions of the United States and in more than 30 countries.

SAA has an extensive publications library, as well as free, online resources on the organization website, including:

- Deeds of Gift: What Donors Should Know
- Guide to Donating Your Personal or Family Papers to a Repository
- Guide to Donating Your Organizational Records to a Repository
- Standards for Archival Description

**ARMA International**  
13725 W. 109th Street, Suite 101  
Lenexa, KS 66215

Telephone: 913-341-3808  
Toll free: 800-422-2762  
Fax: 913-341-3742  
E-mail: [hq@arma.org](mailto:hq@arma.org)  
<http://www.arma.org/>

ARMA International is a not-for-profit association and the leading authority on managing records and information—paper and electronic. ARMA offers invaluable resources such as:

- Legislative and regulatory updates
- Standards and best practices
- Technology trends and applications
- Live and web-based education
- Marketplace news and analysis
- Books & videos on managing records and information
- Global network of 10,000+ records and information management professionals

The association was established in 1956. Its 10,000-plus members include records managers, archivists, corporate librarians, imaging specialists, legal professionals, IT managers, consultants, and educators, all of whom work in a wide variety of industries, including government, legal, healthcare, financial services, and petroleum in the United States, Canada, and 30-plus other countries.

ARMA International publishes *The Information Management Journal*, the only professional journal specifically for professionals who manage records and information on a daily basis. The award-winning *Journal* is published bi-monthly and features top-drawer articles on the hottest topics in records and information management today, as well as marketplace news and analysis.

The association also develops and publishes standards and guidelines related to records management. It was a key contributor to the international records management standard, ISO-15489.

**AIIM International**

AIIM Headquarters  
1100 Wayne Avenue, Suite 1100  
Silver Spring, MD 20910

Telephone: 301-587-8202

Toll free: 800-477-2446

Fax: 301-587-2711

E-mail: [aiim@aiim.org](mailto:aiim@aiim.org)

<http://www.aiim.org/>

**AIIM—The Enterprise Content Management Association.** AIIM is the international authority on Enterprise Content Management (ECM), the tools and technologies that capture, manage, store, preserve, and deliver content in support of business processes.

**Mission and Focus:**

For over 60 years, AIIM (The Association for Information and Image Management) has been the leading international organization focused on helping users to understand the challenges associated with managing documents, content, and business processes. AIIM is international in scope, independent, implementation-focused, and, as the representative of the entire ECM industry—including users, suppliers, and the channel—acts as the industry's intermediary.

**Year Founded:**

Founded in 1943 as the National Microfilm Association.

**Industry Served:**

Enterprise Content Management. The ECM industry provides information management solutions to help users guarantee business continuity; enable employee, partner, and customer collaboration; ensure legal and regulatory compliance; and reduce costs by streamlining and standardizing processes.

**Products and Services:**

As a neutral and unbiased source of information, AIIM serves the needs of its members by providing educational opportunities, professional development, reference and knowledge resources, networking events, and industry advocacy.