

**Electronic Records Workgroup
Summary of Decisions and Action Plans
August 15, 2011**

The Electronic Records Workgroup, in their effort to provide direction to the agency as it considers its present and future responsibilities to electronic records management for the commonwealth, engaged in discussions that initially proved to create more questions than answers. By articulating and organizing these questions, the group was able to prioritize their responses, draw connections between questions, measure impacts of answers on subsequent questions, and provide a meaningful road map for the agency to follow, both short- and long-term.

The most notable outcome of this process is perhaps the reminder of the interconnectedness of responsibility and accountability to each other, regardless of department or division, if the Library is to build a strong, effective, and sustainable electronic records program. While much work has been done over the years in this area and while we clearly are not novices, departmental focuses and resource losses have resulted in gaps of activity and response to issues involving electronic records management. The decisions, action-plans, and resource requests from the workgroup, therefore, indicate a reliance on the long-term existence of multi-departmental interest and engagement in the entirety of electronic records issues in order to maintain a viable, proactive electronic records program.

The group chose to prioritize their questions based on the current state of electronic records in our agency and not solely on professional strictures or the activities of our colleagues in other archival repositories and libraries; we noted several times that our direction and our goals, while informed by those things, must be suitable and relevant to our own situation. Since we have received two transfers of executive office electronic records (Warner and Kaine), the groups' focus turned to access issues, followed by the naturally resultant connections to other electronic records considerations.

Decision Set 1 - Public Access/Processing

The Library of Virginia will provide online public access to open processed electronic archival records and develop meaningful ways to deal with privacy related concerns.

The agency's responsibility is to do its absolute best to ensure privacy is protected while providing the widest public access possible. This requires close and thorough processing of electronic records.

Action Plan

Now

- Processing of Kaine (Roger) and Warner (Paige) emails will take precedence, while the processing of Warner photographs will continue.
- These records, as well as the processed Warner office electronic records, will be put into DigiTool.
- Language from the reading room agreement regarding privacy protected materials and researcher responsibility in metadata and as a "gateway" to the collection will be used to warn users of their responsibilities.

- Kathy and Rebecca will work with Ex Libris and other DTL sites to figure out how to require registration before access to collection or to have a "terms of use" screen prior to entering collection

Near Future

- Active planning for continuing transfers of born electronic records, as well as traditional paper collections, is important, as is defining parameters and finding balance between processing responsibilities, participation in agency initiatives (Floricate, committees), digital projects, web archiving, blogging, and other outreach efforts.

FY12/FY13

- As soon as feasible, State Records staff should be augmented in order to process not only existing paper collections, but also Kaine electronic office files transferred at the end of his administration, and to prepare for the accessioning of the McDonnell records, per the above referenced planning activities.

Future

- Review progress of program development and measure against other work requirements of the staff and consider need for additional staff.

Decision Set 2 - Documentation and Policy Creation

Because of a concerted desire to "do something" with these records and start moving forward, solid and transparent documentation in support of our processes and policies will be created, helping us confidently deliver content and manage its longevity, assuring its integrity and authenticity to the best of our ability.

One short-term goal is to tighten and specify current collection development policies to improve the quality and extent of materials sent to the archives. In the long-term the goal is to expand those policies to include a greater variety of records accessioned into the collections from more agencies as we are able to expand our program.

Action Plan

Near Future

- Archives, IT, and Records Analysis will work together to tighten transfer procedures and collection development policies for born electronic archival records
- Archives and IT staff will document processing and access parameters & policies in our effort to support authenticity and integrity and a spirit of transparency to the public, government officials, and the archival profession.

Decision Set 3 - Enhance Records Analysis Program

The agency must foster a strong, proactive Records Analysis unit, which is vital to the dissemination of policy, procedures and best practices for use by state agencies and local governments; their visibility and knowledge is necessary for the education and training of records officers and creators throughout the commonwealth. Their work is crucial to achieving a successful electronic records program.

Action Plan

Now

- In order to foster a proactive, effective RA program, it is critical to hire a Records Analysis Program Manager who will have both the authority and responsibility to work with analysts to focus their work and prioritize their efforts.
- The addition of an administrative support staff member to facilitate communications with customers who have basic records management questions would improve ability of RA staff to enhance the program and improve communications.

Near Future

- Begin outlining and planning strategies for the development of a new educational outreach model for records management in the commonwealth.
- Create a departmental culture and workplan in which proactive behaviors help develop strong relationships between records analysis staff and agency/locality personnel
- Foster strong support of archival mandate to collect archival records, regardless of format, by pursuing materials per policies and schedules.
- Develop compelling marketing strategies for the program, such as highlighting the budget saving side of RM (a benefit of destroying non-permanent records is lower VITA costs) and developing partnerships with influential agencies/groups such as the APA, Inspector General, and JCOTS.

FY12/13

- Considering the goals of the program, it is believed that an additional Records Analyst will be reasonable in order to keep the program effective and successful.

Decision Set 4 - Program Expertise and Support

At this point, we are moving from reacting to situations to actively managing them. The long-term goal is to create a sustainable program that will be able to react to changes in technology and professional practices.

There is a need for expert staff insight that will help with program development, long-term planning, and documentation creation. Electronic records management is complicated by a lack of specific solutions and an ever-changing & evolving landscape impacting records creation, as well as the best ways to provide long-term access to those records.

Information Technology staff currently manage many functions related to electronic records management, especially those involving high-level technologies and public access to materials. IT is well positioned to take on responsibilities related to investigation and experimentation of standards, best practices, emerging technologies, and partnership development. There is already a considerable amount of knowledge and understanding of these issues in the department, as well as established relationships and workflows between the various workgroups

Action Plan

Now

- IT already has permission to hire a replacement for one vacant position that can be used to meet this need.
 - The role of this position will be investigation, research, project management, and experimentation in response to and in support of the electronic records management needs of the agency; this will include assistance with policy and workflow creation, application testing and development, system investigation and testing, and sharing and dissemination of information.

Future (2-5 years)

- Depending on the progress of this emerging program, there may be an identifiable need for a database and/or application developer to support system testing and implementation, especially if we look at open source tools.
- IT staff are already well-aware that collection management and public access system changes may be coming in the next 3-5 years. There may be options--either with Ex Libris or from other vendors --for the implementation of a new digital asset management system, ILS, digital preservation, and public interface. While not entirely related to electronic records, these projects will take erecs issues into consideration.
- While current hardware/storage is more than sufficient for the next few years, IT staff will continue to work with agency staff regarding projected needs and will incorporate and consider these numbers during IT planning.

Required Resources

Fiscal Year 2012-2013, listed in order of importance

1 Records Analysis Program Coordinator/Manager	\$xx,xxx
2 Library Specialist II positions for State Records*	\$xx,xxx
*if we do not receive these classified full-time positions, State Records has two good volunteers who could be moved into P14 positions	
1 P14 position for front desk at State Records Center*	\$xx,xxx
*this allows for Patrice to transfer back to LVA to make better use of her considerable knowledge of the records management program	
Funding for continued training and professional development	\$xx,xxx

Future Needs (2 to 5 calendar years)

2 Library Specialist II positions for State Records	\$xx,xxx
1 Record Analyst position	\$xx,xxx
1 Information Technology Specialist II (developer)	\$xx,xxx
IT funding for systems and hardware	\$xxx,xxx