

Records Management and Compliance in the Digital Commonwealth

COV Information Security Conference
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Chad Owen

Records Management Coordinator



A quick survey for starters:

How many of you have ever tried to open a file that you found was corrupted?



A quick survey for starters:

How many of you have ever found a copy of a file in an odd or unexpected place?

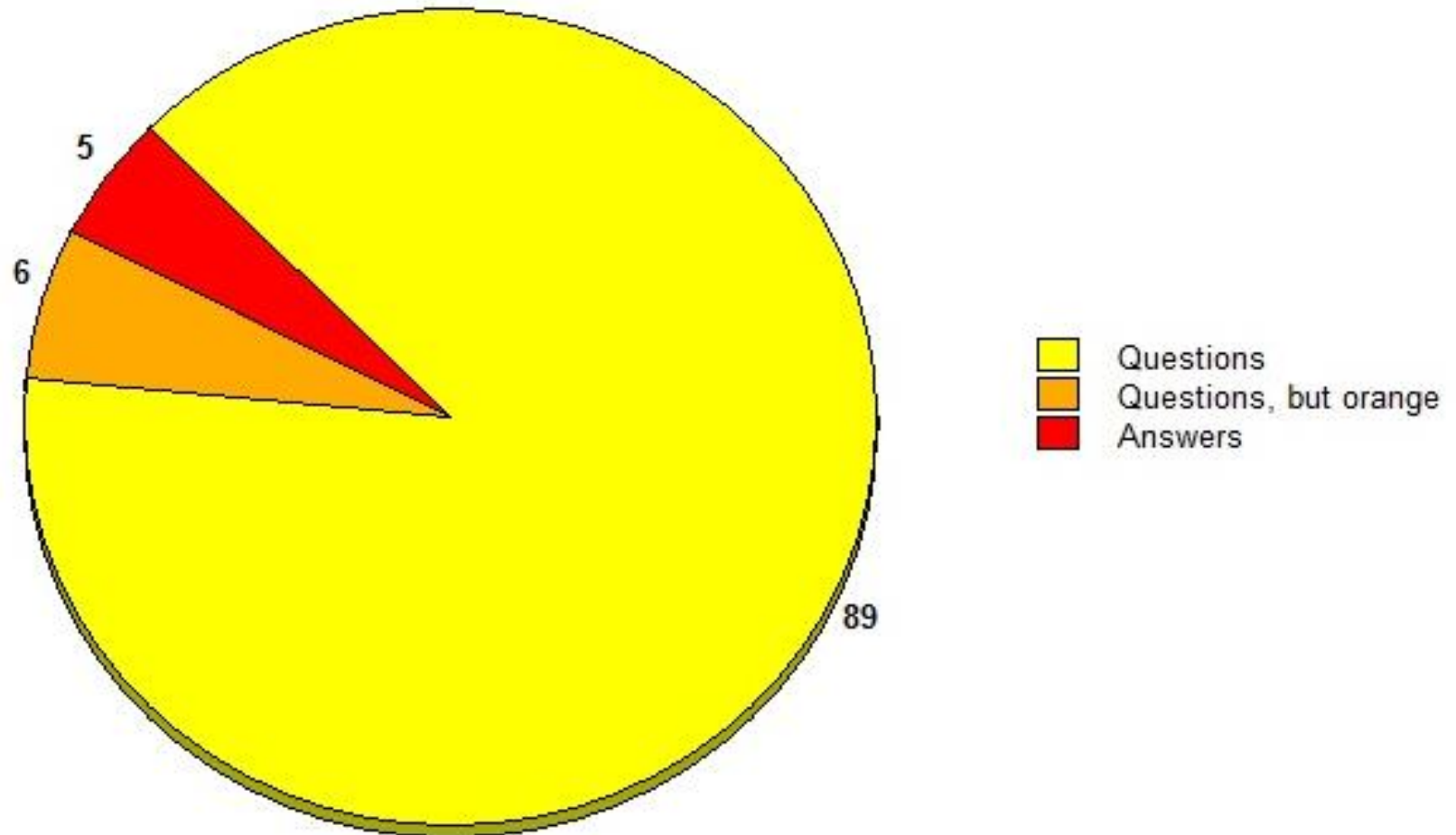


The fundamental dichotomy

Records in electronic form are both inherently fragile and easily duplicable: therefore, both difficult to preserve and equally difficult to confidently eradicate.

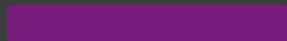


More questions than answers

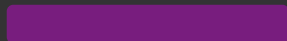


Why records management matters

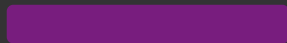
- Protect rights of citizens
- Improve efficiency
- Reduce risk of litigation
- Ensure compliance



Why records management matters



2006 was a good year...



2006 was a good year...



What is a public record?

... documents a
transaction or activity ...

Regardless of physical form or
characteristic ...

... is produced, collected,
received or retained in
pursuance of law or in
connection with the transaction
of public business.

Virginia Public Records Act, COV § 42.1-77



What makes a record?

- Content
What's it about?
- Context
Who what when where why?
Metadata
- Structure
Appearance and arrangement
Relationship between records/fields



What makes a record?

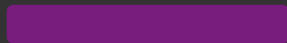
Content:

“This should be illegal.”


Context:

Who said it?

Structure: When and how was it said, and what connects it to other records?






The content is the same...


**Library of Virginia**Yesterday at 2:55pm · 🌐


Beginning July 1, the Library of Virginia will close at noon, Monday through Friday. We will no longer have Saturday hours.


👍 You, James and 4 others

 **Angry** **Comment** **Share**

View 1 more comment




**Chad Owen** This should be illegal.
Like · Reply · 5m

 Write a comment ...


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**Governor of Virginia** This should be illegal.
Like · Reply · 5m

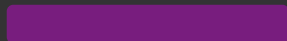
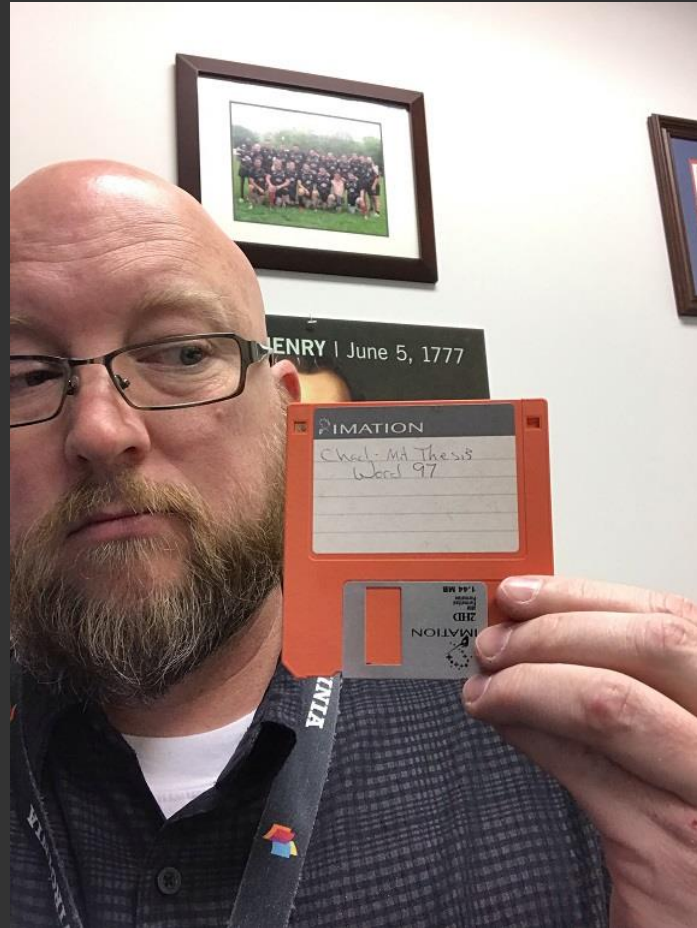
 Write a comment ...

Is it secure and accessible?

- Protected from unauthorized access
- Available for subpoena, FOIA, or audit for the entire length of its retention period



Is it *really* accessible?



Conversion/Migration/Refreshing

- File formats
- Storage media
- Checking for degradation

What does success look like?

99.99% success

1.3 million public school students in VA

~500k real estate transactions annually



Records loss should never happen!



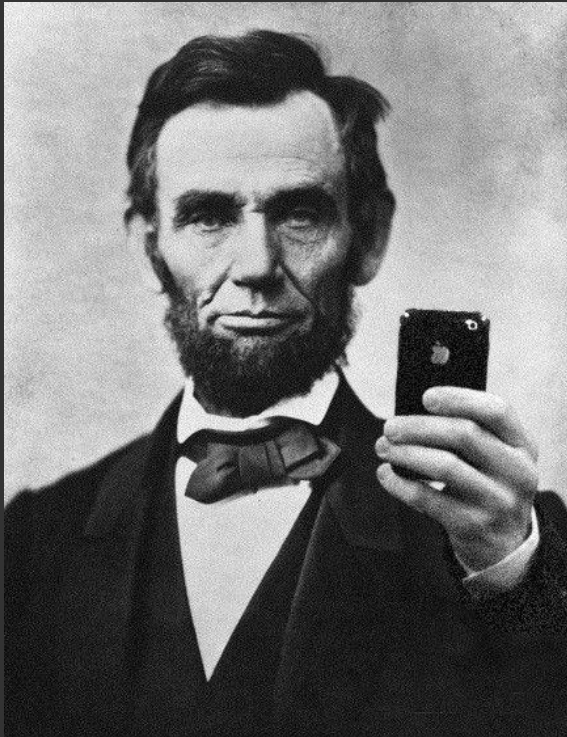
RESEARCH NOTES NUMBER 30

Lost Records Localities: Counties and Cities with Missing Records

Numerous Virginia localities, most of them in the eastern part of the state, have suffered tremendous losses of their early records because of intense military activity (predominantly during the Civil War), courthouse fires, and/or natural disasters. At some point, almost everyone conducting genealogical or historical research will face the problem of finding information from a county or city described as a "lost records locality."



Is it trustworthy?



Treat them the same

Electronic records may occasionally be susceptible to alteration. However, if they are properly secured, the danger is not greater than the equivalent danger to hard copy records.



Destruction of electronic records

COV § 42.1-86.1(C): Each agency shall ensure that records [...] are destroyed or discarded in a timely manner [...] provided, however, such records that contain identifying information [...] shall be destroyed within six months of the expiration of the records retention period.

COV § 42.1-86(B): Recovery copies shall have the same force and effect for all purposes as the original record and shall be as admissible in evidence as the original record whether the original record is in existence or not.



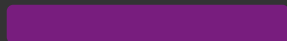
Destruction of electronic records

The best defense is a good offense.



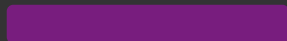
Destruction of electronic records

- Encourage the use of shared drives/documents rather than emailing drafts back and forth
- Use file naming structures that help distinguish between versions of documents, especially the finished, final, official version
- Encourage regular cleanups of shared drives and email accounts



Don't panic!

Help is available!



Records Management

Under the authority of the Virginia Public Records Act, the Records Management section at the Library assists state and local government in ensuring that public records are maintained and available throughout their life cycle. Records Management supports the efficient and economical management of public records by publishing records retention and disposition schedules, presenting workshops, monitoring the disposal of non-permanent records, and assisting with the transfer of permanent records to the Archives.

➡ Use the [contacts](#) page to identify your agency/locality records officer and LVA records analyst.

- [Services](#) - Education/training, State Records Center, Imaging Services
- [Retention Schedules](#)
- [Records Oversight Committee](#)
- [Forms](#)
- [Infolinx](#)
- Publications
 - [Virginia Public Records Management Manual](#) 
 - [Tip Sheets](#)
 - [Creating Policy and Procedures](#)
 - ➡ ◦ [Electronic Records Guidelines](#)
 - ➡ ◦ [Guide to the Virginia Public Records Act](#) 
- Guidance
 - [Box Specifications](#)
 - [Destruction of Records Containing Social Security Numbers](#) 
 - [Disaster Planning - Emergency Pocket Response Plan \(Council of State Archivists\)](#)
 - [Statement on the use of text messaging and private e-mail](#)
 - [Timely Destruction of Records](#)
- [Organizations and Regulations](#)

Contact

All forms and schedules, as well as additional resources, available at:

www.lva.virginia.gov/agencies/records

For specific questions, contact your
designated Records Officer, and then
your assigned LVA

Records Management Analyst



Thanks for all you do!

Chad Owen
Records Management
Coordinator
Library of Virginia
chad.owen@lva.virginia.gov

