



Secretary of State Records Management Newsletter

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Grow Nebraska

Create opportunity through more effective, more efficient, and customer focused state government.



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

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

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

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

Where does your agency stand with the Recordkeeping Standards?

Priorities:

*Efficiency &
Effectiveness*

Customer Service

Growth

Public Safety

*Reduced
Regulatory
Growth*

We Value:

The Taxpayer

Our Team

Simplicity

Transparency

Accountability

Integrity

Respect

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

Boxes

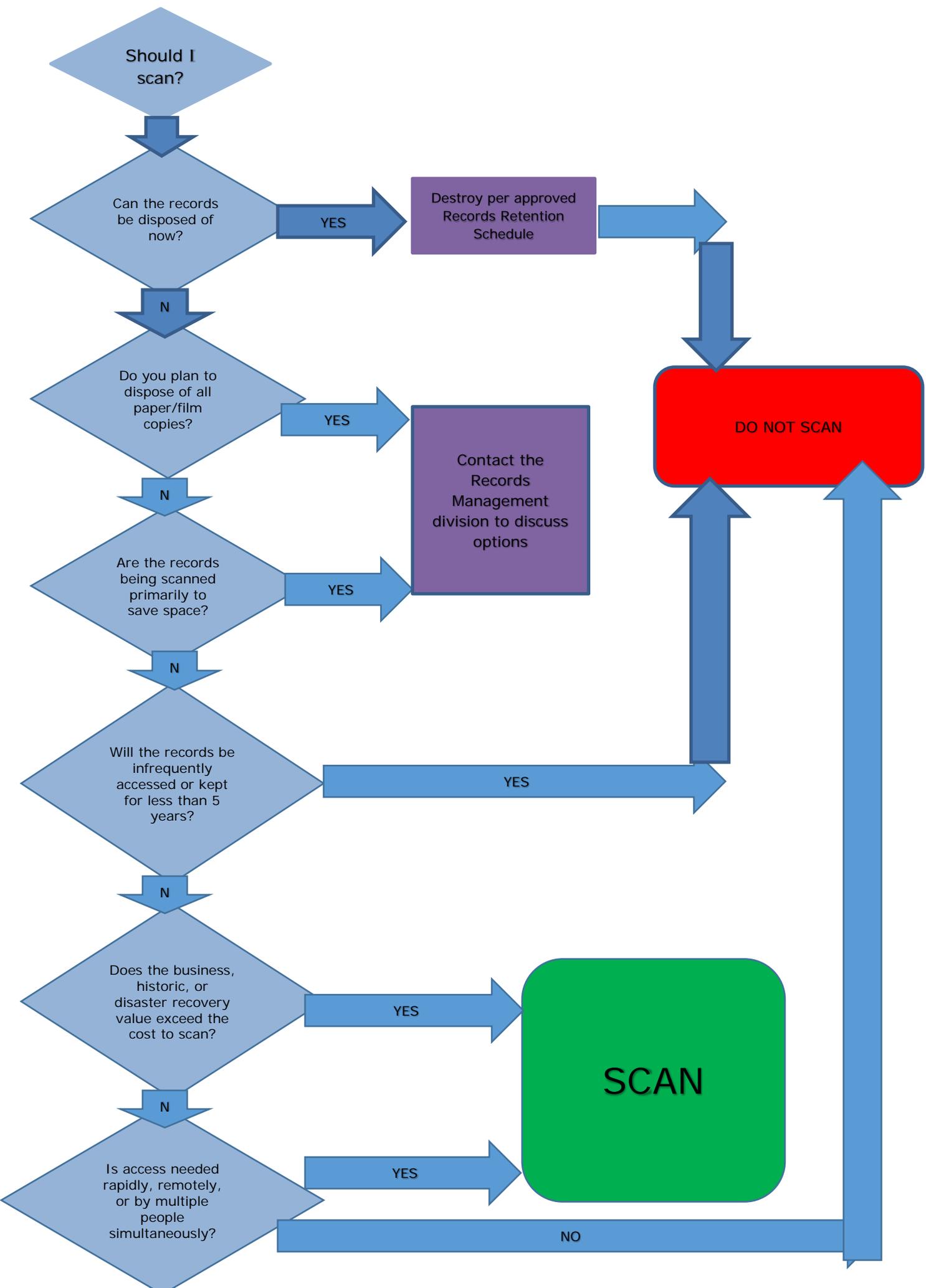
The State Records Center has limited supply of the sturdy brown boxes for storage. New brown boxes that are double sided on the long side and triple thick on the short side are available for \$1.50. We have a few used boxes that we can supply to agencies for free. Please call Ernie at 402-471-4156, talk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

Conversion Services

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

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

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



Should I scan?

Can the records be disposed of now?

YES

Destroy per approved Records Retention Schedule

N

Do you plan to dispose of all paper/film copies?

YES

Contact the Records Management division to discuss options

N

Are the records being scanned primarily to save space?

YES

Contact the Records Management division to discuss options

N

Will the records be infrequently accessed or kept for less than 5 years?

YES

N

Does the business, historic, or disaster recovery value exceed the cost to scan?

YES

SCAN

N

Is access needed rapidly, remotely, or by multiple people simultaneously?

YES

SCAN

NO

DO NOT SCAN

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

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

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

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

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