The Rocky Mountain Record

New Electronic Records Management Course Offered by NARA's Rocky Mountain Region

This fiscal year, the Rocky Mountain Region will offer *Electronic Records Management (ERM)* formerly *"Basic Electronic Records Management."* Due to the ever increasing role technology plays in agency business processes, we hope this course offering will inspire students to sign up early. The course is scheduled in Denver, Colorado, January 15-16, 2008, and January 30-31, in Albuquerque, NM. It will be offered again on June 25-26, 2008, in Rapid City, SD and July 23-24, 2008, in Pojoaque, NM.

The course has undergone a name change since its initial implementation. It became clear that the word "basic" was confusing our customers and resulting in participants registering with very different expectations of the course.

Electronic Records Management is designed to provide primarily Federal employees with an understanding of the terms and issues surrounding electronic records and the management of electronic records throughout the lifecycle. The course includes:

- Key terms and concepts, such as the electronic records lifecycle, metadata, and electronic recordkeeping systems

- Current environment and challenges such as software and hardware obsolescence

- Legal issues surrounding electronic records and current regulatory and legal requirements

- Recordkeeping requirements for e-records

- Working with your information Technology (IT) staff

- How to inventory and schedule electronic records, and how to maintain them

- How to build recordkeeping functionality into electronic information systems

Familiarity with records terms prior to course attendance is highly suggested. (*See links bottom of page 3).

For a complete course description and to register for this course and others go to workshop.denver@nara.gov.

Summer 2007

E-Discovery & The New Federal Rules of Civil Procedure: What Agencies Need to Know... Effective December 1, 2006, the Federal Rules of Civil Procedure were significantly modified to expressly include a new legal term of art, "electronically stored information" (a/k/a "ESI"). The amendments to the Rules serve to highlight the rapidly growing importance of electronic records in litigation...

Document Discoveries from The Archives

On January 1, 1896, the town of Leadville, Colorado, opened an "ice palace" built from five tons of ice blocks covering five acres to the public. The enormous structure took 36 days to

The Ice Palace at Leadville

by Lori Cox-Paul, Education Specialist, National Archives Rocky Mountain Region

build and used 307,000 feet of lumber in addition to the ice. It was the largest ice structure ever constructed in North America. Resembling a castle, the towers were 90 feet tall. Every room in the palace (except for the ice rink) was heated and colored electric lights provided illumination. Leadville residents hoped the

architectural wonder would provide a boost to the once booming town's economy. For three months tourists did come to the ice palace. Admission was 50 cents for adults and 25 cents for children. For their money visitors could eat in the palace's restaurant, tour
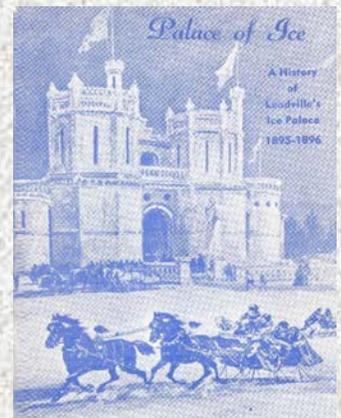
Photo Courtesy of the National Archives

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enormous ice sculptures, take a spin on the dance floor, go ice skating on the skating rink, and view Colorado products displayed in ice blocks.

Unfortunately, the ice palace did not provide the economic windfall residents hoped for and unseasonably warm weather started to melt the structure, so it was officially closed on March 28. However, skaters were able to skate on the ice rink until June. Ultimately, the once beautiful palace melted into history.

Document Citation:

Palace of Ice: A History of Leadville's Ice Palace, 1895-1896; Rocky Mountain Re-

gional Office, Historical Files, 1900-1982; Records of the Forest Service, Record Group 95; National Archives and Records Administration-Rocky Mountain Region (Denver).

W.H. Jackson colorized photo
Leadville Ice Palace 1896
Courtesy jellenc@ionet.net

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New Mexico Digital Preservation Conference

The National Archives and Records Administration, New Mexico State Records Center and Archives, New Mexico State Library, University of New Mexico Libraries, and New Mexico Office of

the CIO have tentatively planned to host a digital preservation conference June 5 & 6 2008. This conference seeks to encourage a state-wide understanding (for both the public and private sectors) of the issues and concerns for the preservation of digital assets both "born" digital and digitized objects. The discussion will include: metadata, access, preservation, technological methods, tools and solutions, project management and emerging issues. This forum is intended to provide the skills and

knowledge needed to manage electronic records throughout the records lifecycle and to take steps required to transition from a paper to an electronic records environment. More detailed information will appear in the next issue of the *Rocky Mountain Record.*

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Changes to GRS 20 and Additions to 36 CFR to Implement Media Neutrality and Assist Agencies in Executing Electronic Record Keeping

The National Archives and Records Administration (NARA) is revising its regulations on scheduling Federal records to make future records schedules and certain existing approved records schedules applicable to series of records regardless of the medium in which the records are created and maintained. The regulation or final rule and revisions to the General Records Schedule (GRS) is expected to be effective December 17, 2007.

The new guidance documents consists of revisions to GRS 20 covering inputs to

electronic systems, electronic records that replace previously scheduled records and documentation for electronic systems. The revisions expand the authority agencies have to apply previously approved schedules to electronic records. It also grants broader authority to agencies allowing disposal of hard copy records that have been converted to an electronic format. Lastly, it provides disposition instructions for documentation associated with permanent electronic records. Additions to 36 CFR 1228 concern the application of schedules to

electronic versions of the records. The new additions make all schedules submitted after the December 2007 implementation date media neutral unless agencies explicitly chooses to make a schedule or series media-specific. The additions also incorporate key elements of the GRS 20 revisions and establish notification requirements agencies must follow when they replace previously scheduled permanent records with electronic records.

none
none

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For discussion purposes, a few questions have been developed as follows:

What disposal guidance for hard copy records should be used to create electronic records?

Agencies may destroy hard copy records used to create electronic records in most instances. If hard copy records were previously approved as permanent, the records can be destroyed if:

1. Relevant schedule item does NOT mandate retention of the original hard copy records instead of or in addition to the electronic records.

2. Electronic records meet NARA's standards for permanent electronic records.

3. Electronic records contain all the information included in the hard copy records and;

4. Agency notifies NARA.

How should Agencies go about implementing electronic records that replace previously scheduled permanent records?

Agencies may apply previously approved schedules to electronic records that replace records scheduled as permanent so long as electronic records meet NARA standards and the agency notifies NARA of the proposed change. If an agency implements an electronic system that replaces multiple hard copy series that are permanent, it can apply the previously approved permanent disposition to the electronic records. Notifications must include:

1. Name of Agency

2. Name of the electronic system

3. Organizational unit (s) or agency program which the records support

4. Current disposition authority reference and,

5. Format of the records.

What electronic systems should Agencies provide a notification for?

Agencies should provide notifications for:

1. Electronic systems implemented before the new effective date of the new revisions to the GRS and 36 CFR 1228 and after the implementation date for previously scheduled permanent hard copy records as well as for electronic systems being implemented.

2. Electronic records that fall under a permanent schedule item that is media neutral.

Are Agencies allowed to replace previously scheduled temporary records with scanned images?

Yes. Agencies may apply the previously approved schedule to the scanned images. This authority applies to both administrative/housekeeping records and to program records.

Do the new rules cover electronic records that replace temporary audiovisual records?

Yes. Agencies may apply the previously approved schedule to the electronic records regardless of the format of the electronic records.

What about electronic records other than scanned images that replace temporary program records—will the new revision to the GRS and amended regulation provide disposal authority for these electronic records?

No. The new rules do NOT provide disposal authority for scanned images that replace temporary program records. An agency must submit a new schedule when they replace temporary hard copy program records unless the hard copy records are covered by a schedule item that is media neutral. For example:

1. The analog versions of an agency's training videos were previously approved for disposal. If the agency now uses digital videotape, it can apply the previously approved schedule.

2. A mission-related series of case files were appraised as temporary in hard copy. If the agency decides to maintain these records as scanned images, it can apply the previously approved schedule so long as it maintains the records for the approved retention period.

3. A form containing statistical information concerning a key agency program was approved as permanent in hard copy. If the agency decides to maintain these records as an electronic database, it does not need a new schedule if the electronic records meet NARA standards and the agency has notified NARA of the conversion.

4. An agency schedule provides for the disposal of hard copy research and development raw data. If the agency decides to maintain this data in an electronic format other than scanned image, it must submit a new schedule.

The questions highlighted above provide a very brief overview of the changes that will govern media neutrality. As agencies become more familiar with the rule changes and implementation, the changes will reduce the workload for both agencies and NARA, allowing them to focus resources on other critical records management needs.

For a more detailed discussion of the proposed changes go to: http://www.archives.gov/records-mgmt/memos/nwm08-2007.html. See also, http://archives.gov.

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*For general records definitions see http://www.archives.gov/about/regulations/part-1220.html and for **electronic records definitions** go to www.archives.gov/about/regulations/part-1234.html

Do You Know...

Records Management helps agencies in the following ways:

1. Mitigates risk
2. Aids sound decision-making
3. Helps you find the information you need, when you need it
4. Retains agency memory
5. Helps to support a finding that your agency is in compliance with laws and regulations that govern records management
6. Helps to capture permanent records that document

FY 2008 Workshops *(Revised)*

Register for workshops and briefings through: http://nara.learn.com/recordsmanagement-training
or request a registration form by e-mailing us at: *workshop.denver@nara.gov*   Call: (303) 407-5720 or Fax: (303)-407-5731

Date	Course Title	Location
January 9	Basic Records Operations (BRO)	Albuquerque, NM
January 15-16	Electronic Records Management (ERM)	Denver, CO
January 30-31	Electronic Records Management (ERM)	Albuquerque, NM
February 12-13	(KA-2) Creating and Maintaining Agency Business Information	Denver, CO
February 14-15	(KA-4) Records Schedule Implementation	Denver, CO
March 12-13	(KA-2) Creating and Maintaining Agency Business Information	Albuquerque, NM
March 25-26	(KA-3) Records Scheduling	Albuquerque, NM
March 27-28	(KA-4) Records Schedule Implementation	Albuquerque, NM
April 1-2	(KA-5) Asset and Risk Management	Albuquerque, NM
April 3	(KA-6) Records Management Program Development	Albuquerque, NM
June 11-12	Emergency Planning & Response for Vital Records & Essential Information	Denver, CO
June 18-19	(KA-2) Creating and Maintaining Agency Business Information	Pojoaque, NM
June 24	Basic Records Operations (BRO)	Rapid City, SD
June 25-26	Electronic Records Management (ERM)	Rapid City, SD
July 8-9	(KA-3) Records Scheduling	Pojoaque, NM
July 10-11	(KA-4) Records Schedule Implementation	Pojoaque, NM
July 22	Basic Records Operations	Pojoaque, NM
July 23-24	Electronic Records Management (ERM)	Pojoaque, NM
August 19-20	(KA-5) Asset and Risk Management	Pojoaque, NM
August 21	(KA-6) Records Management Program Development	Pojoaque, NM