

DEPARTMENT OF GENERAL SERVICES
STATE OF CALIFORNIA RECORDS MANAGEMENT PROGRAM

Specifications
For
Electronic Records Management
Software

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FOREWORD

These specifications are issued by the Department of General Services (DGS), State of California Records Program, as provided for in the “State Records Management Act” under Sections 14740-14774, of the California Government Code. The State Record Management Act requires the DGS provide implementation and procedural guidance and standards for the effective management of records for the State of California.

These specifications set forth the mandatory baseline functional requirements for Electronic Recordskeeping System (ERS) application software to be used by the State of California agencies in the implementation of their records management program. They also define required system interfaces and search criteria to be supported by ERS software; and describe the minimum records management requirements that must be met, based upon the provisions of the State Records Management Act, DGS regulations, and guidelines.

These specifications apply to all State of California government agencies as set forth in the State Records Management Act. They are effective immediately. ERS software systems already in use must comply with these specifications within two years of the effective date of this document. Please contact the State Records Management Program for assistance in migration. State of California government agencies may issue supplementary instructions when necessary to provide for unique requirements within their organizations, provided that those instructions do not impact interoperability and compatibility with information technology systems, and meet the functional requirements of this standard.

These specifications are approved for public release; distribution is unlimited. State of California government agencies and the public may obtain copies of these specifications on the Internet from the DGS home page. The DGS home page Uniform Resource Locator (URL) is <http://www.dgs.ca.gov>

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REFERENCES

The following specific State of California government authorities are cited in order to provide the underlying reference base for using or complying with these specifications within California State government. They are:

- The California Government Code, Sections 14740 – 14774 as contained in the "State Records Management Act"
- The State Administrative Manual (SAM), Chapter 1600, "Records Management"
- The California Acquisition Manual (CAM), Department of General Services (DGS), Procurement Division, "Records Management Program"
- The State of California Electronic Records Management Handbook. The Handbook shall be used in conjunction with the aforementioned authorities. The Handbook provides guidance for the proper use of electronic recordskeeping systems that provide the functionality needed to enable state agency records managers to adhere to certain standards and guidelines established by the above authorities. That functionality is discussed in detail in the Handbook and is based upon the need to control the record lifecycle and all documents constituting the record, regardless of the format.

CHAPTER 1 - GENERAL INFORMATION

1.1 Purpose

These specifications set forth mandatory and optional baseline functional requirements for Electronic Recordskeeping System (ERS) application software. State of California government agencies implementing records management policies and procedures must adhere to these specifications. Described within are the minimum records management requirements that must be met in accordance with California Government Code Sections 14740-14774, as contained in the "State Records Management Act."

State agencies must also adhere to the guidance and implementing regulations promulgated by the State of California Records Management Program, under the authority of the Department of General Services (DGS), as represented in the State Administrative Manual (SAM) Chapter 1600, Records Management and other implementing publications and authorities. In this document, the word "**shall**" identifies mandatory system requirements. The word "**should**" identifies design objectives that are desirable, but not mandatory.

1.2 Limitations

These specifications are applicable to all ERS software applications regardless of organization or site-specific implementations. Before the ERS software may be used, these minimum requirements must be met. Additional requirements such as the management and protection of records containing confidential information, attorney/client privileged information, and the features described as non-mandatory in Chapter 4 of this document, may be specified by organizations to satisfy their site specific needs.

CHAPTER 2 - MANDATORY REQUIREMENTS

2.1 GENERAL REQUIREMENTS

2.1.1 Managing Records

The Electronic Recordskeeping System (ERS) software shall manage records regardless of storage media or other characteristics. ERS software does not include “records center management software” which is a special domain of record storage. This domain is concerned with features and functions that might be utilized by a records storage facility such as the State Records Center or a commercial records facility. These types of facilities typically manage boxes on shelves and documents within boxes.

2.1.2 Accommodating Year 2000 and Twenty-First Century Dates

The ERS software shall correctly accommodate and process information containing the year 2000 and beyond as well as dates in previous centuries. The capability shall include, but not be limited to, date data century recognition, calculations, and logic of various types. This logic shall accommodate same century and multi-century formulas, same century and multi-century date values, and date data interface values that reflect the century. Leap year calculations shall also be accommodated (i.e., 1900 is not a leap year, 2000 is a leap year).

2.1.3 Implementing Standard Data

In all instances where State of California government data standards exist, the ERS software shall comply with those data standards.

2.1.4 Storing Requirements for Media Admissibility

Electronic records are as admissible in evidence as paper, microforms, and photocopies; and the rules of evidence are the same for all media. Electronic records may be perceived as more vulnerable to alteration or degradation; they may remain subject to admissibility challenges until time proves them to be trustworthy. The ERS software shall document that the electronic records were made, 1) in the regular course of business, 2) in good faith, 3) prior to the involvement in the proceeding at issue, and 4) at the time (or reasonably thereafter) of the record event within the normal course of business. The fundamental consideration is whether the ERS software provides sufficient authentication including “evidence describing a process or system used to produce a result and showing that the process or system produces an accurate result” (Federal Rules of Evidence, Rule 901(b)(9)). As a general rule, these specifications will refer to all American National Standards Institute (ANSI) certified media as electronic storage media for use in conjunction with ERS software.

2.1.5 Destruction

In order to facilitate destruction, the ERS software shall electronically manage all the agency's record series. The ERS software shall provide approval notations from the State of California Records Management Program, Department of General Services (DGS), and archival notations from the California Secretary of State (SOS), regarding notification of the State Archives for possible transfer to their facility. Thereby, these data attributes shall be available to the system.

2.1.6 Migration

Electronic records shall be periodically migrated to stable media and stable file types within an organization's overall records management plan. Media shall be stable in that it provides a reliable repository for the authentic record to be preserved and accessed by current methods and/or technology, consistent with paragraph 2.1.4 Storing Requirements for Media Admissibility.

CHAPTER 3 - DETAILED REQUIREMENTS

3.1 Implementing Electronic Recordskeeping Software (ERS)

3.1.1

The Electronic Recordskeeping Software shall provide authorized individuals with the capability to assign the following data when generating the metadata:

- Record Series Name
- Record Series Code
- Record Series Description
- Disposition Authority
- Vital Record Indicator
- Disposition Instruction Name
- Disposition Instruction Code
- Disposition Instruction Type
- User definable fields

3.1.2

The ERS software shall have the capability to limit access to authorized individuals for purposes of creation, addition, editing, and deletion of disposition instructions and their associated codes. Each disposition code shall be linked to its associated disposition instruction.

3.1.3

The ERS software shall have the capability to limit access to authorized individuals for purposes of creation, addition, editing, and deletion of a record series, files and their codes. Each file or series code shall be linked to its associated file or series and to its higher-level series code(s).

3.1.4

The ERS software shall provide the capability to limit access to authorized individuals for purposes of assignment of a disposition instruction code to a file or record series.

3.1.5

The ERS software shall provide the capability to change the disposition information of records already in the system when disposition instructions change from the original designations.

3.1.6

The ERS software shall have the capability to limit access to authorized individuals for purposes of extension or suspension (freeze) of the retention period for individual files or record series. This is required when individual files or record series are retained beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that alters the normal administrative, legal, fiscal, or potential archival, historical, or research value of the records or record series.

3.1.7

The ERS software shall provide the capability to view or print and save:

- a record series, files and their associated codes
- disposition instructions and disposition instruction codes
- record series, files and their associated disposition

3.1.8

The ERS software shall provide the capability to view or print the disposition instructions and disposition instruction codes. The ERS software shall provide the capability to save the disposition instructions and disposition instruction codes.

3.1.9

The ERS software shall provide the capability to view or print the record series, files and their associated disposition. The ERS software shall provide the capability to save the record series, files and their associated disposition.

3.2 Identifying and Filing Records

3.2.1

The ERS software shall provide users with the capability to select and assign a file code to a record.

3.2.2

The ERS software shall assign a unique computer-generated record identifier (data record key) to each record managed by the software regardless of where the record is stored.

3.2.3

The ERS software shall prevent subsequent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data.

3.2.4

The ERS software shall not permit modification of the record identifier (data record key) once assigned.

3.2.5

The ERS software shall capture or provide the user with the capability to assign the following minimum profile data (metadata) when the record is filed:

- subject or other record identifier;
- date filed by the ERS;
- addressee(s) of the record;
- media type (storage medium);
- format (electronic, physical, TIFF, doc, etc.) and specific attributes (date created, author, etc.);
- location of the record;
- document creation date, independent of the record creation date;
- author or originator of the record;
- originating organization of the record; and,
- vital record indicator of the record.

3.2.6

The ERS software shall provide the user with the capability to edit the metadata prior to filing the record, except for data captured electronically from e-mail or other automated systems.

3.2.7

The ERS software shall provide the authorized user with the capability to add user defined metadata fields, such as project number, security classification, Privacy Act information, etc.

3.2.8

The ERS software shall have the capability to provide output for viewing or printing the record metadata.

3.2.9

The ERS software shall have the capability to save the metadata.

3.2.10

The ERS software shall provide that when metadata is output for display it will be included with the record with which it is identified.

3.2.11

The ERS software shall provide the authorized user with the capability to limit the file codes available to a user or work group. The ERS software shall ensure that only current and valid file codes are presented to the user for selection during filing.

3.2.12

The ERS software shall allow a record to be assigned to more than one record series when appropriate.

3.2.13

The ERS software shall provide the authorized user with the capability to change a file code assigned to a filed record.

3.2.14

The ERS software shall have the capability to designate a record as a vital record.

3.2.15

The ERS software shall have the capability to update vital records designation.

3.2.16

The ERS software shall provide the authorized user with the capability to reverse the designation of a vital record once the designation has become obsolete.

3.2.17

The ERS software shall have the capability to link the record to all supporting records, related records and related information such as notes, attachments, electronic mail return receipts, and all metadata.

3.2.18

The ERS software shall have the capability to link original superseded records to their successor records. If the disposition of the superseded record is to destroy when replaced, the ERS software shall identify that the record is eligible for destruction.

3.2.19

The ERS software shall manage and preserve all electronic records regardless of format or structure, so that they can be reproduced and viewed in the same manner as the original.

3.2.20

The ERS software shall provide that when a record is moved from one location to another, its metadata shall be included.

3.2.21

The ERS software shall provide the authorized user with the capability to modify the metadata (values of the record profile attributes) of stored records that have not been specified as un-editable.

3.3 Filing Electronic Mail Messages (E-Mail)

3.3.1

The ERS software shall treat electronic mail messages (including attachments) that have been filed as records, as any other record, and they shall be subject to all requirements of these standards.

3.3.2

The ERS software shall capture and automatically store the transmission and receipt data identified in Table 1 below (if available from the e-mail system) as part of the record profile when an e-mail message is filed as a record. ERS software shall not allow editing of this metadata.

3.3.3

The ERS software shall store the attachment(s) to an e-mail record and associate and link the attachment(s) with the e-mail record.

3.3.4

The ERS software shall have the capability to store distribution lists to ensure identification of the sender and recipients of messages that are records.

TABLE 1 E-Mail Transmission/Receipt Data	
Transmission/Receipt Data	Record Profile Mapping
The e-mail name and address of the sender.	ERS software shall automatically enter this data into the Author or Originator data field.
The e-mail name and address of all addressees (or distribution lists).	ERS software shall automatically enter this data into the Addressee data field of the record profile.
The e-mail name and address of all other recipients (or distribution lists).	ERS software shall automatically enter this data into the Other Recipients data field.
The date and time that the message was sent.	ERS software shall automatically enter this data into the Document Sent/Received Date data field.
The subject of the message.	ERS software shall automatically enter this data into the Subject data field of the record profile.
The date and time that the message was received.	ERS software shall automatically enter this data into the Document Sent/Received Date data field.

3.4 Storing Records

3.4.1

The ERS software shall have an interface to a repository for storing electronic records and a method to prevent unauthorized access to the repository. If the repository is contained in an electronic database management system (DBMS), there should be a query interface between the ERS software and the DBMS.

3.4.2

The ERS software shall not alter or allow alteration of records that are stored. The ERS software shall preserve the format and content of the record as it was filed.

3.4.3

The ERS software shall automatically date a document when it is saved as a record and will preserve the date of receipt on records managed by the ERS. This date shall remain when accessed, read, copied, or transferred. The ERS software shall not allow this data to be edited.

3.4.4

The ERS software shall allow only authorized individuals to move/delete records from the repository while simultaneously managing multiple user access.

3.5 Scheduling Records

3.5.1

The ERS software shall have the capability to automatically track the disposition schedules of records (records retention schedules).

3.5.2

The ERS software shall, as a minimum, be capable of scheduling each of the following three types of disposition instructions:

- **Time Dispositions:** a record becomes eligible for disposition immediately after completion of a fixed period of time.
- **Event Dispositions:** a record becomes eligible for disposition immediately after a specified event has occurred.
- **Time-Event Dispositions:** the beginning of the retention period of a record is triggered after a specified event has occurred.

3.5.3

The ERS software shall be capable of implementing cutoff instructions for scheduled and unscheduled records.

3.6 Screening Records

3.6.1

The ERS software shall have the capability to provide viewing, printing, and saving list(s) of records (regardless of media) within record series based on:

- disposition instruction code;
- record series or file code; and/or,
- disposition event.

3.6.2

The ERS software shall provide the capability for the user to select which metadata are to be used when creating list(s).

3.6.3

The ERS software shall have the capability to identify records due for disposition processing based on:

- disposition instruction code;
- record series or file code; and/or,
- disposition event.

3.6.4

The ERS software shall have the capability to identify records with event driven dispositions and provide authorized individuals with the capability to indicate when the specified event has occurred.

3.6.5

The ERS software shall have the capability to identify records with time-event dispositions and provide authorized individuals with the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions.

3.6.6

The ERS software shall identify records scheduled for cutoff, and present them to the authorized individual for approval. The ERS software shall not allow any additions or other alterations to records that have reached their cutoff period.

3.6.7

The ERS software shall identify records that have been frozen and provide authorized individuals with the capability to reactivate or change their assigned dispositions.

3.6.8

The ERS software shall provide the capability for viewing, printing, and saving list(s) of records that have no assigned disposition.

3.7 Retrieving Records

3.7.1

The ERS software shall allow searches using any single one or a combination of the following record profile data elements (metadata):

- Subject
- Date Filed
- Addressee(s)
- Media Type
- Format
- Location of Record
- Document Creation Date
- Author or Originator

- Originating Organization
- Other Recipients (E-mail)
- File Code
- Disposition Instruction Code
- Disposition Cutoff Date
- Disposition Action Date
- Disposition Action Code (Transfer, Destroy, or Freeze)
- Disposition Instruction Type (Time, Event, Time-Event)
- Vital Record Indicator
- Record Identifier
- User Defined Fields

3.7.2

The ERS software shall allow the user to specify whether an exact match of case is part of the search criteria.

3.7.3

The ERS software shall allow for the specification of partial matches for multiple word fields such as subject and date and shall allow for the designation of "wild card" fields or characters, such as 01/**/01 in a date field.

3.7.4

The ERS software shall allow searches using Boolean logic:

- and;
- or;
- greater than (>);
- less than (<);
- equal to (=); and,
- not equal to (/=).

3.7.5

The ERS software shall present the user a list of records meeting retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be definable by the user from the set of record profile attributes.

3.7.6

The ERS software shall provide copies of electronic records, including filename, location, or path name specified by the user, to the user's workspace. These record copies, selected from the list of records meeting the retrieval criteria, shall be in the format in which they were provided to the ERS software for filing. For example, a specific e-mail document within a record was filed by the ERS. Upon request by the user, that document should be retrieved as an e-mail (in e-mail format), together with its metadata.

3.8 Transferring Records

3.8.1

The ERS software shall identify and present all records eligible for transfer, depending upon user query and using the disposition instruction for the record series, which shall be a DGS approved records retention schedule.

3.8.2

The ERS software shall copy the records and associated profiles to a user-specified filename, path, or device, for records approved for transfer that are stored by the ERS software.

3.8.3

The ERS software shall copy the associated metadata to a user-specified filename, path, or device, for records that are approved for transfer and are not stored by the ERS software.

3.8.4

For records approved for transfer, the ERS software shall provide the capability for authorized individuals to suspend the deletion of record(s) and related profile(s) until successful transfer has been confirmed.

3.9 Destroying Records

3.9.1

The ERS software shall identify and present records that are eligible for destruction, together with notations by the California Secretary of State (SOS) regarding notification of the State Archives. The software shall use the disposition instruction for the record series from a DGS approved records retention schedule.

3.9.2

For records approved for destruction and for records that have been transferred, the ERS software shall present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles is executed. If the disposition instruction from a current records retention schedule approved by the DGS provides for notification of the State Archives, the ERS shall maintain the record, identifying the record to be destroyed, pending action by the State Archives.

3.9.3

The ERS software shall delete all records and/or profiles that are stored in its repository that have been approved for destruction, consistent with a current records retention schedule approved by the DGS. The deletion shall include all copies that may have been created and maintained by the ERS software. The deletion method shall provide that the records cannot be physically reconstructed.

3.9.4

The ERS software shall restrict execution of the records destruction commands to authorized individuals, consistent with current DGS and SOS requirements.

3.10 Access Control

3.10.1

The ERS software shall have the capability to define different groups of users and access criteria. The software shall also control access to records based on groups as well as individuals in meeting the access criterion/criteria.

3.10.2

The ERS software shall support multiple-user access.

3.10.3

The ERS software shall control access to edit, transfer and destroy functions based upon user authorization.

3.11 System Audits

3.11.1

The ERS software audit utilities shall provide a complete account of record receipt, retrieval, and preservation activities to ensure and confirm the reliability and authenticity of a record.

3.11.2

The ERS software audit utilities shall provide a record of:

- transfer;
- destruction activities;
- review and examination of the events surrounding or leading to mishandling of records;
- possible compromise of sensitive information; and/or,
- denial of service.

3.11.3

The ERS software shall have the capability to store audit data as a record.

3.11.4

The following audit information shall be reported on demand:

- total number of records;
- number of records by record file code; and,
- number of accesses by file code.

3.11.5

The following audit information shall be logged for each delete operation:

- Record Identifier;
- File Code;
- User Account Identifier;
- Date/Time; and,
- Authorizing Individual Identifier (if different from User Account Identifier).

3.11.6

The ERS software shall allow authorized individuals to enable or disable the audit functions, to backup and remove audit files from the system.

3.12 System Management Requirements

This section describes functions typically provided by the operating system or by a DBMS. They are also considered requirements to ensure the integrity and protection of organizational records. They shall be implemented as part of the overall records management system even though they may be performed externally to the ERS software.

3.12.1 Backup of Stored Records

The ERS software system shall provide the capability to automatically create backup or redundant copies of the records as well as their metadata capability, at the determination of the state agency.

3.12.2 Storage of Backup Copies.

The method used to backup ERS software data base files shall provide copies of the data that can be stored off-line and at a separate location for disaster recovery or vital records protection.

3.12.3 Recovery/Rollback Capability

Following any system failure, the backup and recovery procedures provided by the system shall provide the capability to complete updates to ERS software, ensure that these updates are reflected in ERS software files, and ensure that any partial updates to ERS software files are removed. The system recovery capability shall include records, record profiles, and any other information required to access the records. Any user whose updates are incompletely recovered, shall, upon the next use of the application, be notified that a recovery has been executed. The ERS software shall also provide the option to continue processing using all in-progress data not reflected in ERS software files.

3.12.4 Rebuild Capability

The ERS system shall provide the capability to rebuild any backup copy, using the backup copy and all subsequent audit data.

3.12.5 Storage Availability and Monitoring

The ERS system shall provide for the monitoring of available storage space. The storage statistics shall provide a detailed accounting of the amount of storage consumed by the ERS software processes, data, and records. The system shall provide notification to authorized individuals of the need for corrective action in the event of critically low storage space.

3.12.6 Making Global Changes

The ERS system shall provide the capability for authorized individuals to make global changes to the record series, record series codes, disposition instructions, and disposition instruction codes.

3.12.7 Making Global Deletions

The ERS system shall provide the capability for authorized individuals to make global deletions to the record series, record series codes, disposition instructions, and disposition destruction codes.

3.13 Additional Baseline Requirements

This section describes records management requirements that shall be implemented by the organization, but may not necessarily be available in the ERS software.

3.13.1 Electronic Calendars and Task Lists.

Some electronic calendars and task lists for users may meet DGS's definition of a "record". Calendars and task lists that do meet the definition of a record are to be managed as any other record. If the ERS software being acquired does not have the capability to extract them from the software application that generates them, the user organization shall implement processes or procedures to enable those records to be managed by the ERS software.

3.13.2 External E-mail.

Some state agencies use separate e-mail systems for Internet e-mail or other wide area network e-mail. The e-mail records created by these systems shall be handled as any other e-mail records. If the ERS software being acquired does not provide the capabilities to handle these e-mail records as any other e-mail records, the user organization shall implement processes or procedures to enable these records to be managed by the ERS software.

3.13.3 Ability to Read and Process Records.

Since ERS software is prohibited from altering the format of stored records, state agencies shall ensure that it has the ability to view, copy, print, and if appropriate, process any record stored in ERS software for as long as that record must be retained. State agencies may meet this requirement by:

- maintaining the hardware and/or software used to create or capture the record;
- maintaining hardware and/or software capable of viewing the record in its native format;

- ensuring updated hardware and/or software can still read the record, or by migrating the record to a new format before the old format becomes obsolete. Any migration shall be controlled to ensure continued reliability of the record.

3.13.4 Confidential and Other Sensitive Records.

The using state agency shall implement special procedures to comply with legal and regulatory requirements for those records deemed confidential in the interests of public privacy, whether or not this capability is provided for in the ERS software.

CHAPTER 4 - STATE AGENCY-DEFINED REQUIREMENTS

In addition to the detailed requirements defined by these specifications, State Agencies should be able to utilize, and the ERS software should be able to accommodate, the following requirements.

4.1 User Interface

The state agency should be able to use an industry standard graphical user interface for ERS software, such as Windows, Macintosh, X-Windows.

4.2 Storage Availability

The state agency should be able to define and redefine the size of the storage space required for its organizational records with the related record profiles and associated audit files.

4.3 Documentation

The state agency should be able to determine the type and format of the desired documentation, such as user guide, technical manual, and installation procedures, to be provided by the ERS contractor.

4.4 System Performance

The state agency should be able to specify what are acceptable ERS software system availability, reliability, response times, and downtimes that will satisfy the user's business requirements.

4.5 Hardware Environment

The state agency should be able to define the hardware environment (for example: mainframe, client-server, or personal computer) and identify the platforms (servers and workstations) on which the ERS software is to be executed.

4.6 Operating System Environment

The state agency should be able to define the operating system environment on which the ERS software is to be executed.

4.7 Network Environment

The state agency should be able to define the LAN, WAN or other network topology and the Network Operating System (NOS) on which the ERS software is to be executed.

4.8 Protocols

The state agency should be able to identify the protocols, such as Transmission Control Protocol/Internet Protocol (TCP/IP), Simple Mail Transfer Protocol (SMTP), and ANSI X.400, which the ERS software is to support.

4.9 Electronic Mail Interface

The state agency should be able to specify the e-mail application(s) with which the ERS software is to interface.

4.10 Internet Interface

The state agency should be able to determine if and in what manner the ERS software is to interface with the Internet.

4.11 File Code Selection/Search Capability

The state agency should be able to specify the desired methods for assisting the user in the selection of the file code to be assigned to a record such as priority ordered lists or directed searches.

4.12 End-User Orientation and Training.

The state agency should be able to specify the records manager and end-user training requirements.

4.13 Final Disposition

The state agency should be able to specify that the ERS software shall manage the record series within online records retention schedules (interactively available to the ERS). The records retention schedule will provide approval notations from the State of California Records Management Program, Department of General Services (DGS), together with archival notations by the California Secretary of State (SOS) regarding notification of the State Archives for possible transfer to their facility, and final disposition date.

CHAPTER 5 - OTHER USEFUL FEATURES

Many ERS software products provide the following time and labor saving functions either as standard or optional features to enhance the utility of the system.

5.1 Uploading Capability

The ERS software should provide the capability for authorized individuals to upload:

- an agency's pre-existing and current records retention schedule;
- disposition instructions and codes;
- electronic records; and,
- record profiles.

5.2 Record Version

The ERS software should provide the capability to store version(s) of a record in an ERS software repository. These should be associated and linked.

5.3 Retrieval of Latest Version

When the user selects a record for retrieval, the ERS software should check for the latest version of the record and notify the user if there is a later version, but allow the user the flexibility to retrieve any version.

5.4 Interfaces to Other Software Applications

The ERS software should interface with various office automation packages such as electronic mail, word processors, spreadsheets, databases, desktop publishers, and electronic data interchange systems as needed by the using activity.

5.5 Report Writer Capability

The ERS software should provide the capability to generate reports on the information held within the ERS software repository based upon user-developed report templates or user query.

5.6 On-Line Help

The ERS software should have an on-line help capability for easy access to user operational information.

5.7 Document Imaging Tools

The ERS software should be capable of interfacing with document imaging and workflow software/hardware in order to ensure interoperability with this and other related applications.

5.8 Fax Integration Tools

The ERS software should be able to interface with desktop or server-based facsimile products to capture records in their electronic format.

5.9 Bar Code Systems

The ERS software should be able to interface with bar code systems.

5.10 Thesaurus

The ERS software should provide the ability to group related records together through the use of an organizational thesaurus.

5.11 Retrieval Assistance

The ERS software should have additional search and retrieval features, such as keyword search, full text search or other method(s) to assist the user in locating records.

5.12 Workflow Features

The ERS software should have the capability to identify and manage working and draft versions of documents and other potential record materials as they are being developed.

5.13 Records Management Forms

The ERS software should have the capability to generate completed standard records management forms such as records retention schedules and transfer lists.

5.14 Printed Labels

The ERS software should provide the capability to produce hard copy codes or identifiers in the form of labels or other products as required.

5.15 Logic Checks

The ERS software should conduct logic checks to ensure consistency and assist with error checking for all required metadata elements.

5.16 Viewer

The ERS software should provide the capability to view each file in its stored format or its equivalent.

5.17 Access Log

The ERS software shall log the following audit information for each access:

- record identifier;
- file code; and,
- user account identifier.

APPENDIX - DEFINITIONS

- 1. Access.** Permission to use and reproduce records. This permission may be limited or qualified (restricted by the agency having legal custody). Also, the ability or opportunity to gain knowledge of stored information.
- 2. Addressee.** The name of the organization or individual to whom a record is addressed.
- 3. Attachment.** A document associated or included with another document and filed in the ERS software or transmitted between two or more persons. Both documents are required to form the record in the ERS software.
- 4. Audit Trail.** A means of capturing the interactions between records within an electronic system so that any access to the system can be documented (e.g., modification, deletion, or addition).
- 5. Authenticity.** A condition that proves that a record is genuine based on its mode (i.e., method by which a record is communicated), form (i.e., format and/or media that a record has when it is received), state of transmission (i.e., the primitiveness, completeness, and effectiveness of a record when it is initially set aside after being made or received), and manner of preservation and custody.
- 6. Authorized Individual.** A Records Manager and/or other persons specifically designated as responsible for managing various aspects of an organization's records.
- 7. Author or Originator.** The author of a document is the person or the office responsible for the creation or issuance of the document. The author is usually indicated by the letterhead and/or signature. For ERS software purposes, the author and/or originator may be a personal name, official title, office symbol, or code.
- 8. Copy.** In electronic records, the action or result of reading data from a source (ERS software repository), leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source (user workspace or other device).
- 9. Cutoff.** To cutoff records in a file means to break, or end them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt, of the records. In other words, the retention period normally does not start until the records have been cutoff. Cutoffs involve ending the old files and starting new ones at regular intervals.

- 9.1. For records with retention periods of less than one year:** Cutoff at an interval equal to the retention period. For example, if a record series has a one-month retention period, cut the file off at the end of each month and then apply the retention period (that is, hold the file one more month before destroying).
- 9.2. For records with retention periods of one year or more:** Cutoff at the end of each fiscal (or calendar) year. For example, if the disposition for a correspondence file is "destroy when three years old" then destroy it three years after the annual cutoff.
- 9.3. For records with retention periods based on an event or action:** Cutoff on the date the event occurs or the action is completed and then apply the retention period. For example, if the disposition for case working papers is "destroy when related case file is closed," then cutoff and destroy the working papers when closing the related file.
- 9.4. For records with retention periods based on a specified time period after an event or action:** Place in an inactive file on the date the event occurs or the action is completed and cutoff the inactive file at the end of each fiscal (or calendar) year; then apply the retention period. For example, if the disposition for a case file is "destroy six years after case is closed," then destroy six years after the annual cutoff along with other case files closed during that year.

Note: Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

- 10. Cycle.** The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.
- 11. Database.** In electronic records, a set of data, consisting of at least one file or of a group of integrated files, usually stored in one location and made available to several users at the same time for various applications.
- 12. Database Management System (DBMS).** A software system used to access and retrieve data stored in a database.
- 13. Data Element.** A combination of characters or bytes referring to one separate item of information, such as name, address, or age.
- 14. Document Creation Date.** The date and time that the author and/or originator completed the development of and/or signed the document. For electronic documents, this date and time should be established by the author or from the time attribute assigned to the document by the application used to create the document. This is not necessarily the date and/or time that the document was filed in the ERS software and/or became a record.

- 15. Date Filed.** The date and time that an electronic document was filed in the ERS software and became a record. This date and time shall normally be assigned by the computer at the time the record is filed in the ERS software.
- 16. Delete.** The process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic disk or tape, which then may be reused.
- 17. Destruction.** In records management, the major type of disposition. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, soaking, or discarding with other waste materials.
- 18. Disposition.** Disposition means those actions taken regarding records after they are no longer in office space to conduct current agency business. These actions include:
- 18.1.** Transfer the records to agency storage facilities or the State Record Center (SRC).
 - 18.2.** Transfer of records from one state agency to another.
 - 18.3.** Transfer of permanent records to the Secretary of State, Archives.
 - 18.4.** Disposal of temporary records no longer needed to conduct agency business, usually by destruction or occasionally by transfer to a non-state entity.
- 19. Disposition Action Code.** Code that indicates the action to be taken when a disposition date occurs (e.g., freeze, transfer, or destroy).
- 20. Disposition Action Date.** The fixed date on which the records in a file become due for final disposition.
- 21. Disposition Authority.** Legal approval based on the DGS approved records retention schedule to destroy or notify the Secretary of State (SOS), State Archives for selection and appropriate transfer.
- 22. Disposition Instruction.** Directions for cutting off records and carrying out their disposition (transfer, retirement, or destruction) in compliance with DGS's requirements and guidelines. The instructions include retention-related fields such as authority, transfer location, active/inactive chronological retention periods, and conditional retention periods.
- 23. Disposition Instruction Code.** An agency's code indicating a unique disposition instruction that can be assigned to one or more files.
- 24. Disposition Instruction Type.** One of three ways of scheduling a disposition instruction. The schedule may be based upon a time, an event, or a combination of both time and event. See Event Disposition, Transfer, and Transmission Data below.

- 25. Document. Recorded information regardless of physical form or characteristics.** A document may meet the definition of a record, or it may not and therefore be a non-record. However, it is important to understand that records typically consist of one or more documents. Whether a document is a record or not, is determined by law and criteria established within an organization's records management plan. See Record.
- 26. Electronic Mail Message (a.k.a. "e-mail").** A document created or received on an electronic mail system comprised of brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.
- 27. Electronic Mail System.** A computer application used to create, receive, and transmit electronic mail messages and other documents. Excluded from this definition are file transfer utilities (software that transmit files between users but does not retain any transmission data).
- 28. Electronic Record.** Any information that is recorded in a form that requires a computer or other machine to process it and that satisfies the definition of a record as defined in law, DGS requirements and/or guidelines. See Record.
- 29. Electronic Recordskeeping System (ERS).** Software used by an organization to manage all its records, regardless of format, over the entire record's lifecycle. Primary recordskeeping functions must include categorizing, locating, identifying and controlling record disposition requirements, including management of the storage, retrieval, and disposition of the records; regardless of the repository.
- 30. Event Disposition.** A disposition instruction, in which a record is eligible for the specified disposition (transfer or destroy) upon or immediately after the specified event occurs. No retention is applied and there is no fixed waiting period as with the "timed" or combination "timed-event" dispositions. Example: "Destroy when no longer needed for current operations".

31. File

- 31.1. (Noun)** An arrangement of records, such as papers, photographs, photographic copies, maps, machine-readable forms, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.
- 31.2. (Verb)** An assignment of records by the act of designating records in their appropriate record series.
- 32. File Code.** Numbers or symbols used to represent lengthy file titles. It identifies information for filing, reference, and disposition.

- 33. Format.** For electronic records, refers to the computer file format described by a formal or supplier standard or specification, such as ISO/ISEC 8632-1 (Information Technology - Computer Graphics - Metafile for the Storage and Transfer of Picture Description Information (CGM)); ISO/ISEC 10918 (Joint Photographic Experts Group (JPEG)); WordPerfect 6.1 for Windows; and Microsoft Word 7.0 for Windows. For non-electronic records, the format refers to its physical form: e.g., paper, microfilm, video, etc.
- 34. Freeze.** The suspension or extension of the disposition of temporary records that cannot be destroyed on schedule because of special circumstances, such as a court order or an investigation, that requires a temporary extension of the approved retention period.
- 35. Location of Record. Identification of the physical location of a record.** Examples: an operating system path and filename, the location of a file cabinet, or the location of a magnetic tape rack.
- 36. Media Type.** The material and/or environment on which information is inscribed (e.g., microform, electronic, paper).
- 37. Metadata.** Data describing stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records.
- 38. Migration.** Moving one or more records (electronic information and metadata about that information) from one electronic media to another, usually in connection with preserving access and the authentic attributes of the record required due to changes in technology or technological obsolescence.
- 39. Office Applications.** Software packages that perform a variety of office support functions, such as word processing, desktop publishing, spreadsheet calculations, electronic mail, facsimile transmission and receipt, document imaging, optical character recognition (OCR), workflow, and data bases and data management. These applications are generally those used to generate, convert, transmit, or receive business documents.
- 40. Originating Organization.** Official name or code that reflects the office responsible for the creation of a document.
- 41. Permanent Record.** Records appraised and considered to be so valuable or so unique that they are to be permanently preserved, or, those having sufficient archival, historical or research value to warrant continued preservation beyond the time they are needed for a particular agency's administrative, legal, or fiscal purposes.
- 42. Receipt Data.** Information in electronic mail systems regarding dates and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s). It is not the date and time of delivery to the agency. If this data is provided by the computer system, it is required for documents that are received through electronic mail.

- 43. Record(s).** All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics. Library and museum materials made or acquired and preserved solely for reference or exhibition purposes, and stocks of publications and of processed documents are not included within the definition of the term “record.” A record consists of information, regardless of medium or physical characteristics, made or received and maintained by an organization or institution in pursuance of its legal obligations in the transaction of its business. In machine-readable records, it is two or more data fields in predetermined order and treated as a unit.
- 44. Records Retention Schedule.** A document that identifies the length of time a records series must be retained in active/current and inactive/non-current storage before its final disposition to permanent storage, archival preservation, or destruction.
- 45. Record Series.** A description of a particular set of records, whether identical or related, and filed as a unit (file or groups of files) within a records retention schedule. Each series has retention and disposition data associated with it, and applied to all records within the series.
- 46. Record Series Code.** An agency's alphanumeric or numeric code indicating a unique record series which can be assigned to one or more files.
- 47. Record Identifier.** A data element whose value is system-generated and that uniquely identifies a particular record.
- 48. Records Management.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities involving the life cycle of information, including creation, maintenance (use, storage, retrieval), and disposal, regardless of media. Record management procedures are used to achieve adequate and proper documentation of an agency's policies and transactions and effective and economical management of its operations.
- 49. Record Profile.** Information (metadata) about a record that is used by the ERS software to file and retrieve the record. It includes information fields such as To, From, Date, Subject, Document Type, Format, Location, Record Number, Version Number, Record Series, and Originating Organization. The data fields may also be used by the ERS software as search criteria.
- 50. Repository for Electronic Records.** A direct access device on which the electronic records and profiles are stored.
- 51. Retention Period.** The length of time that a record must be kept before its final disposition. Records not authorized for destruction have a retention period of permanent. Retention periods may be expressed in three ways: event disposition, time disposition or time-event disposition.
- 51.1 Event Disposition.** A disposition instruction, in which a record is eligible for the specified disposition (transfer or destroy) upon or immediately after the specified

event occurs. No retention is applied and there is no fixed waiting period as with the "timed" or combination "timed-event" dispositions. Example: "Destroy when no longer needed for current operations".

51.2 Time Disposition. A disposition instruction that specifies when a record shall be cutoff and when the fixed retention period is applied. The retention period does not begin until after the records have been cutoff. Example: Destroy after two years means cutoff at the end of the calendar (or fiscal) year; hold for two years; then destroy.

51.3 Time-Event Disposition. A disposition instruction that specifies that a record shall be disposed of a fixed period of time after a predictable or specified event, and which combines the criteria used in event disposition or time disposition. Once the specified event has occurred, then the retention period is applied. Example: "Destroy three years after close of case". The record remains unscheduled until after the case is closed — at that time the record is cutoff and the retention period (destroy after three years) is applied.

52. Transfer. The act or process of moving records from one location to another; or from office space to agency storage facilities or an authorized record center; or from one agency to another; or from office or storage space to the State Archives for permanent preservation, in accordance with an approved records retention schedule.

53. Transmission Data. Information in electronic mail systems regarding the date and time messages were sent or forwarded by the author.

54. Version. One of a sequence of documents having the same general form and specific subject and purpose. The sequence often reflects successive changes to a document.

55. Vital Records. Essential agency records that are needed to meet operational responsibilities under emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the agency and those affected by the agency's activities (legal and financial rights records). Legal and financial rights records are the types of vital records essential to protect the legal and financial rights of the agency and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. Emergency operating records are the type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.