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Objectives

By the end of the webinar, you should be able to:

1. Understand the current Texas laws and rules for digital imaging
2. Understand the function and importance of indexing and metadata for scanned images
3. Apply retention schedules to scanned images
4. Advise others on when to image
5. Answer questions about destroying source documents



What...

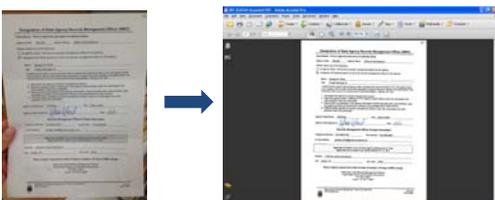
- ...is imaging?
- ...is “machine-readable”?
- ...is indexing?
- ...does an index look like?
- ...can you scan?
- ...retention rules apply?

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What is imaging?

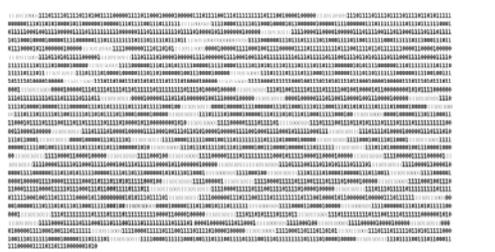
- **Digital imaging:** The conversion of a document from a human-readable format to a machine-readable digital image file



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What is “machine-readable”?



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What is indexing?

(and why is it important?)

- **Indexing:** assigning specific metadata to each document to enable the computer system to retrieve it.
- **Metadata:** computer-generated (like OCR) or user-generated (like added search terms)



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What does an index look like?

Government's unique ID (227-16-001)

Government

Hyperlinked button to the government's compliance file (PDF)

Governmental body's unique ID (227-16-001) is the file name for the PDF

Form SLR 540

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Without the database...

1. Request comes in
2. Reference the Government Code index:
 - 227 = Travis County
 - 16 = Municipality
 - 001 = First Travis County municipality to submit compliance documents
3. Find the file
 - If scanned....
 - If *not* scanned....

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What records can you scan?



“Any local government record data may be stored electronically in addition to or instead of source documents in paper or other media...
...subject to the requirements of this chapter and rules adopted under it.”

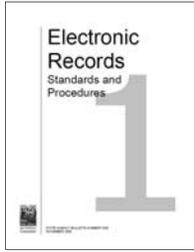
Local Gov't Code §205.002

<http://bit.ly/bulletinb>

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What records can you scan?



(a) Any state record may be created or stored electronically...
... in accordance with standards and procedures adopted as administrative rules of the commission.

Gov't Code §441.189(a)

<http://bit.ly/BulletinOne>

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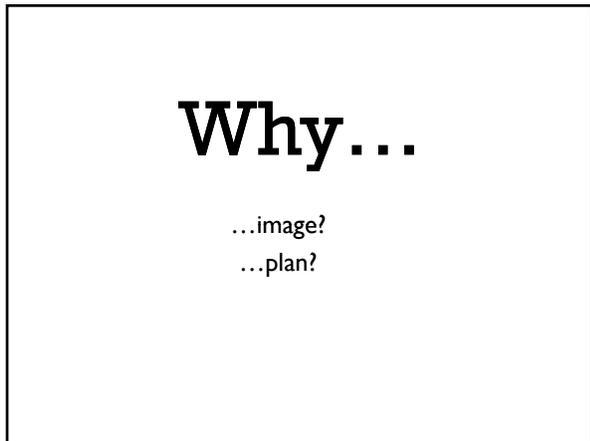


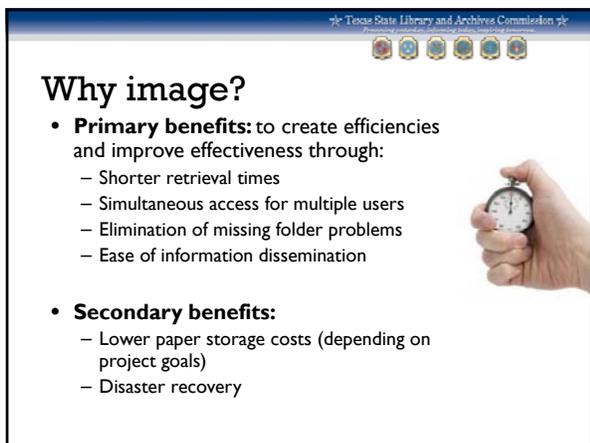
What retention rules apply?

- **“A record is a record is a record”**
 - All retention schedules are “media neutral” – the same retention rules apply to a record no matter what format it’s in.









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Why plan?

- Scanning is expensive
- Server storage is expensive
- Quality control is expensive
- Indexing is expensive
- Digital preservation is expensive:
 - Frequent upgrades of hardware/software
 - Technical obsolescence
 - Loss of data





Planning an Imaging Project Part 1

THE WHEN

When...

- ...is imaging beneficial?
- ...is imaging right for the records?
- ...should you destroy the original paper?
- ...to delete the image?

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When is imaging beneficial?

- Considerations:
 - Goals
 - Access
 - Cost
 - ROI

Podraza, Allen. "Just Digitize All the Records – Are You Kidding Me?" *Records and Archives Management* [blog]. http://www.recordsandarchivesmanagement.com/2013/09/just-digitize-all-records-are-you_26.html (Accessed March 17, 2014)

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When is imaging beneficial?

Goal Considerations

- What is the overall mission of the project?
 - Streamlined workflow?
 - Improved access?
 - Dissemination?
 - Space savings?
 - Disaster recovery?



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When is imaging beneficial?

Access Considerations

- Who will need to access the records?
- How often will the records be accessed? Do they need to be posted online for 24/7 access by employees, other agencies, or the public?

State Agency Records Retention Schedules

A records retention schedule is a document that identifies and describes a state agency's records and the lengths of time that each type of record (called a "record series") must be retained. Texas state agencies are required to submit their retention schedules to TSLAC on a timetable established by administrative rule. The rules governing retention scheduling are published as **State Agency Bulletin 3**. If a record series does not appear on a certified records retention schedule, it may not be destroyed without obtaining special permission of TSLAC's executive director.

For more information about the recertification process, see **State Agency Bulletin 3**.

Certified Texas state agency records retention schedules, and corresponding schedules published in PDF format. Click on the links below to access an agency's records retention schedule.

Approval Date is the date the current records retention schedule was approved or the date of the most recently approved amendment (if any).

Agency	Code	Retention Schedule	Approval Date	Date Amended
A				
Administrative Hearings	360	Download PDF (2,264 KB)	2011-04-04	2012-08-28
Affordable Housing Corporation	012	Download PDF (643 KB)	2010-02-11	
Agng and Disability Services	539	Download PDF (1,505 KB)	2012-08-02	2013-05-01
Agriculture	551	Download PDF (697 KB)	2012-08-02	
Alcoholic Beverage Commission	458	Download PDF (1,240 KB)	2009-05-29	
Anatomical Board	128	Download PDF (392 KB)	2004-05-31	
Angelo State University	737	Download PDF (1,121 KB)	2011-11-31	2013-03-11
Animal Health Commission	954	Download PDF (1,832 KB)	2013-10-15	
Architectural Examiners	429	Download PDF (5,504 KB)	2012-08-20	
Arts	813	Download PDF (702 KB)	2012-07-11	

When is imaging beneficial?

Cost Considerations

- Vendors charge for:
 - Document preparation
 - Scanning
 - Indexing
 - Electronic document processing
- Development of storage/access system
- Ongoing: server storage, staff salaries, training, hardware/software maintenance, migration

When is imaging beneficial?

ROI Considerations

- How quickly will there be a return on investment?
 - Implementing scanning into active workflows: ROI within 12-18 months
 - Scanning inactive records: may be more cost-effective to store the paper in offsite storage
 - \$75 to scan one box
 - \$2.88 to store one box for one year
 - \$75 / \$2.88 = 26 years for ROI!
 - Scanning inactive records w/expired retention periods: **not cost effective!!**

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Is imaging right for the records?

<p>PROBABLY</p> <ul style="list-style-type: none">• Active records – frequently used or requested• Short retrieval time is necessary• Multiple people need to access the same record• ROI possible before expiration of retention period• There are sufficient resources to support the system over time	<p>PROBABLY NOT</p> <ul style="list-style-type: none">• Inactive records – rarely used or requested• Retention period will be met before ROI realized• No ongoing maintenance/storage budget available• Replacing the paper original of a permanent record as a preservation strategy• No feasibility studies have been conducted
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Feasibility Study

1. Needs assessment
2. Customer satisfaction
3. Alternatives assessment
4. Economic feasibility or cost/benefit analyses
5. Technological feasibility analysis



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Feasibility Study Guidelines

- NY State Archives:
http://www.archives.nysed.gov/a/records/mr_pub64.pdf (guidelines)
- NJ Archives & Records Management:
<http://www.state.nj.us/treasury/revenue/ARMS/FEASIBILITY%20STUDY.pdf> (template)

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When to destroy the paper?

- Rules vary (state vs. local)
- Retention periods and archival codes must be considered



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When to destroy: Local

- **Local Government rules:**

§7.72. General.
(a) These sections establish the minimum requirements for the maintenance, use, retention, and storage of any electronic record of a local government. **These retention period is 10 years or more** on a records retention schedule adopted under Section 7.123 of the code (relating to Records Retention Schedules). These sections do not apply to electronic records with retention periods of less than 10 years, but they are subject to the applicable provisions of the Local Government Code, Chapter 205.

Bulletin B: 13 TAC §7.72(a)

- **Technology changes – 10 years is considered “long-term retention” for electronic records**

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When to destroy: Local

- **Short Term Records (0-10 Years Retention)**
 - If the source document is destroyed, must retain the necessary record, hardware, and software

(c) The source document, if any, for electronically stored local government record data covered by Section 205.007(a) may be destroyed before the expiration of the retention period for the source document in a records retention schedule issued by the commission if the magnetic tape, optical disk, or similar medium and hardware and software necessary to provide access to local government record data on the media are retained for the retention period in the schedule. Conversely, the magnetic tape, optical disk, or similar medium may be erased, written over, or destroyed before the expiration of the retention period for a source document for local government record data not covered by Section 205.007(a), if the source document, if any, is retained until the expiration of the retention period or, if the source document has already been destroyed, paper or microfilm copies are generated from the magnetic tape, optical disk, or similar medium before destruction or reuse and retained until the expiration of the retention period for the source document.

Local Government Code §205.008(c)

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When to destroy: Local

- Long-term records (10+ Years Retention)
 - Source documents *may* be destroyed...

Sec. 205.008. DESTRUCTION OF SOURCE DOCUMENTS. (a) The source document, if any, for electronically stored local government record data covered by Section 205.007(a) may be destroyed or returned to the person who filed it for record if the **electronic storage authorization request** is approved.

(b) The magnetic tape, optical disk, or similar medium containing the local government record data and the hardware and software necessary to provide access to it must be retained by the local government or be available to the local government until the expiration of the retention period for all source documents, subject to the rules adopted under this chapter.

(If you have an approved Declaration of Compliance or Records Control Schedule on file with TSLAC)

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When to destroy: Local

- Long-term records (10+ Years Retention)
 - ...but:
 - Bulletin B rules apply →
 - Rules discussed in more detail in Part 2

- Adequate technical documentation is kept ([Sec. 7.73](#) for data files, [Sec. 7.74](#) for text documents, [Sec. 7.72](#) for electronic records in general)
- You have an electronic records security program ([Sec. 7.75](#))
- Storage media is maintained in the right environmental conditions, is being recycled on a set schedule, and is labeled with all required information ([Sec. 7.76](#))
- The scanning conforms to ANSI/AIIM standards and is done at the right resolution ([Sec. 7.76](#))
- A visual quality control check is performed on every document ([Sec. 7.76](#))
- The recordkeeping system that holds the records does not provide an impediment to public access ([Sec. 7.79](#))

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When to destroy: State

- Records with *any* Retention Period
 - Electronic copy *shall* be accepted as original state records unless prohibited (and as long as you're following Bulletin I rules)

Section 441.189. Electronic State Records.

(a) Any state record **may be created or stored electronically** in accordance with standards and procedures adopted as administrative rules of the commission.

(b) Certified output from electronically digitized images or other electronic data compilations created and stored in accordance with the rules of the commission **shall be accepted as original state records** by any court or administrative agency of the state unless barred by a federal law, regulation, or rule of court.

(c) Certified output from electronically digitized images or other data compilations created before September 1, 1997, in accordance with any applicable prior law shall be accepted as original state records or, in the absence of an applicable prior law, at the discretion of the court or administrative agency.

Added by Acts 1997, 75th Leg., ch. 873, Sec. 1, eff. Sept. 1, 1997.

Government Code §441.189(b)

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When to destroy: State

- Records with Archival Code A or R
(or for state universities, I or O)

Section 6.95. Final Disposition of Electronic State Records

(a) Any electronic state record may be destroyed only in accordance with a records retention schedule approved in accordance with the Government Code §441.185 or, in lieu of an approved records retention schedule, an approved records disposition authorization request.

(b) An electronic state record that is an archival record must be maintained by the agency through hardware and software migrations and upgrades as authentic evidence of the state's business in accessible and searchable form, except as otherwise determined by the state archivist.

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When to destroy: State/Local

- For short-term and non-archival records:
before destroying source document:
 - Check with all affected parties
 - Legal requirement?
 - Auditing requirement?
 - Can authenticity be guaranteed?



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When to destroy the paper?

- **General Recommendation:**
 - **Local:** Consider retaining source document for any record series with a retention period of 10+ years
 - **State:** Consider retaining source document for archival records



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Hybrid Approach



- Sometimes a hybrid approach is most cost-effective.

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Hybrid approach

- Develop review processes to justify the expense of digitizing records
- Digitize only the records that produce the greatest benefit / fastest ROI
- Send the inactive paper records to offsite storage



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When to delete the image?

- **When it's met its retention period!**
 - Data storage is calculated by volume
 - Electronic copy becomes "record copy" once paper is destroyed
 - More volume of records stored, slower retrieval can become



“Featured Question: Why should I purge the electronic records that have reached their retention period?” (*The Texas Record*, December 12, 2013): <https://www.tsl.texas.gov/slrn/blog/?p=5864>



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Imaging Part 1: Summary

- ✓ Understand importance of metadata / indexing
- ✓ Scan selectively: take the time to outline the expected benefits and conduct feasibility studies
- ✓ Destroying the source document: know the rules, understand the challenges

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Imaging Part 2: Objectives

- **Part 2: Who and How**
 - Know the pros and cons of in-house projects vs. outsourcing
 - Understand the processes involved with imaging
 - Be better equipped to make decisions regarding an imaging project

Register: <http://bit.ly/imagingpt2>

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Thank you for attending!

- Take the 5-question quiz: <http://bit.ly/imagingpt1>
- Questions for Angela: aossar@tsl.texas.gov or (512) 463-6623
- To exit:
 - Unhide the Control Panel (click red arrow key)
 - File / Exit – Leave Webinar
 - Please fill out the survey that pops up! ☺