

Records Management, Imaging, and Digital Preservation

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Today's Presentation

- 📖 Our responsibility as custodians of vital records
- 📖 The importance of records management
- 📖 Record care and preservation
- 📖 Imaging records
- 📖 Digital Records Management



Our Legal Responsibility

- **Responsibilities of the State Vital Statistics Office**

- Health and Safety Code Sec. 191.002
- Texas Administrative Code § 181.23
- Texas Administrative Code § 181.28
- Texas Government Code Sec. 552.115
- Texas Family Code Sec. 160.401
- ...and more

- **Responsibilities of Local Offices**

- Health and Safety Code Sec. 191.024-Sec. 191.026
- Texas Administrative Code § 181.28
- Texas Code of Criminal Procedure Art. 49.15, 49.25
- Texas Government Code Sec. 552.115
- Texas Family Code Sec 02.0071
-and more



Local Government Retention Schedules

<https://www.tsl.texas.gov/slr/recordspubs/localretention.html>

Private Hospitals/Birthing Centers – Set by HIM Department

<http://www.ncbi.nlm.nih.gov/pmc/articles/PMC3778649/>

Retention Schedules Vary by Agency

Potential Legal Consequences

In the event of a lawsuit, audit, or request for public information, will we have the required documentation?

- Records must be retained and available throughout the life-cycle.
- Consistent and routine management of records demonstrates a good faith effort to comply with legal requirements.



Records Management



Who is Responsible?

~Everyone~

Records management officers (RMOs) and records managers are key players in the development and operation of an effective records management program, but they should not be the only members of the records team. Everyone who works in government (or in any other organization that keeps records) has a role in records management, because everyone has some involvement with records in some aspect of his or her work.



Why is a comprehensive records management program so important?

- Good records management practice supports the goal of getting the right information to the right people at the right time.
- Knowing which documents and information should be retained, why they are retained, and how long to retain them reduces clutter and streamlines workflow.
- Well organized and managed information is quickly and easily retrieved when required.
- Awareness of the requirement to retain records to support actions and decisions enhances transparency in governance.



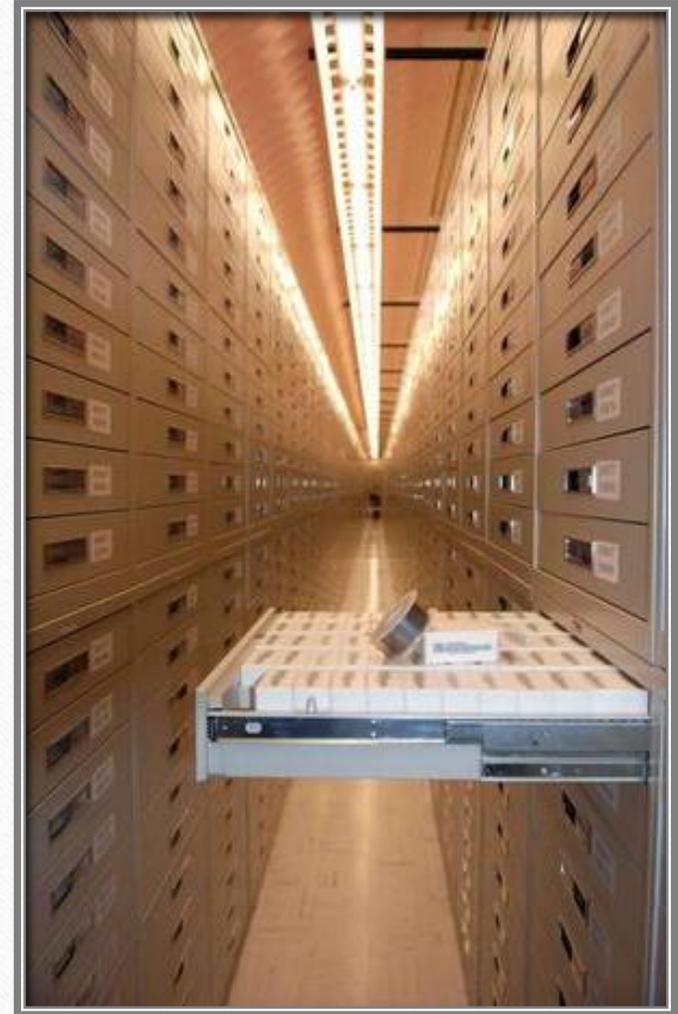
Implementing, Developing, or Working with an Existing Records Management Program

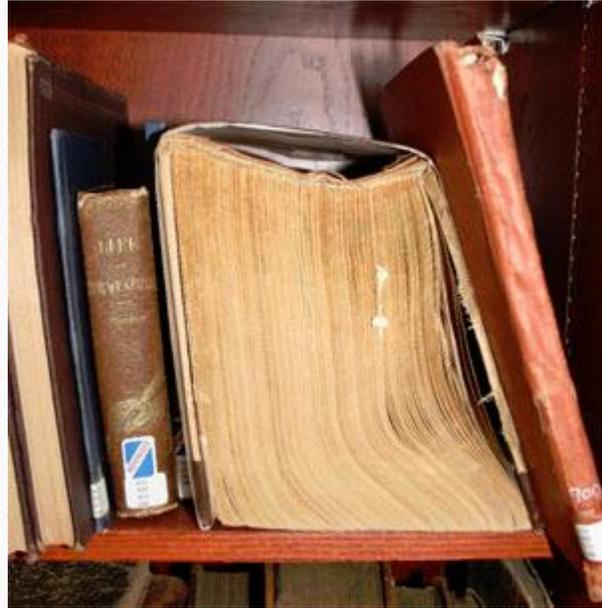
Use the resources you have available to you!

Indexing and Record Organization is Key



*If a user cannot locate a document, that document
may as well not exist*





Document Handling and Storage

The focus should be on *holdings maintenance*



“Holdings maintenance is the term used to describe those preservation actions that are designed to prolong the useful life of records and to reduce or defer the need for laboratory treatment by improving the physical storage environment.”

- *National Archives and Records Administration* “Preservation”

Documents should be stored appropriately

A primary preservation goal is to house all records appropriately based on their size, format, and composition.



Physically Preparing and Packing Records

- Remove hardware, such as paper clips, ring binders or rubber bands. (Over time, these materials can deteriorate or otherwise harm the preservation of records.)
- Place files in labeled, acid-free folders (not hanging folders).
- Date all files, to enable later access. Even approximate dates (e.g., circa 1980-1985) are more useful than no dates.
- Pack files in records cartons that are the appropriate size and type for the records being stored.
- Keep files in proper alphabetical, numerical or chronological sequence.
- Keep folders upright with labels facing forward. Pack files tightly enough to maintain the upright position, but loosely enough to permit easy removal. Files should not be bent or allowed to lean. (As a test, pull any folder; it should slip easily back into the box, but should not flop or curve.)

Shelving of Books

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- 📖 Books should be shelved upright resting square on their bases.
 - 📖 Volumes that are too tall for the shelf should be shelved with the spine down against the shelf, not with the spine up.
 - 📖 Book ends should be used on partially filled shelves to ensure the books remain standing upright. Books should be shelved snug enough to stand up and support one another, but loose enough to be easily removed from the shelf.



Removing Books from the Shelves

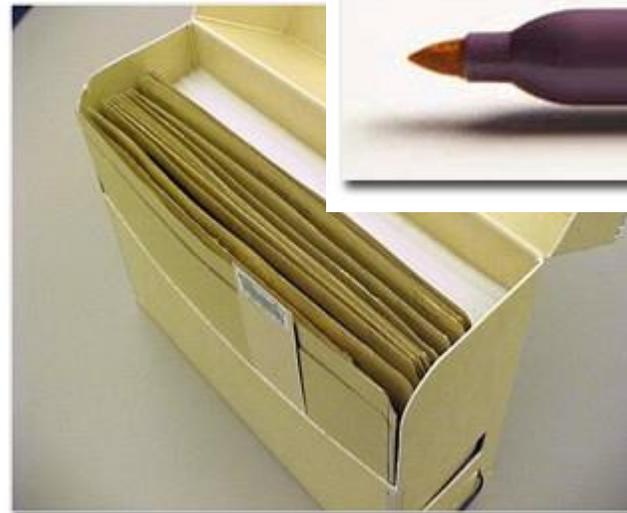
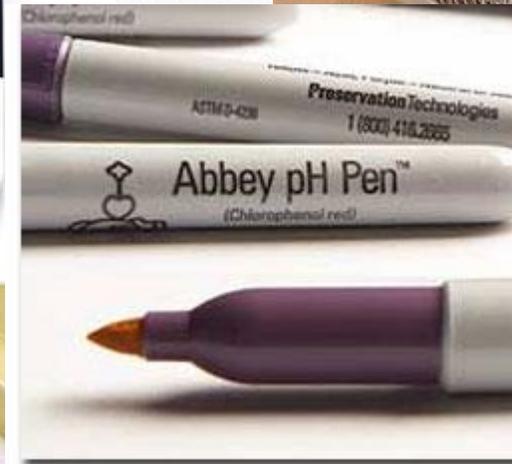
Do not remove the book from the shelf by pulling at the headcaps or at the bottom of the spine.



Push a few books toward the back of the shelf on either side of the book, leaving the book free to be grasped on each side and removed from the shelf.



Record Care and Preservation



Scanning or Imaging Records



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The local registrar may, after the first anniversary of the date of registration of a birth, death, or fetal death, destroy the permanent record of the birth, death, or fetal death maintained by the local registrar if:

(1) the local registrar has access to electronic records of births, deaths, and fetal deaths maintained by the vital statistics unit; and

(2) before destroying the records, the local registrar certifies to the state registrar that each record maintained by the local office that is to be destroyed has been verified against the records contained in the unit's database and that each record is included in the database or otherwise accounted for.

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Texas Health and Safety Code 191.026 (e.1-2)



“The *NARA Technical Guidelines for Digitizing Archival Materials for Electronic Access* define approaches for creating digital surrogates for facilitating access and reproduction; they are not considered appropriate for preservation reformatting to create surrogates that will replace original records.”

Technical Guidelines for Digitizing Archival Materials for Electronic Access

<http://www.archives.gov/preservation/technical/guidelines.html>

Managing Digital Records

Electronic Records Management Initiative (ERM)

<http://www.archives.gov/records-mgmt/initiatives/erm-overview.html>

<http://www.archives.gov/records-mgmt/policy/transfer-guidance.html>





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Questions?

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