

E-RECORDS INVENTORY CHECKLIST

The purpose of this checklist is to provide assistance in identifying where electronic files may exist. Just as with paper, files should be kept according to records retention and disposition schedules and maintained as directed. When a staff member transfers to a different agency or is leaving Commonwealth employment, the electronic files need to be examined before any deletion of media or cleansing of PC's takes place.

LOCATING & EVALUATING ELECTRONIC FILES

Electronic files may consist of correspondence, spreadsheets, word processing documents, databases, presentations, e-mail, reports and other file types.

Personal IT Inventory

Check all that apply:

- Laptop
- Desktop
- Electronic Organizer
(i.e., Blackberry)
- Dialup (Key FOB)
- E-mail

Media

- Flash Drive /
Memory Stick
- CD-ROM
- DVD
- 3.5" Floppy Diskettes
- Zip Disks
- PC's Hard Drive
- Network Drive

Access Rights

- Network
- CWOPA
- Mainframe
- Intranet/Internet

To better understand where your electronic documents may be located, take a minute to inventory all the potential technology devices you may have available to you. This checklist is a good start in identifying the places where your electronic files may currently reside.

Removable storage media such as floppy disks, CD-ROMs, and ZIP disks are the most difficult to track down because they could be almost anywhere.

Electronic documents may reside in multiple directories on your agency network drives, PC hard drive and/or laptop, including the "temp" directories.

Once your Technology Toolbox has been inventoried, the next step is to examine all the electronic files residing in those devices. For each file, you must decide, in accordance with Records Retention and Disposition Schedules, whether it is to be retained or deleted. If you have questions, contact your agency Records Coordinator or Legal Counsel.

Important Note: For electronic files that must be retained, be sure they reside on specific network drives where they are properly filed and named and will be backed up regularly. (reference opposite side)

E-MAIL RETENTION CHECKLIST

Evaluate your e-mail and determine whether it meets the definition of a record. If so, retain it in accordance with your agency specific records retention and disposition schedule or general schedules. The following are helpful guidelines:

FILE IT

- Issues Policy
- States Decisions
- Outlines procedures
- Shows Action
- Gives Guidance
- Is unique
- You're not sure

TOSS IT

- Confirms Appointments
- Personal Messages
 - Non-business
 - Junk Mail
 - Drafts

REMEMBER

- E-mail is not "yours"; it is the Commonwealth's and may contain records. See MD 210.5 and MD 205.34.
- Utilize the records retention schedule to determine how long to retain.
- For e-mail that needs to be retained more than 10 years, either print is out or save in approved format with proper system storage & backup.
- Follow guidelines for .pst files for the storage of email.
- For electronic files that must be retained, be sure they reside on specific network drives or in content management systems where they are properly filed and named and will be backed up regularly.
- Do not use e-mail for confidential information or records.
- E-mail is part of your job. No expectation of privacy or confidentiality applies.

QUESTIONS?

See additional suggestions posted at <http://www.phmc.state.pa.us>. Go to "PA State Archives" -> "Records Management" -> "State Govt Records Management" -> "Records Management Topics" -> "Electronic Records".