

TRANSFERRING
STATE & LOCAL GOVERNMENT
ELECTRONIC RECORDS
TO THE
STATE ARCHIVES



ELECTRONIC RECORDS

- Electronic records are records that are in machine-readable form. Electronic records may be any combination of text, data, graphics, images, video, or audio information that is created, maintained, modified, or transmitted in digital form by a computer related system.
- State and local government entities generate various types of electronic records. For example:
 - Documents
 - Photographs
 - Videos
 - Presentations
 - Audio recordings

WHEN TO TRANSFER

- Electronic records generated by state agencies follow the same record retention schedule as paper records. Follow the record retention schedule outlined by the Records Management division of ITD regarding the disposal of records.
- If the electronic records have historical value and are permanent, transfer to the State Archives.
- For more information on Records Retention Program for the state of North Dakota, visit: <https://www.nd.gov/itd/sites/itd/files/legacy/retention/retention.pdf>

WHO TO CONTACT

- To transfer electronic records to the State Archives, please contact the Electronic Records Archivist, Lindsay Schott, to set up a transfer of the records.
- Lindsay can be reached at lschott@nd.gov or (701) 328-1424.
- If Lindsay is unavailable, please email archives@nd.gov regarding the transfer of records.

WHAT TO TRANSFER

- Electronic records come in many formats and on various types of media.
- The State Archives can accept transfers by FTP, CDs, DVDs, or other external drives. Please contact Lindsay Schott to discuss the best method for transfer. If the electronic records are on an older media, such as floppy disks, we can try to recover the data if the software that created the record is still available.
- In the transfer, please include the forms discussed on the next slide.
- The State Archives can accept many types of file formats, but the preferred file formats are included in a future slide. These preferred file formats are based off of industry standards and allow for better preservation of the file.

FORMS FOR TRANSFER

- When transferring electronic records to the State Archives, just as with paper records, there are forms that need to govern the transfer of records.
- SFN 7694 – Certification of Records Disposal
 - This form is completed and sent with records that are transferred to the State Archives. The State Archives then completes the bottom portion and returns to ITD Records Management. The Certification of Records Disposal is the same form filled out when paper records are transferred.
- SFN 60838 – Electronic Records Transfer Information
 - <http://history.nd.gov/archives/SFN-60838-ERecords-transfer.pdf>
 - This form provides important information for transfer of electronic records, including file size, number of files, file format, record control number, and date of transfer. It is also provides space for an inventory of the records.

FORMS FOR TRANSFER

SFN 7694

 CERTIFICATION OF RECORDS DISPOSAL INFORMATION TECHNOLOGY DEPARTMENT RECORDS MANAGEMENT SFN 7694 (7-2014)	Certification Number _____ Complete and Return to: _____
	Agency _____ Division _____

INSTRUCTIONS

- Review your Records Retention Schedule and Records Disposal Report to identify any changes to existing record series or additions and deletions to the Records Retention Schedule. This includes any changes to the retention periods assigned to the record series. Mark the appropriate Schedule Review box below.
- Verify that the records approved for disposal or transfer to the State Archives have been handled as specified in the attached Records Disposal Report. Make a note on the Records Disposal Report if you are not transferring or disposing of any records that are listed on the report. Mark the appropriate Records Disposal box below.
- Enter the total inches of records disposed under the appropriate size. Measure from the front of the drawer or box to the back OR the height of the records stacked on the floor or desk. For electronic records deleted, track the volume of Megabytes (MB) and enter under the Electronic column below.
Sign and date the Agency Certificate of Schedule Review and Records Disposal below.
- Contact the State Archives to transfer records designated as historical. When records are transferred, include your agency-specific Disposal Report (RM 1071-AA) and this signed Certification of Records Disposal with the records being transferred. The State Archivist or designated representative will sign the Certificate of Transfer.
- If no records are designated for transfer to the State Archives, send your agency-specific Disposal Report (RM 1071-AA) and this signed Certification of Records Disposal to ITD, Records Management, 4201 Normandy St, Bismarck, ND 58503-1324.

AGENCY CERTIFICATE OF SCHEDULE REVIEW AND RECORDS DISPOSAL										
1. Schedule Review (Check One)										
<input type="checkbox"/> I certify that I have reviewed the Records Retention Schedule and it is correct.										
<input type="checkbox"/> I certify that I have reviewed the Records Retention Schedule and corrections are required. The Record Series Description(s) (SFN 2042) necessary to make the corrections will be sent to ITD Records Management or are attached.										
2. Disposal Review (Check One)										
<input type="checkbox"/> I certify that only those records approved on the ND General Records Retention Schedule or the attached agency-specific Records Disposal Report (RM 1071-AA) have been transferred or disposed by the specified methods.										
<input type="checkbox"/> I certify that records have not been disposed as specified on the Records Disposal Reports and that this office is not in compliance with the records management program as specified in NDCC Chapter 54-46. Explain Reason: _____										
3. Disposal Volume - Estimate the total inches disposed or electronic storage space (MB) recovered and enter below.										
Size of Records	Letter Size 8 1/2 X 11	Legal Size 8 1/2 X 14	Size X	Size X	Size X	Electronic (MB)	Microfilm 5.34 X 4	Roll Microfilm 4 1/2 X 4 1/2		
Inches or MB										
Signature of Employee Certifying Disposal _____			Telephone Number _____			Date _____				

4. CERTIFICATE OF TRANSFER TO STATE ARCHIVES	
I certify that the following records (file/control numbers) were transferred to the State Historical Society/ Designated Repository: _____	Date of Transfer _____
State Archivist/Designated Representative: _____	

SFN 60838

 ELECTRONIC RECORDS TRANSFER INFORMATION STATE ARCHIVES STATE HISTORICAL SOCIETY OF NORTH DAKOTA SFN 60838 (5-2015)	For internal use only Accession Number: _____ Record Series: _____
--	--

Please fill out one form for each record control number and include the form electronically with each transmission of records (on media or FTP).

Record Control Number: _____	Agency: _____	Division: _____
Contact Person: _____	Email Address: _____	Telephone Number: _____
Retention Period: _____	Method of Transfer (FTP, CD, DVD, flash drive): _____	

File name(s)	Format(s)	Date range of file(s)	Volume of file(s)	Number of file(s)

Form completed by: _____	Date: _____
--------------------------	-------------

WHAT TO TRANSFER

- The transfer should include:
 - Two separate zip files
 - SFN 60838 – Electronic Records Transfer Information and Inventory
 - Files to be transferred
- Embed descriptive metadata in the records. If not possible, supply an inventory. Zip the inventory with the SFN 60838.
 - Information that should be included on inventory include:
 - File Name, Title, Date, and Location

FTP SITE TRANSFER

- One option for transfer is to use the Secure File Transfer System.
- To upload/send a file to the Secure File Transfer System:
 1. <https://intranetapps.nd.gov/itd/filetransfer/login.htm>
 2. Enter normal state login/password
 3. Under **Files Available to Send** select **Add File to Send**
 4. Briefly describe the files that are being transferred (ex: Parole Board Meetings 01-2016)
 5. Select **Choose File**
 6. Hit **Submit**
 7. You will be brought back to the File List page – select **Invite User to Download**
 8. Enter the recipient's first and last name (**Lindsay Schott**) and email (lschott@nd.gov)
 9. Select **Save**

Please Note: If you are transferring more than one file, you will need to zip the files together. Please include the Electronic Records Transfer Information (SFN-60838) in a separate folder within the zip file.