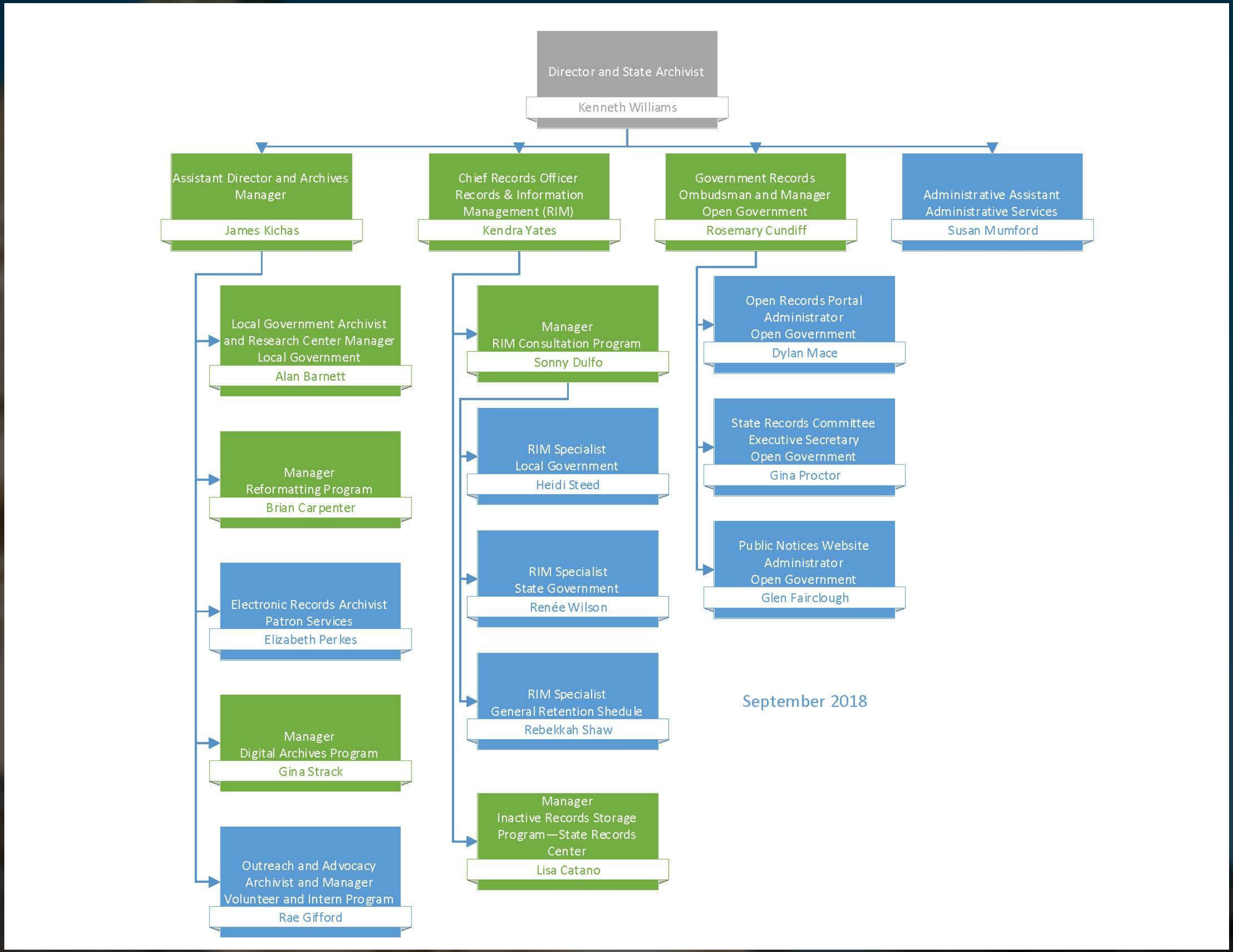
Changes at the Archives

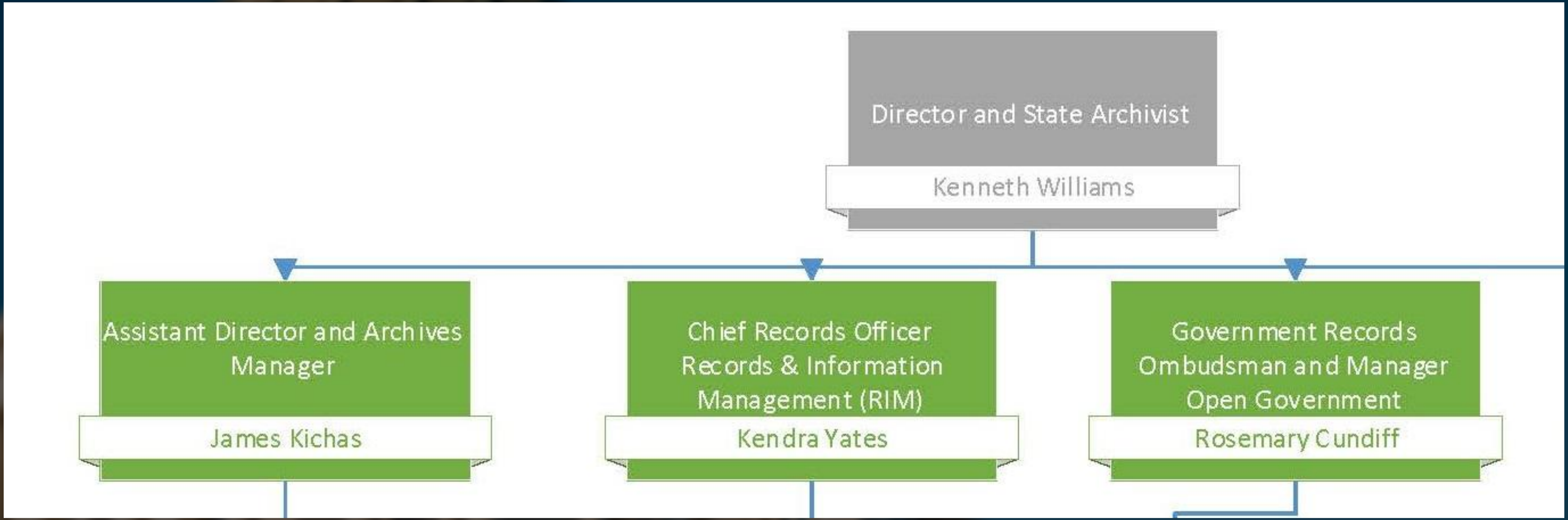
New Organizational Structure

Kendra Yates
RIM Section Administrator &
Chief Records Officer

DARS Organizational Chart

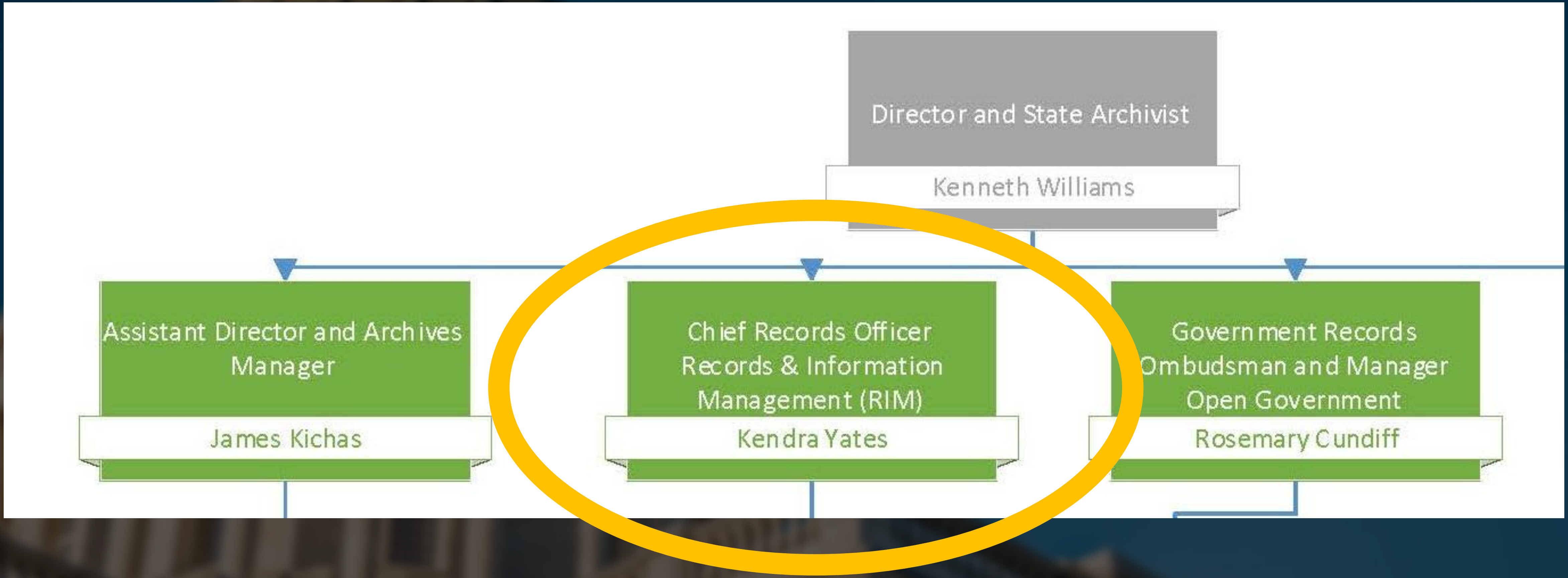


DARS Divided into 3 Sections



DAS

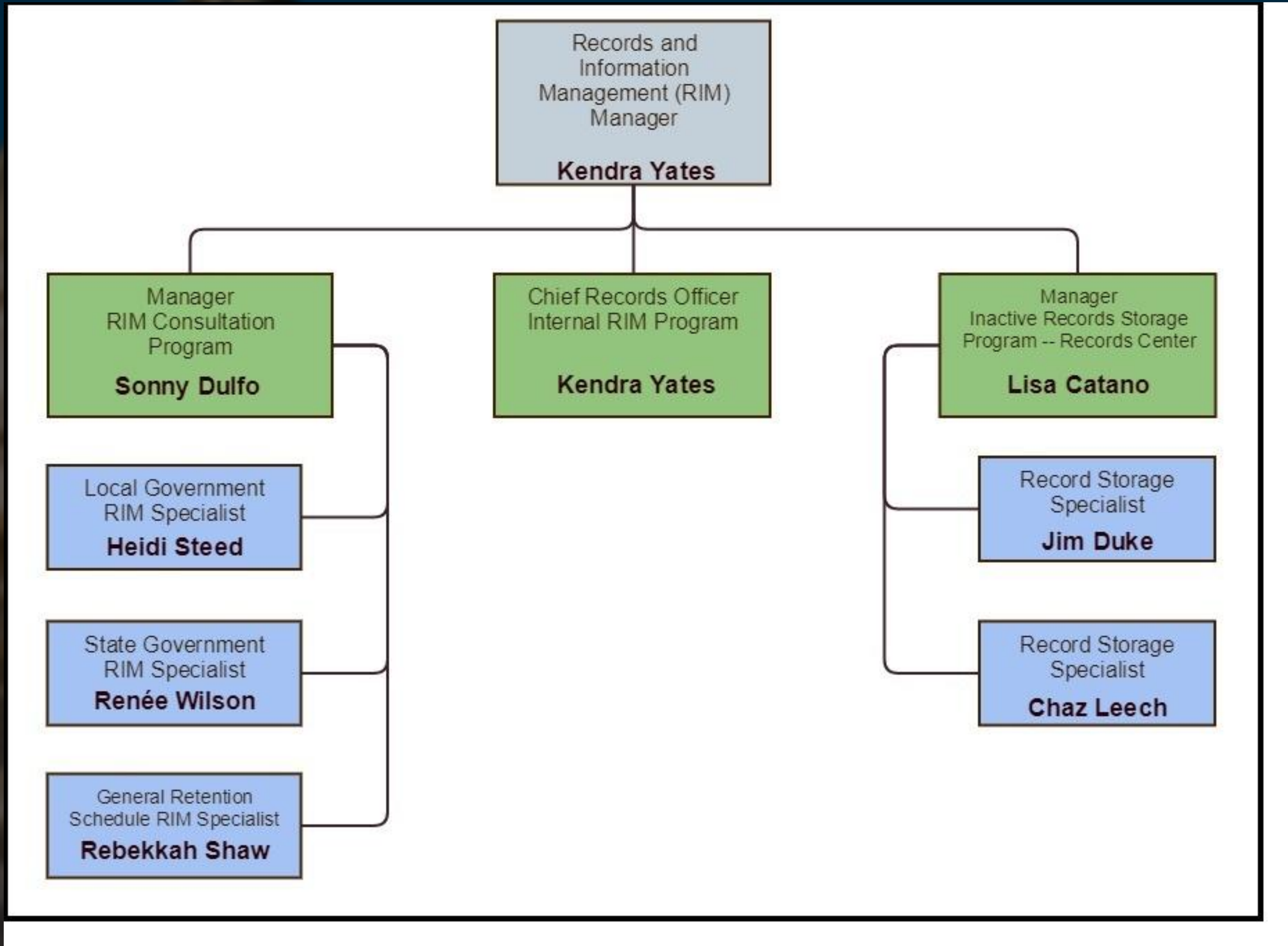
RIM Section


Director and State Archivist
Kenneth Williams
Assistant Director and Archives Manager
James Kichas
Chief Records Officer Records & Information Management (RIM)
Kendra Yates
Government Records Ombudsman and Manager Open Government
Rosemary Cundiff

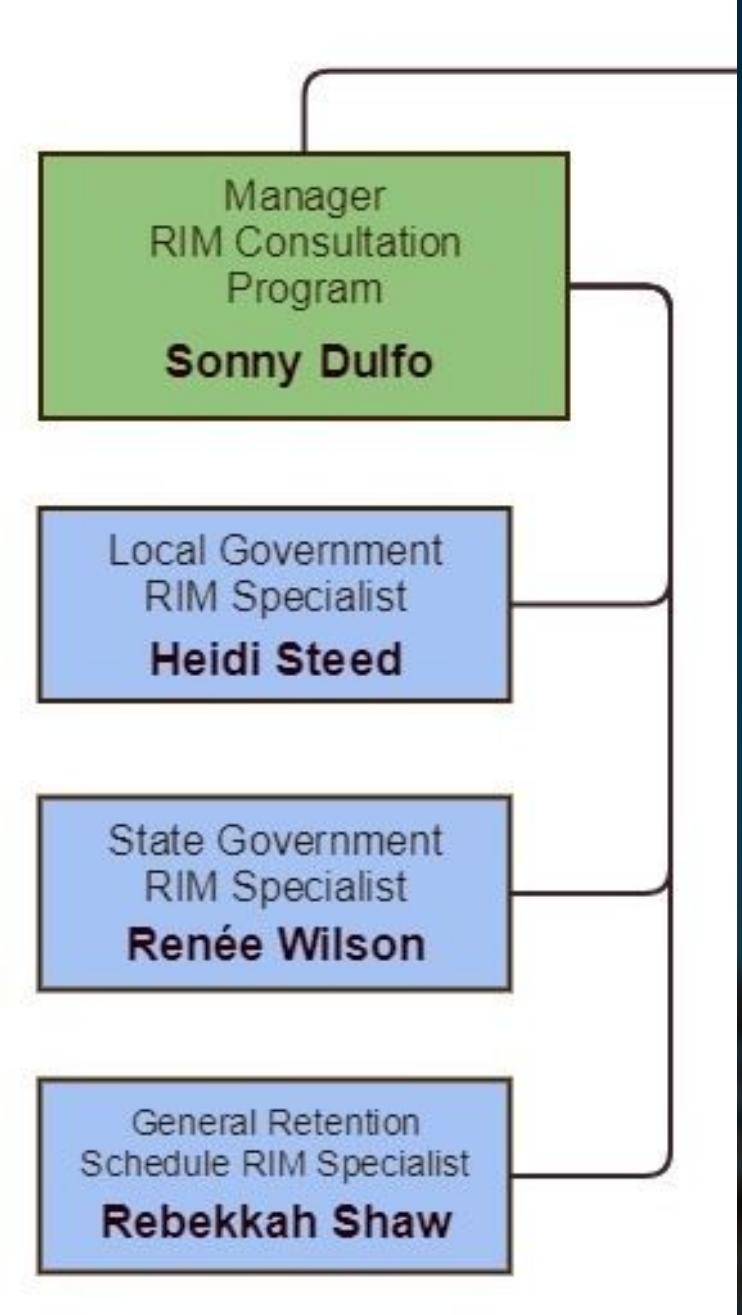
Changes for Records Analysts

New Titles & Staff

RIM Section



Records and Information Management (RIM) Manager
Kendra Yates
Manager RIM Consultation Program
Sonny Dulfo
Chief Records Officer Internal RIM Program
Kendra Yates
Manager Inactive Records Storage Program -- Records Center
Lisa Catano
Local Government RIM Specialist
Heidi Steed
State Government RIM Specialist
Renée Wilson
General Retention Schedule RIM Specialist
Rebekkah Shaw
Record Storage Specialist
Jim Duke
Record Storage Specialist
Chaz Leech

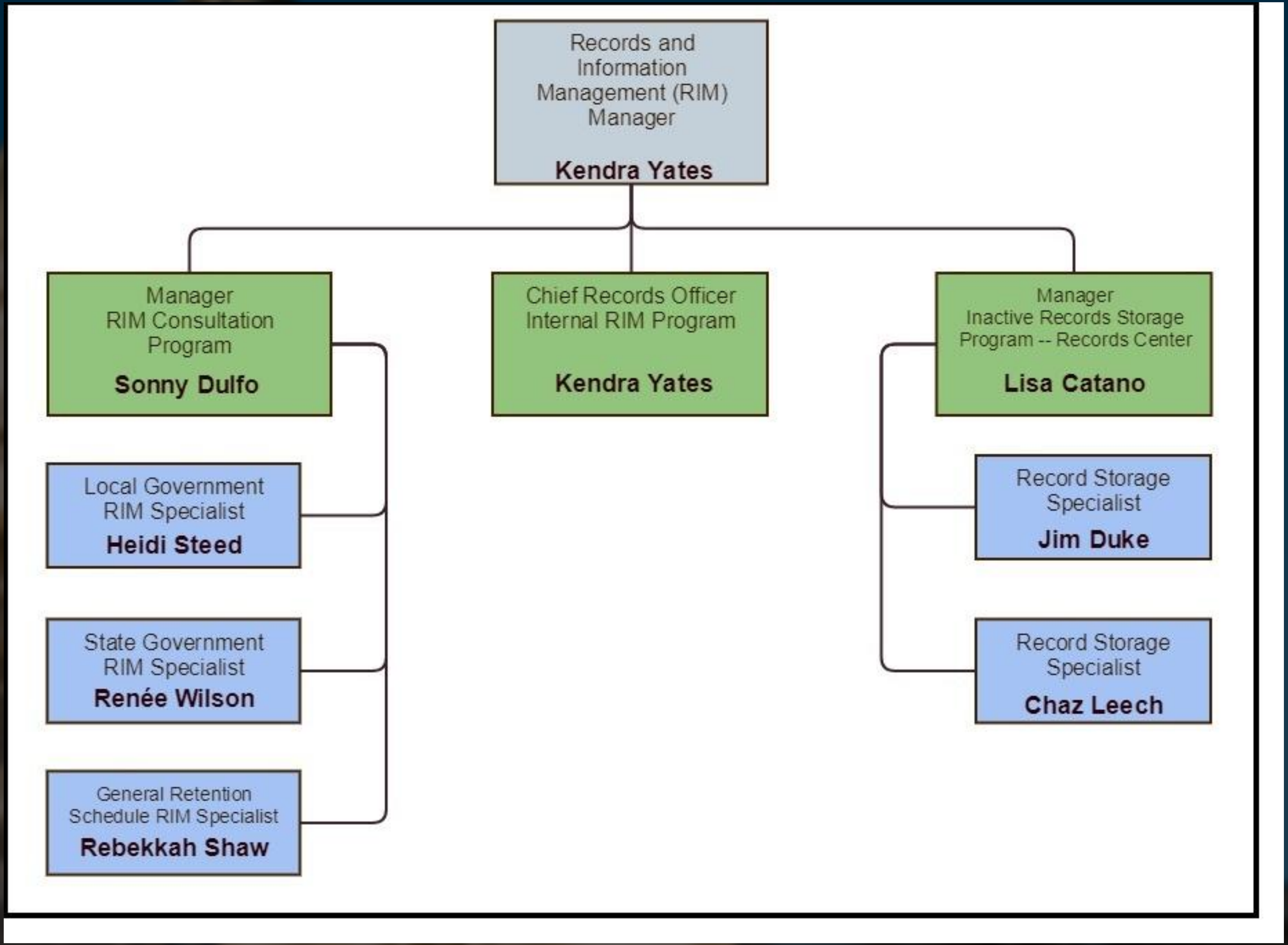


RIM Consultation Program

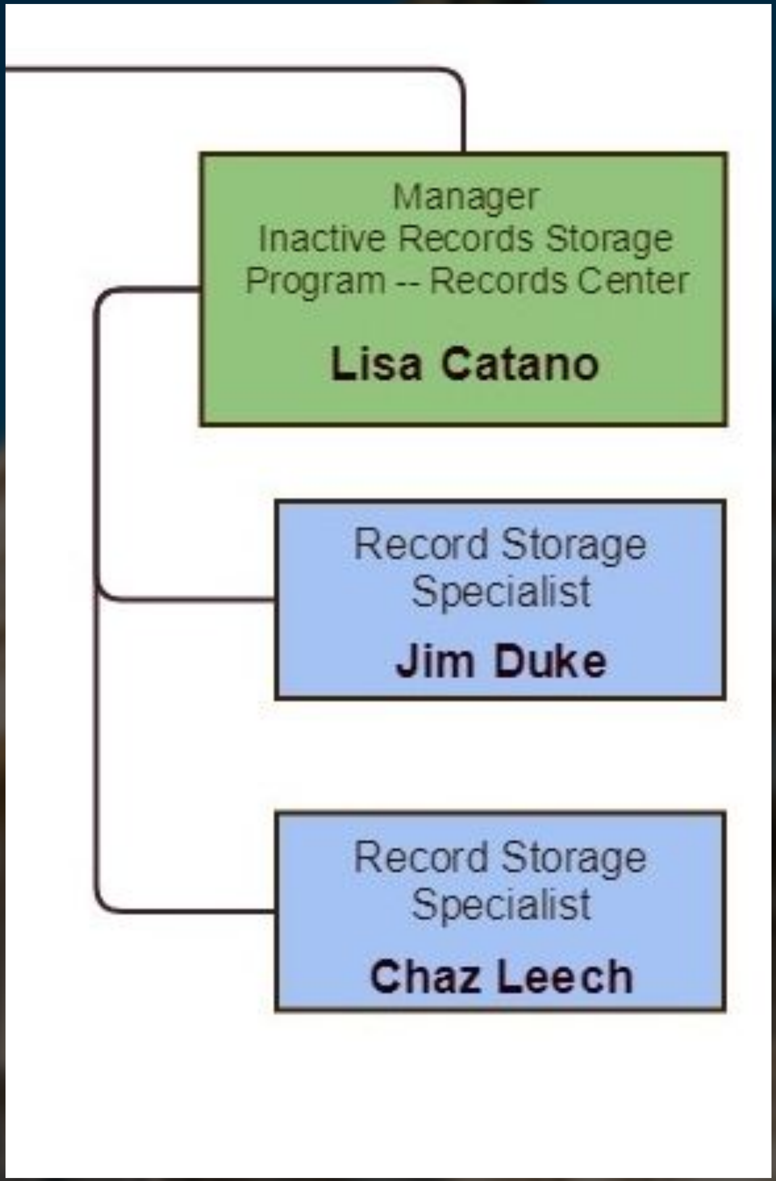
RIM Specialists

RIM Consultation Program Staff: Heidi Steed, Sonny Dulfo (Manager), Rebekkah Shaw, Renée Wilson

RIM Section



Records and Information Management (RIM) Manager
Kendra Yates
Manager RIM Consultation Program
Sonny Dulfo
Chief Records Officer Internal RIM Program
Kendra Yates
Manager Inactive Records Storage Program -- Records Center
Lisa Catano
Local Government RIM Specialist
Heidi Steed
State Government RIM Specialist
Renée Wilson
General Retention Schedule RIM Specialist
Rebekkah Shaw
Record Storage Specialist
Jim Duke
Record Storage Specialist
Chaz Leech

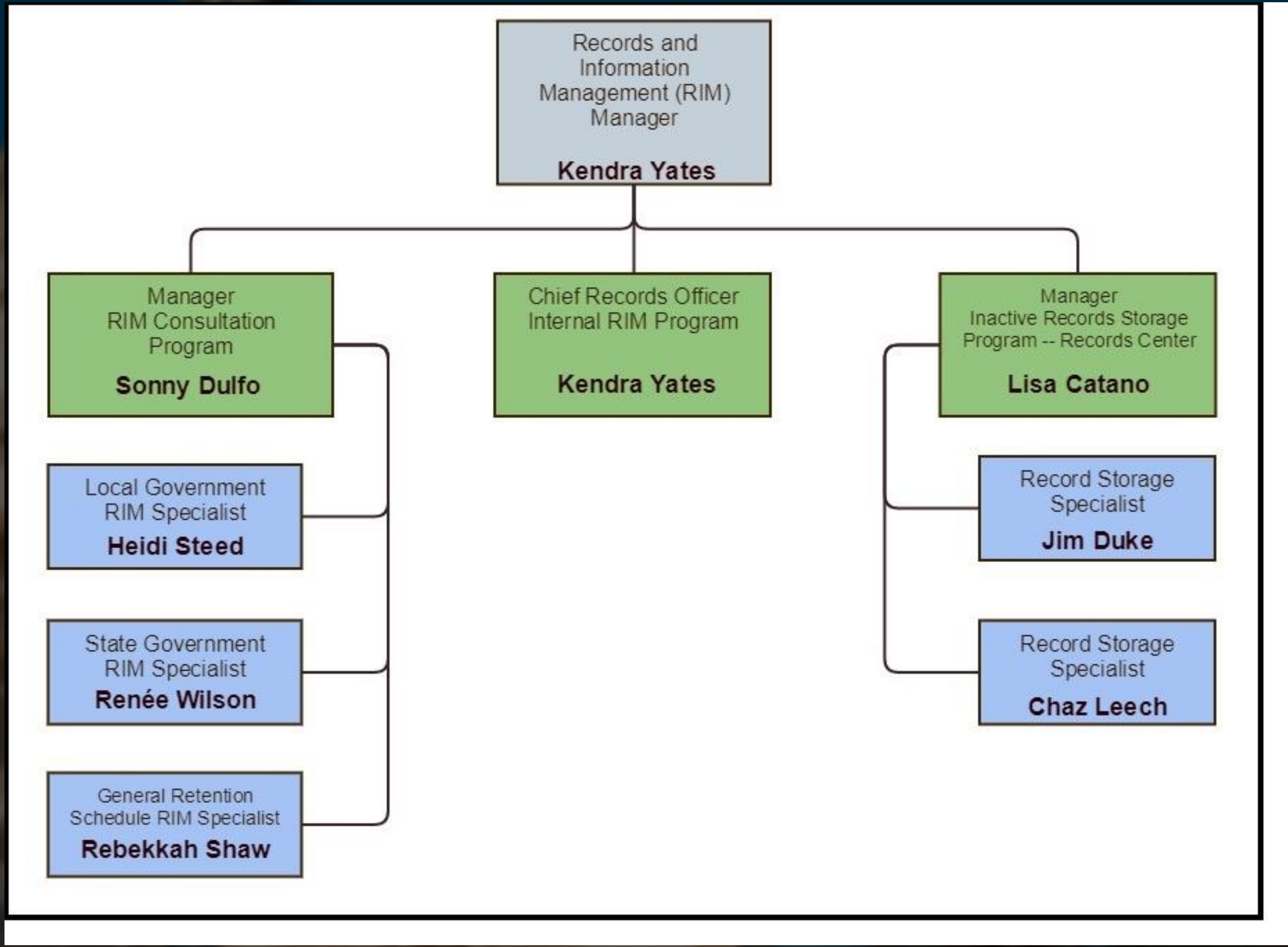


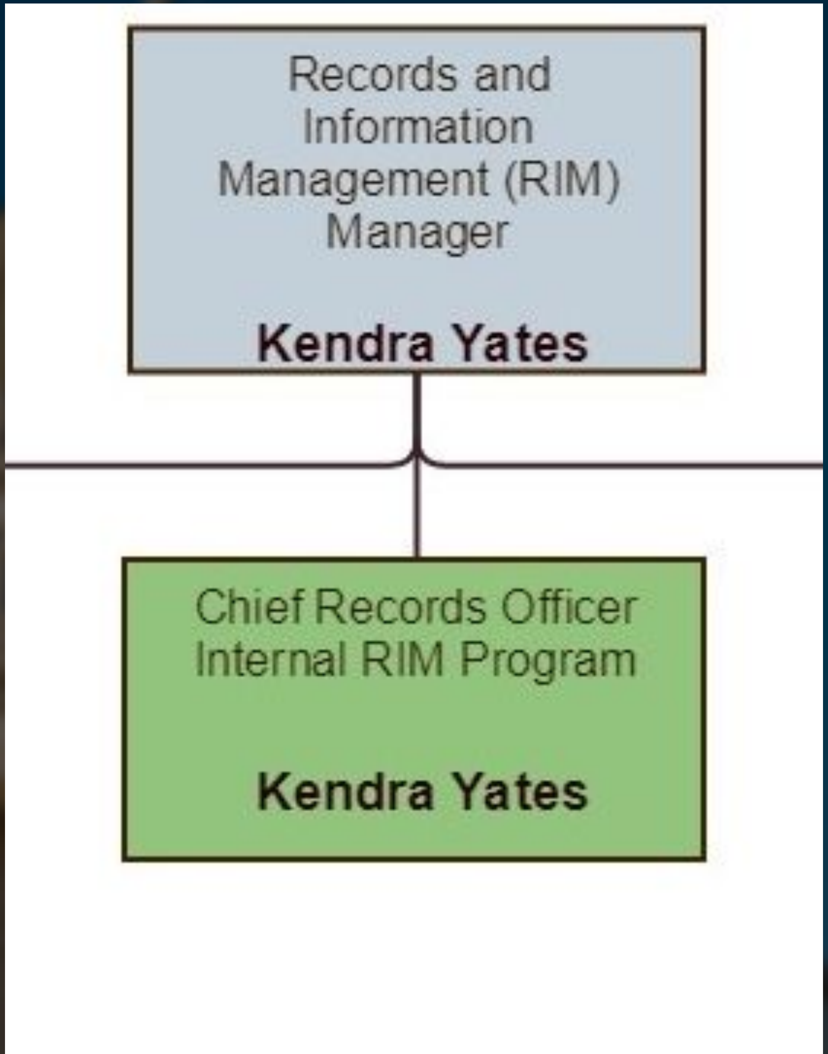
Inactive Records Storage Program --State Records Center

Records Storage Specialists

State Records Center Staff: Lisa Catano (Manager), Jim Duke, Chaz Leech

RIM Section


Records and Information Management (RIM) Manager
Kendra Yates
Manager RIM Consultation Program
Sonny Dulfo
Chief Records Officer Internal RIM Program
Kendra Yates
Manager Inactive Records Storage Program -- Records Center
Lisa Catano
Local Government RIM Specialist
Heidi Steed
State Government RIM Specialist
Renée Wilson
General Retention Schedule RIM Specialist
Rebekkah Shaw
Record Storage Specialist
Jim Duke
Record Storage Specialist
Chaz Leech



Internal RIM Program

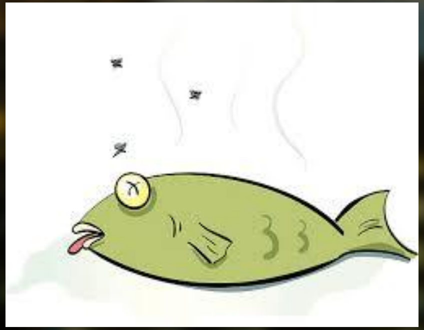
It's 10 P.M.
Do you know where your records are?

Kendra Yates
RIM Section Administrator &
Chief Records Officer

Couch Potato Records

Overachiever Records

Social Butterfly Records



Overstayed-their-Welcome Records

Inventory: Collecting Data about Your Records

Steps for Success

- ❖ Define goals of initiative
- ❖ Get commitment from top management & staff
- ❖ Plan & strategize
- ❖ Create form/template
- ❖ Establish a work schedule
- ❖ Communicate constantly

The Value of Knowledge

Inventory Objectives

Inventory Objectives

- What records do we create?
- How do we use them and how often?
- What value do they have to us?
- Where are paper records? Where are electronic records? Which are duplicates?
- How do we dispose of them?
- What is necessary to maintain them?

The Power of Knowledge

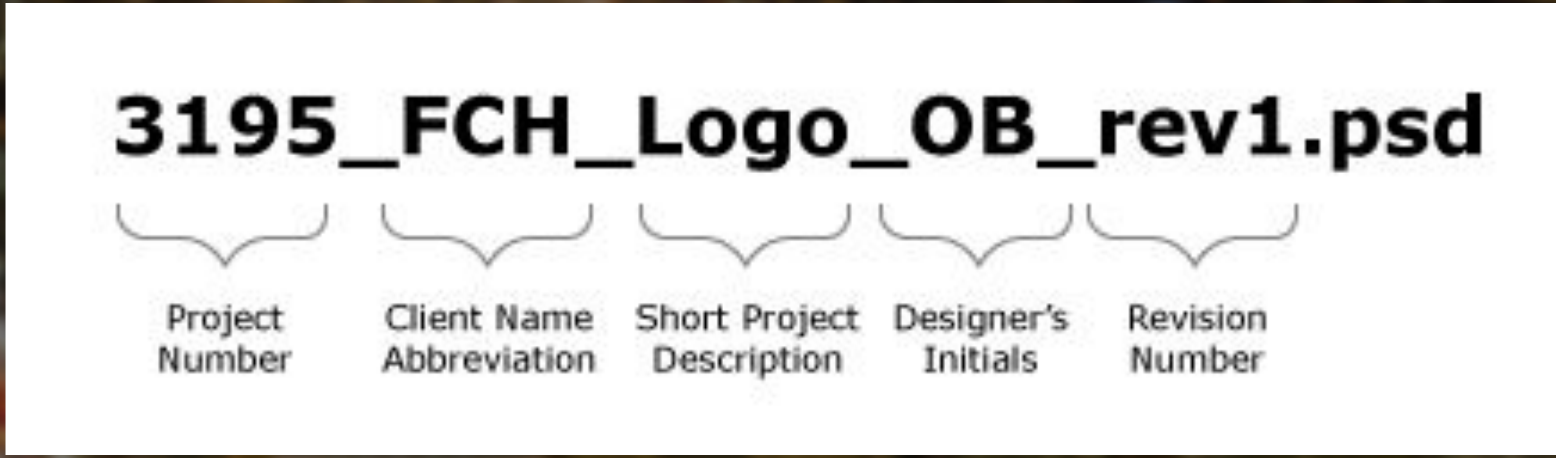
Identify & Prioritize Needs

https://www.utilityclick.c

https://www.inc.com/russ-fujioka/surefire-signals-your-business-is-behind-the-times.html

The Power of Knowledge

Identify & Prioritize Needs



☑ Establish file naming conventions

The Power of Knowledge

Identify & Prioritize Needs

Which records are essential in an emergency?

Should we go paperless?

How can I find records for this project I'm working on?

These are protected by HIPAA. Keep them safe.

Why Inventory your Records?

- ❖ Identify urgent issues or program priorities
- ❖ Decide based on fact
- ❖ Data to back up expensive requests for resources
- ❖ Reduce risk & Increase efficiency
  - ➢ Can find a record when legally required to do so
  - ➢ Can apply retention schedules accurately
  - ➢ "Defensible Disposition" keeps you out of trouble
  - ➢ Less time to respond to GRAMA requests
  - ➢ Waste of Space
- ❖ How can you manage what you can't identify?

DAS

Plan the Project

What Records Need to Be Surveyed?

Where do I Need to Look?

Physical Types

- Paper files
- Maps, drawings, plans
- Photographs
- Microfilm & microfiche
- Audio cassettes & video cassettes
- Registers
- Letters
- Etc.

Storage Spaces

- ❖ Filing cabinets
- ❖ Boxes → On-site or Off-site
- ❖ Closets or Cupboards
- ❖ Counter Tops & Desk Drawers
- ❖ Sheds
- ❖ Homes of Former Employees
- ❖ Displayed on Walls, In Exhibits

DAS

Electronic Types

- Unstructured electronic documents (e.g., PDF, DOCX, spreadsheet, PNG, JPG, etc.)
- Structured electronic data (database system content)
- Website content
- Email
- Text messages, Tweets, Wikis, & Blogs
- Voice mail & audio and video digital recordings
- Scanned images of documents
- Etc.

Storage Media

- Web servers
- Network & shared drives
- Hard drives
- Backup tapes
- Optical discs, M-discs
- USB flash drives
- Flash card in cameras
- Cell phone memory & other mobile devices

Define Your Needs

Data to Collect About Your Records

- Amount, Volume
- Date Range
- Quality, esp. if digitized
- Location & Environment--physical or technological
- Workflow-->purpose/function
- Security & Accessibility
- Record Copy or Duplicate Copy?
- Paper or Electronic or both?
- Office of Accountability
- Legislative concerns
- Value & Operational Need/Retention

Create a Template

Records & Information Management (RIM)
Electronic Records Survey/Interview Findings

Organizational Unit Information: (Records Access Dept.)

Data Item	***Answers/Details***
Principal Location	• Basement, Main Building
Contact Person	• Ms. Sadie Jenson • Phone: (555) 111-1111
Mandate	• Receive and process GRAMA requests (including requests for one's own personal information and for non-personal information) • Answers inquiries from, and provide advice to, the public re: GRAMA legislation and making access requests • Liaise with other government staff/departments when necessary to obtain information needed to satisfy request • Provide GRAMA training & advice to internal department staff • Assist with GRAMA reviews (e.g., complaints, remediation, etc.)

Records Series Name: GRAMA Requests Tracking

Records Purpose and Workflow Findings

Data Item	*Answers/Details*
Records Format(s)	• Electronic database (master copy) • No duplicate copies are filed (any paper printouts & e-mailed documents are discarded once immediate usage has expired, and no e-docs are saved on the network)
Records Purpose/Function	• Used to track GRAMA requests for information • The database on which these records are stored generates reports and assigns request numbers; it also contains key information on request type, request source, request received date, request summary, whether fees have been paid, response due date, etc. • This information is used to calculate time allowed to process requests, whether extra time may be allotted to process the request itself, and all other time, money, and related reporting matters associated with processing GRAMA requests
Records Status (vital, important, useful, non-important)	• Useful
Records Value (Historical or not)	• Not Historical
Administrative/Operational	• Administrative
Master Copy of record been altered (e.g., digitally scanned)?	• No
Personal/Confidential Information	• Yes
Access Permissions/Restrictions	• Access to the database is restricted to GRAMA Coordinators • Although all government departments use the GRAMA database, GRAMA Coordinators may only view their respective department's requests data
Records Workflow	1. Once a request for access to information is received, request-related information is manually entered in the GRAMA database, an online GRAMA tracking system (requests may be logged as *Personal* or *Non-Personal* requests for information; however, *General* request-related information is not entered into the GRAMA database until an initial fee has been paid) 2. The GRAMA database automatically assigns a tracking number to each request 3. The GRAMA database is perused regularly during the request processing phase, as it is used to track and maintain the timeline for processing the GRAMA request

Records & Information Management (RIM)
Electronic Records Survey/Interview Findings

Data Item	*Answers/Details*
	4. The GRAMA database is also used to generate weekly reports for the departments, with these reports being sent out weekly via e-mail to relevant directors
Other Comments	• This type of record is not exclusive to this particular department (i.e., common across the government)
Operational Retention Requirements	• Once the GRAMA request has been fully processed, and the time period for complaints has expired, we typically never need to access these records again

Technology Findings

Data Item	*Answers/Details*
Technology Name	• Government Records Access and Management Act (GRAMA) database
Types of Data Fields	• Information about the request itself, information about the requestor (e.g., address, etc.), action items to take on the request, exceptions to releasing information (space allocated to quote sections from GRAMA) • Also information about status (e.g., number of days required to process request, etc.), review information, general remarks, and reports (i.e., weekly & yearly statistics for the department)
Volume of Data	• Roughly 3.5 gigabytes (GB)
Estimated Storage Capacity	• Roughly 10 gigabytes (GB)
Anticipated Changes	• N/A
Network Connection Clients	• No third party access • Designated staff cannot access database outside the office.
Audit Trail	• Standard
Security Practices	• Standard (and no external access)
Date Range of Records	• 2012 to present (no data moved off-line to date)

Specific to Media Format

Records Series Name: Committees Participation Files

Records Purpose and Workflow Findings

Data Item	*Answers/Details*
Records Format(s)	• Paper (master copy) • Electronic network (duplicate copies)
Records Purpose/Function	• Participation in, and coordinating of, various committees • Includes participating in external committees, such as the GRAMA Committee and the Security Practices Committee • Also includes participating in internal committees, such as the GRAMA Database Committee • These records are used to track committee members, create and update the committee mandate and committee terms of reference, document committee initiatives, and all other issues associated with a particular committee
Records Status (vital, important, useful, non-important)	• Useful
Records Value (Historical or not)	• Not Historical
Administrative/Operational	• Administrative
Master Copy of record been altered (e.g., digitally scanned)?	• No
Personal/Confidential Information	• None
Access Permissions/Restrictions	• Records only accessible to pertinent committee members • However, committee announcements and deliverables, once finalized, are made available to all internal staff on a SharePoint site
Records Workflow	1. Either schedule committee meetings, or receive notice of committee meetings that we are to attend 2. Create and/or receive meeting packages (containing last meeting's minutes, agendas, handouts, etc.), typically via e-mail (i.e., created e-documents are e-mailed to respective persons) 3. All supporting documents (including e-mail attachments) are saved to the H: drive on the Local Area Network (LAN) 4. Paper records are gathered together and filed (after the meetings) and are considered the master version because they contain ALL documentation (e.g.,

Data Item	*Answers/Details*
	scribbled notes, external documents that were not produced and/or received electronically, etc.) 5. Any approved policies are saved in a separate policy file (not in the pertinent committee file)
Other Comments	• None
Operational Retention Requirements	• Need to keep meeting records onsite until committee meeting is finished, plus one year • However, the committee terms of reference and other protocol-related information needs to be kept onsite for as long as the committee is operational (not just individual meetings), or until replaced by newer information

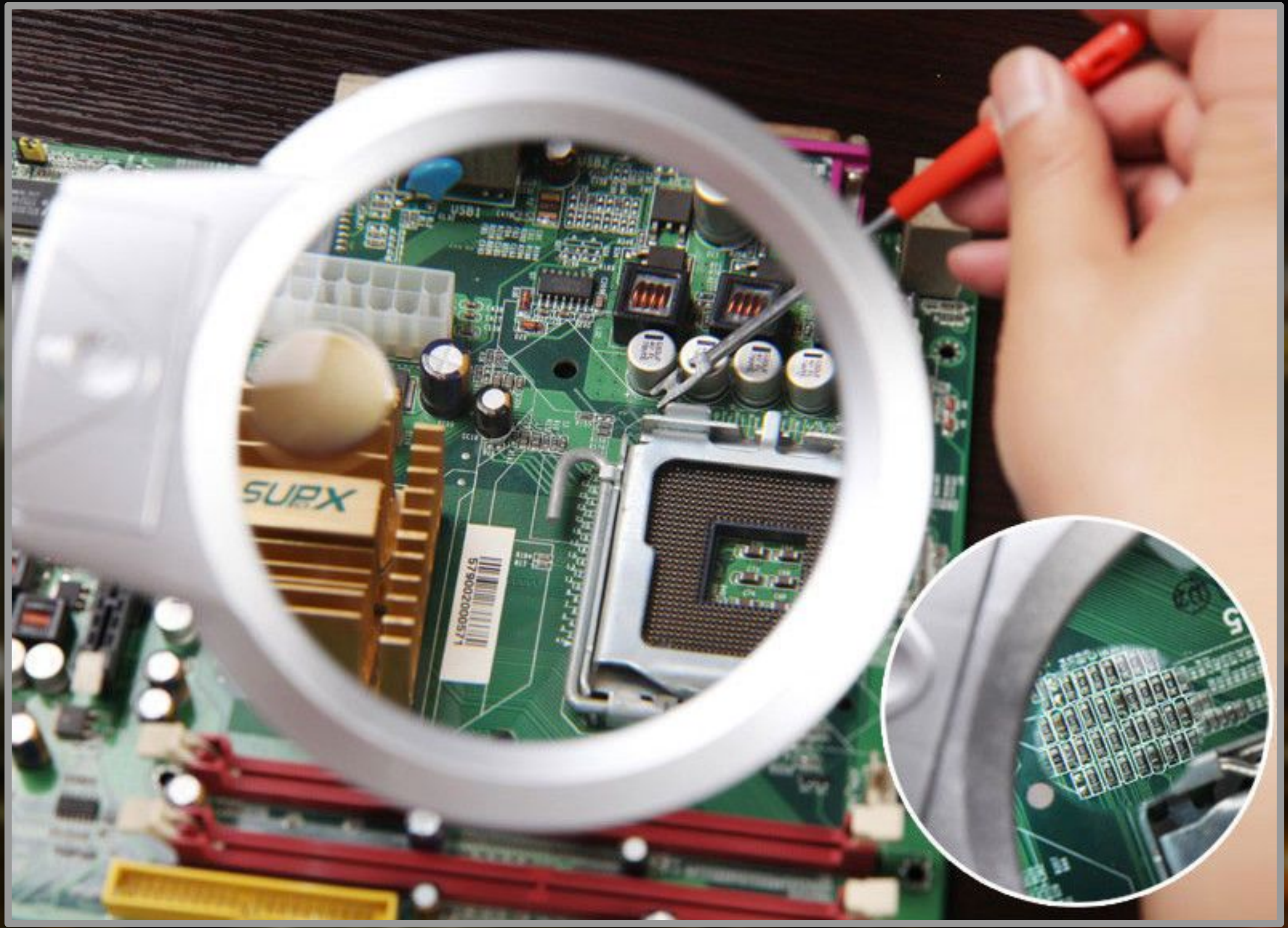
Physical Inventory Findings

Data Item	*Answers/Details*
Volume (linear inches or cubic feet)	• 32 linear inches
Number and type of files/boxes	• 28 legal-size folders
Filing Equipment in use	• One three-drawer lateral file cabinet
Equipment Square Footage	• 9 square feet
Key Types of Documentation	• Agendas, minutes, presentations, copies of approved policies, correspondence, committee terms of reference, committee strategic plans, supporting statistics, and project charters
Method of Arrangement	• Alphabetically by name or subject, then chronologically by date
Date Range of Records	• 2006 to present

Design a Strategy

Record Surveying Strategy

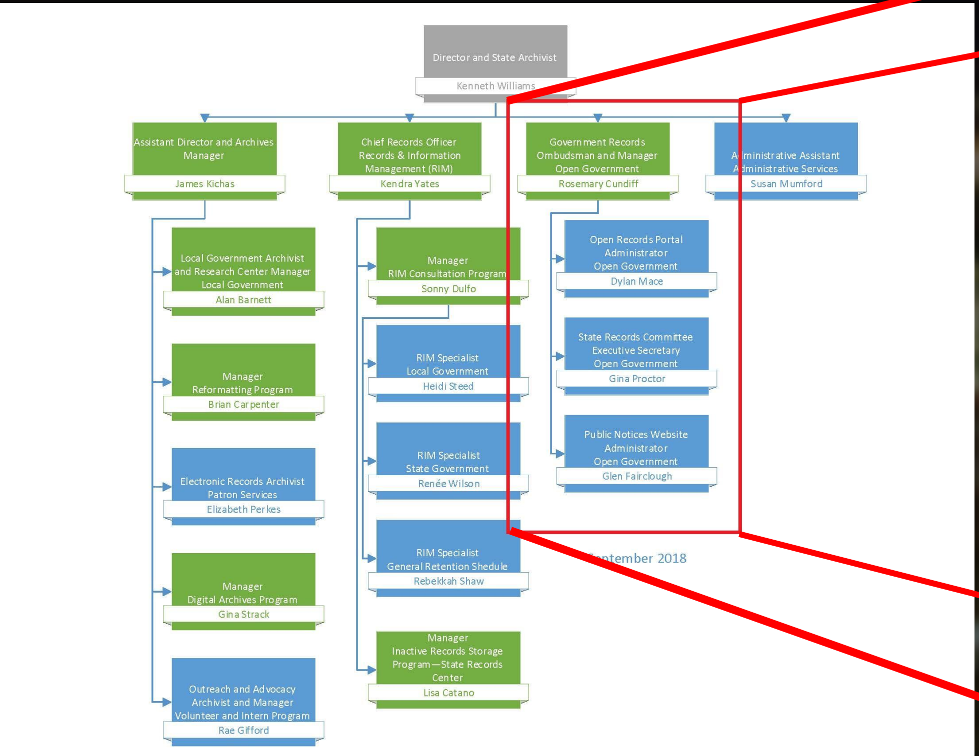
Limit your focus

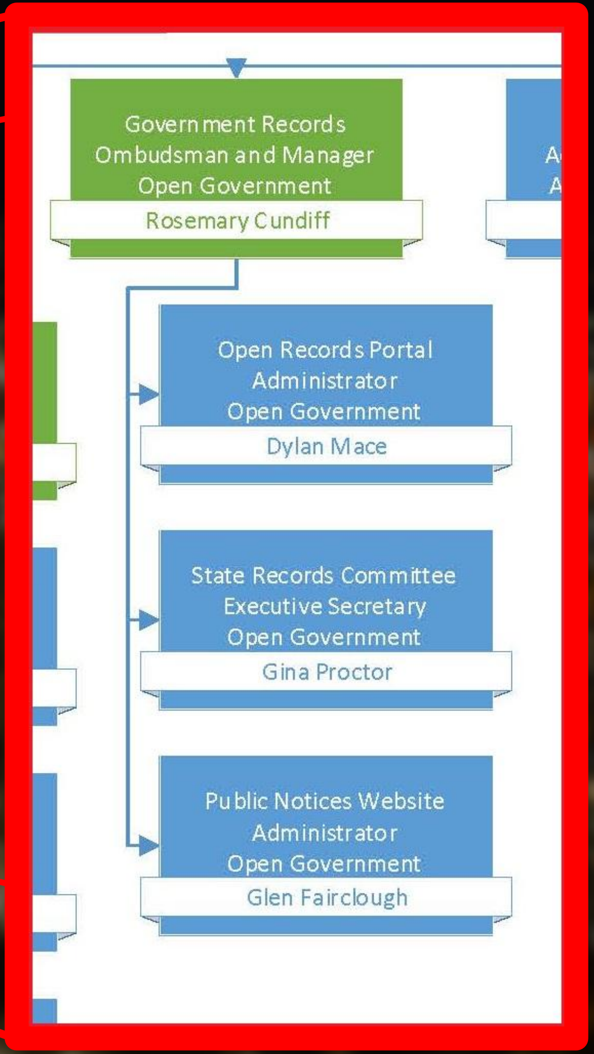


Physical *or* Electronic

Record Surveying Strategy

Limit your focus





One department or business unit at a time

What strategy will work best for my agency?

Paper First, then Electronic	• Easier to inventory • More staff buy-in because they want records out of the way • Usually paper files are better organized and named
Electronic First, then Paper	**IF Electronic records are the main source of documentation for an operation and are considered the record copy, DO THEM FIRST** • Biggest risks and system needs identified early • More difficult & time-consuming • More people involved

DAS

Additional Considerations

- Delegate, make it a team effort
- Train staff
  - Non-Record vs. Record
  - Appraisal (understand Transitory vs. other administrative need)
- Identify Subject Matter Experts (SME's)
- Internal *and* External?
- Target completion date agreed on by ALL, including upper management
- Project manager needs to be available to answer ?'s

Three methods to choose from

1) Physical Inventory
2) Consultative Interviews
3) Questionnaire

Physical Inventory

- Record series level identification
- Open cabinets & closets
- Open computer folders
- Find out how often records are accessed
- Duplicates?
- How effective is your folder structure and file names?

Consultative Interviews

- Interview people directly--essential for electronic records
- Identify employees who are responsible for creating, using, or maintaining the records
- Use your template to direct conversation
- Can develop rapport with users
- Can discover unasked for information
- Takes a lot of time

DAS

Questionnaire

- Have clear pupose in mind for each question
- Use your template to design questions
- Disadvantages
  - Users may not understand the questions or terms
  - Users may interpret the requirements differently
  - People rely on memory instead of looking at the records or investigating to find answers
  - Less opportunity for clarification
  - Not everyone will respond

Analyze Collected Records Data

- Collate data
- Create reports
- Review & Use Data

"The journey of a thousand miles begins with one step." --Lao Tzu

It’s 10 P.M.
Do you know where your records are?

YES!

I know exactly where my records are.

https://thevinylfactory.com/features/ikea-hacks-for-vinyl-lovers/