Records and Information Management (RIM) 101

Webinar 1 of 3

May 2020

Utah Division of Archives
and Records Service

Upcoming Webinars

Register at **archives.utah.gov/rim/training.html**

- Rim 101 (2 of 3): Records Life Cycle and Retention Schedules
  Thursday, May 14 with Renée Wilson
- RIM 101 (3 of 3): Format Specifics and Working With the Archives
  Thursday, May 21 with Renée Wilson
- Updates to Records Laws: GRAMA and Utah Expungement Law
  Thursday, May 28 with Rosemary Cundiff

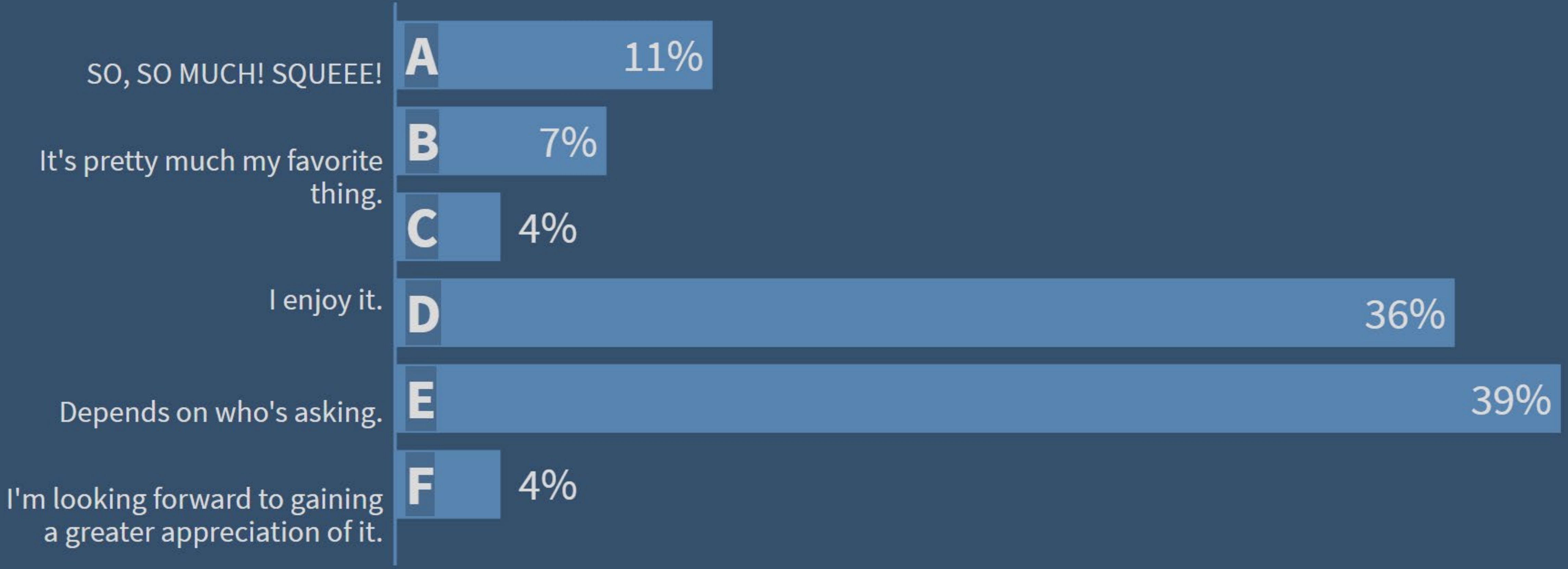
Welcome!

- Please mute yourself
- To ask questions, use the chat box
- For tech issues, use the chat box
- A link to the slides will be emailed to you, along with a brief feedback survey

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, C, D, E...**

Test Question: How much do you love records management?



What is a record?

Issue: You've inherited a mess

- Find existing RIM governance records
- Inventory your mess
- Agency Functions

Issue: Trying to implement a RIM program

- Who's on your team
- Legal requirements
- RIM benefits

Record

Utah Code 63G-2-103

(22) (a) "Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics:

(i) that is prepared, owned, received, **or** retained by a governmental entity or political subdivision; and

(ii) where all of the information in the original is reproducible by photocopy or other mechanical or electronic means

Definition of a record, as defined in GRAMA

- Information (in any reproducible form) prepared, owned, received, or retained by a government agency.

- Government agencies shall establish retention schedules for electronic records

(Uniform Electronic Transactions Act, Utah Code 46-4-501 (2019))

Is this a record?

- Contractor’s records
- Social media
- Email
- Databases

Is Facebook a record?
Is a draft a record?
Is our database a record?
Is this our record or their record?
Do I need a digital copy of my paper records?
How long do I keep email?
Do we have to keep our social media posts?
Is a digital copy still a record?
How do I know which copy is the record?
Is our newsletter a record?
Is my Google calendar a record?
Are tax records state or federal?
bout personal documents and notes?

Databases

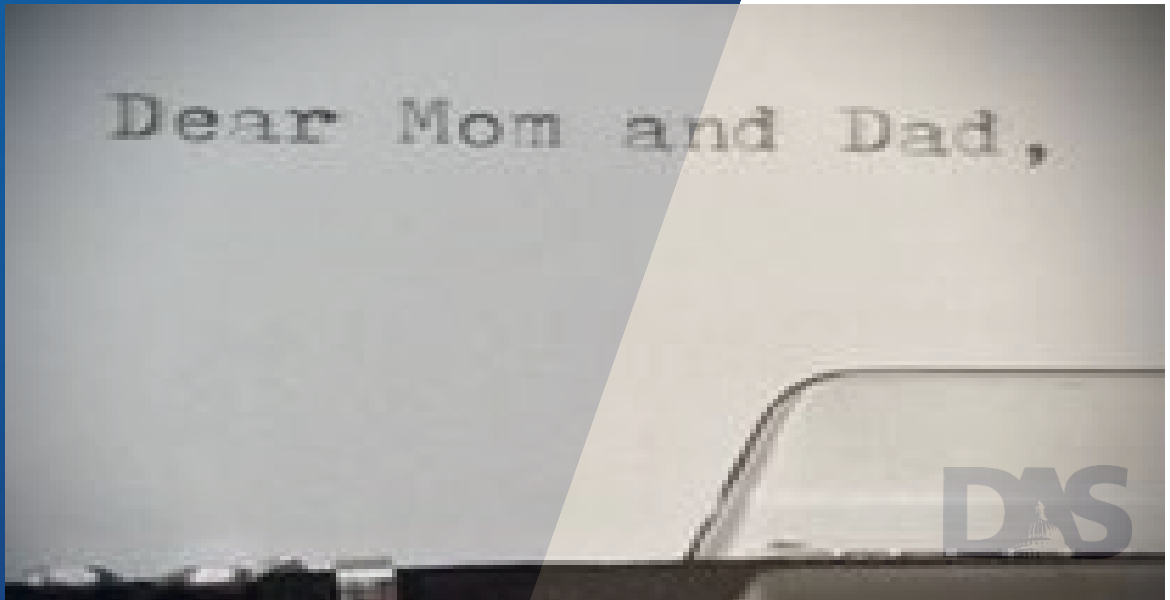
1. The data held in an agency's database documents business functions and transactions
2. The database is not a government record, but contains government records

Databases

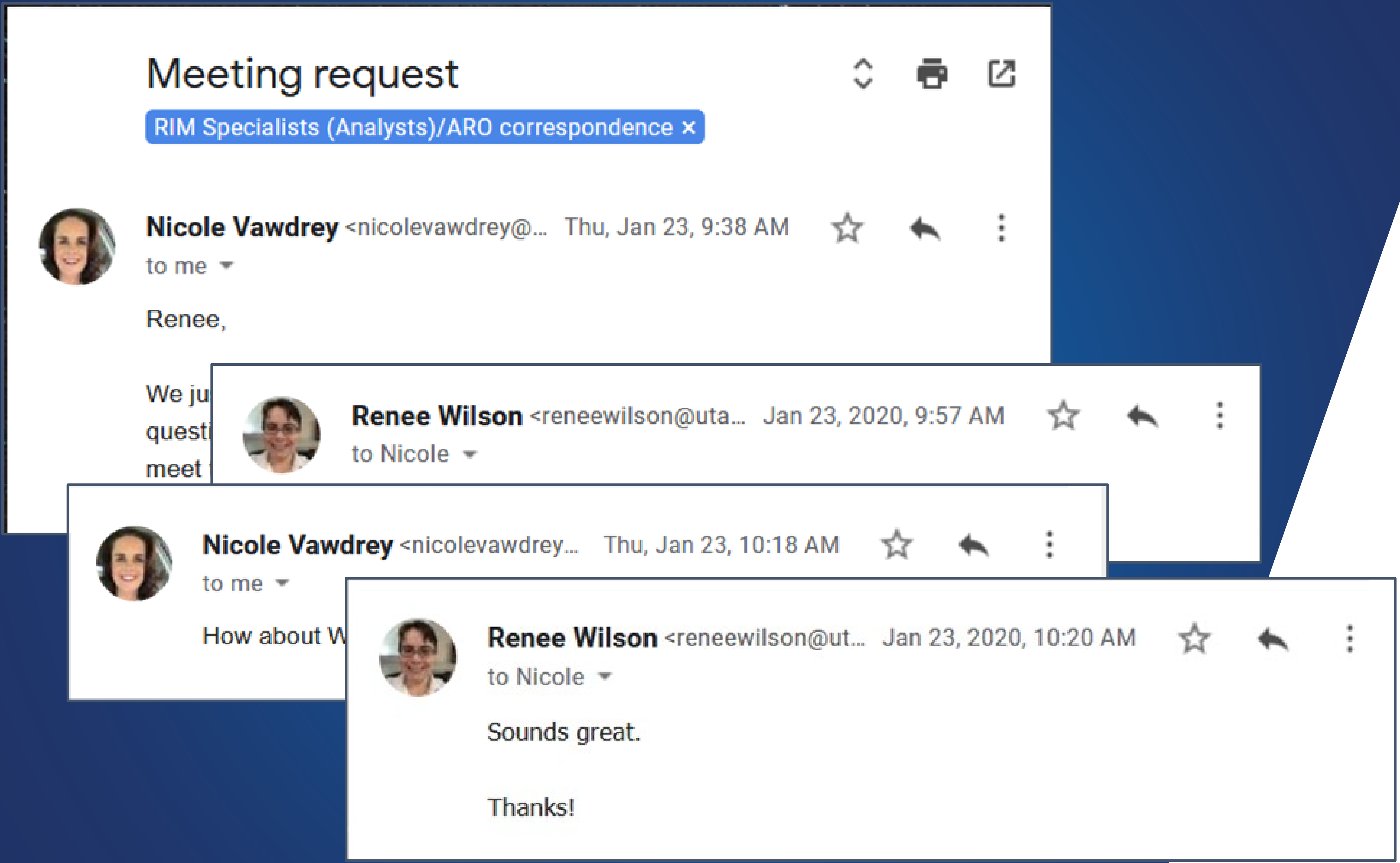
Your database provides structure for the records it holds.

What is *not* a record?

- Personal emails and documents that are not work-related
- Temporary drafts created for personal use
- Books contained in a library
- Junk mail or spam
- Computer programs



Is it a record?



Meeting request

RIM Specialists (Analysts)/ARO correspondence ×

Nicole Vawdrey <nicolevawdrey@... Thu, Jan 23, 9:38 AM

to me

Renee,

We ju

questi

meet

Renee Wilson <reneewilson@uta... Jan 23, 2020, 9:57 AM

to Nicole

Nicole Vawdrey <nicolevawdrey... Thu, Jan 23, 10:18 AM

to me

How about W

Renee Wilson <reneewilson@ut... Jan 23, 2020, 10:20 AM

to Nicole

Sounds great.

Thanks!

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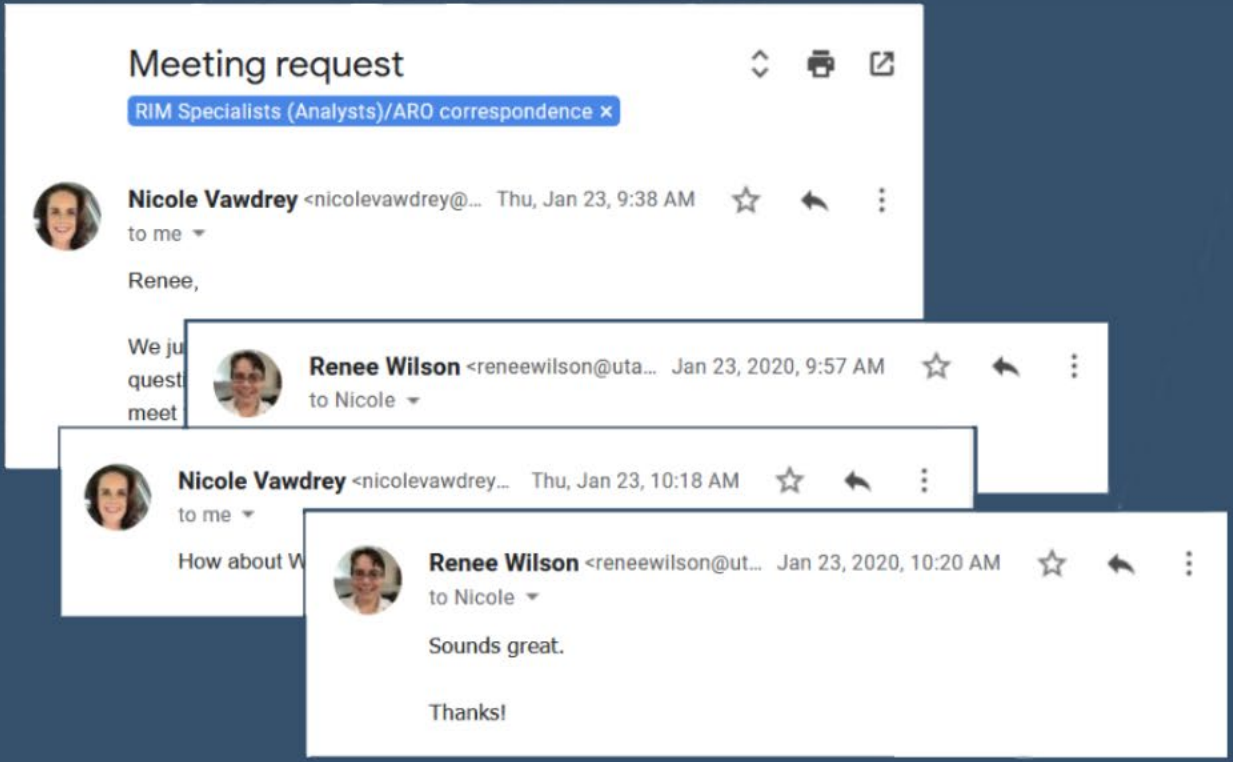
Meeting request email - is it a record?



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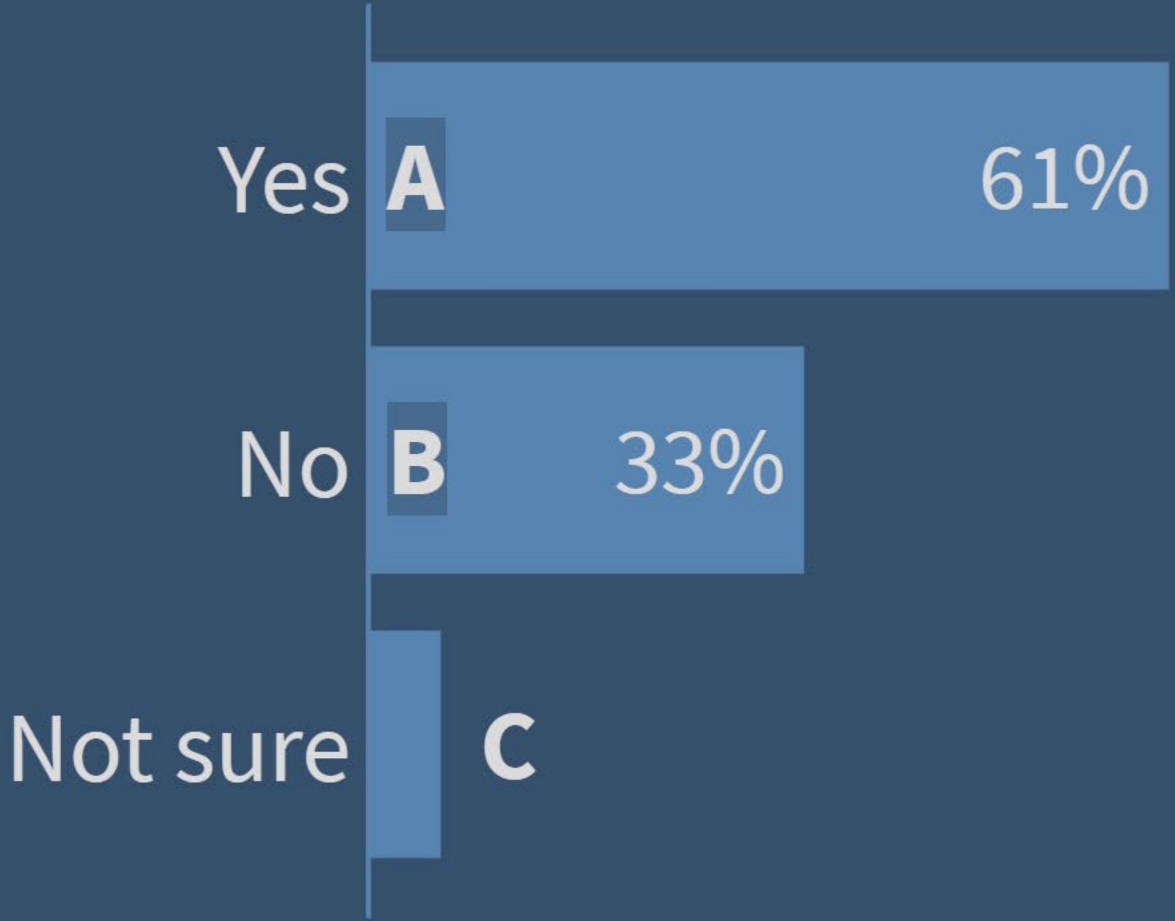

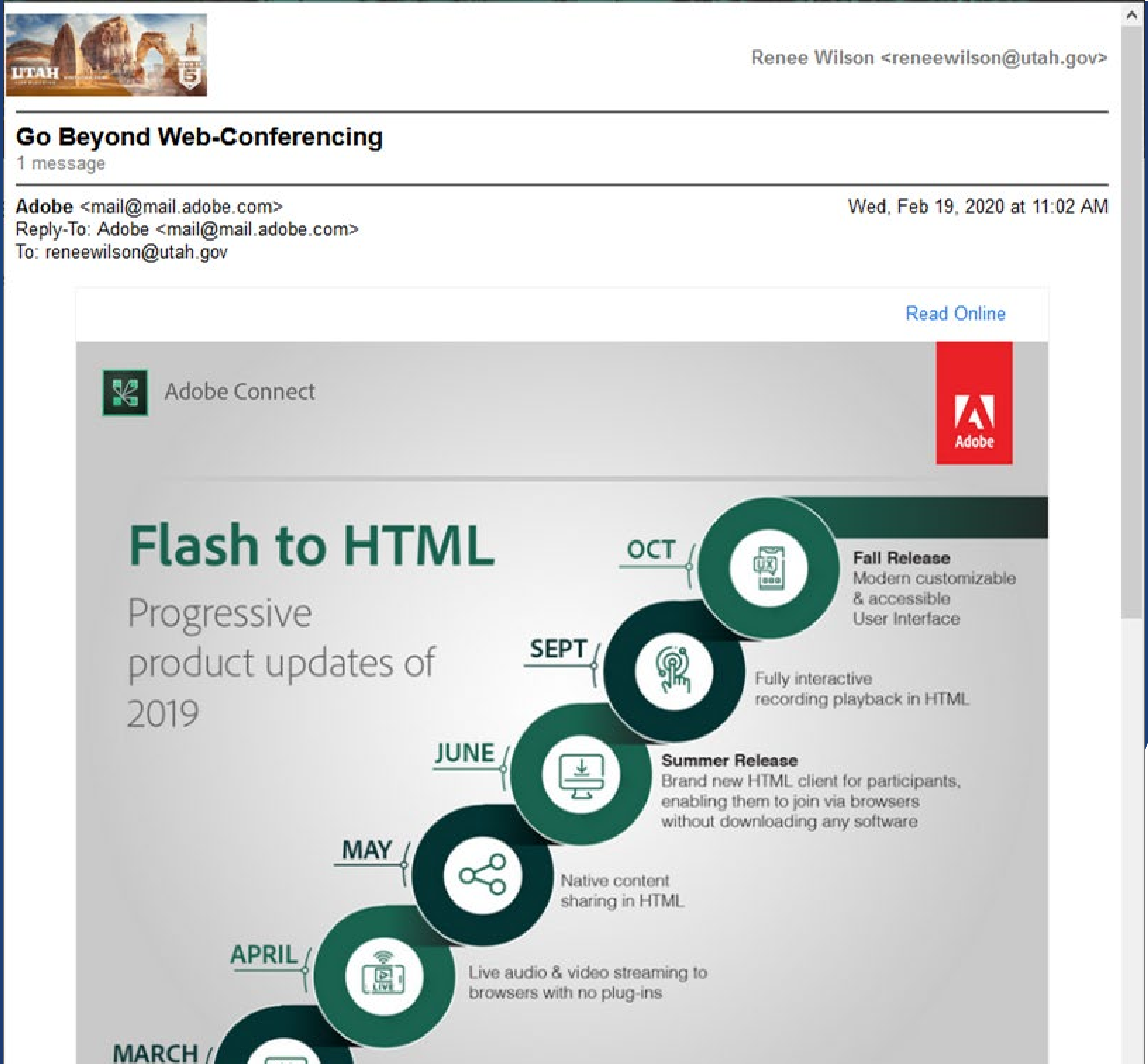

Renee Wilson <reneewilson@utah.gov>

Go Beyond Web-Conferencing

1 message

Adobe <mail@mail.adobe.com>
Reply-To: Adobe <mail@mail.adobe.com>
To: reneewilson@utah.gov

Wed, Feb 19, 2020 at 11:02 AM

Read Online

Flash to HTML

Progressive product updates of 2019

OCT — **Fall Release** Modern customizable & accessible User Interface

SEPT — Fully interactive recording playback in HTML

JUNE — **Summer Release** Brand new HTML client for participants, enabling them to join via browsers without downloading any software

MAY — Native content sharing in HTML

APRIL — Live audio & video streaming to browsers with no plug-ins

MARCH

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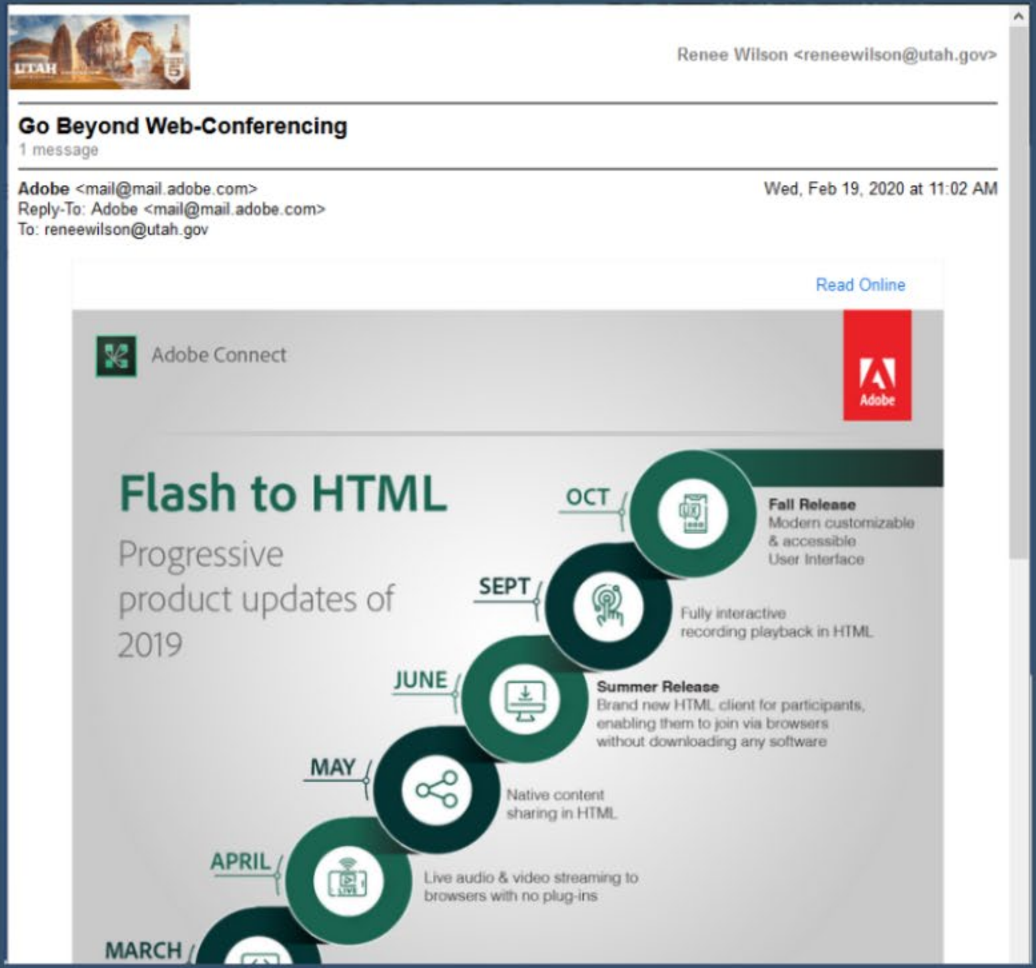
Adobe email - is it a record?



Renee Wilson <reneewilson@utah.gov>

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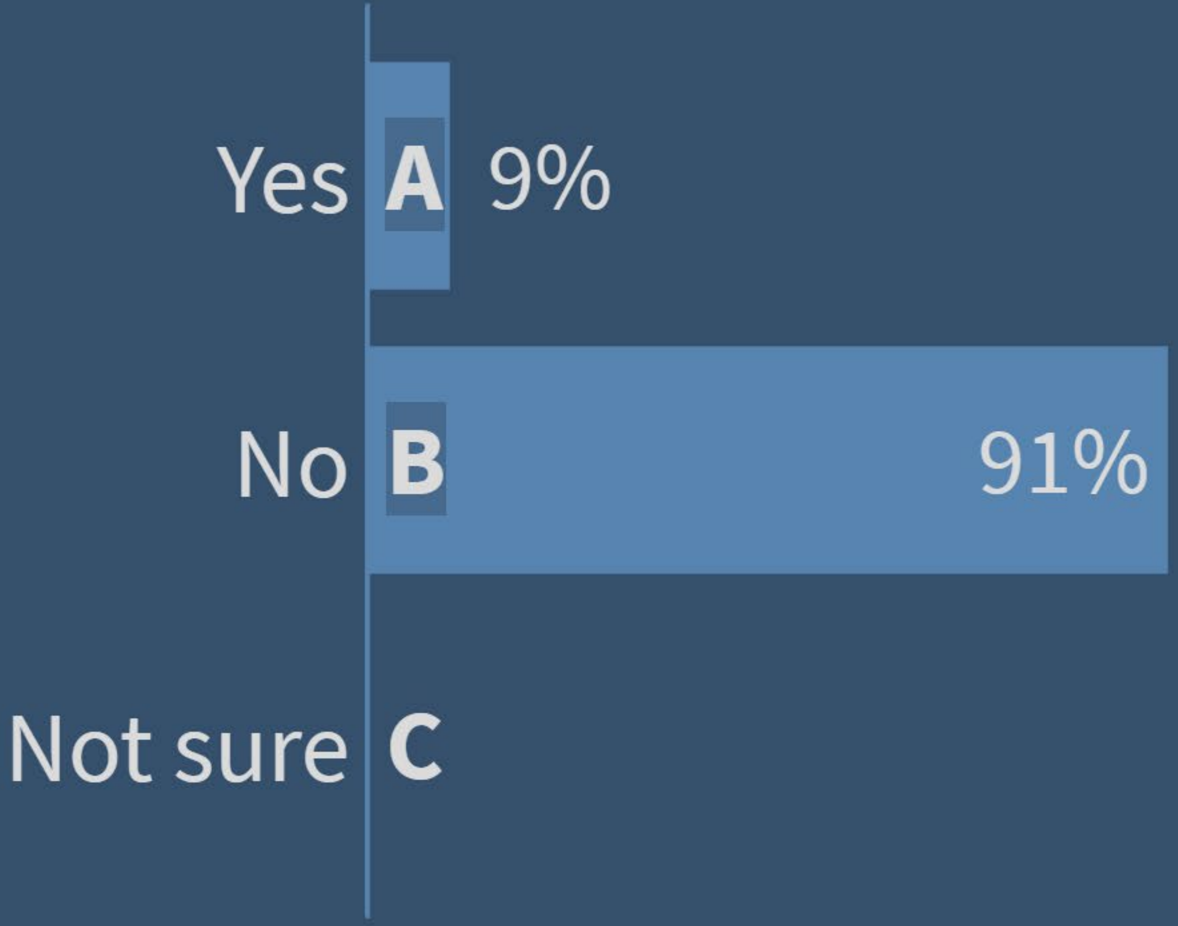

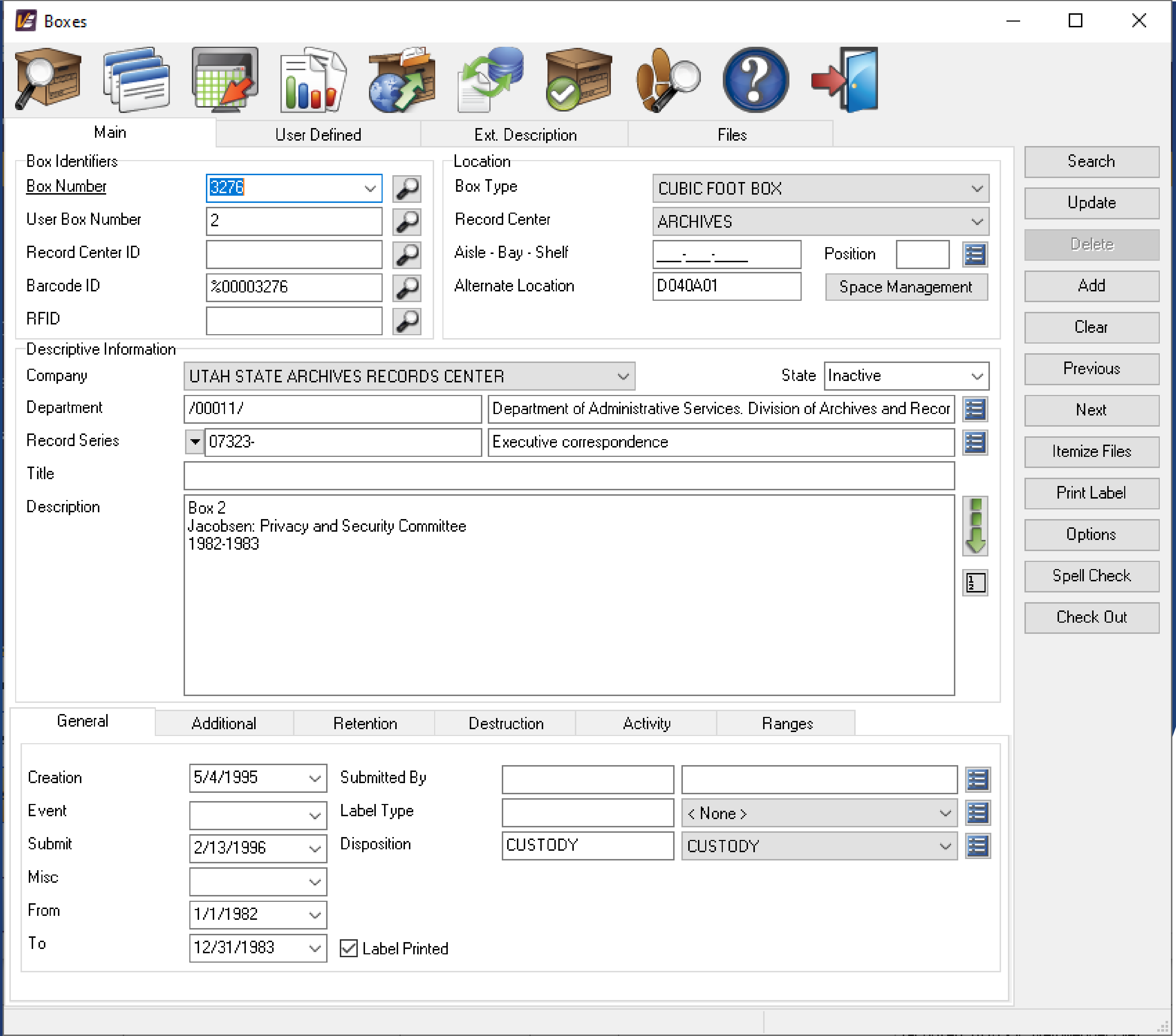
Boxes
Main
User Defined
Ext. Description
Files
Search
Update
Delete
Add
Clear
Previous
Next
Itemize Files
Print Label
Options
Spell Check
Check Out
Space Management
General
Additional
Retention
Destruction
Activity
Ranges

Box Identifiers

Box Number: 3276

User Box Number: 2

Record Center ID:

Barcode ID: %00003276

RFID:

Location

Box Type: CUBIC FOOT BOX

Record Center: ARCHIVES

Aisle - Bay - Shelf: ___-___-___ Position:

Alternate Location: D040A01

Descriptive Information

Company: UTAH STATE ARCHIVES RECORDS CENTER

State: Inactive

Department: /00011/ Department of Administrative Services. Division of Archives and Recor

Record Series: 07323- Executive correspondence

Title:

Description:
Box 2
Jacobsen: Privacy and Security Committee
1982-1983

Creation: 5/4/1995

Event:

Submit: 2/13/1996

Misc:

From: 1/1/1982

To: 12/31/1983

Submitted By:

Label Type: < None >

Disposition: CUSTODY CUSTODY

☑ Label Printed

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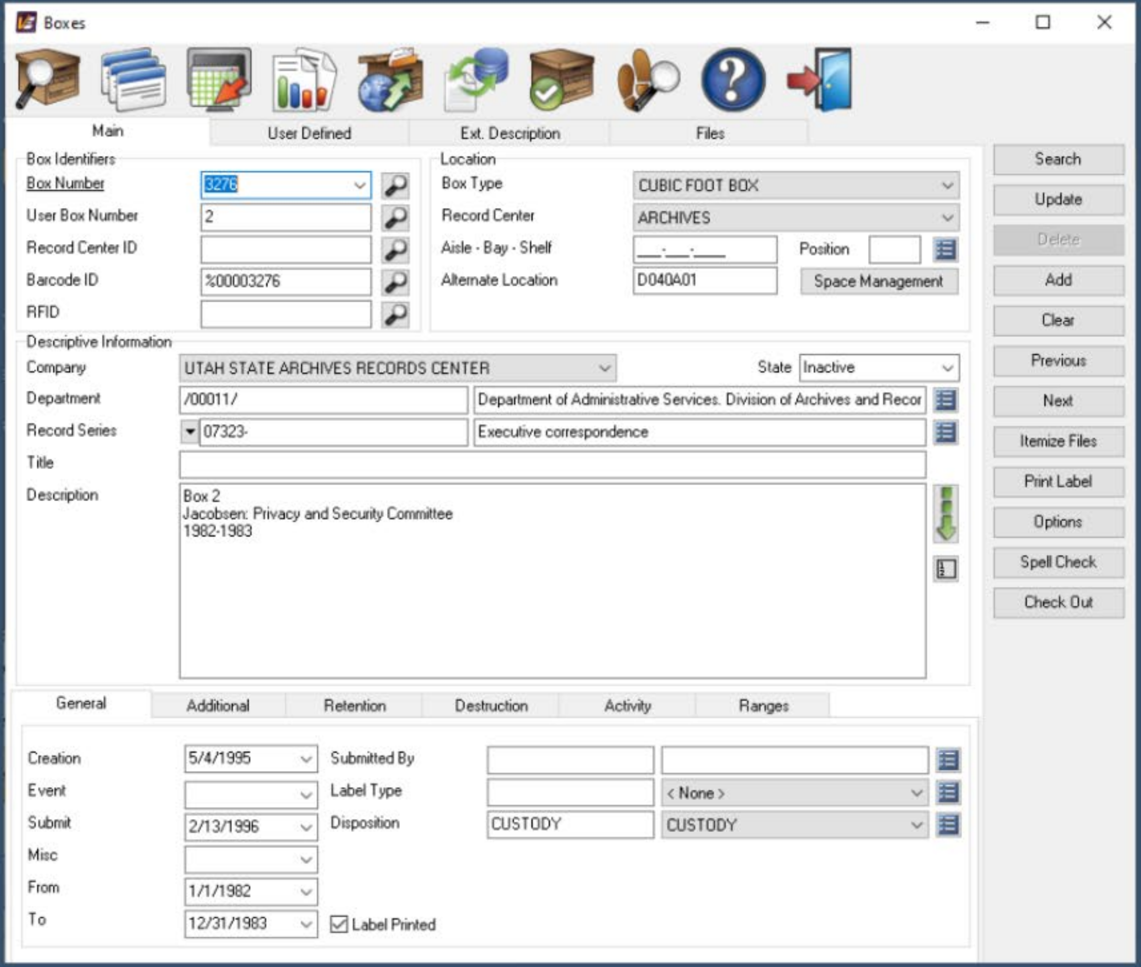
Database entry - is it a record?


Boxes
Main
User Defined
Ext. Description
Files
Search
Update
Delete
Add
Clear
Previous
Next
Itemize Files
Print Label
Options
Spell Check
Check Out
Space Management
General
Additional
Retention
Destruction
Activity
Ranges

Box Identifiers

Box Number: 3276

User Box Number: 2

Record Center ID:

Barcode ID: %00003276

RFID:

Location

Box Type: CUBIC FOOT BOX

Record Center: ARCHIVES

Aisle - Bay - Shelf: __-__-__ Position:

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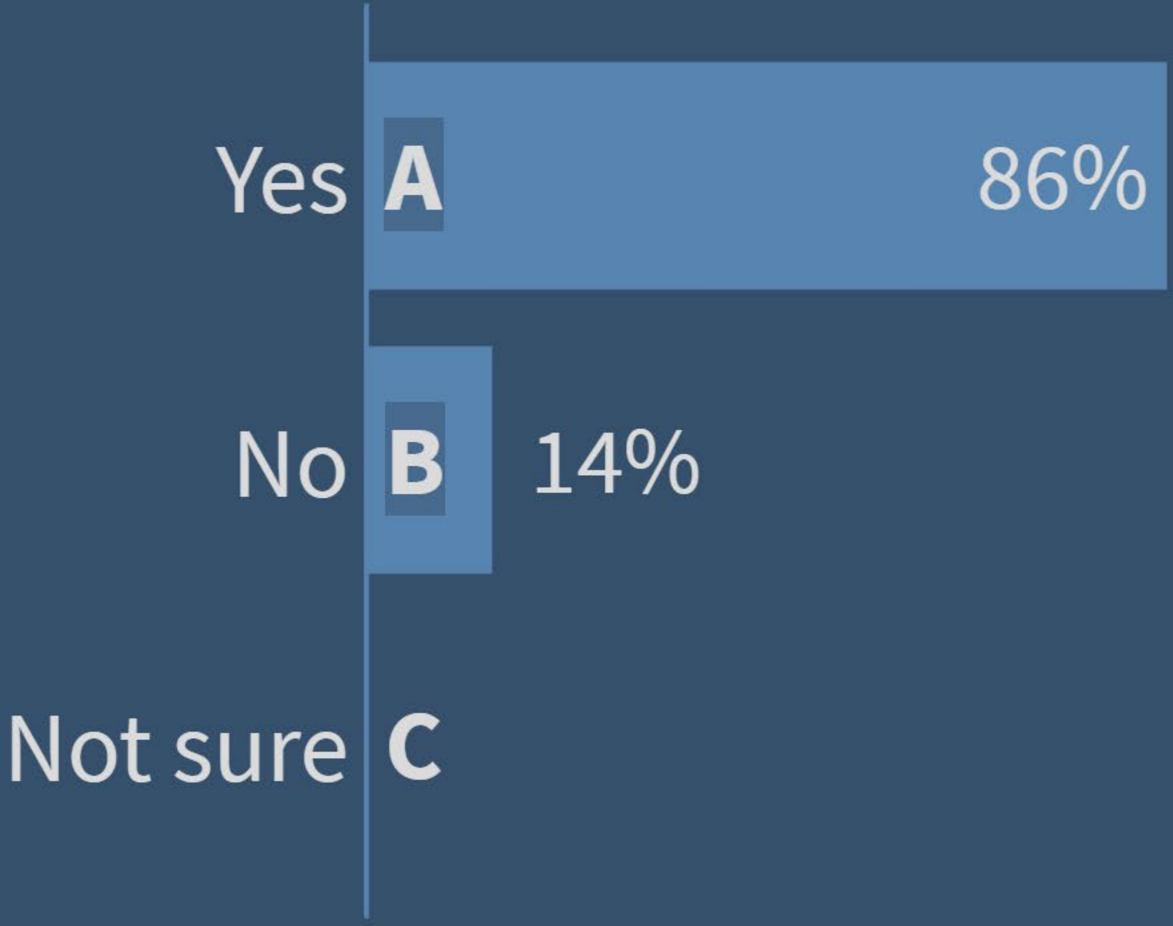


Issue:

You've inherited a mess—where do you start?

1. Check existing RIM governance records
2. Inventory the records
3. Review agency functions

Check Existing RIM Governance Records

- Any inventories, transfer sheets, retention schedules from previous people
  - located on shared drive, in email, with physical files
- Archives website archives.utah.gov/rim/retention-schedules.html
- State Records Center box report

Inventory

Series Title	Associated Function	Retention	Disposition (Permanent?)	GRAMA designation	Location	Format(s)

A Record Series is a Group of Records

A Record Series is a Group of Records

Related in a logical way

- business process
- description
- management
- disposition

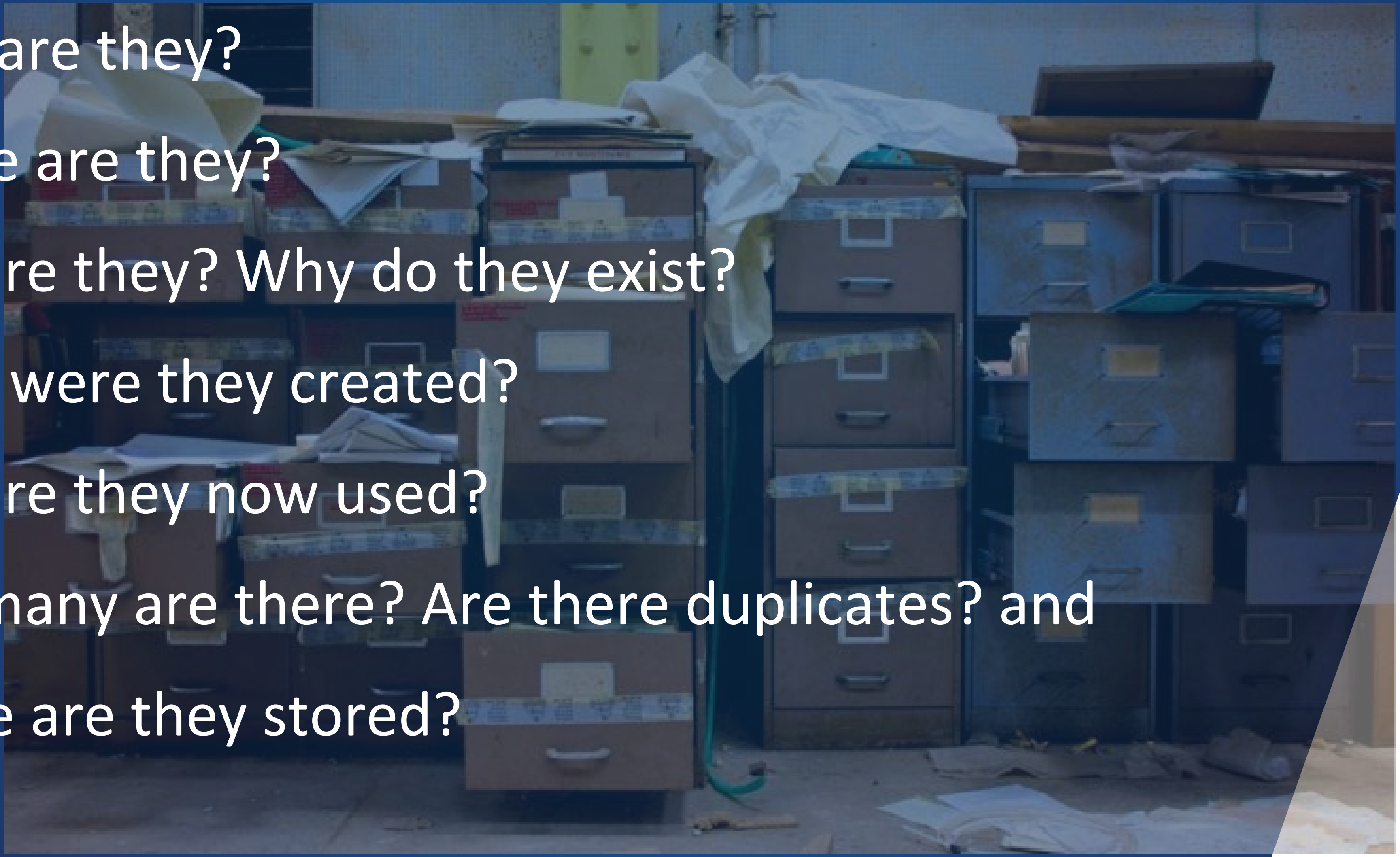
Inventory

Methods:

- by location (physical as well as digital)
- by type (hard copy, digital)
- by employee

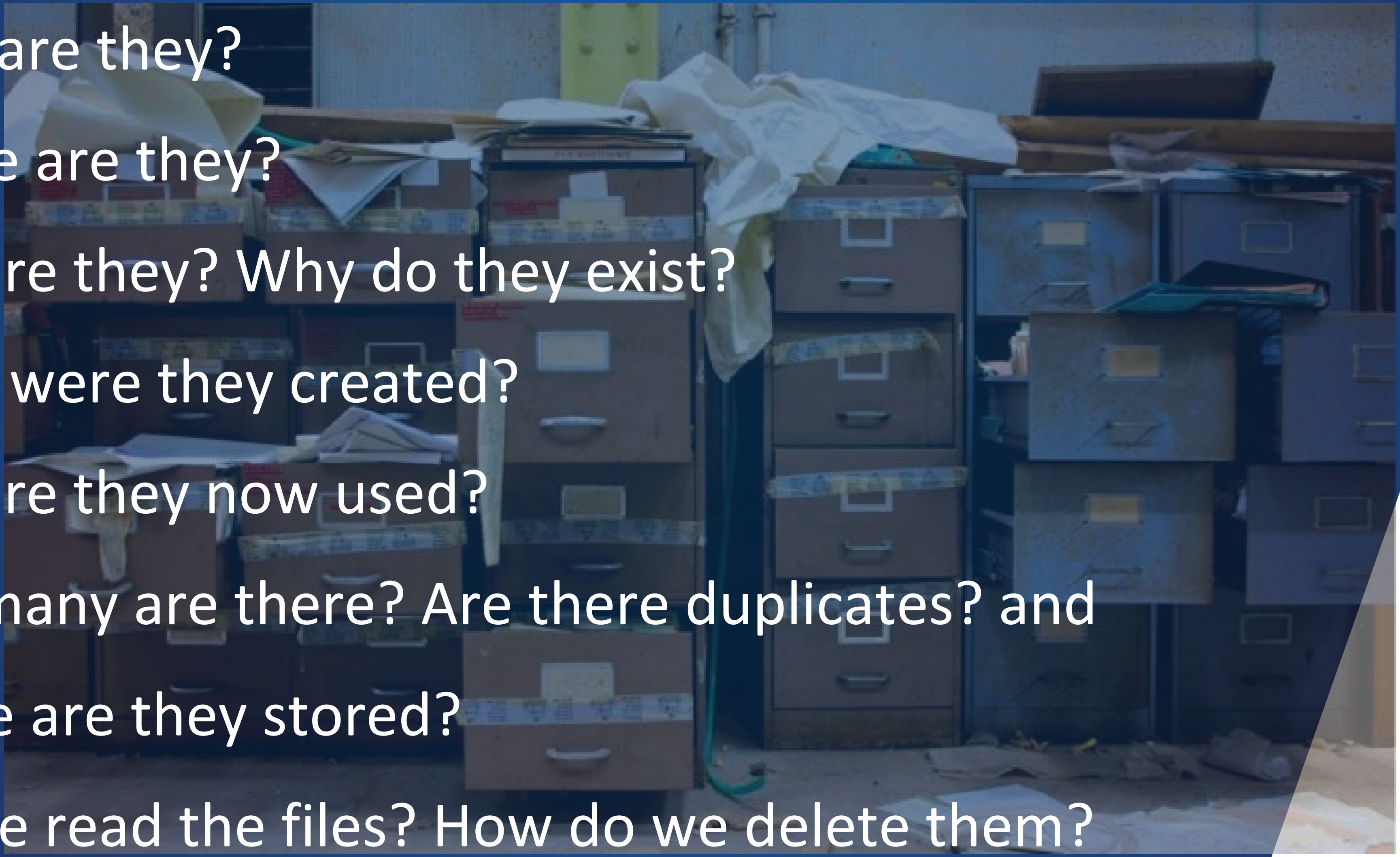
Inventory

Inventory



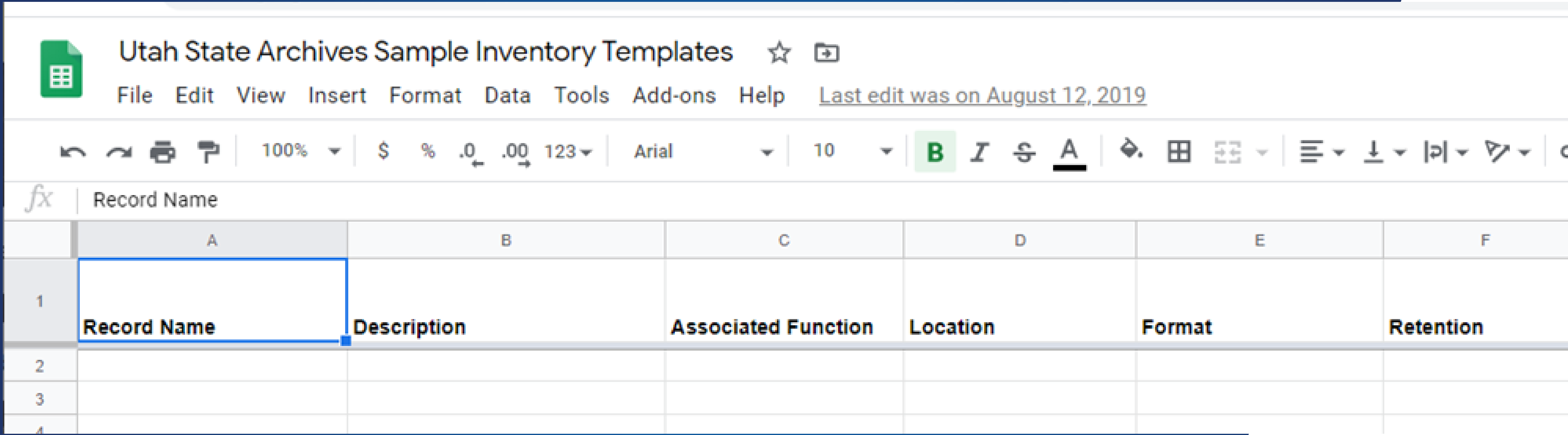
- What are they?
- Whose are they?
- Why are they? Why do they exist?
- When were they created?
- How are they now used?
- How many are there? Are there duplicates? and
- Where are they stored?

Inventory



- What are they?
- Whose are they?
- Why are they? Why do they exist?
- When were they created?
- How are they now used?
- How many are there? Are there duplicates? and
- Where are they stored?
- Can we read the files? How do we delete them?

Detailed Inventory Form


File
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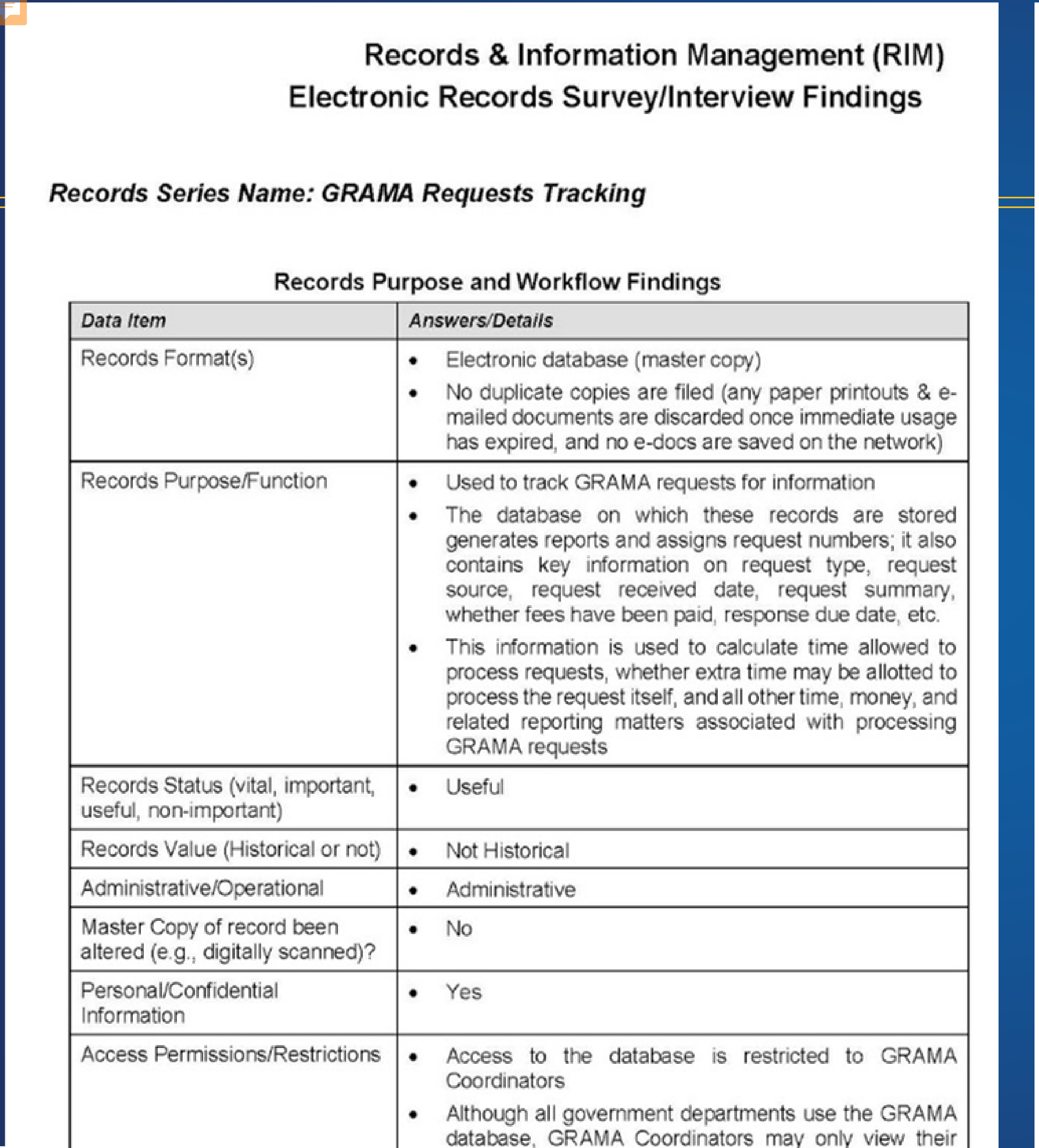
Utah State Archives Sample Inventory Templates

Last edit was on August 12, 2019

Record Name

	A	B	C	D	E	F
1	**Record Name**	**Description**	**Associated Function**	**Location**	**Format**	**Retention**
2						
3						

- Record series title
- GRAMA designation
- Location
- Media/file format
- How long it's kept (retention) and how it's stored
- How it's disposed of (disposition)

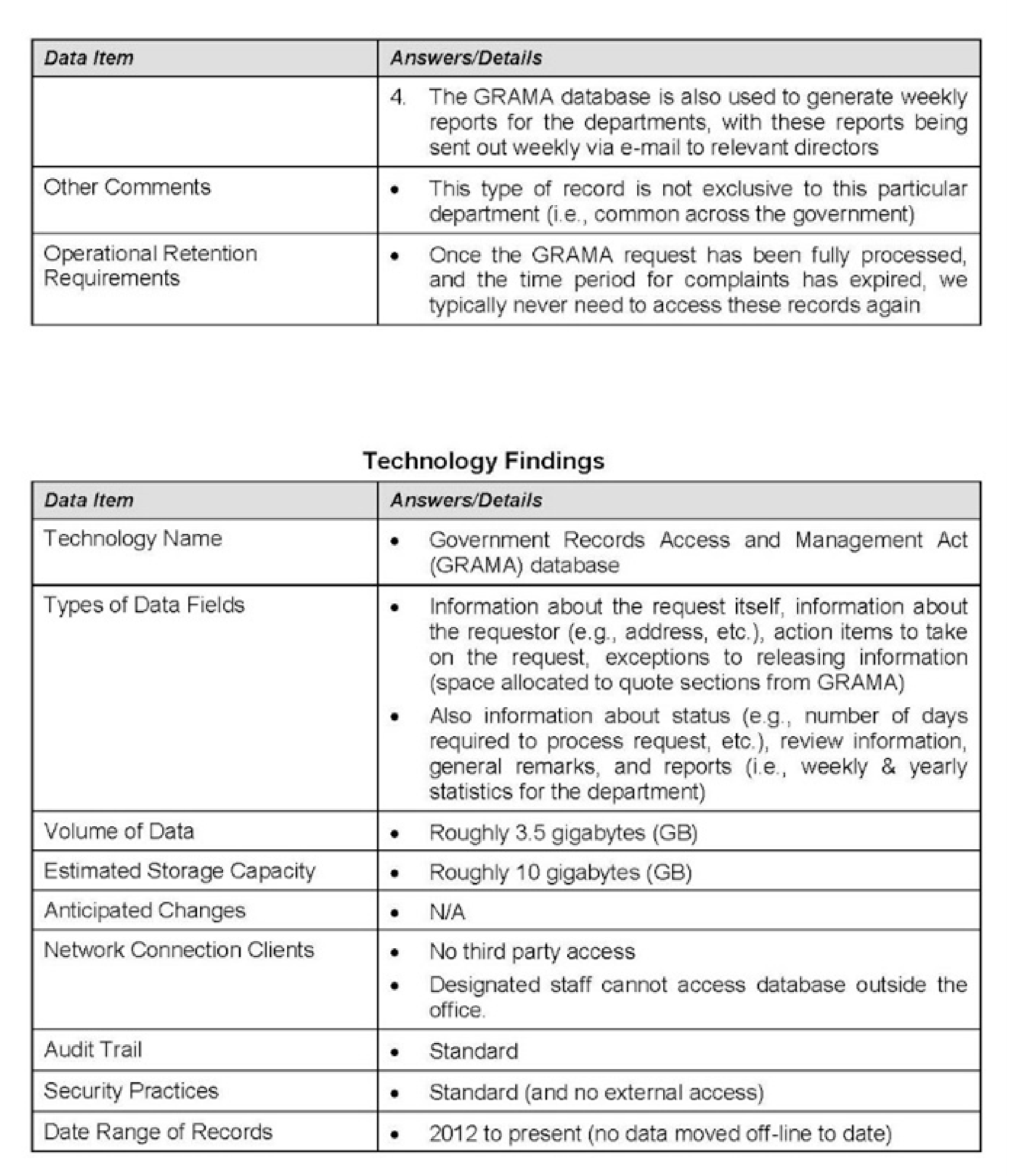


Records & Information Management (RIM)
Electronic Records Survey/Interview Findings

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

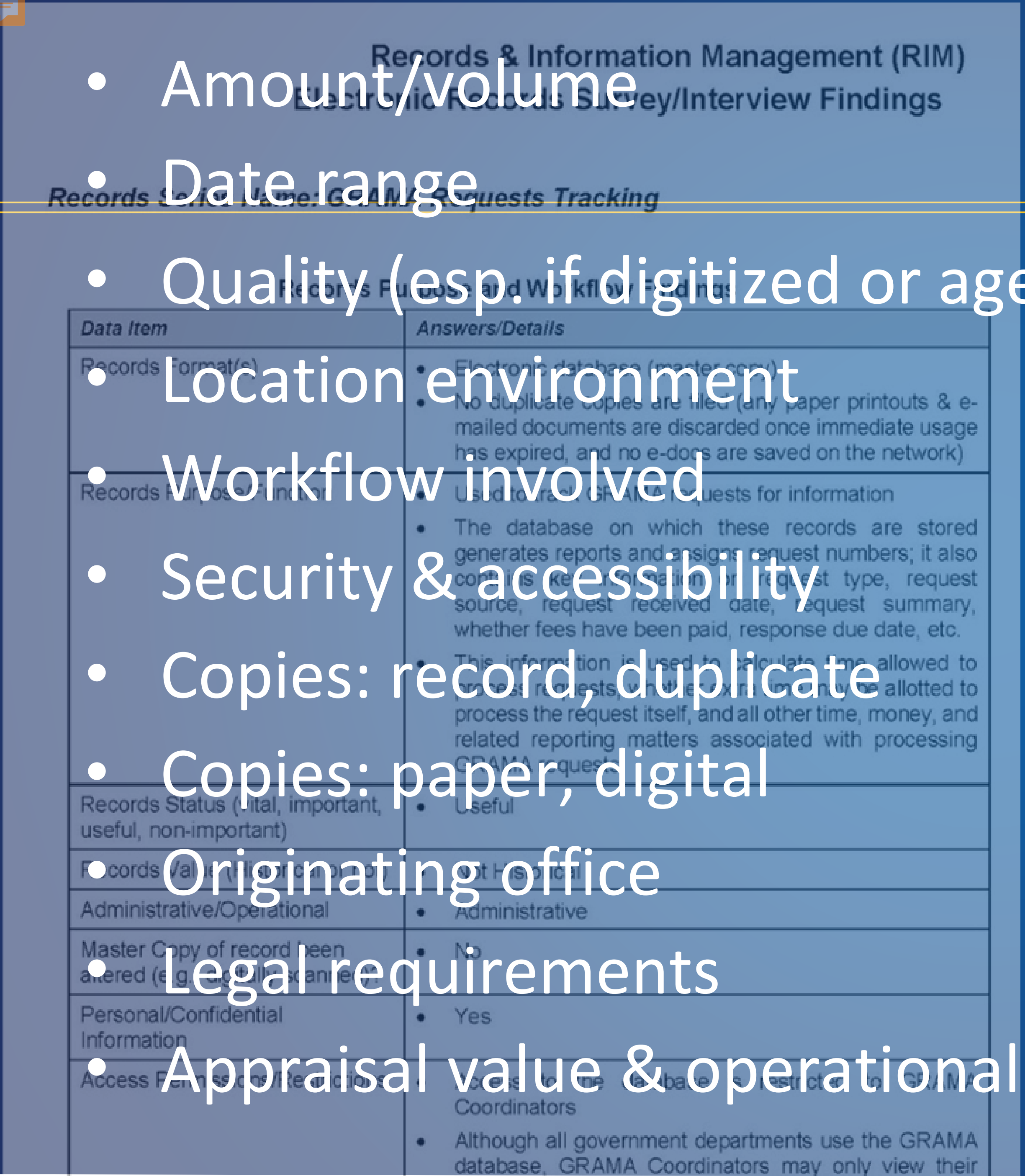


Data Item	*Answers/Details*
	4. The GRAMA database is also used to generate weekly reports for the departments, with these reports being sent out weekly via e-mail to relevant directors
Other Comments	• This type of record is not exclusive to this particular department (i.e., common across the government)
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)

- Amount/volume
- Date range
- Quality (esp. if digitized or aged)
- Location environment
- Workflow involved
- Security & accessibility
- Copies: record, duplicate
- Copies: paper, digital
- Originating office
- Legal requirements
- Appraisal value & operational need



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

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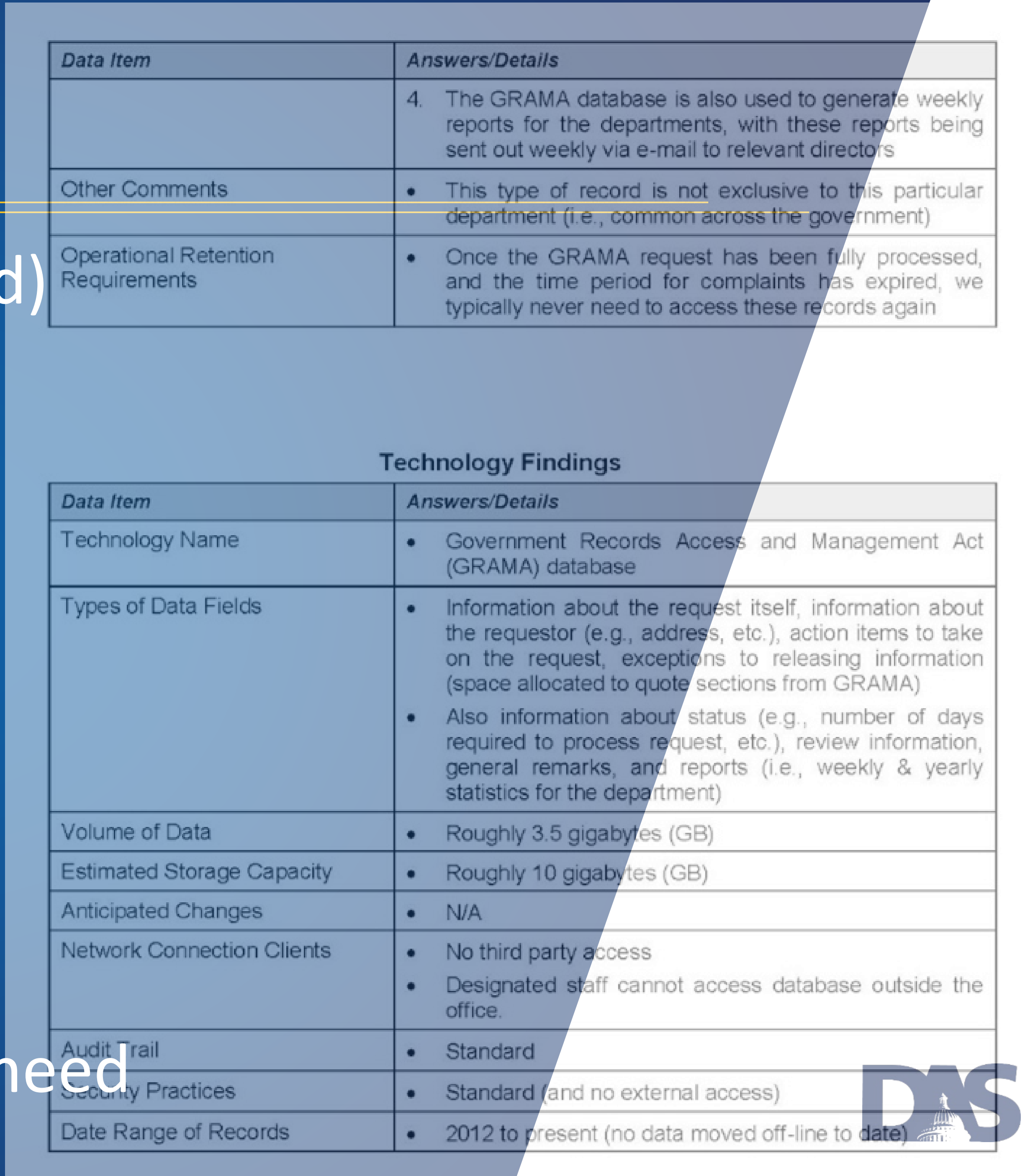

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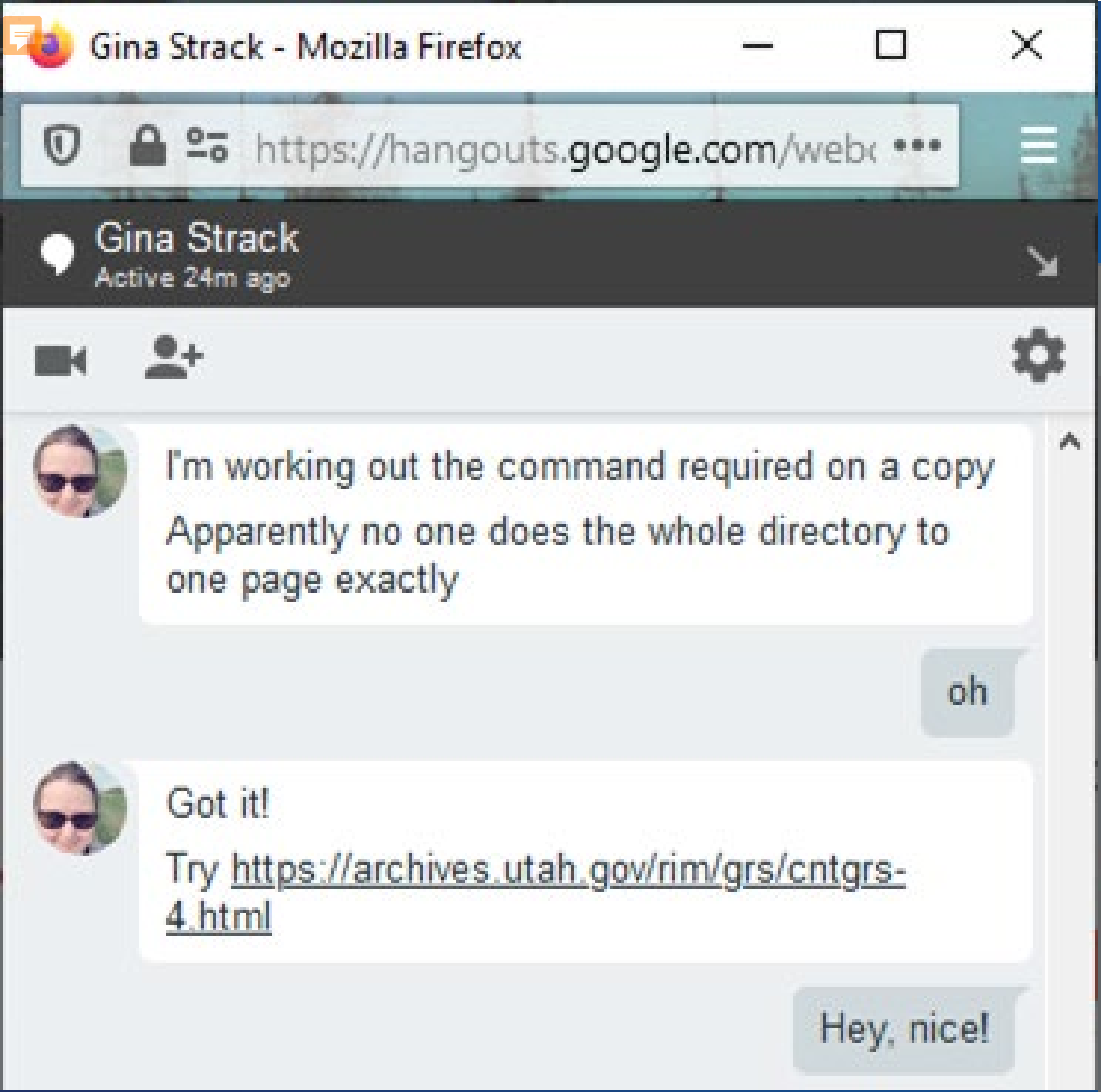
- Take a deep breath
- Do what you can
- One step at a time


Gina Strack - Mozilla Firefox
https://hangouts.google.com/webc
Gina Strack
Active 24m ago

I'm working out the command required on a copy

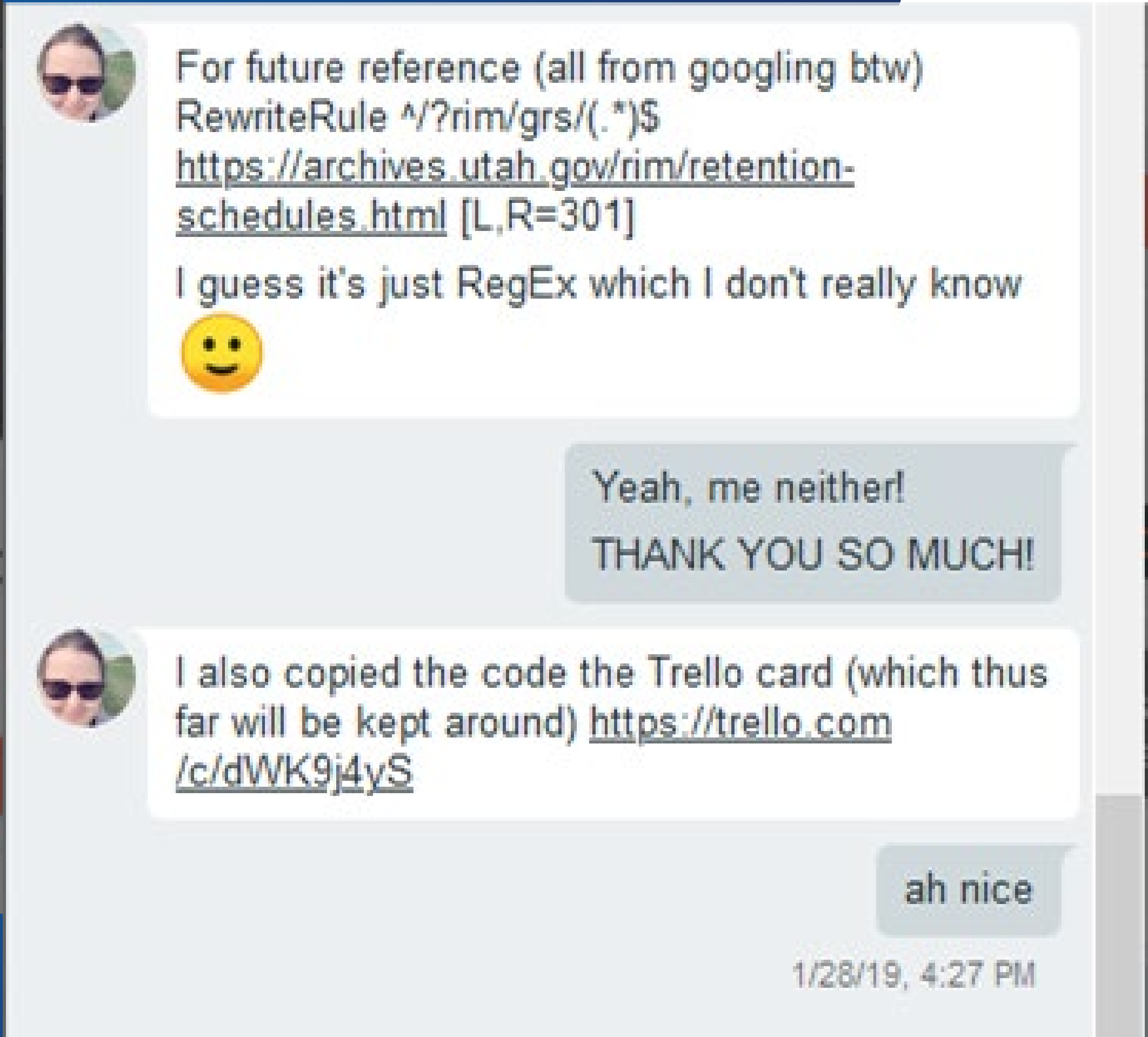
Apparently no one does the whole directory to one page exactly

oh

Got it!

Try https://archives.utah.gov/rim/grs/cntgrs-4.html

Hey, nice!



For future reference (all from googling btw)
RewriteRule ^/?rim/grs/(.*)$ https://archives.utah.gov/rim/retention-schedules.html [L,R=301]

I guess it's just RegEx which I don't really know 🙂

Yeah, me neither!

THANK YOU SO MUCH!

I also copied the code the Trello card (which thus far will be kept around) https://trello.com/c/dWK9j4yS

ah nice

1/28/19, 4:27 PM

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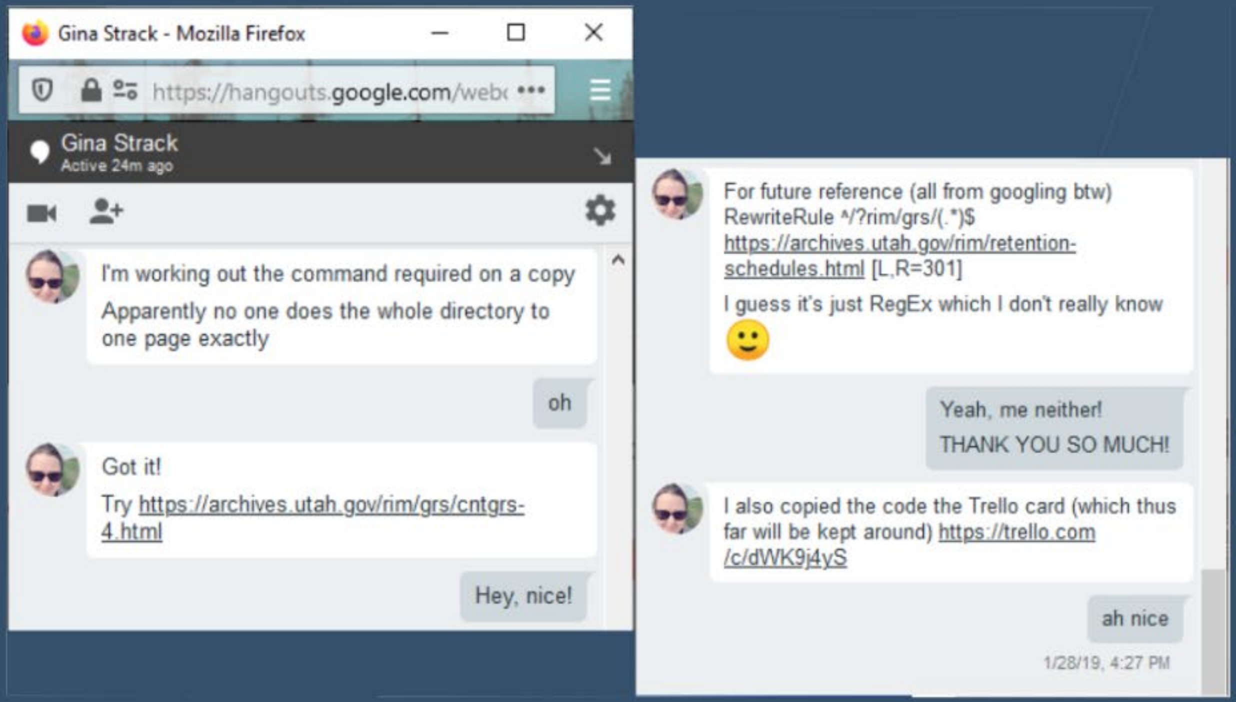
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https://hangouts.google.com/webc
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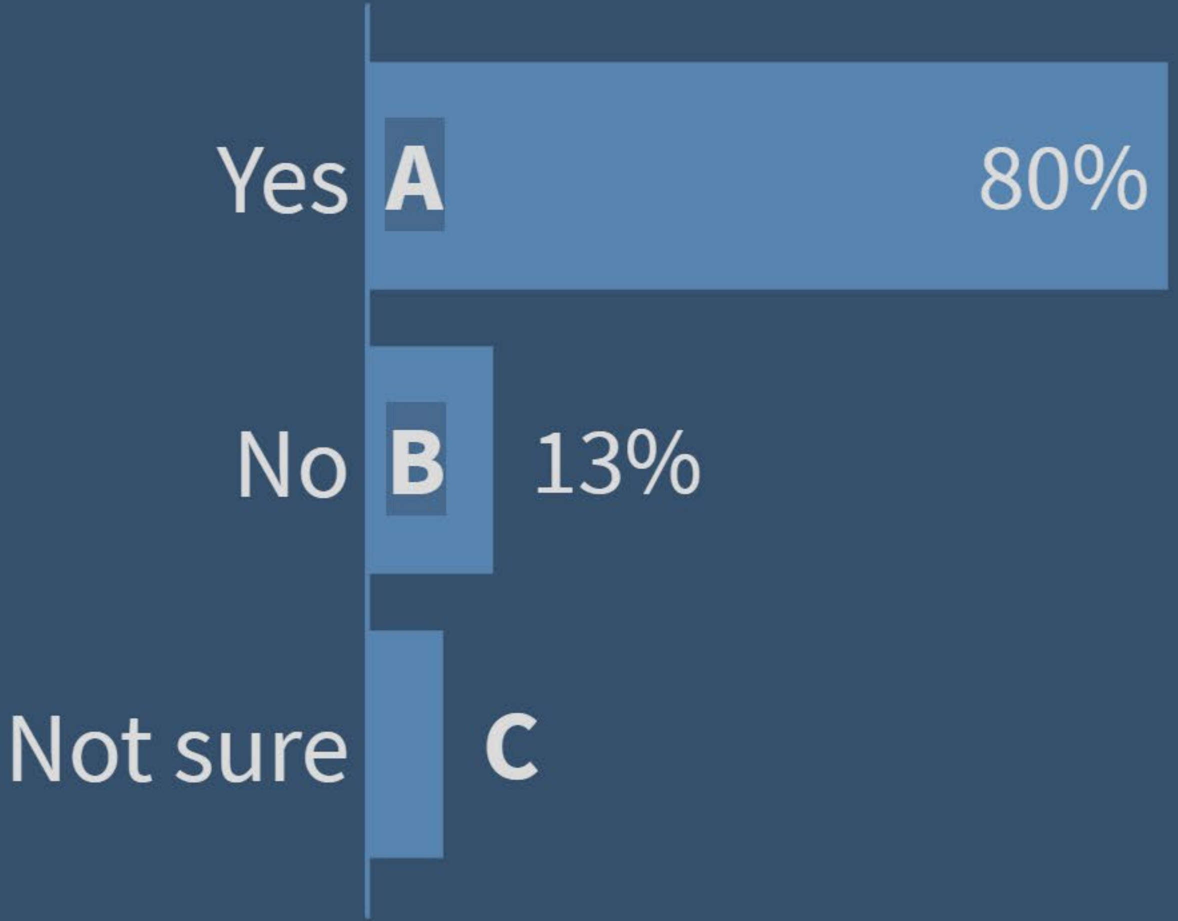

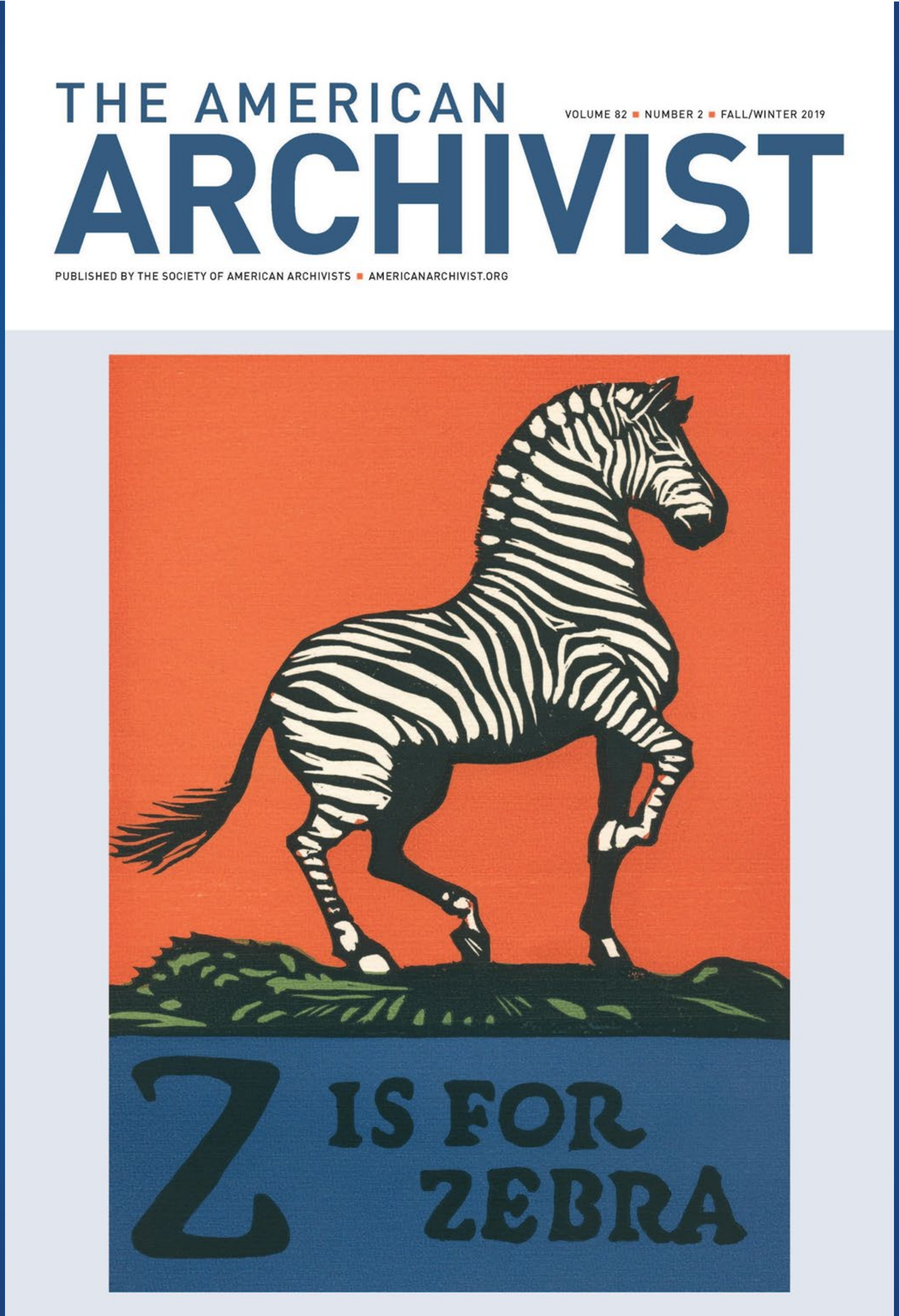

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VOLUME 82 ■ NUMBER 2 ■ FALL/WINTER 2019

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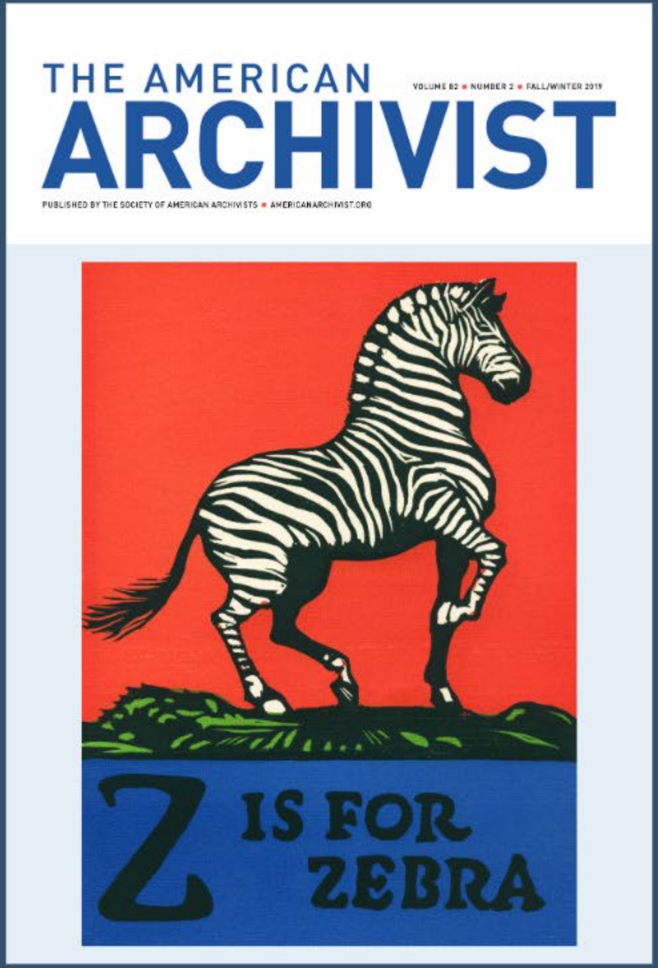
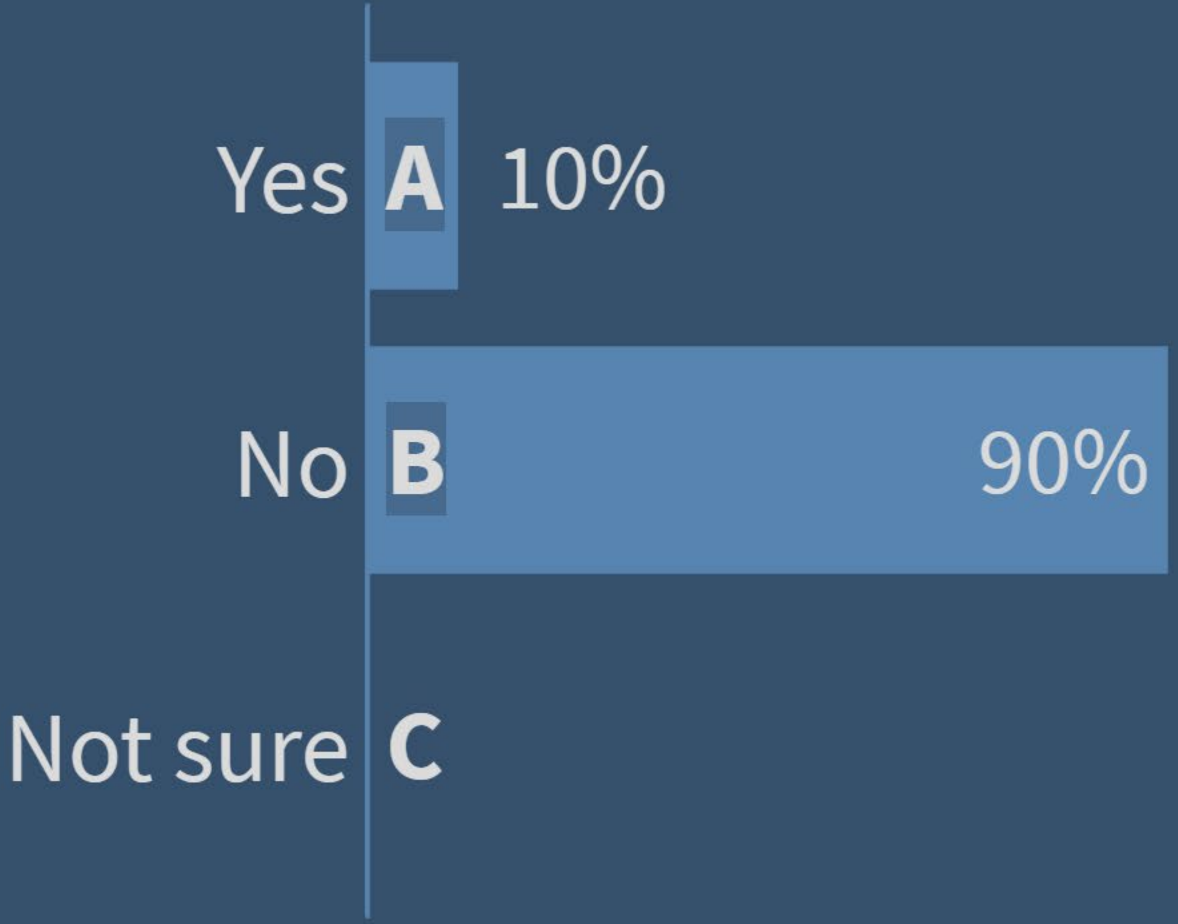
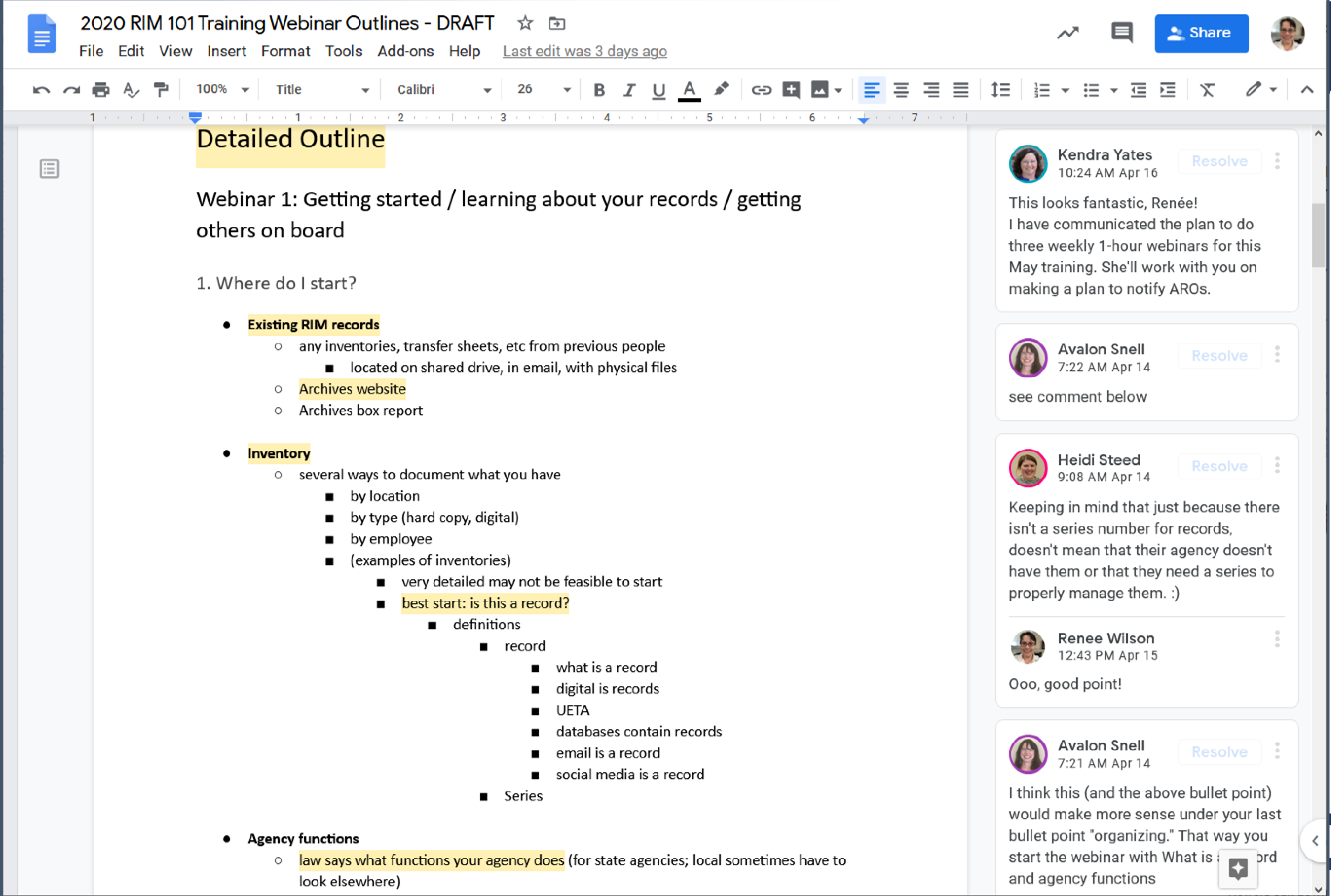
The American Archivist - is it a record?


THE AMERICAN ARCHIVIST
VOLUME 82 • NUMBER 2 • FALL/WINTER 2019
PUBLISHED BY THE SOCIETY OF AMERICAN ARCHIVISTS • AMERICANARCHIVIST.ORG
Z IS FOR ZEBRA




2020 RIM 101 Training Webinar Outlines - DRAFT
File
Edit
View
Insert
Format
Tools
Add-ons
Help
Last edit was 3 days ago
Share
100%
Title
Calibri
26

Detailed Outline

Webinar 1: Getting started / learning about your records / getting others on board

1. Where do I start?

- **Existing RIM records**
  - any inventories, transfer sheets, etc from previous people
    - located on shared drive, in email, with physical files
  - Archives website
  - Archives box report
- **Inventory**
  - several ways to document what you have
    - by location
    - by type (hard copy, digital)
    - by employee
    - (examples of inventories)
      - very detailed may not be feasible to start
      - best start: is this a record?
        - definitions
          - record
            - what is a record
            - digital is records
            - UETA
            - databases contain records
            - email is a record
            - social media is a record
          - Series
- **Agency functions**
  - law says what functions your agency does (for state agencies; local sometimes have to look elsewhere)

Kendra Yates
10:24 AM Apr 16

This looks fantastic, Renée!
I have communicated the plan to do three weekly 1-hour webinars for this May training. She'll work with you on making a plan to notify AROs.

Avalon Snell
7:22 AM Apr 14

see comment below

Heidi Steed
9:08 AM Apr 14

Keeping in mind that just because there isn't a series number for records, doesn't mean that their agency doesn't have them or that they need a series to properly manage them. :)

Renee Wilson
12:43 PM Apr 15

Ooo, good point!

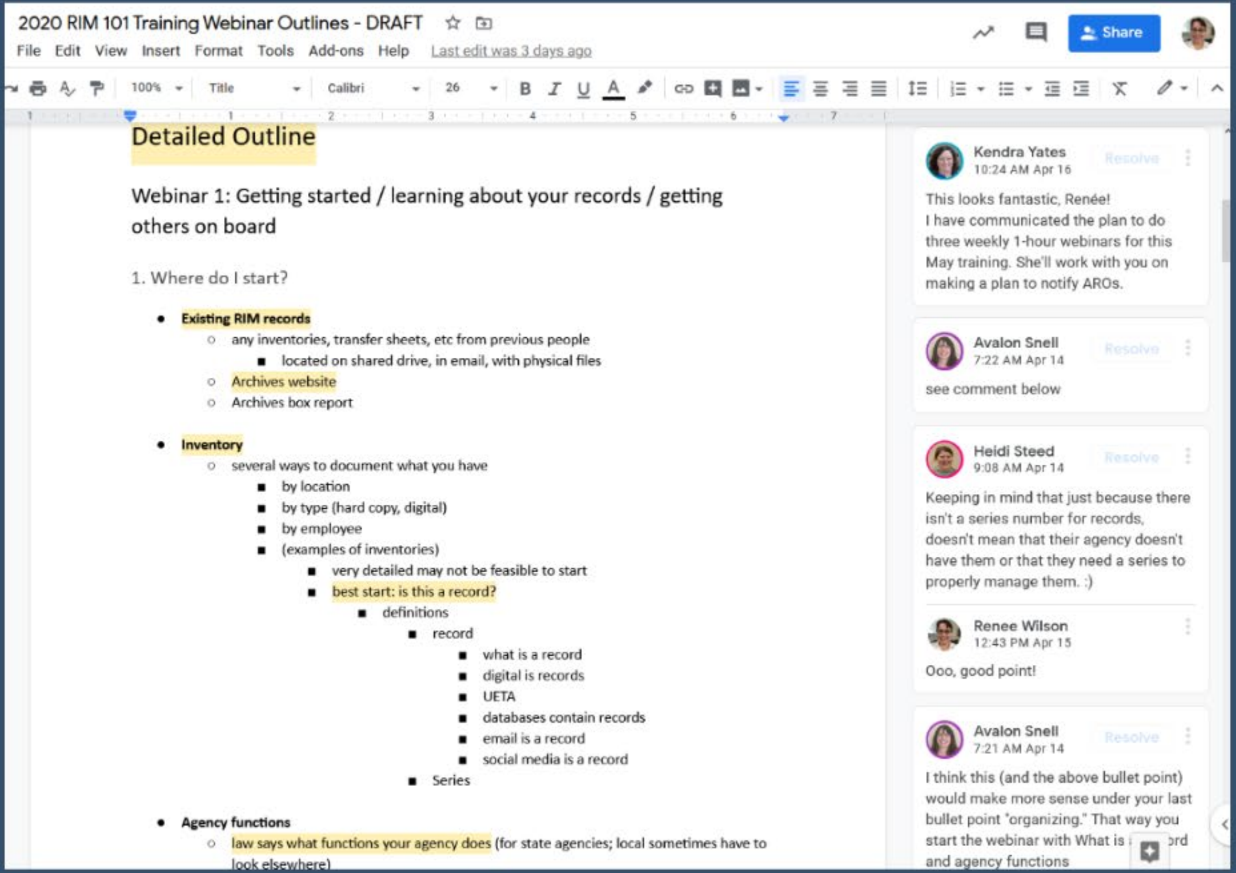
Avalon Snell
7:21 AM Apr 14

I think this (and the above bullet point) would make more sense under your last bullet point "organizing." That way you start the webinar with What is [illegible]ord and agency functions

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, or C**

Outline with comments - is it a record?


2020 RIM 101 Training Webinar Outlines - DRAFT
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26
Resolve

Detailed Outline

Webinar 1: Getting started / learning about your records / getting others on board

1. Where do I start?

- **Existing RIM records**
    - any inventories, transfer sheets, etc from previous people
        - located on shared drive, in email, with physical files
    - Archives website
    - Archives box report
- **Inventory**
    - several ways to document what you have
        - by location
        - by type (hard copy, digital)
        - by employee
        - (examples of inventories)
            - very detailed may not be feasible to start
            - best start: is this a record?
                - definitions
                    - record
                        - what is a record
                        - digital is records
                        - UETA
                        - databases contain records
                        - email is a record
                        - social media is a record
                    - Series
- **Agency functions**
    - law says what functions your agency does (for state agencies; local sometimes have to look elsewhere)

Kendra Yates
10:24 AM Apr 16

This looks fantastic, Renée!
I have communicated the plan to do three weekly 1-hour webinars for this May training. She'll work with you on making a plan to notify AROs.

Avalon Snell
7:22 AM Apr 14

see comment below

Heidi Steed
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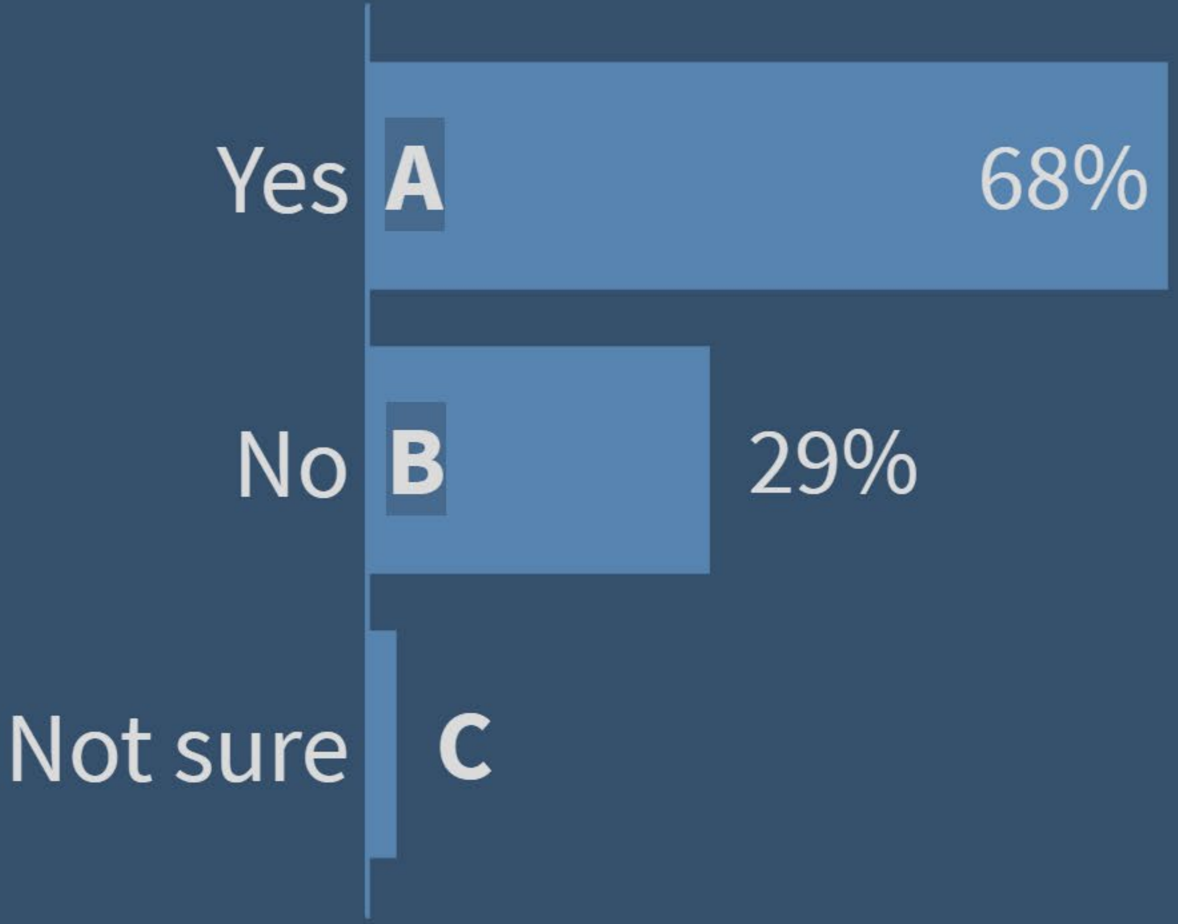
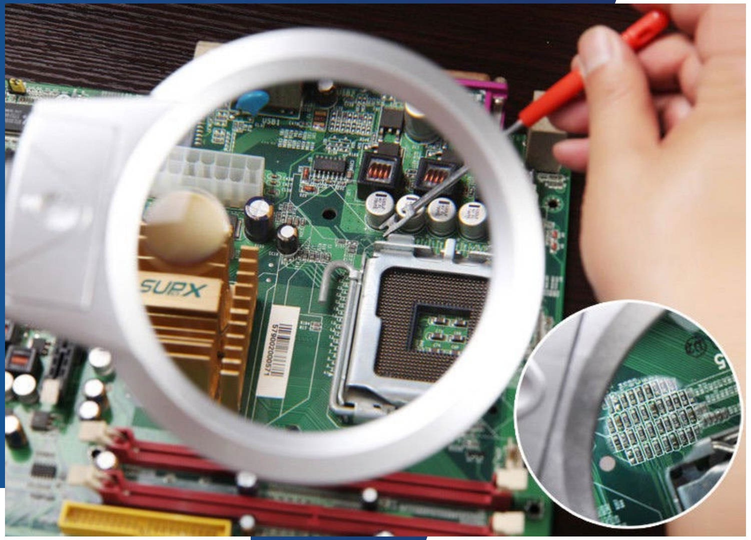


Inventorying Electronic Records

- Map out your business processes
- Search all possible locations
- Multiple copies and formats
- Enlist help
- Document findings



Understanding functions and resulting records

Governmental entities exist to carry out the public's business

Beverly Hills City Council Meeting, undated

http://www.beverlyhills.org/search/website/?Q=government%20council%20meetings%20default

Understanding Functions

Common administrative functions

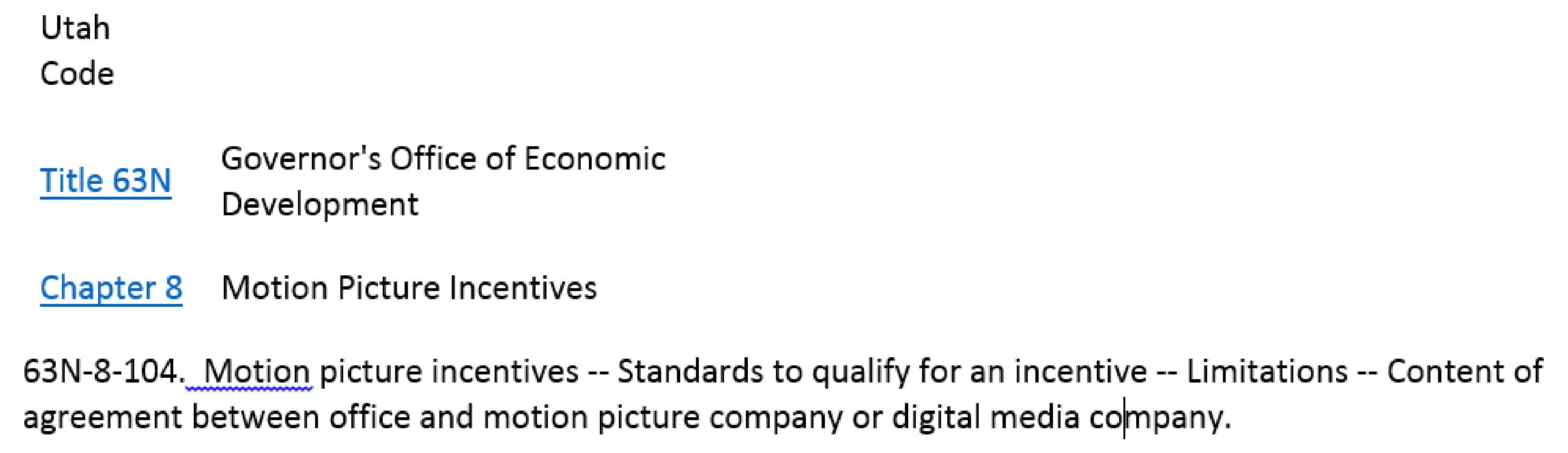
- Human Resources
- Budgeting
- Policy creation
- Accounts Payable and Receivable

Unique business functions

- Mosquito abatement
- Safety inspection
- Medicaid eligibility screening
- Oversee horse races
- Facilitate economic development in the state

Functions found in statute or ordinances

- Governor’s Office of Economic Development (GOED) example:

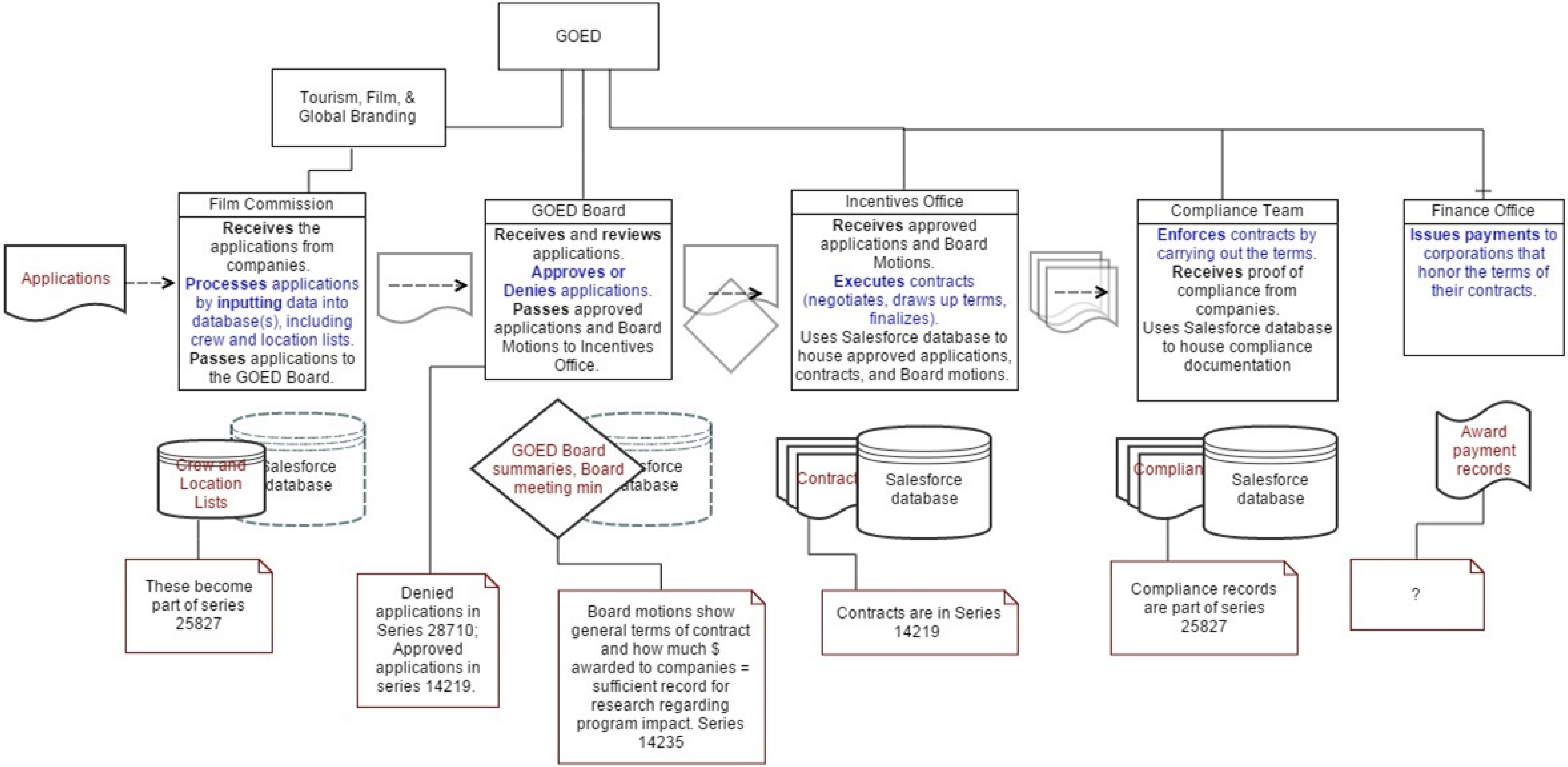


Utah Code

Title 63N	Governor's Office of Economic Development
Chapter 8	Motion Picture Incentives

63N-8-104. Motion picture incentives -- Standards to qualify for an incentive -- Limitations -- Content of agreement between office and motion picture company or digital media company.

MOTION PICTURE INCENTIVE PROGRAM function flowchart



GOED

Tourism, Film, & Global Branding

Applications

Film Commission

Receives the applications from companies. **Processes** applications by **inputting** data into database(s), including crew and location lists. **Passes** applications to the GOED Board.

GOED Board

Receives and **reviews** applications. **Approves or Denies** applications. **Passes** approved applications and Board Motions to Incentives Office.

Incentives Office

Receives approved applications and Board Motions. **Executes** contracts (negotiates, draws up terms, finalizes). Uses Salesforce database to house approved applications, contracts, and Board motions.

Compliance Team

Enforces contracts by carrying out the terms. **Receives** proof of compliance from companies. Uses Salesforce database to house compliance documentation

Finance Office

Issues payments to corporations that honor the terms of their contracts.

Crew and Location Lists

Salesforce database

These become part of series 25827

Denied applications in Series 28710; Approved applications in series 14219.

GOED Board summaries, Board meeting min

sforce atabase

Board motions show general terms of contract and how much $ awarded to companies = sufficient record for research regarding program impact. Series 14235

Contract

Salesforce database

Contracts are in Series 14219

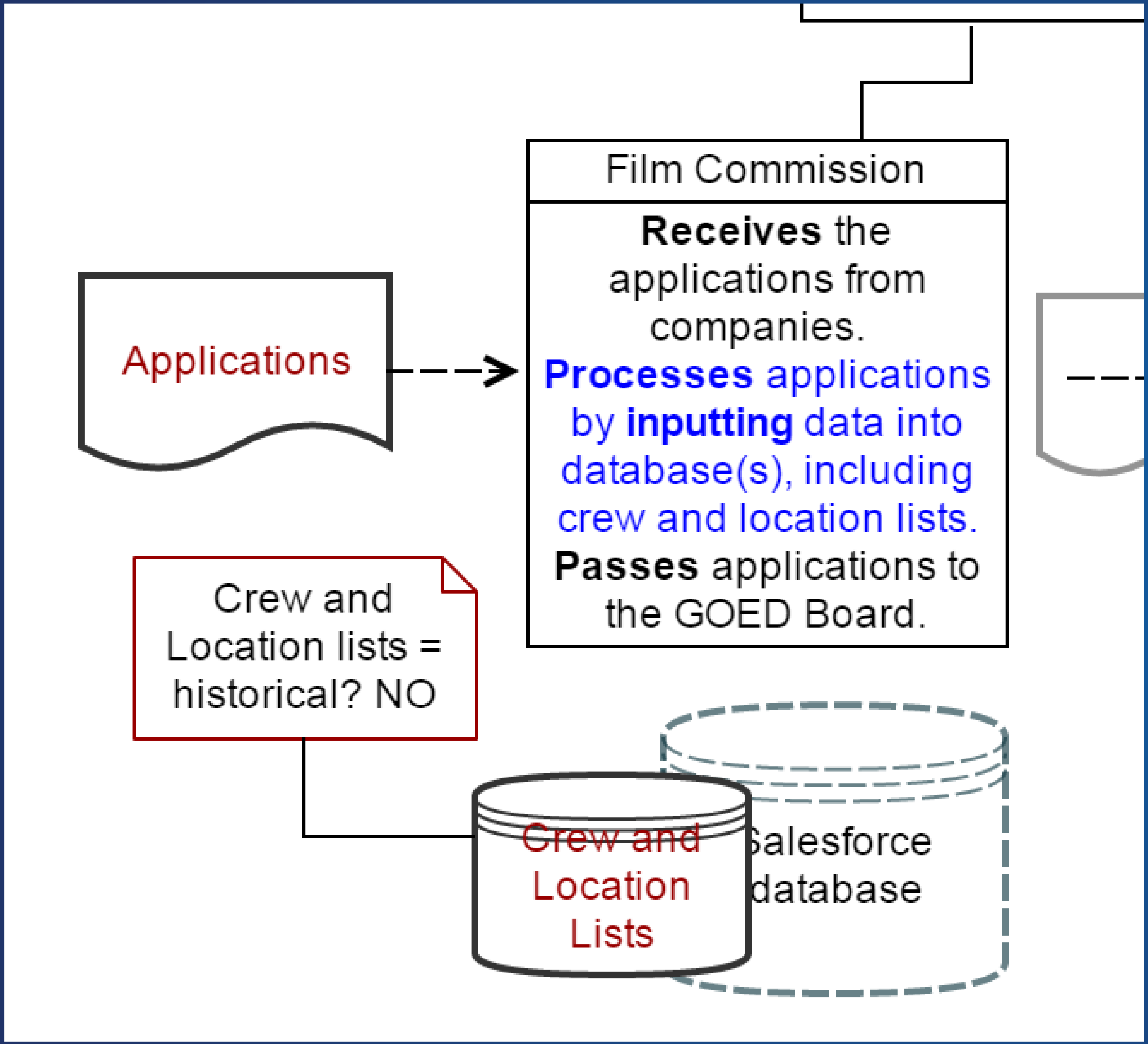
Complian

Salesforce database

Compliance records are part of series 25827

Award payment records

?



Film Commission

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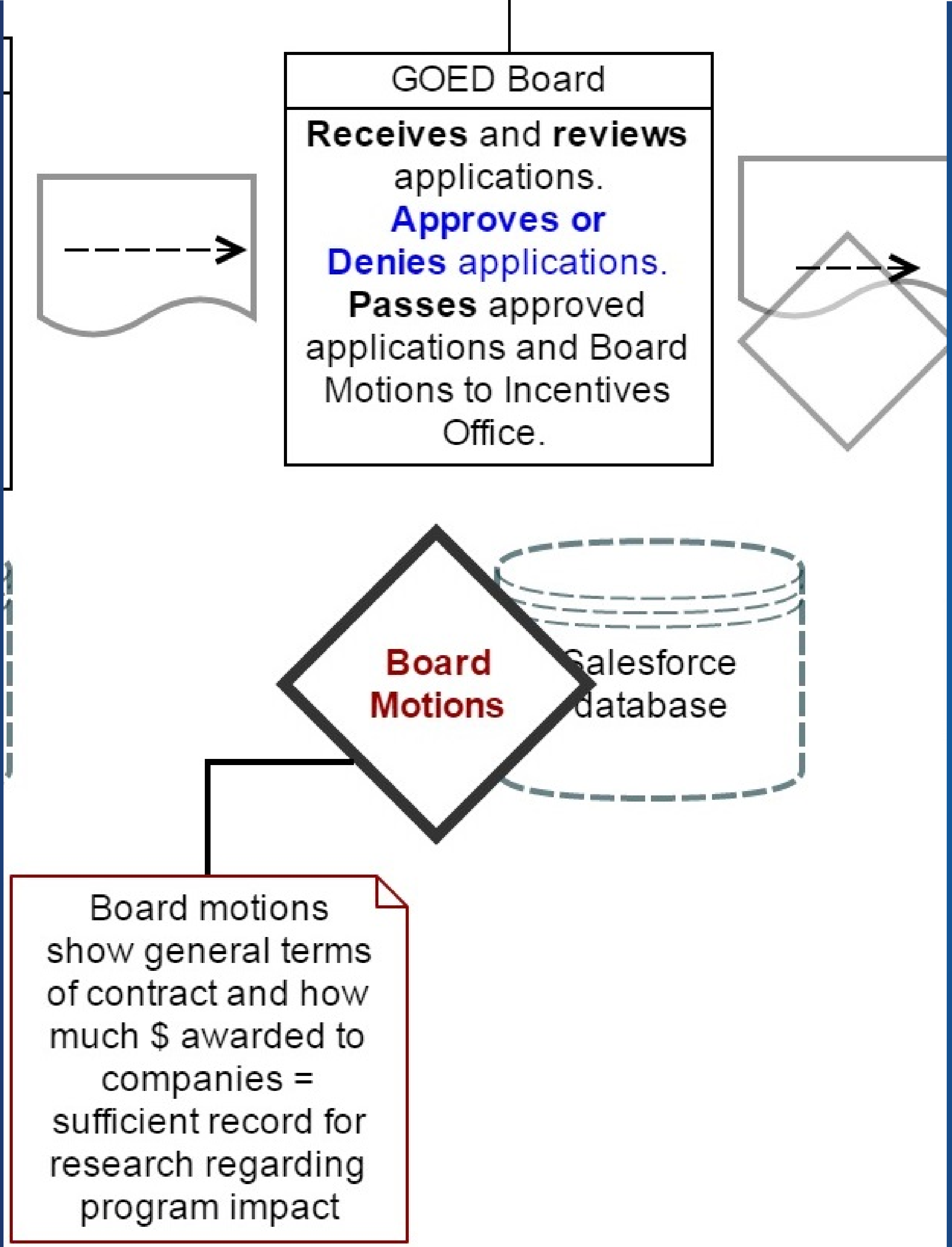
Passes applications to the GOED Board.

Applications

Crew and Location lists = historical? NO

Crew and Location Lists

Salesforce database



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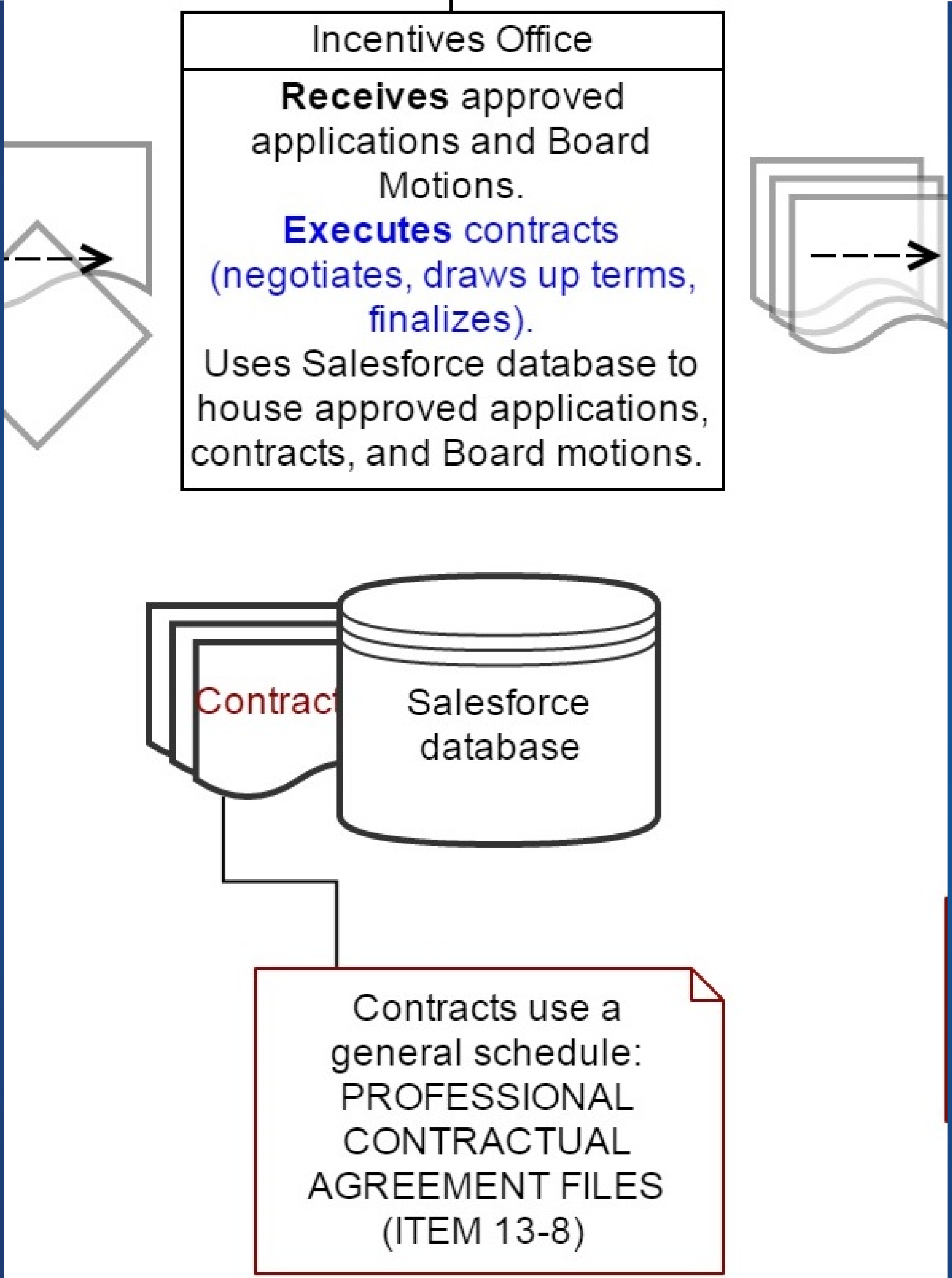

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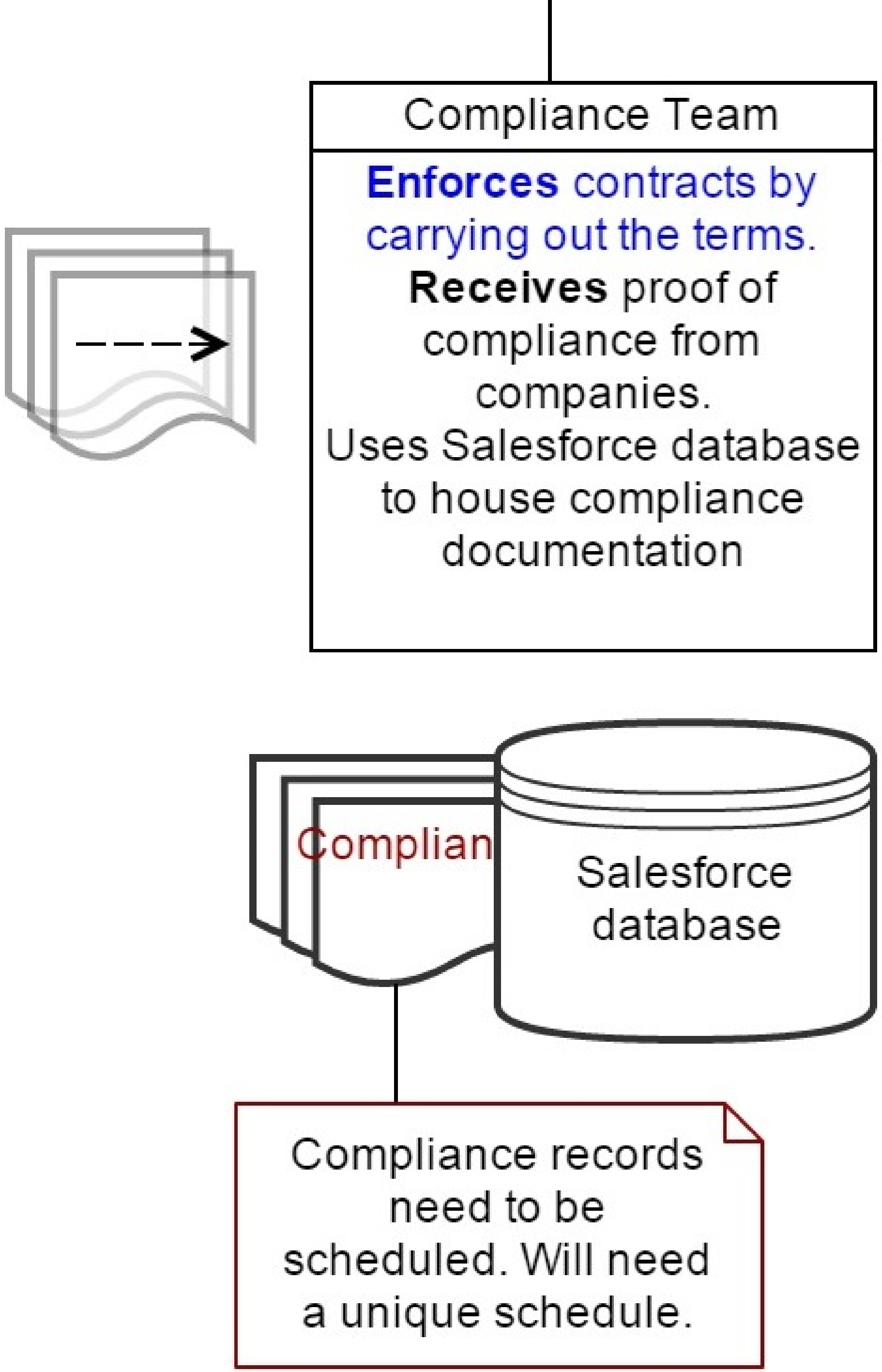
Contracts use a general schedule: PROFESSIONAL CONTRACTUAL AGREEMENT FILES (ITEM 13-8)



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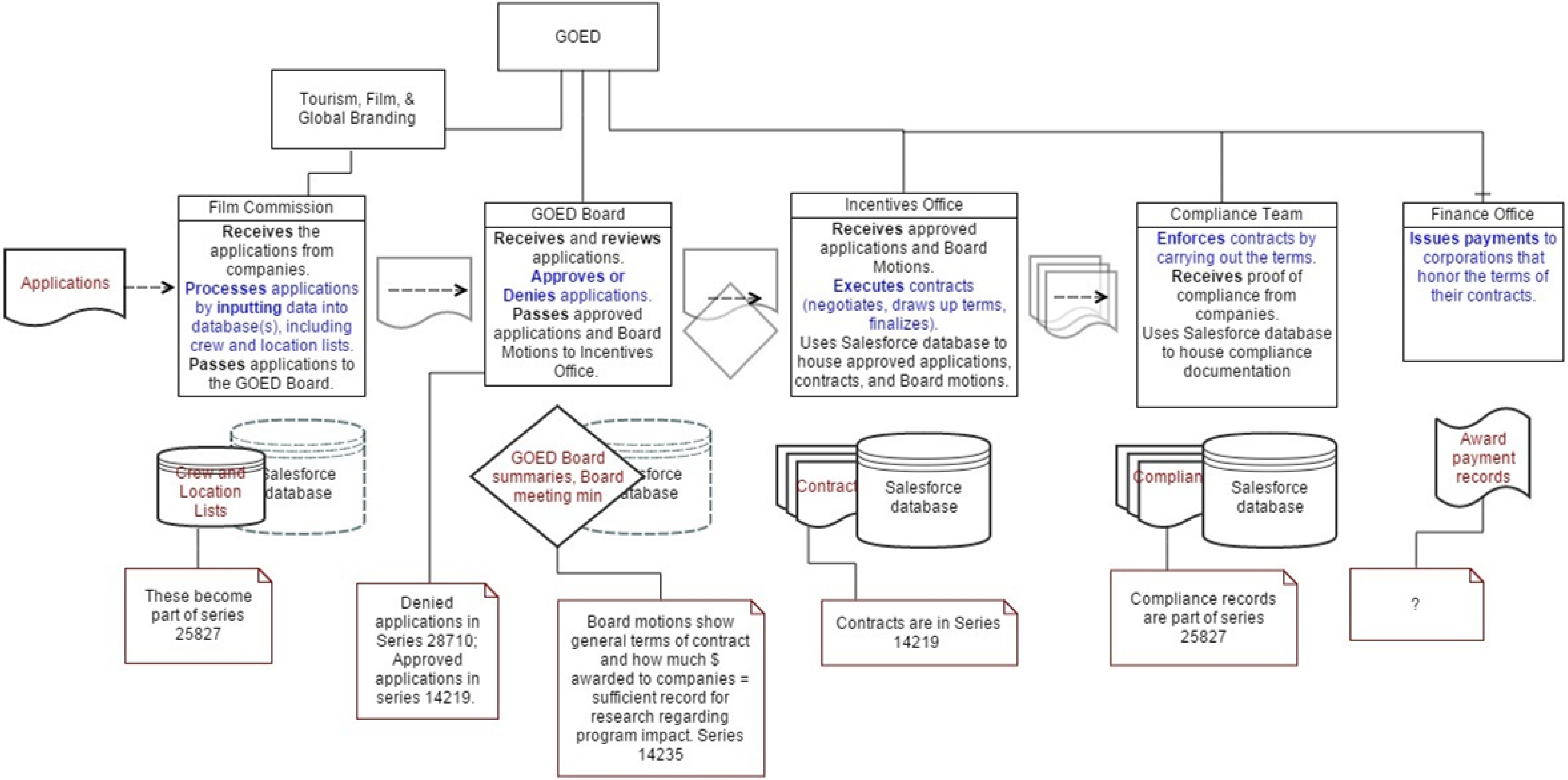
Complian
Salesforce database

Compliance records need to be scheduled. Will need a unique schedule.

MOTION PICTURE INCENTIVE PROGRAM function flowchart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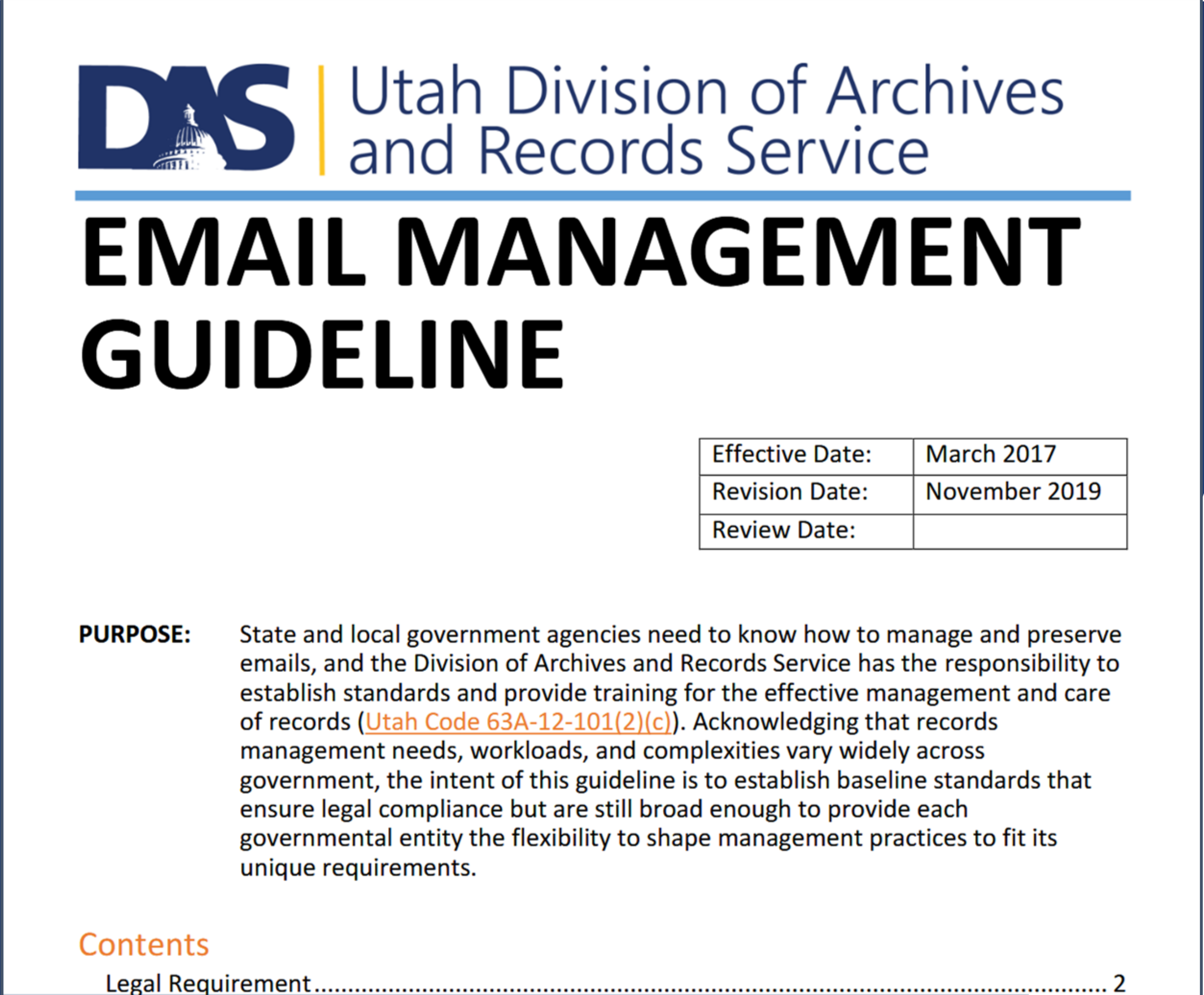
Analyzing your functions and records

What are we missing?

Why are we doing that?

Do we really need it?



Utah Division of Archives and Records Service

EMAIL MANAGEMENT GUIDELINE

Effective Date:	March 2017
Revision Date:	November 2019
Review Date:	

PURPOSE: State and local government agencies need to know how to manage and preserve emails, and the Division of Archives and Records Service has the responsibility to establish standards and provide training for the effective management and care of records (Utah Code 63A-12-101(2)(c)). Acknowledging that records management needs, workloads, and complexities vary widely across government, the intent of this guideline is to establish baseline standards that ensure legal compliance but are still broad enough to provide each governmental entity the flexibility to shape management practices to fit its unique requirements.

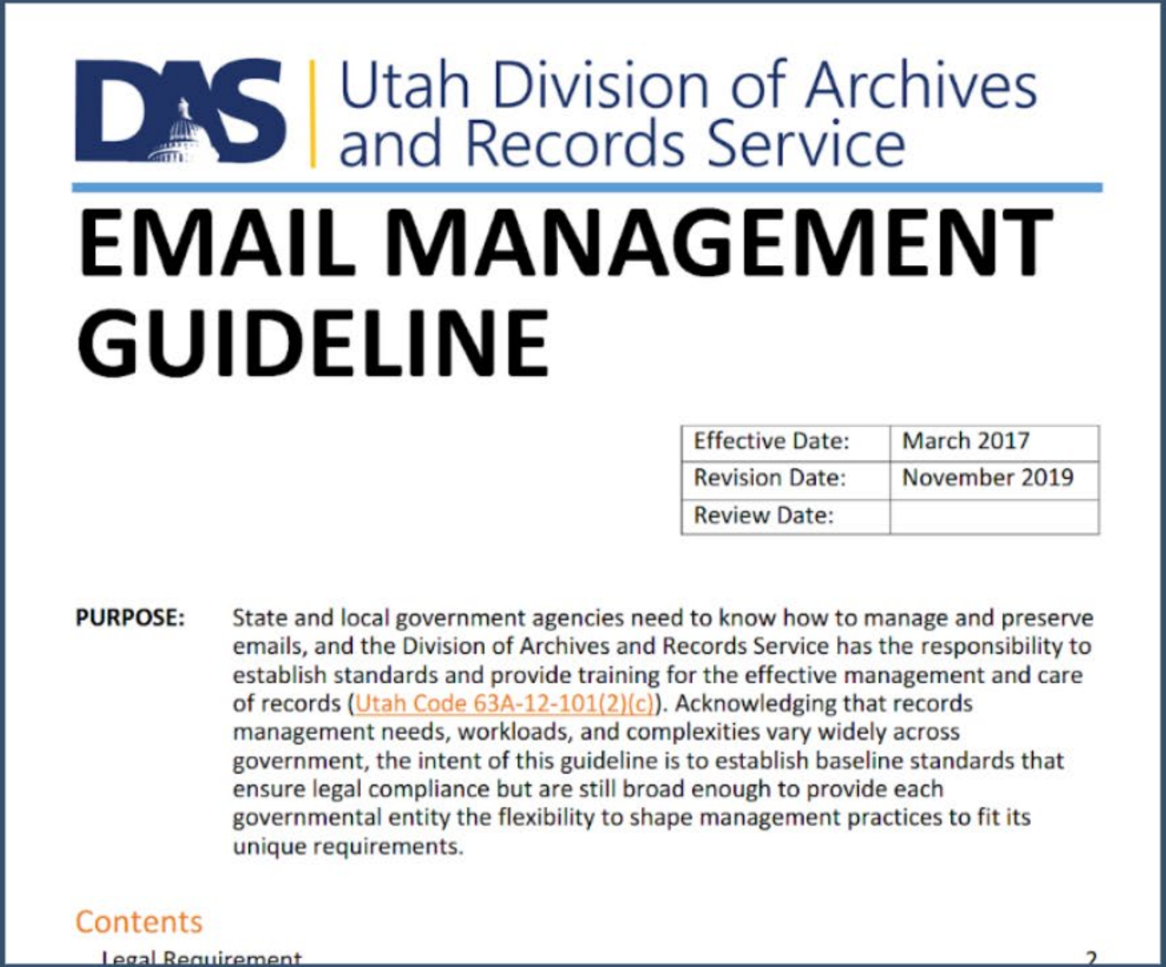
Contents

Legal Requirement 2

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, or C**

Email management guideline - is it a record?



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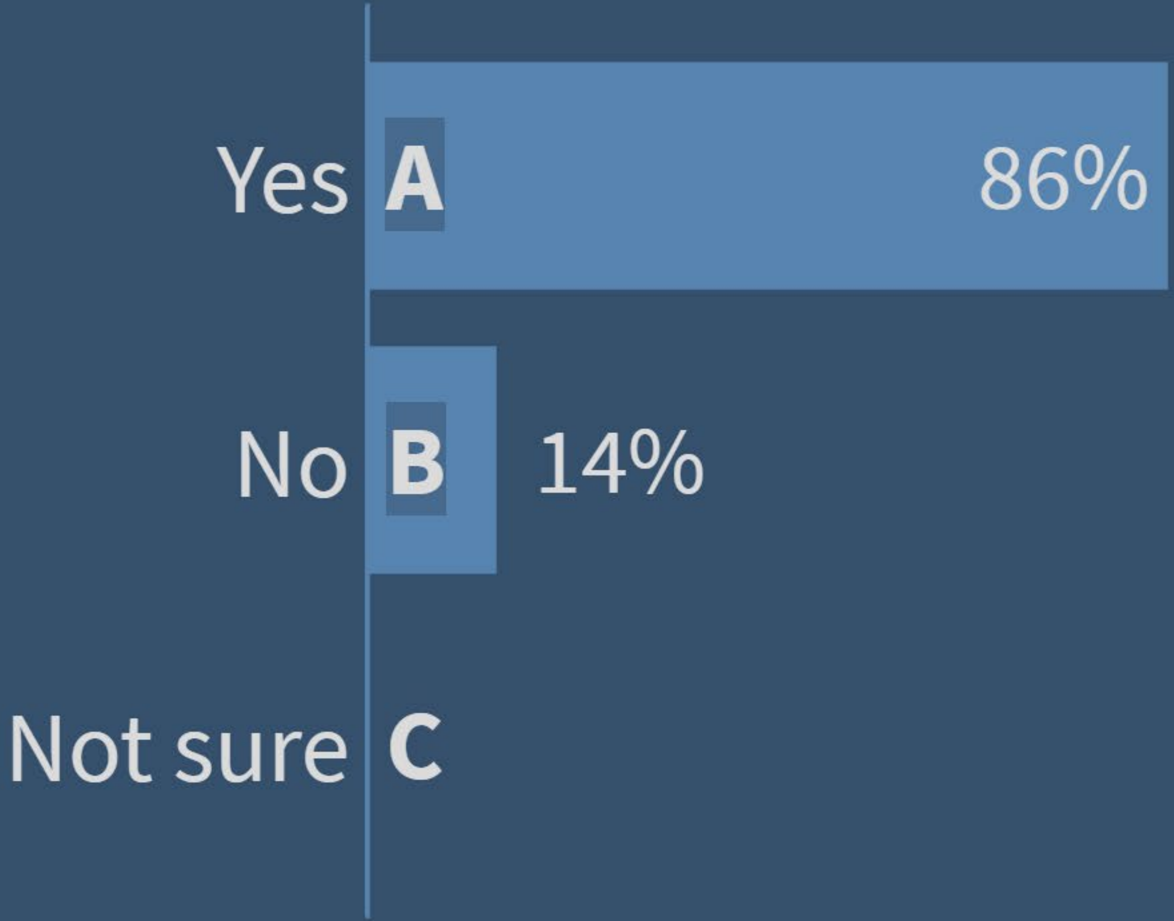
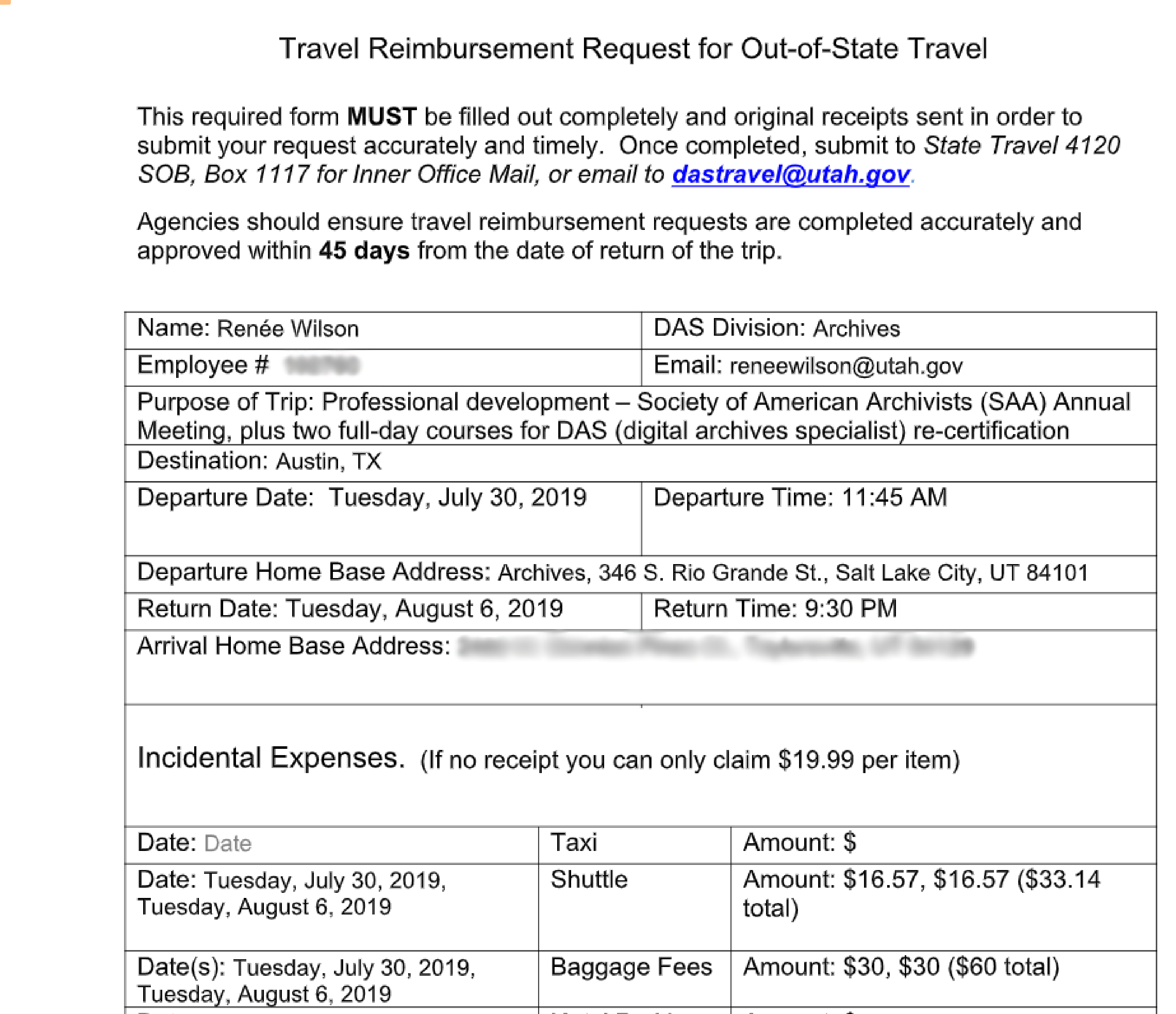




Travel Reimbursement Request for Out-of-State Travel

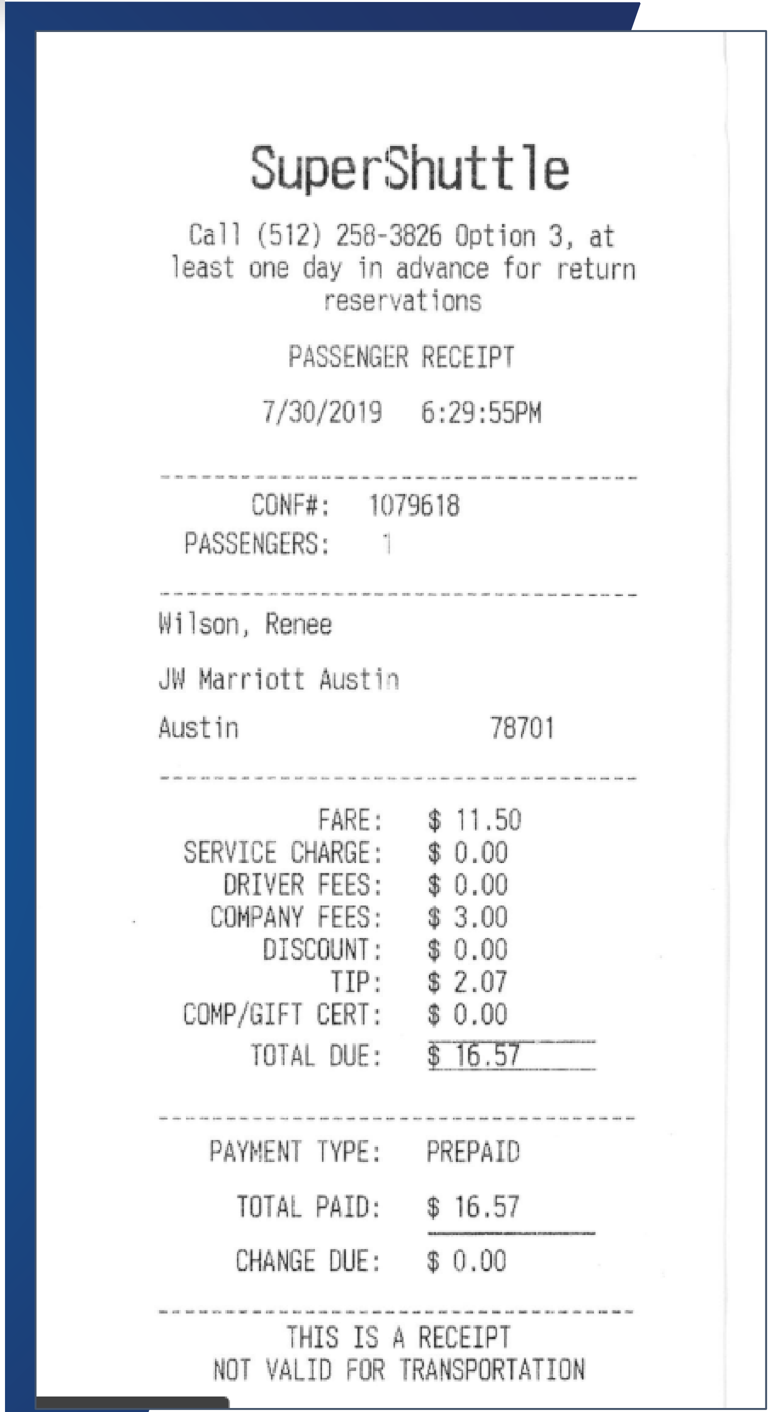
This required form **MUST** be filled out completely and original receipts sent in order to submit your request accurately and timely. Once completed, submit to *State Travel 4120 SOB, Box 1117 for Inner Office Mail, or email to dastravel@utah.gov*.

Agencies should ensure travel reimbursement requests are completed accurately and approved within **45 days** from the date of return of the trip.

Name: Renée Wilson	DAS Division: Archives
Employee # [redacted]	Email: reneewilson@utah.gov
Purpose of Trip: Professional development – Society of American Archivists (SAA) Annual Meeting, plus two full-day courses for DAS (digital archives specialist) re-certification	
Destination: Austin, TX	
Departure Date: Tuesday, July 30, 2019	Departure Time: 11:45 AM
Departure Home Base Address: Archives, 346 S. Rio Grande St., Salt Lake City, UT 84101	
Return Date: Tuesday, August 6, 2019	Return Time: 9:30 PM
Arrival Home Base Address: [redacted]	

Incidental Expenses. (If no receipt you can only claim $19.99 per item)

Date: Date	Taxi	Amount: $
Date: Tuesday, July 30, 2019, Tuesday, August 6, 2019	Shuttle	Amount: $16.57, $16.57 ($33.14 total)
Date(s): Tuesday, July 30, 2019, Tuesday, August 6, 2019	Baggage Fees	Amount: $30, $30 ($60 total)



SuperShuttle

Call (512) 258-3826 Option 3, at least one day in advance for return reservations

PASSENGER RECEIPT

7/30/2019 6:29:55PM

CONF#: 1079618
PASSENGERS: 1

Wilson, Renee
JW Marriott Austin
Austin 78701

FARE:	$ 11.50
SERVICE CHARGE:	$ 0.00
DRIVER FEES:	$ 0.00
COMPANY FEES:	$ 3.00
DISCOUNT:	$ 0.00
TIP:	$ 2.07
COMP/GIFT CERT:	$ 0.00
TOTAL DUE:	$ 16.57
PAYMENT TYPE:	PREPAID
TOTAL PAID:	$ 16.57
CHANGE DUE:	$ 0.00

THIS IS A RECEIPT
NOT VALID FOR TRANSPORTATION

Respond at **PollEv.com/statearchive240**

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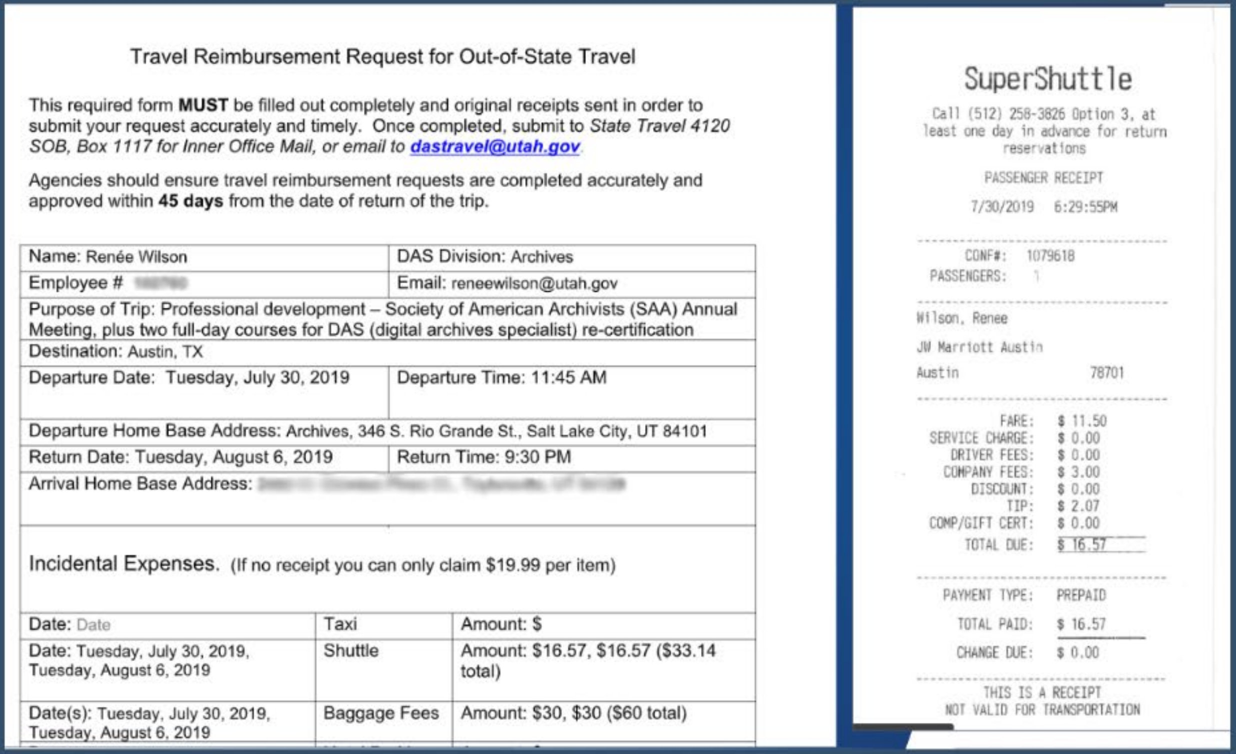
Reimbursement request - is it a record?



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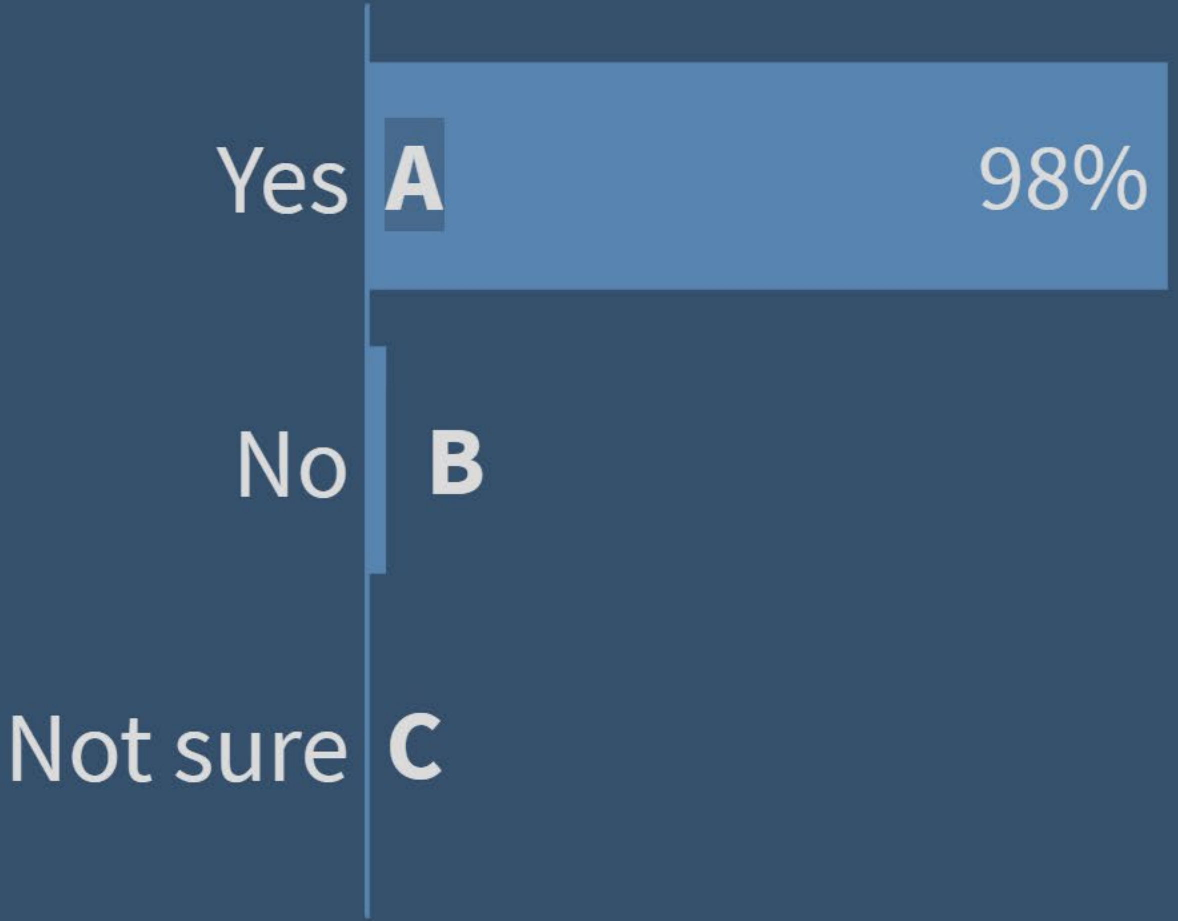

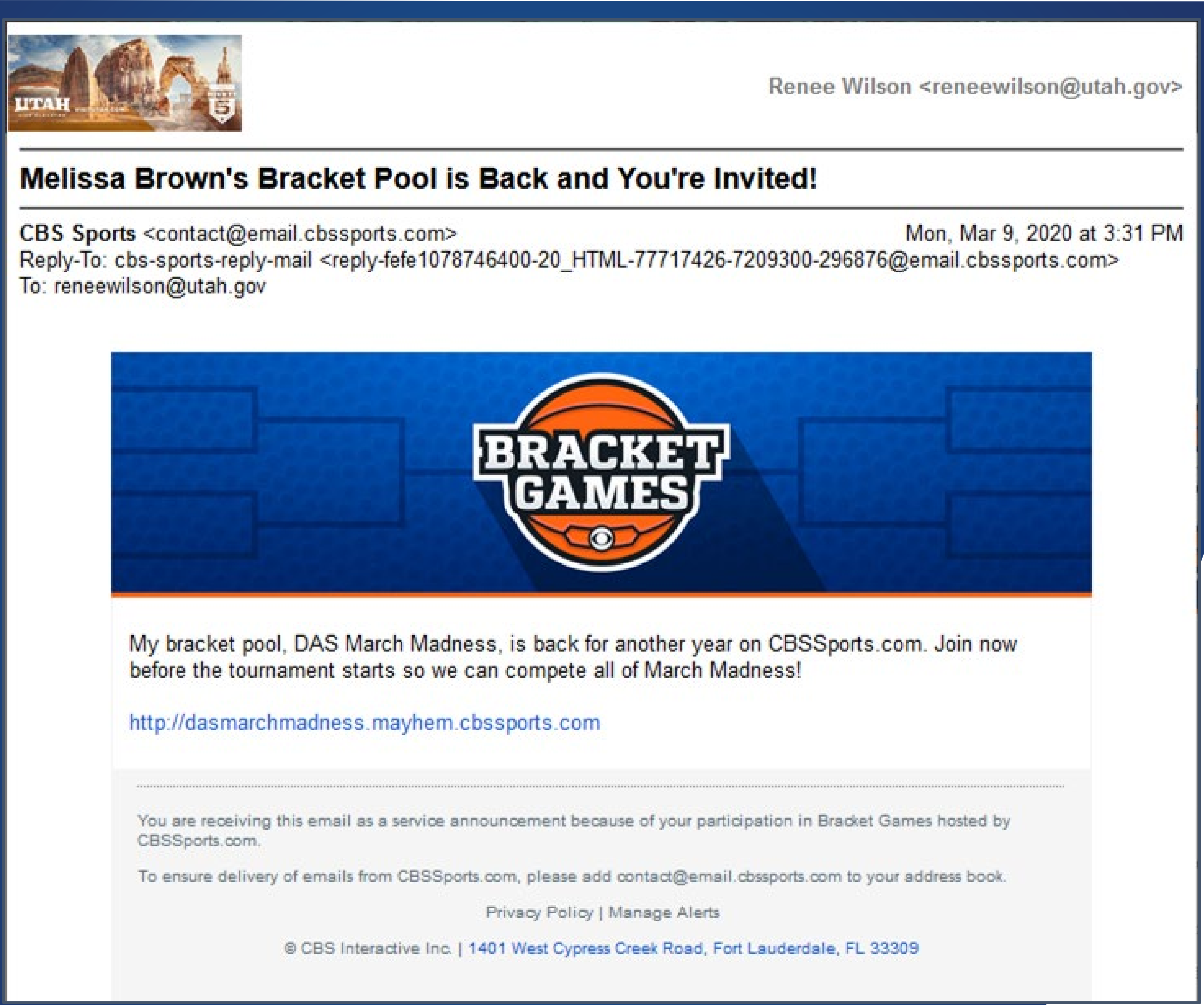

Renee Wilson <reneewilson@utah.gov>

Melissa Brown's Bracket Pool is Back and You're Invited!

CBS Sports <contact@email.cbssports.com> Mon, Mar 9, 2020 at 3:31 PM
Reply-To: cbs-sports-reply-mail <reply-fefe1078746400-20_HTML-77717426-7209300-296876@email.cbssports.com>
To: reneewilson@utah.gov

My bracket pool, DAS March Madness, is back for another year on CBSSports.com. Join now before the tournament starts so we can compete all of March Madness!

http://dasmarchmadness.mayhem.cbssports.com

You are receiving this email as a service announcement because of your participation in Bracket Games hosted by CBSSports.com.

To ensure delivery of emails from CBSSports.com, please add contact@email.cbssports.com to your address book.

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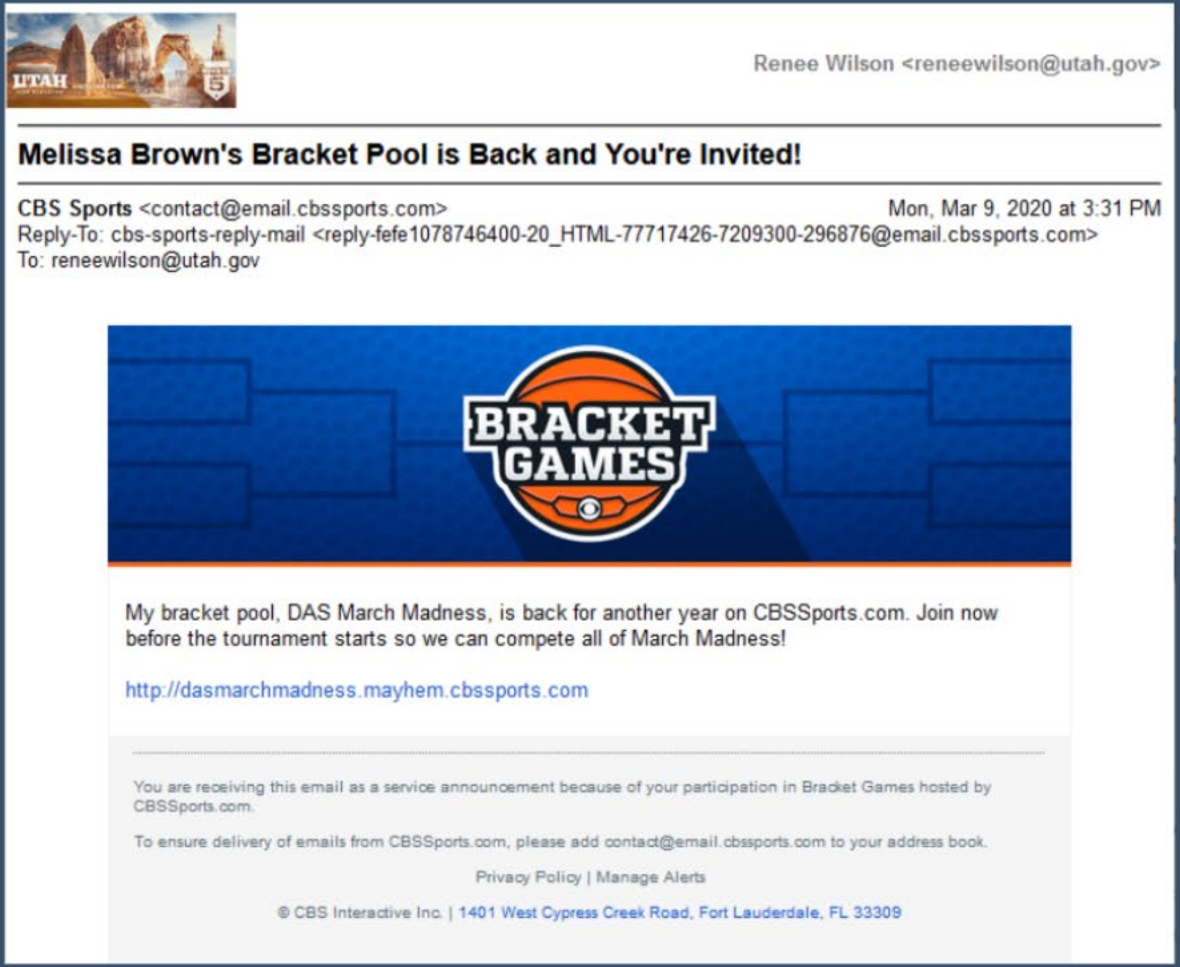

Renee Wilson <reneewilson@utah.gov>

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CBS Sports <contact@email.cbssports.com> Mon, Mar 9, 2020 at 3:31 PM
Reply-To: cbs-sports-reply-mail <reply-fefe1078746400-20_HTML-77717426-7209300-296876@email.cbssports.com>
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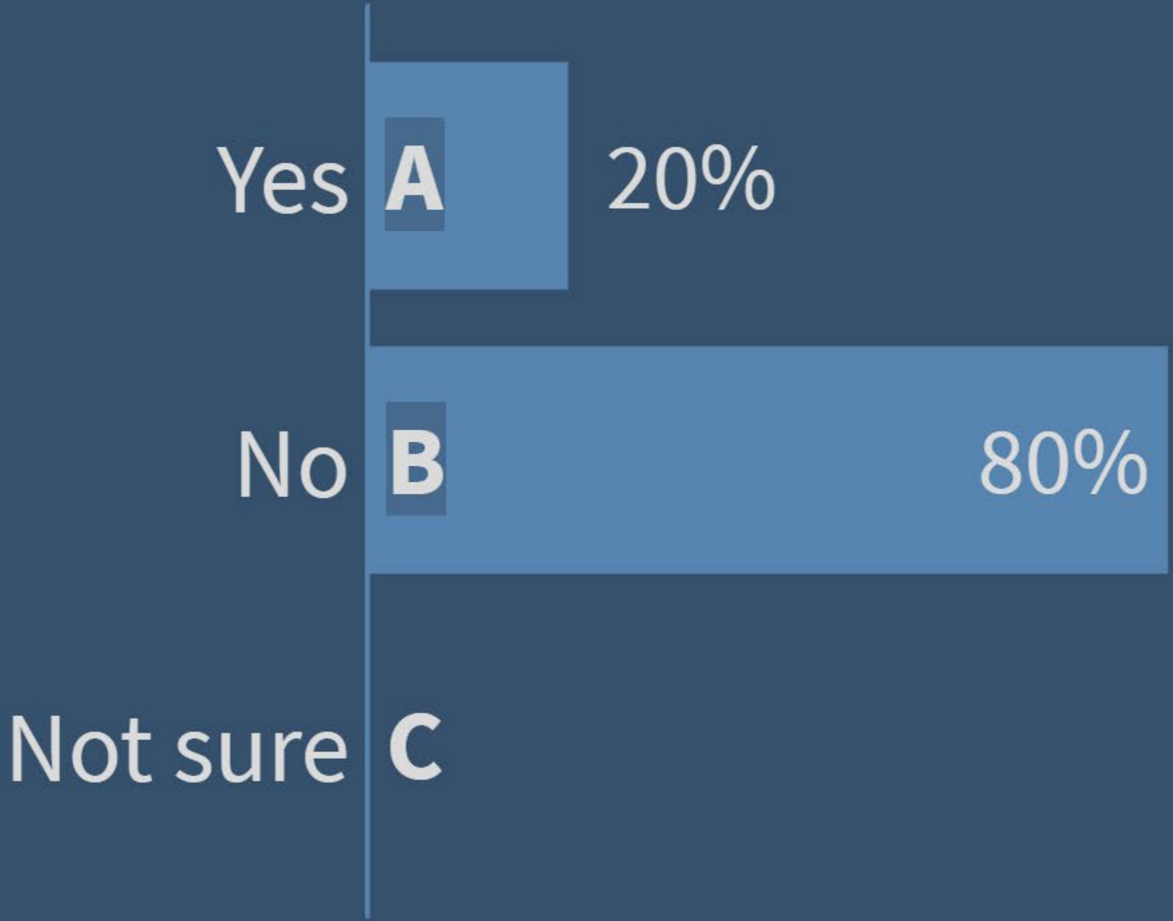


Issue:

You're trying to implement a RIM program, but no one seems very supportive

1. Who's on your team
2. Legal requirements
3. RIM benefits

Your RIM Team

- Every employee contributes to RIM to some extent
- RIM involves many roles, not just the records manager, though one person may fill many roles

Elements of a RIM program

Records Management

Elements of a RIM program

Information Technology (IT)

Records Management

Elements of a RIM program

Information Technology (IT)

Legal

Records Management

Elements of a RIM program

- Information Technology (IT)
- Legal
- Records Management
- Security

Elements of a RIM program

Information Technology (IT)

Legal

Records Management

Security

Compliance

Elements of a RIM program

Information Technology (IT)

Legal

Records Management

Security

Risk

Compliance

Elements of a RIM program

Information Technology (IT)

Legal

Records Management

Executive / Director

Security

Risk

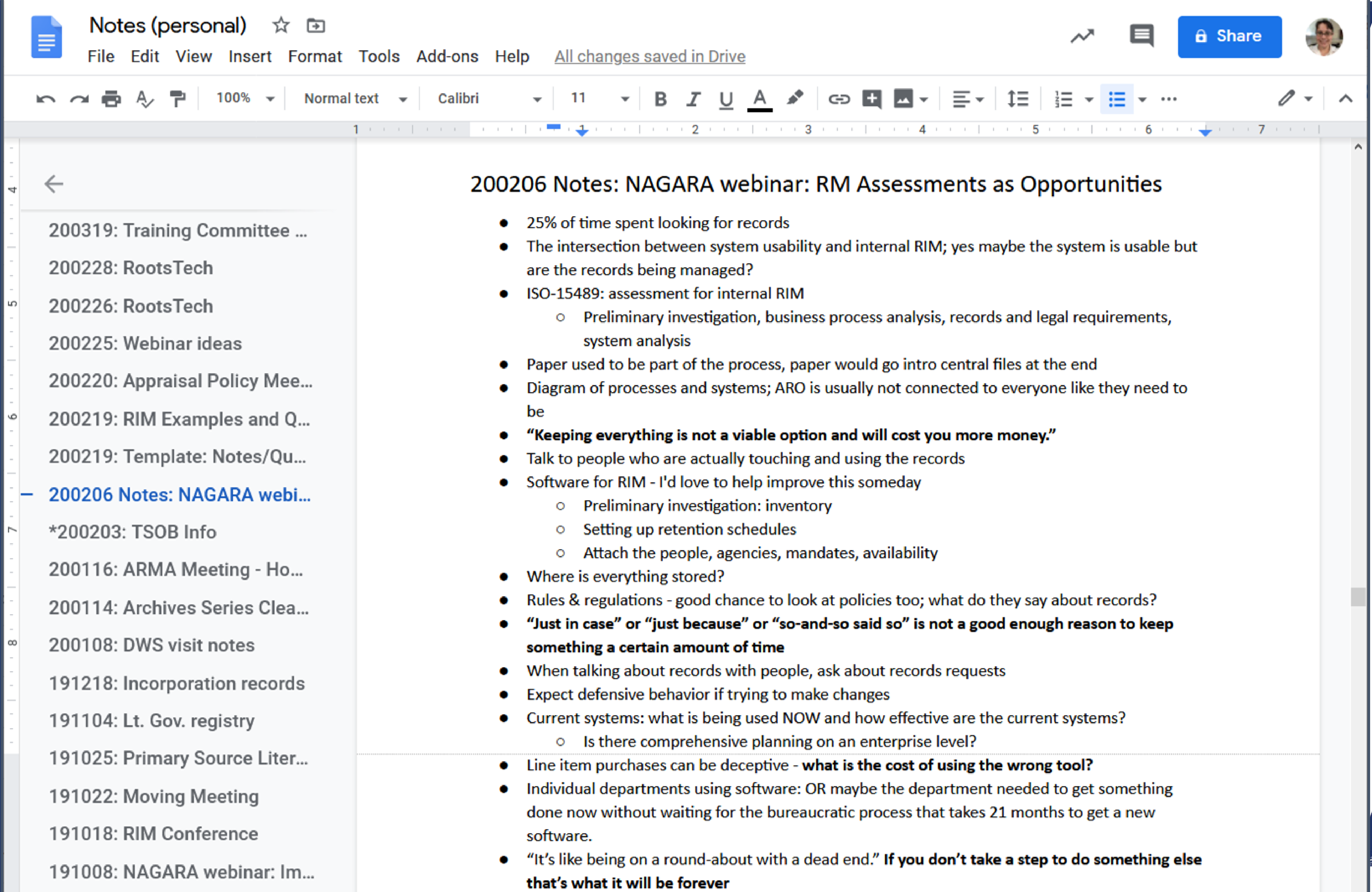
Compliance

Assign & train staff members

- Determine who will
  - Track each copy, especially the record copy
  - Monitor retention
  - Destroy and document
- They need to understand the roles that they play in the management of your agency’s records
- Keep instructions simple and clear

Training ideas

- Show real-world examples of consequences (negative or positive) of following (or not) RIM policies/procedures
- Share facts during staff meeting or in newsletter
- Post information on the fridge or in bathroom
- Bring chocolate to RIM discussions
- Make it fun / attractive
- Videos with staff acting out situations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- 200319: Training Committee ...
- 200228: RootsTech
- 200226: RootsTech
- 200225: Webinar ideas
- 200220: Appraisal Policy Mee...
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- 200108: DWS visit notes
- 191218: Incorporation records
- 191104: Lt. Gov. registry
- 191025: Primary Source Liter...
- 191022: Moving Meeting
- 191018: RIM Conference
- 191008: NAGARA webinar: Im...

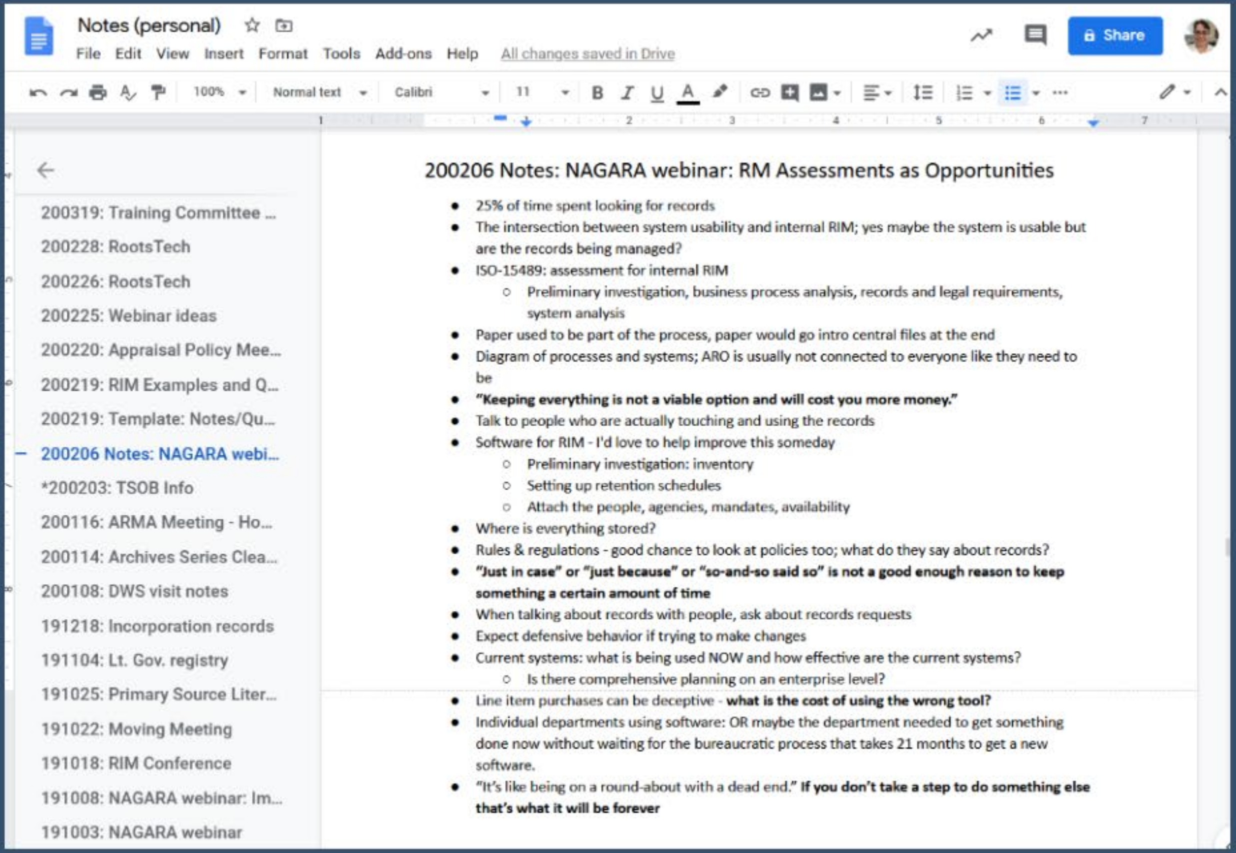
200206 Notes: NAGARA webinar: RM Assessments as Opportunities

- 25% of time spent looking for records
- The intersection between system usability and internal RIM; yes maybe the system is usable but are the records being managed?
- ISO-15489: assessment for internal RIM
  - Preliminary investigation, business process analysis, records and legal requirements, system analysis
- Paper used to be part of the process, paper would go intro central files at the end
- Diagram of processes and systems; ARO is usually not connected to everyone like they need to be
- **“Keeping everything is not a viable option and will cost you more money.”**
- Talk to people who are actually touching and using the records
- Software for RIM - I'd love to help improve this someday
  - Preliminary investigation: inventory
  - Setting up retention schedules
  - Attach the people, agencies, mandates, availability
- Where is everything stored?
- Rules & regulations - good chance to look at policies too; what do they say about records?
- **“Just in case” or “just because” or “so-and-so said so” is not a good enough reason to keep something a certain amount of time**
- When talking about records with people, ask about records requests
- Expect defensive behavior if trying to make changes
- Current systems: what is being used NOW and how effective are the current systems?
  - Is there comprehensive planning on an enterprise level?
- Line item purchases can be deceptive - **what is the cost of using the wrong tool?**
- Individual departments using software: OR maybe the department needed to get something done now without waiting for the bureaucratic process that takes 21 months to get a new software.
- “It’s like being on a round-about with a dead end.” **If you don’t take a step to do something else that’s what it will be forever**

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, or C**

Notes - is it a record?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- Where is everything stored?
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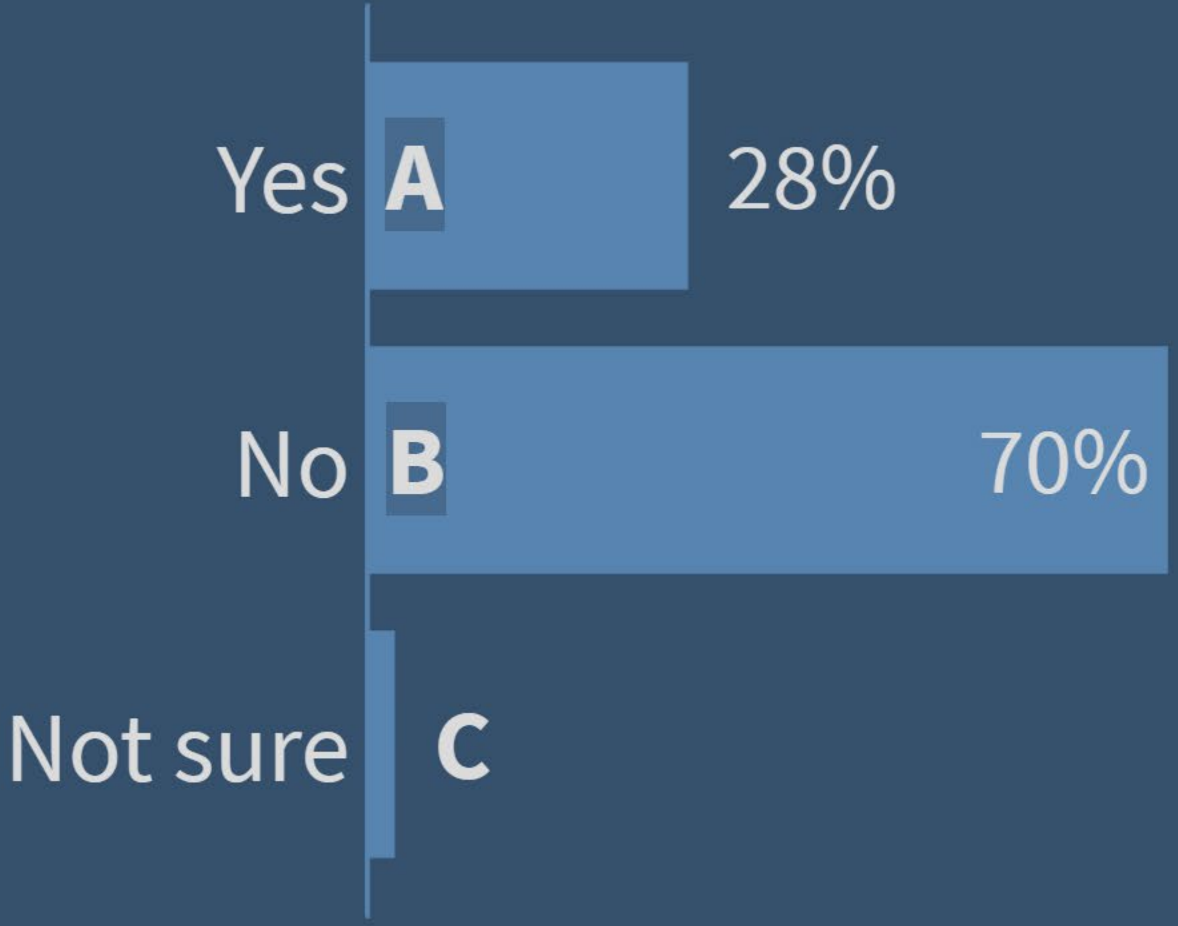
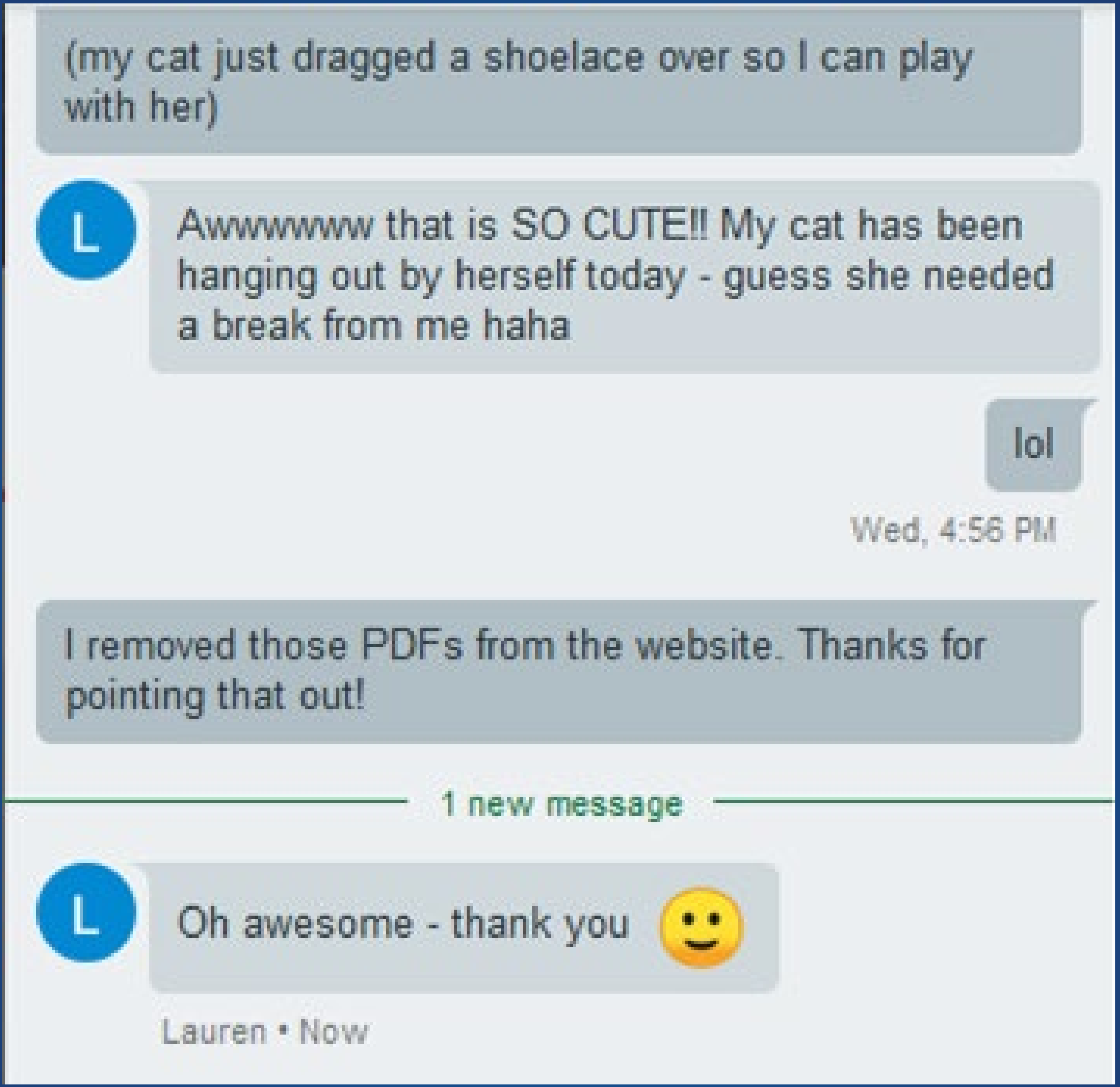
- **"Just in case" or "just because" or "so-and-so said so" is not a good enough reason to keep something a certain amount of time**
- When talking about records with people, ask about records requests
- Expect defensive behavior if trying to make changes
- Current systems: what is being used NOW and how effective are the current systems?
    - Is there comprehensive planning on an enterprise level?
- Line item purchases can be deceptive - **what is the cost of using the wrong tool?**
- Individual departments using software: OR maybe the department needed to get something done now without waiting for the bureaucratic process that takes 21 months to get a new software.
- "It's like being on a round-about with a dead end." **If you don't take a step to do something else that's what it will be forever**





(my cat just dragged a shoelace over so I can play with her)

L

Awwwwww that is SO CUTE!! My cat has been hanging out by herself today - guess she needed a break from me haha

lol

Wed, 4:56 PM

I removed those PDFs from the website. Thanks for pointing that out!

1 new message

L

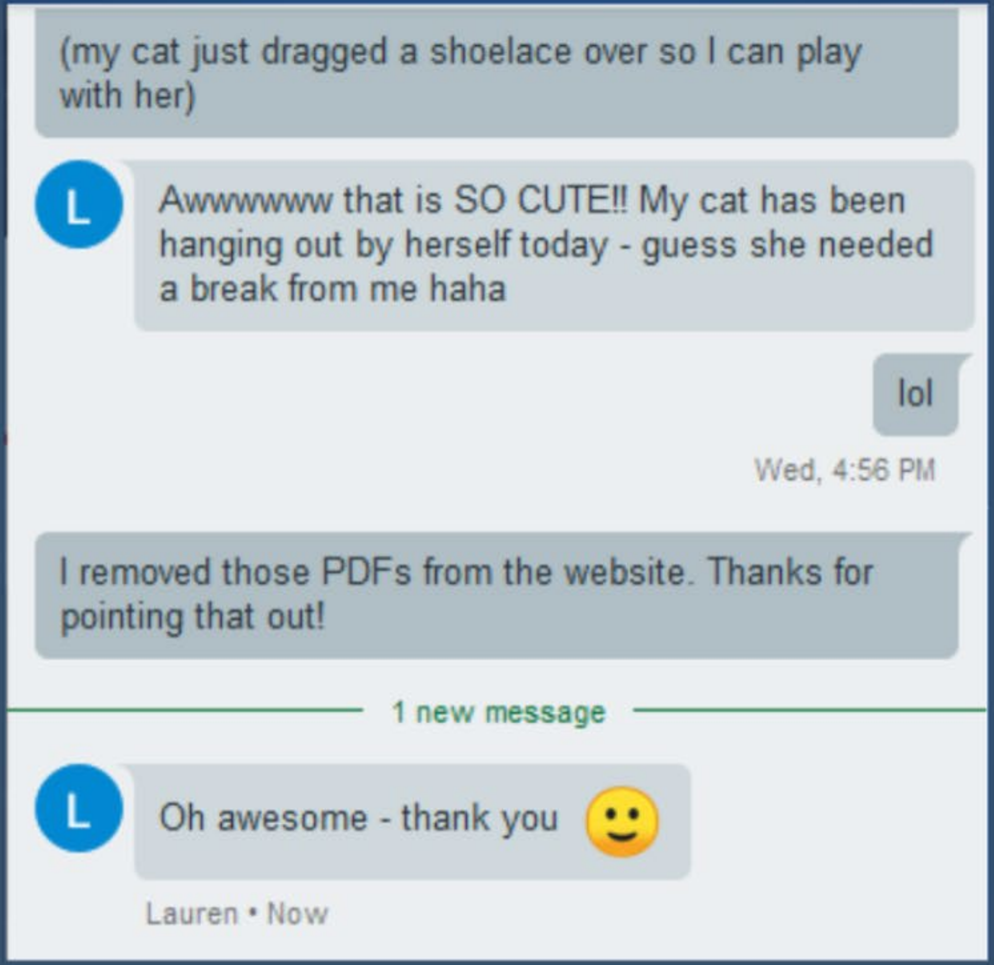
Oh awesome - thank you 🙂

Lauren • Now

Respond at **PollEv.com/statearchive240**

Text **STATEARCHIVE240** to **22333** once to join, then **A, B, or C**

Chat with Lauren - is it a record?



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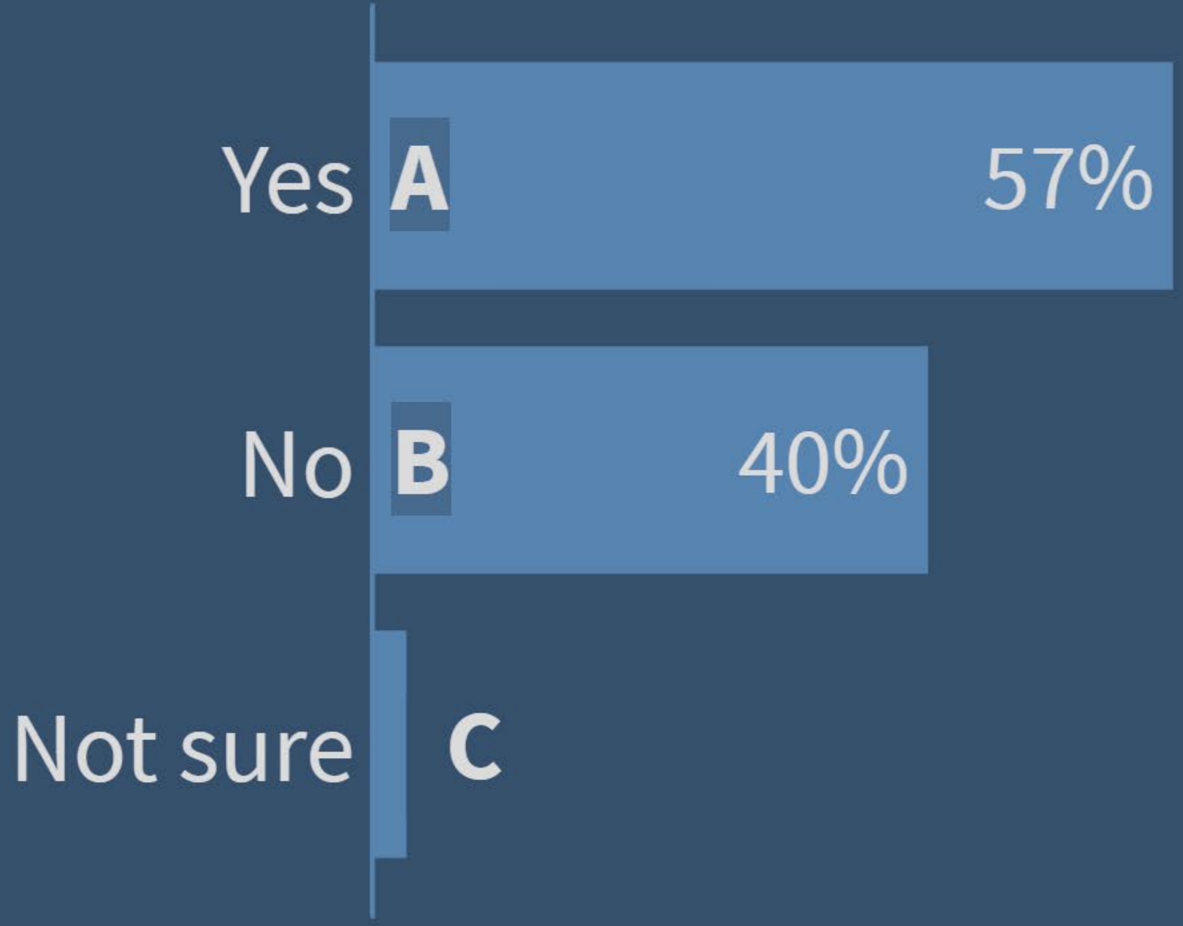

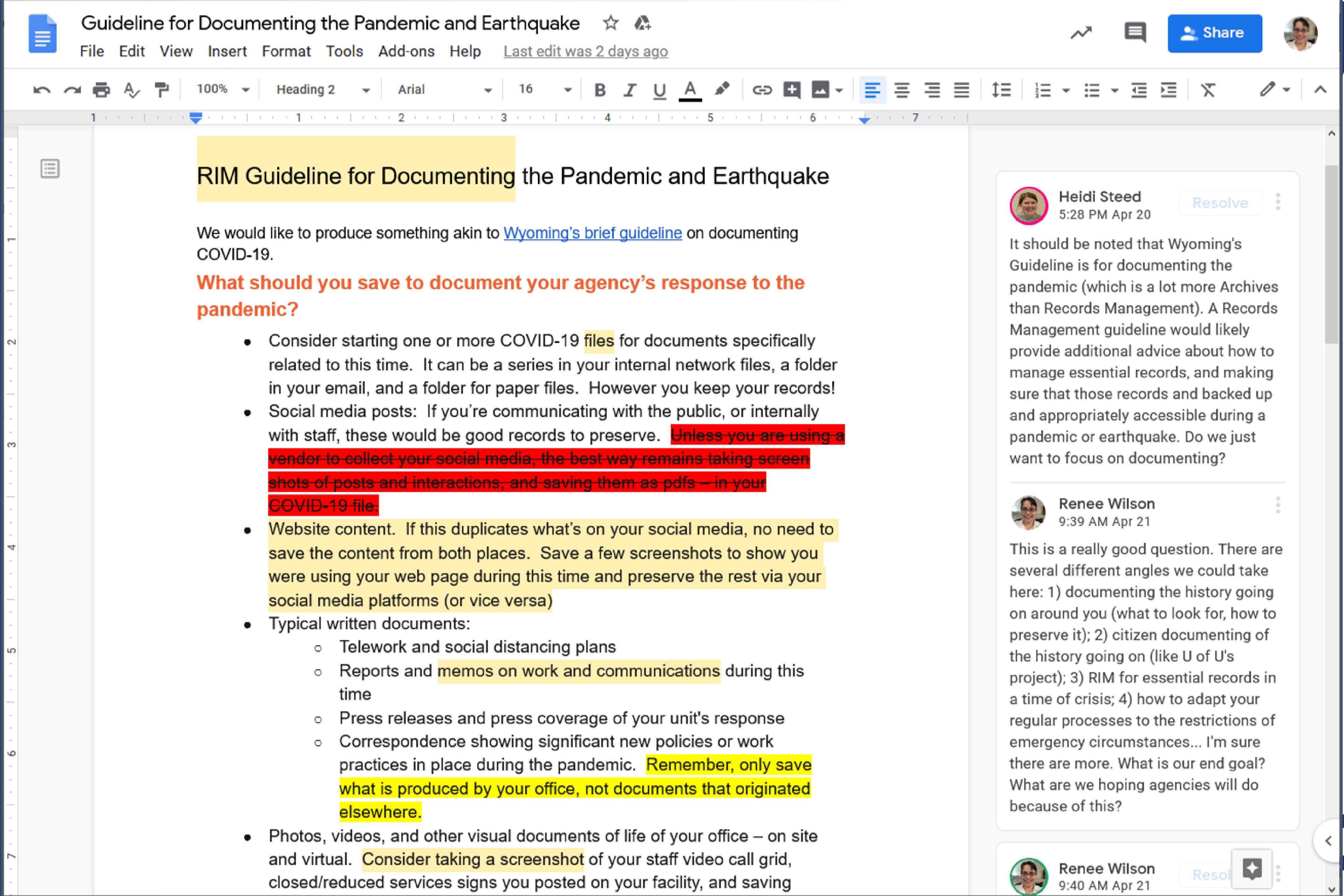
Guideline for Documenting the Pandemic and Earthquake
File Edit View Insert Format Tools Add-ons Help
Last edit was 2 days ago
Share
100%
Heading 2
Arial
16
Resolve

RIM Guideline for Documenting the Pandemic and Earthquake

We would like to produce something akin to Wyoming's brief guideline on documenting COVID-19.

What should you save to document your agency's response to the pandemic?

- Consider starting one or more COVID-19 files for documents specifically related to this time. It can be a series in your internal network files, a folder in your email, and a folder for paper files. However you keep your records!
- Social media posts: If you're communicating with the public, or internally with staff, these would be good records to preserve. ~~Unless you are using a vendor to collect your social media, the best way remains taking screen shots of posts and interactions, and saving them as pdfs – in your COVID-19 file.~~
- Website content. If this duplicates what's on your social media, no need to save the content from both places. Save a few screenshots to show you were using your web page during this time and preserve the rest via your social media platforms (or vice versa)
- Typical written documents:
  - Telework and social distancing plans
  - Reports and memos on work and communications during this time
  - Press releases and press coverage of your unit's response
  - Correspondence showing significant new policies or work practices in place during the pandemic. Remember, only save what is produced by your office, not documents that originated elsewhere.
- Photos, videos, and other visual documents of life of your office – on site and virtual. Consider taking a screenshot of your staff video call grid, closed/reduced services signs you posted on your facility, and saving

Heidi Steed
5:28 PM Apr 20

It should be noted that Wyoming's Guideline is for documenting the pandemic (which is a lot more Archives than Records Management). A Records Management guideline would likely provide additional advice about how to manage essential records, and making sure that those records and backed up and appropriately accessible during a pandemic or earthquake. Do we just want to focus on documenting?

Renee Wilson
9:39 AM Apr 21

This is a really good question. There are several different angles we could take here: 1) documenting the history going on around you (what to look for, how to preserve it); 2) citizen documenting of the history going on (like U of U's project); 3) RIM for essential records in a time of crisis; 4) how to adapt your regular processes to the restrictions of emergency circumstances... I'm sure there are more. What is our end goal? What are we hoping agencies will do because of this?

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9:40 AM Apr 21

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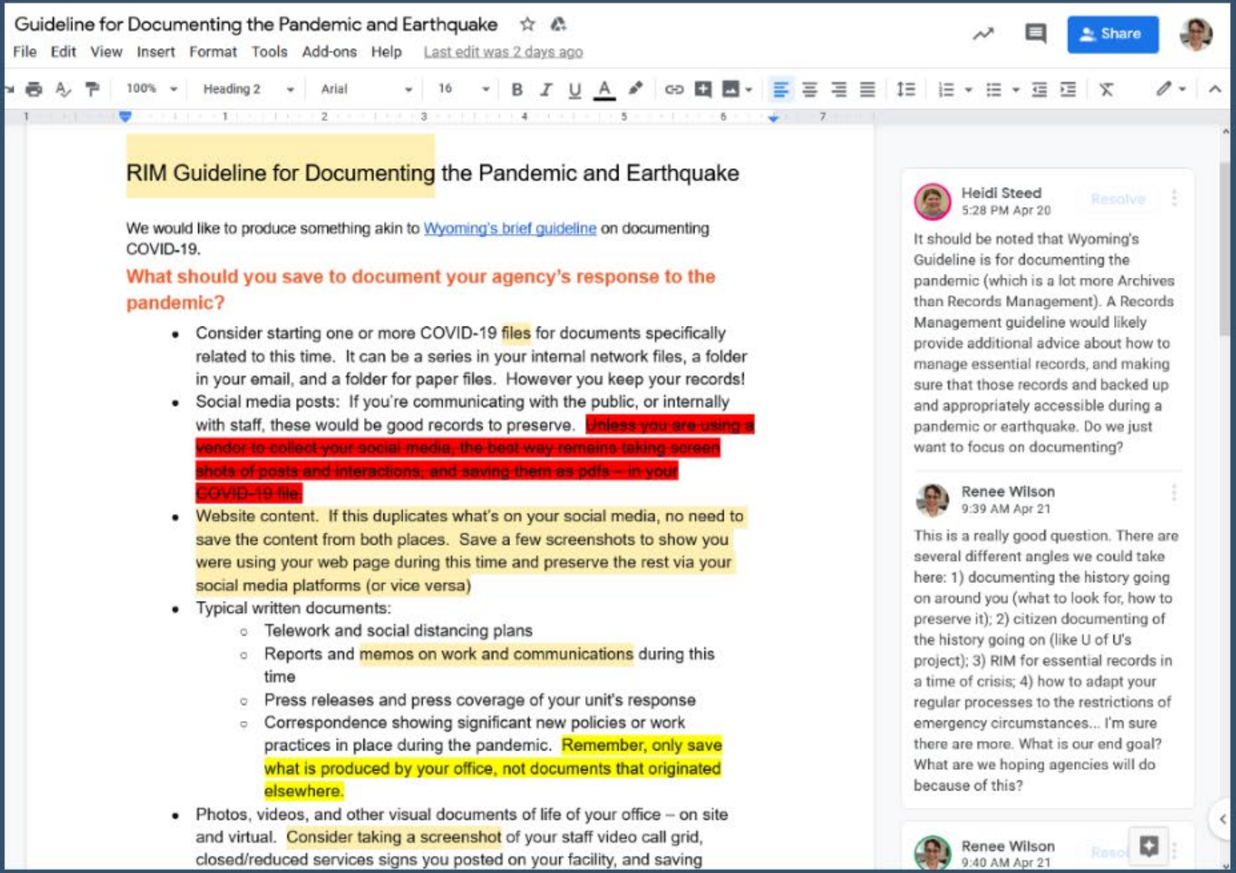
Google Doc draft with comments - is it a record?



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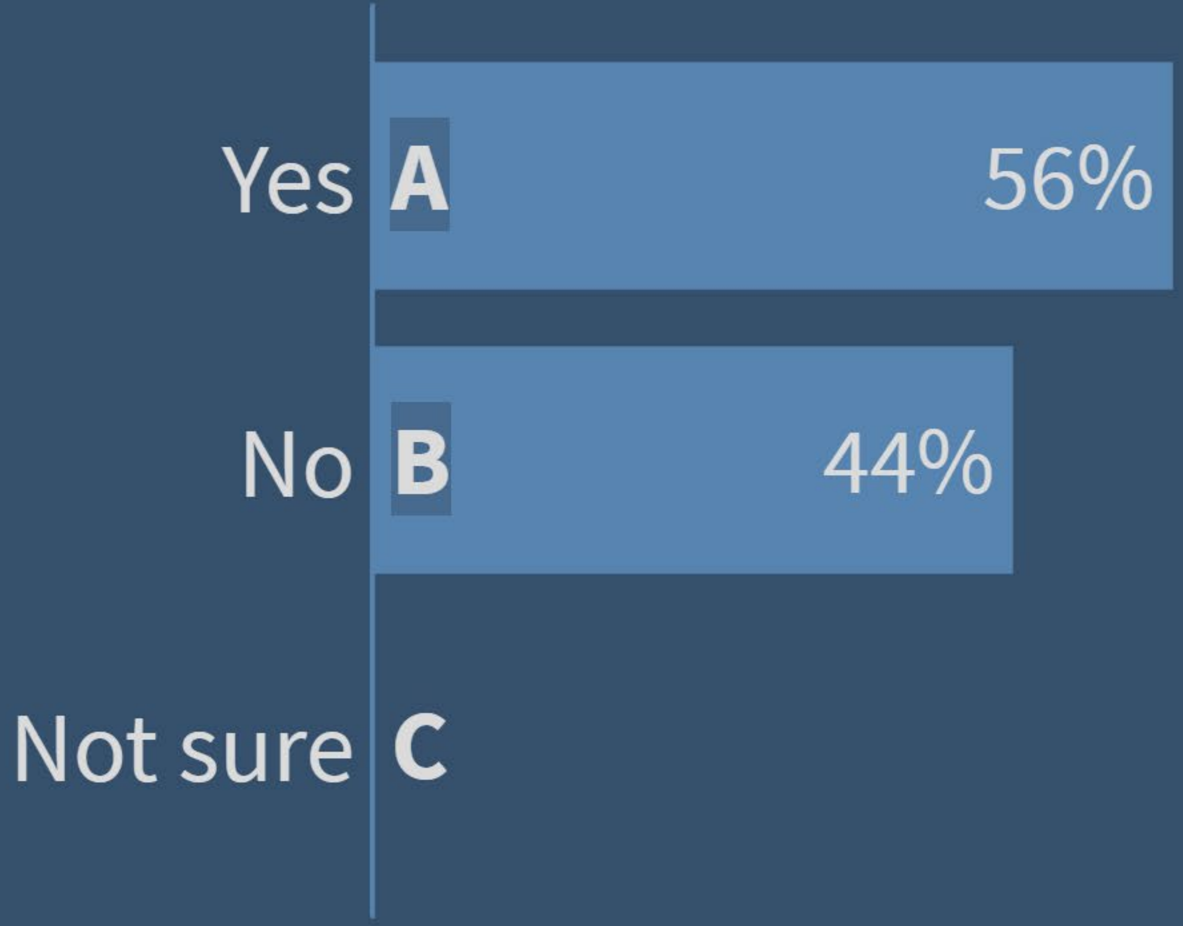


Legal requirements - Chief Administrative Officer

- Establish records management program
- Appoint records officer(s)
- Ensure that they certify annually

Legal requirements - records officer

- Care and Maintenance

  Scheduling and Disposal

  Classification and Designation

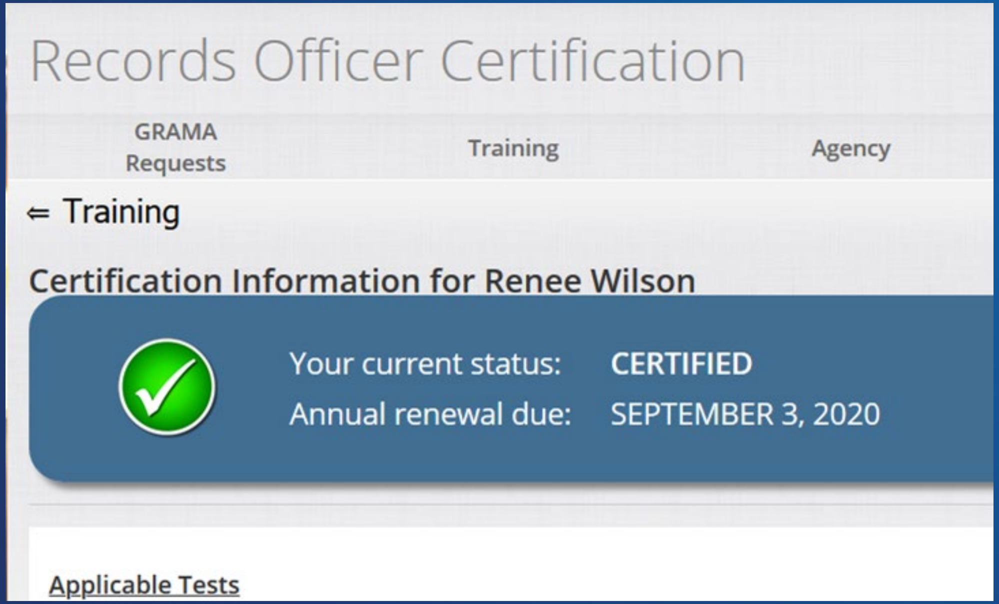
  Providing access

  Preservation

- Point of contact for working with the Archives

Certifying Annually

- Every records officer (almost)
- Utah Code 63G-2-108


GRAMA Requests
Training
Agency

Records Officer Certification

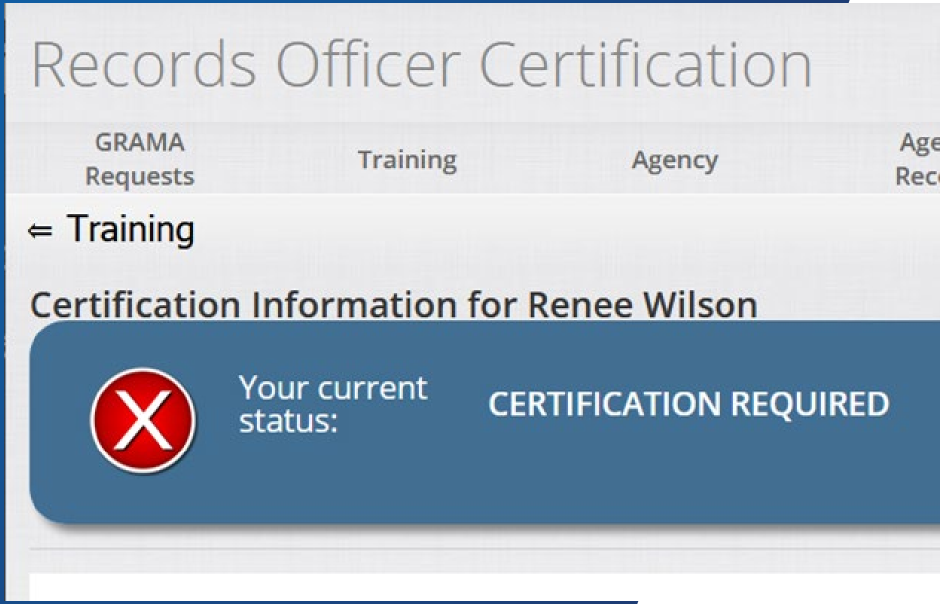
⇐ Training

Certification Information for Renee Wilson

✓ Your current status: **CERTIFIED**

Annual renewal due: SEPTEMBER 3, 2020

Applicable Tests


GRAMA Requests
Training
Agency
Age Rec

Records Officer Certification

⇐ Training

Certification Information for Renee Wilson

✗ Your current status: **CERTIFICATION REQUIRED**

There are 2 ways to certify

Records Access

- GRAMA
- Classifying records
- Responding to GRAMA requests appropriately

Records Management

- PRMA and GRAMA
- Understanding records
- Implementing retention schedules

You only need to take one test each year in order to certify.

But we don't just do this because the law says so

Benefits of an active RIM program

- Increased efficiency
- Reduced cost
- Reduced risk
- Increased transparency
- Better documentation of agency and state history

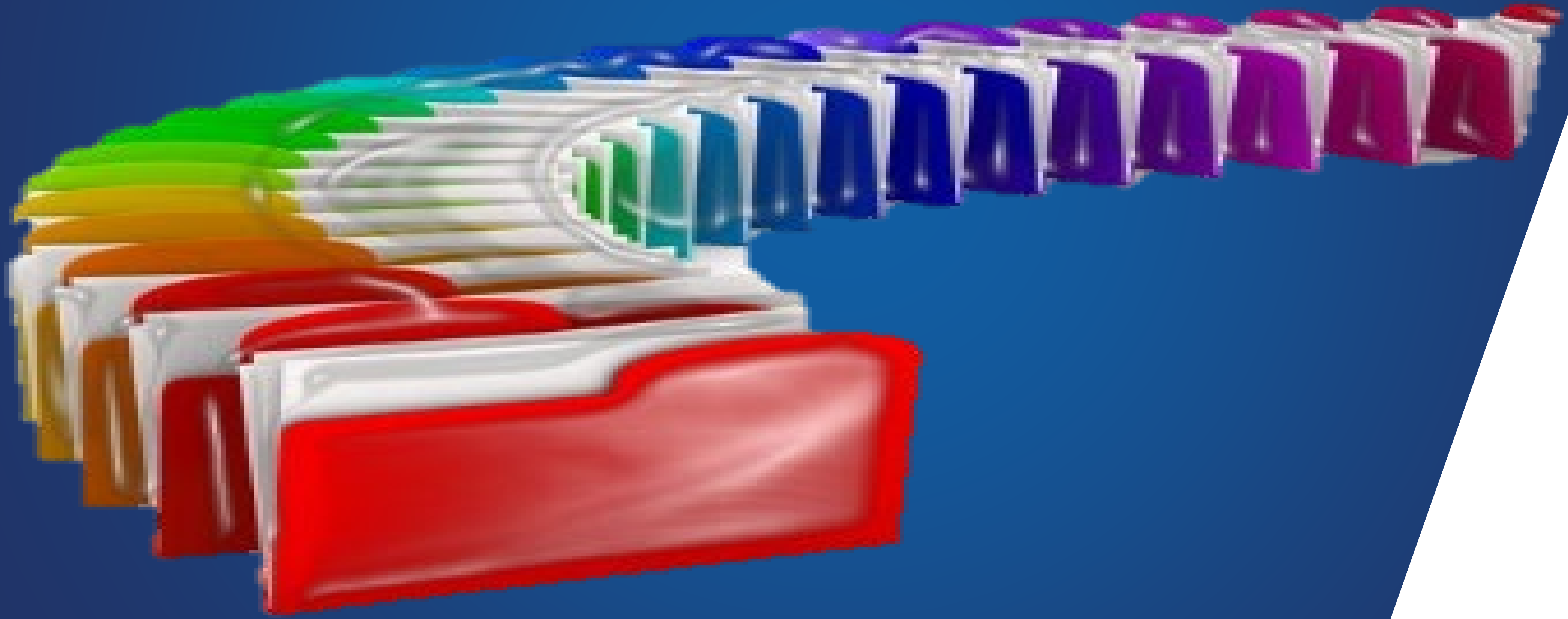
Increased efficiency

The more stuff jammed into a closet, the harder it is to find that winter scarf when it gets cold. Enlarging the closet or building another closet will not necessarily make it easier to find that scarf. A more efficient approach is to **remove the things that are no longer needed** – like the now-adult daughter's elementary school backpacks and the long-unused yoga mats.

Tom Corey, Esq., "ROT or Not?", *Information Management Journal*, Arma International, July/August 2017

Reduced cost

Free your office and computer space!



Reduced risk

- Cost of each document stolen in a security breach is **$221**, and the **total average cost** to handle a data breach incident is **$7 million**

- Fines for recordkeeping/reporting violations

Increased transparency

"Sooner or later… the pain of not developing and implementing the schedule eventually becomes greater than the pain of doing so… So, unless you have a great deal of space and a great deal of money, you can delay the day when something must be done; but you probably cannot avoid it."

John C. Montaña, “What a Records Retention Schedule Is – and Why You Need One”,
Information Management Journal, Arma International, March/April 2016

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= Business Case

Team Effort

- Create a business case to show value of RIM
- Be an expert
- Identify team members
- Certify
- Consult legal/risk/auditor

Questions?

?

Renée Wilson, RIM Specialist, Utah State Archives
reneewilson@utah.gov
801-531-3842

Find your RIM specialist at archives.utah.gov/rim/records-analysts.html