Records and Information Management (RIM) 101

9 Feb 2021: Part 1

Why RIM?

What is a record?

Getting started

Renée Wilson, RIM Specialist

Utah Division of Archives and Records Service

Welcome!

- Please remain muted unless asking a question
- Use chat box (Q&A not enabled)
- For tech issues, use the chat box
- Recording will be posted to YouTube, along with a link to the slides

Part 1 - 2/9

Why RIM?

What is a record?

Getting started

Part 2 - 2/16

Record Lifecycle

Retention/Disposition

Appraisal

Retention Schedules

General Retention Schedules

Records Center

Part 3 - 2/23

Social Media

Databases

Email

Chat/IM/Text Messages

Shredding After Digitizing

- What is RIM? Why RIM?
- What is a record?
- Getting started
  - what's already been done?
  - records inventory
  - understanding your records – agency functions
  - your team

Here is the streamlined information for submitting state publications to UGDL. Let me know if this looks okay or if you need clarification on anything. Feel free to modify as needed.

Submit your state publications for inclusion in UGDL

Why - agencies will comply with Utah Code **9-7-207** and provide easy, permanent public access to

state publications.

What - any new agency publication.

> “**Agency**” means any office, department, agency, authority, commission, board, institution, hospital, college, university or other instrumentality of the state.
>
> **“Publication**” means any information published as an individual document at government expense or as required by law that is intended for public distribution. Such publications include but are not limited to a book, compilation, directory, document, contract or grant report, hearing memorandum, journal, law, legislative bill, magazine, map, monograph, order, ordinance, pamphlet, periodical, proceeding, public memorandum, resolution, register, rule, report.
>
> “**Electronic state publication**” is a publication created or distributed by a state agency to the general public in digital format, for example on an agency website.

How - publications can be submitted on an ad hoc basis or a monthly schedule.

For physically printed publications, please mail to the Utah State Library c/o Brian Tober.

For digital publications, please notify the Utah State Library of any new electronic document(s) by sending links or include an attachment to statepubs@utah.gov. In the email, please identify your agency and other relevant information.

For more information or guidance on submitting publications and using the Utah Government Digital Library, contact Brian Tober at the Utah Sta Library.

btober@utah.gov

801-715-6752

1. What type of agency are you with?

A. State agency
B. County
C. Municipality
D. Local district, interlocal, special district, or similar
E. Education (school, school district, university)
F. No agency (member of the public)
G. Other

2. How much RIM experience do you have?

A. Brand spanking new
B. Still learning the ropes
C. Medium
D. I've seen a lot
E. I am a RIM guru

What is RIM?
Why RIM?

Utah Division of Archives
and Records Service

What is RIM?

Records and

Information

Management

Records and information are assets and should be managed accordingly.

If we treated money like we do records…

Is there anyone at RabbitHole who's looking at the big picture of governing its money?

"Well, we've put together a group of folks to start talking about that. We call it our 'Money Governance Committee.'… This is a big change for us – in the past, we've just hoped for the best on our money, and then swung into action whenever we noticed that a bunch of it has gone missing."

Peter Sloan, "What if companies treated their money like their information?", Husch Blackwell, 2016.
https://www.bytebacklaw.com/2016/01/what-if-companies-treated-their-money-like-their-information/

Benefits of an active RIM program

1. Increased efficiency
2. Reduced cost
3. Reduced risk
4. Increased transparency
5. Better documentation of agency and state history

1. Increased efficiency

"The more stuff jammed into a closet, the harder it is to find that winter scarf when it gets cold.

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

1. 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.

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

1. 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

2. Reduced cost

Free your office and computer space – by 85%!

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

3. Reduced risk

$1.08 million

Average cost of a data breach (public sector)

231 days

Average time to detect a breach (public sector)

Cost of a Data Breach Report 2020, IBM Security, 2020. Accessed 5 February 2021.
https://www.ibm.com/security/digital-assets/cost-data-breach-report/#/pdf

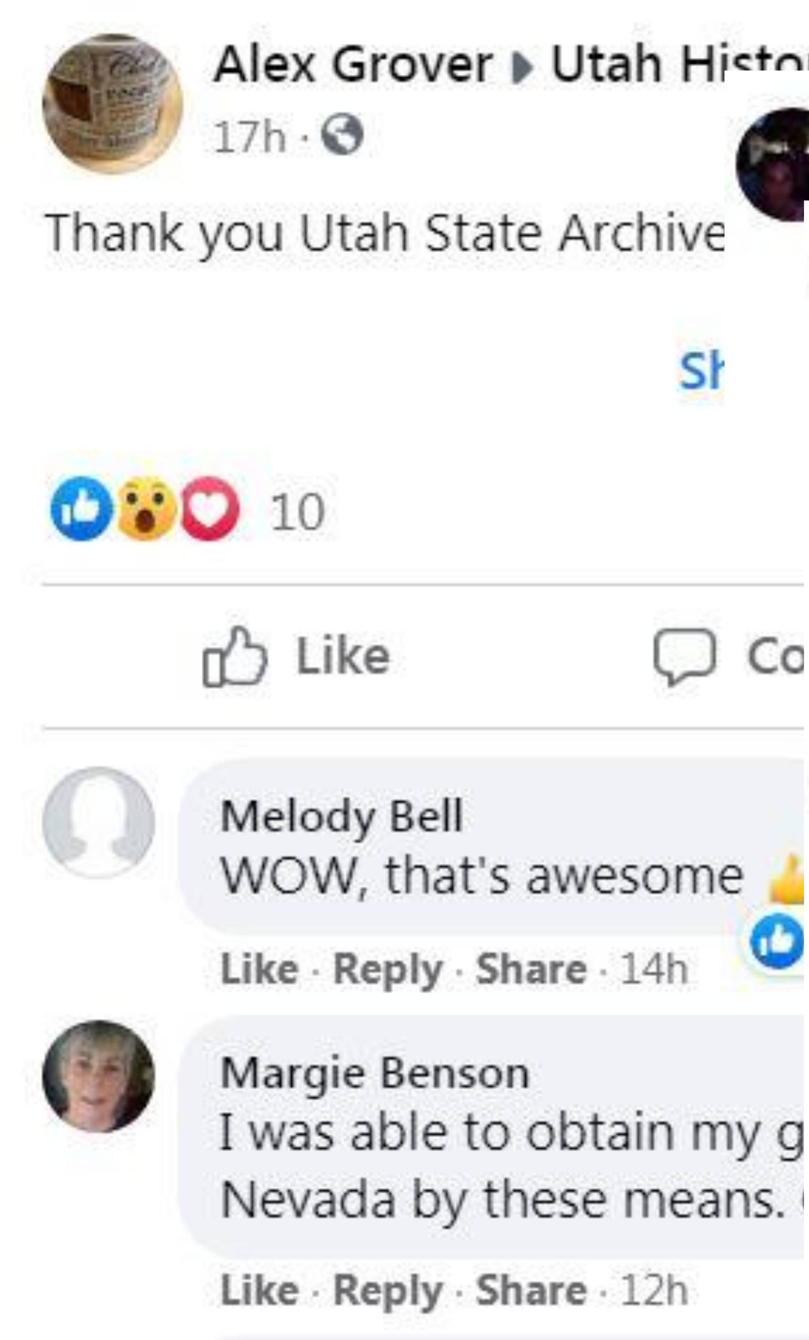
3. Reduced risk

"The retention schedule helps organizations throw out the proper pallets at the proper time and prove the propriety of doing so to anyone who questions them about it."

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

MINOAN

4. Increased transparency



Alex Grover ▸ **Utah History**
17h · 🌐

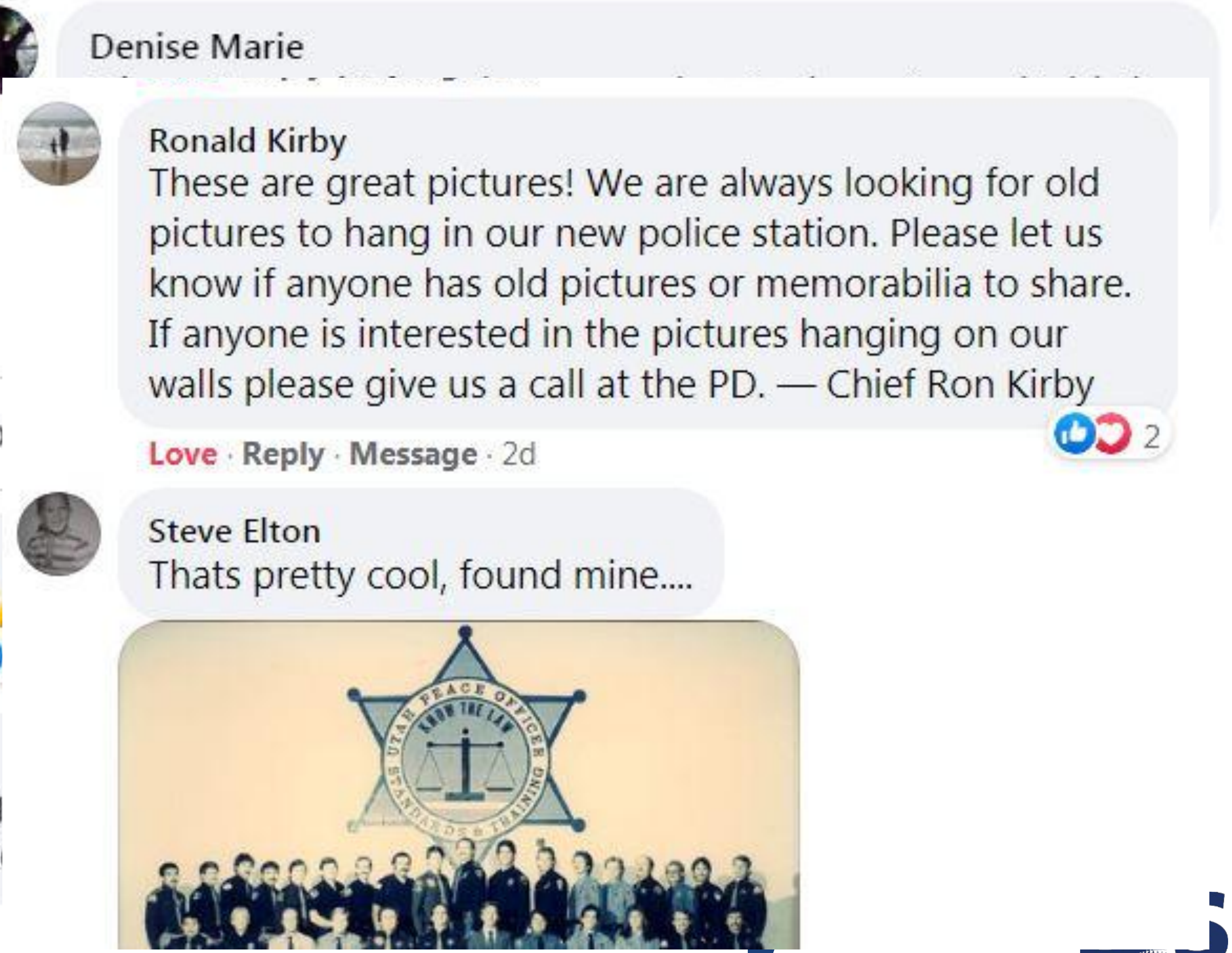
Thank you Utah State Archive

Sh

👍😮❤ 10

Melody Bell
WOW, that's awesome 👍
Like · Reply · Share · 14h

Margie Benson
I was able to obtain my g
Nevada by these means.
Like · Reply · Share · 12h



Denise Marie

Ronald Kirby
These are great pictures! We are always looking for old pictures to hang in our new police station. Please let us know if anyone has old pictures or memorabilia to share. If anyone is interested in the pictures hanging on our walls please give us a call at the PD. — Chief Ron Kirby
👍❤ 2
Love · Reply · Message · 2d

Steve Elton
Thats pretty cool, found mine....

Benefits of an active RIM program

1. Increased efficiency
2. Reduced cost
3. Reduced risk
4. Increased transparency
5. Better documentation of agency and state history

= Business Case

6. Legal requirements - Chief Administrative Officer

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

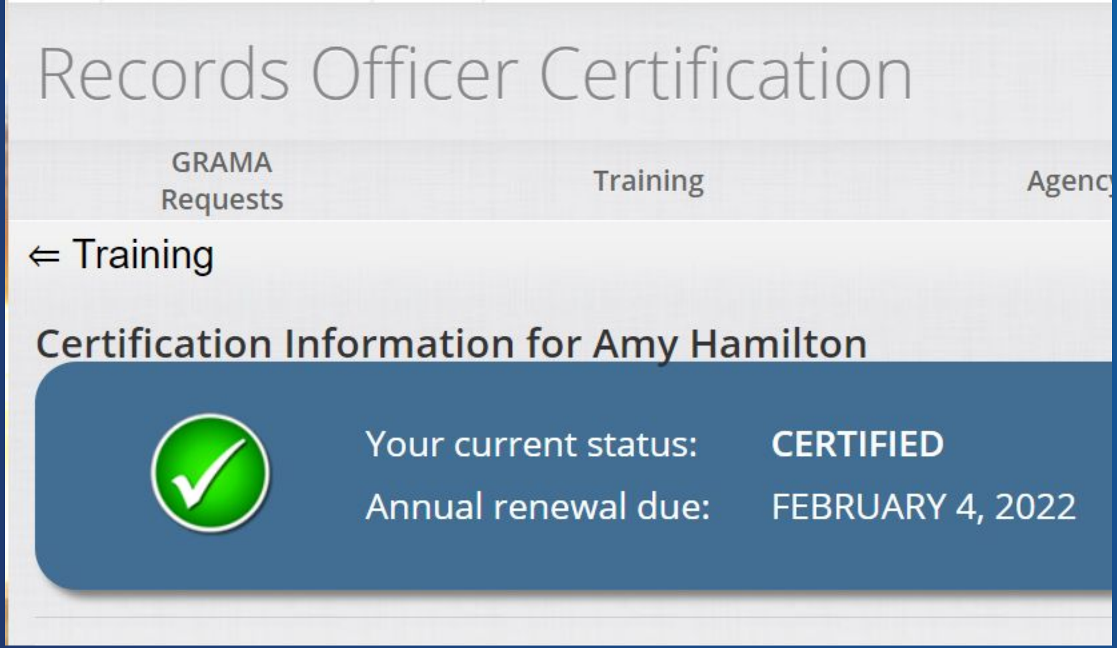
6. Legal requirements - records officer

- 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

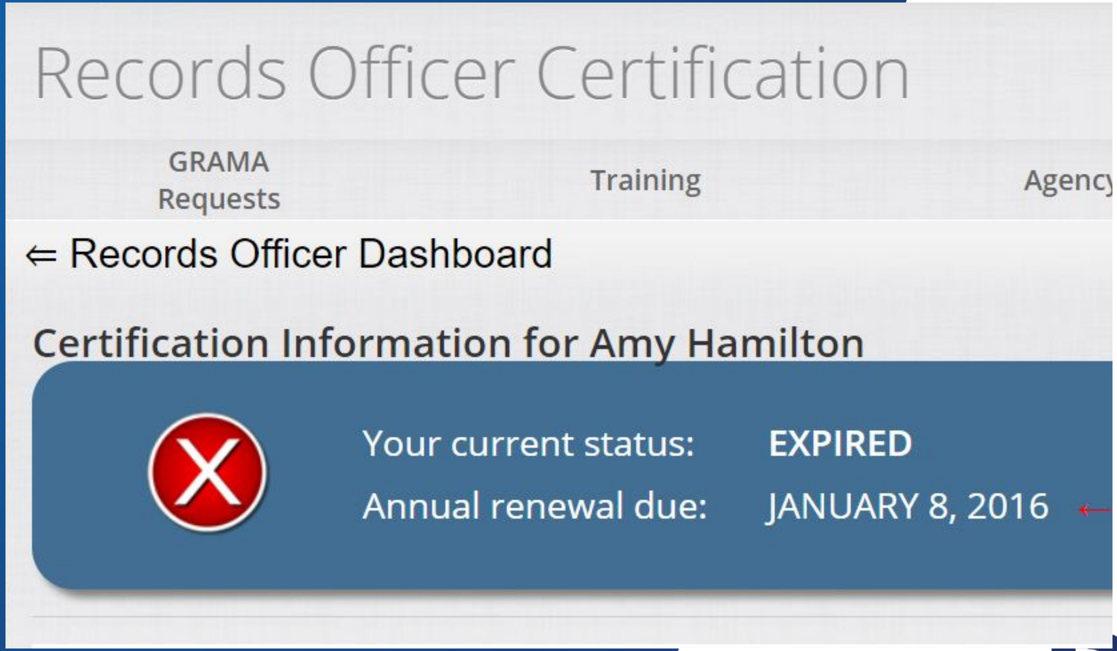

GRAMA Requests
Training
Agenc
⇐ Training

Records Officer Certification

Certification Information for Amy Hamilton

Your current status: **CERTIFIED**

Annual renewal due: FEBRUARY 4, 2022


GRAMA Requests
Training
Agency
⇐ Records Officer Dashboard

Records Officer Certification

Certification Information for Amy Hamilton

Your current status: **EXPIRED**

Annual renewal due: JANUARY 8, 2016 ←

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.

3. Which certification test is easier?

A. Records Access (GRAMA)
B. Records Management
C. I've only taken one, but it was hard enough!

What is a record?

Definition of a record, as defined in GRAMA

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

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

Databases

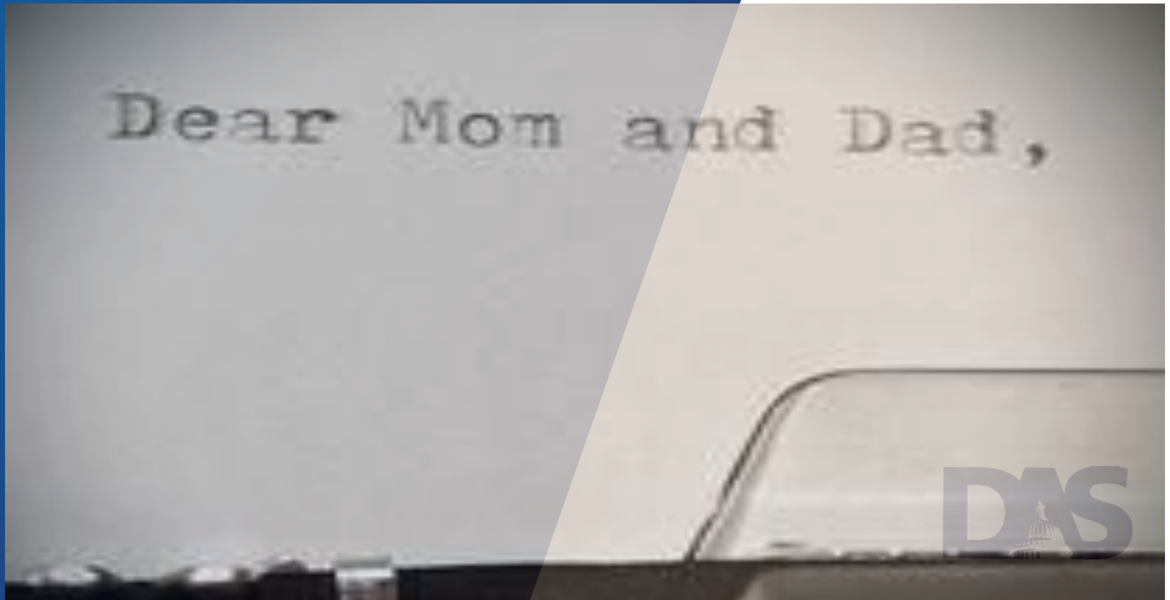
The database is not a government record, but contains government records

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



Drafts: Not a Record If...

- It's temporary
- It's created for government employee's (work-related) personal use

Utah Code 63G-2-103(22)(b)(ii)

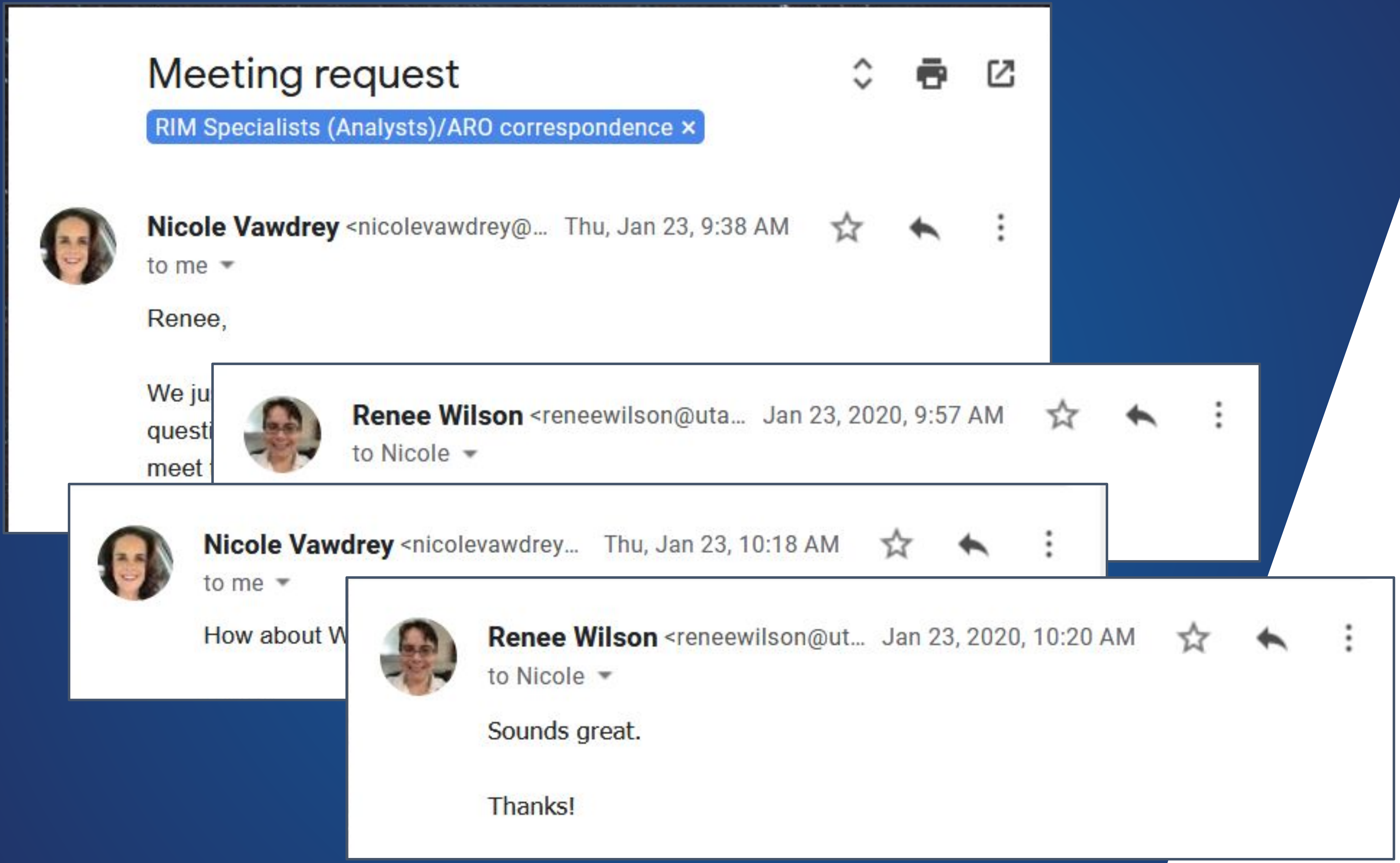
Also see "Classifying Drafts" by Rosemary Cundiff

Drafts: Yes a Public Record If…

- It was circulated to anyone outside of the government entity
- It was not finalized but was relied upon to carry out an action or policy
- It contains empirical data and that data is not reasonably available elsewhere in similar form

Utah Code 63G-2-301(3)

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

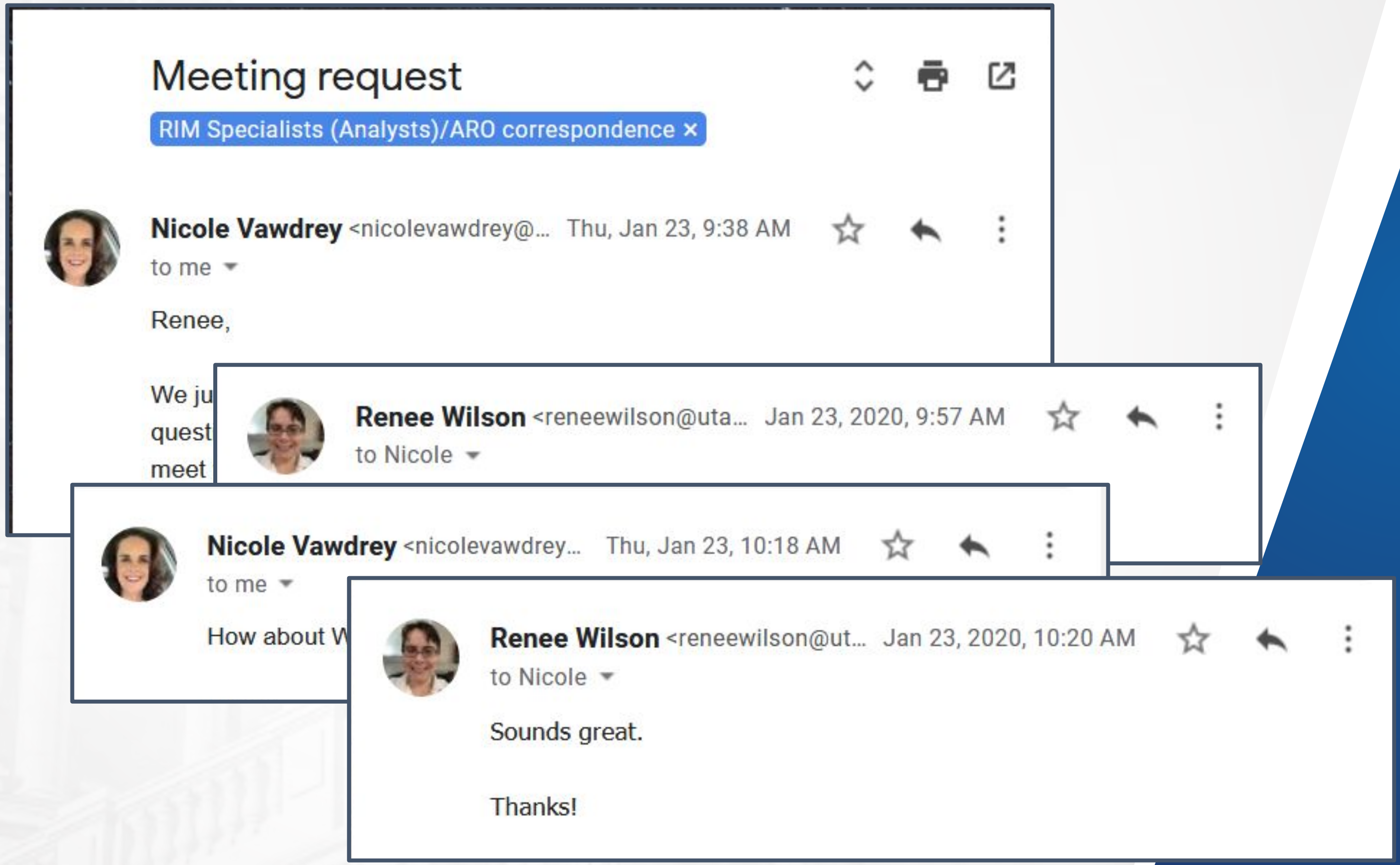
Renee Wilson <reneewilson@ut... Jan 23, 2020, 10:20 AM
to Nicole

Sounds great.

Thanks!

4. Is it a record?

A. Yes
B. No
C. Not sure



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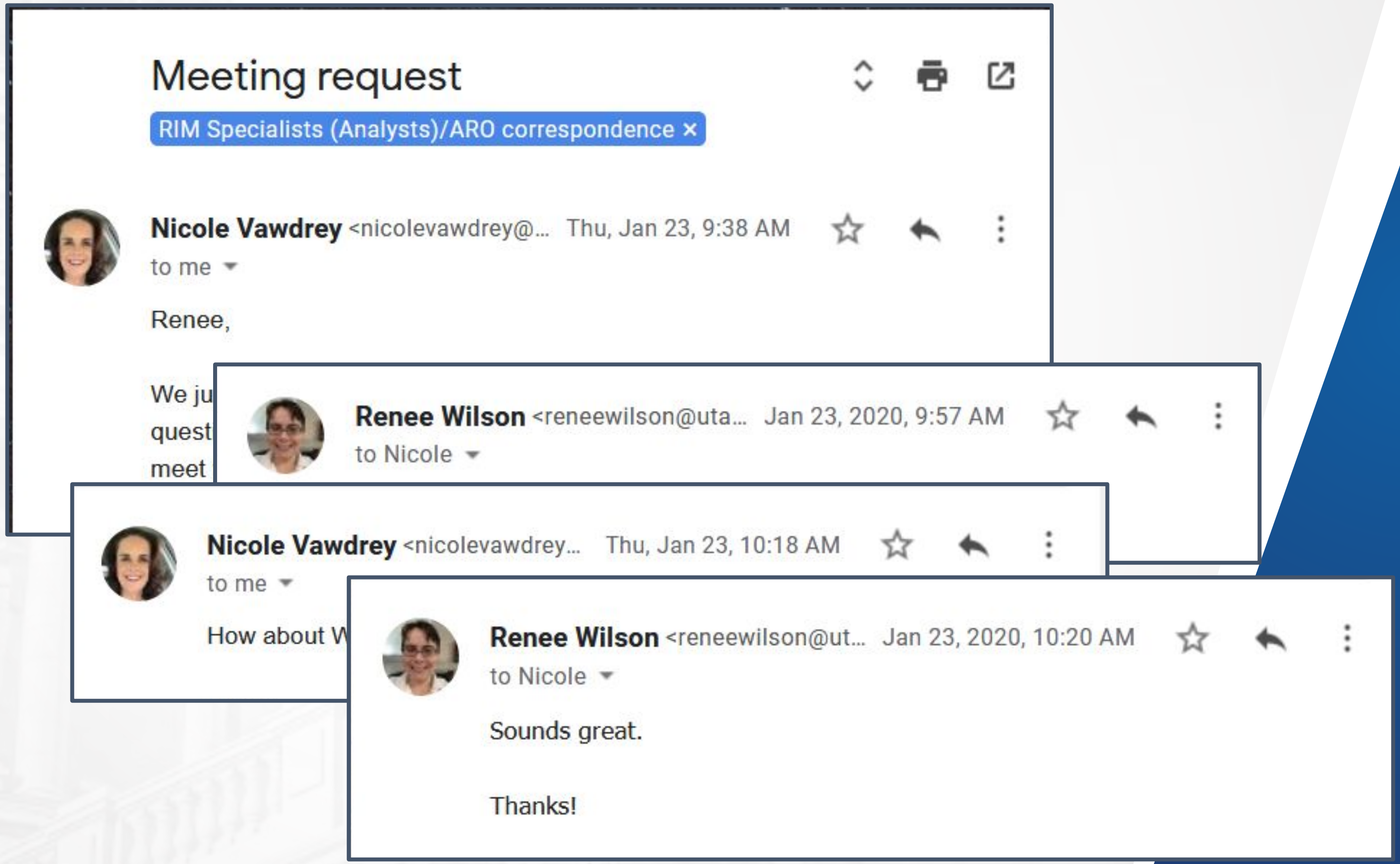

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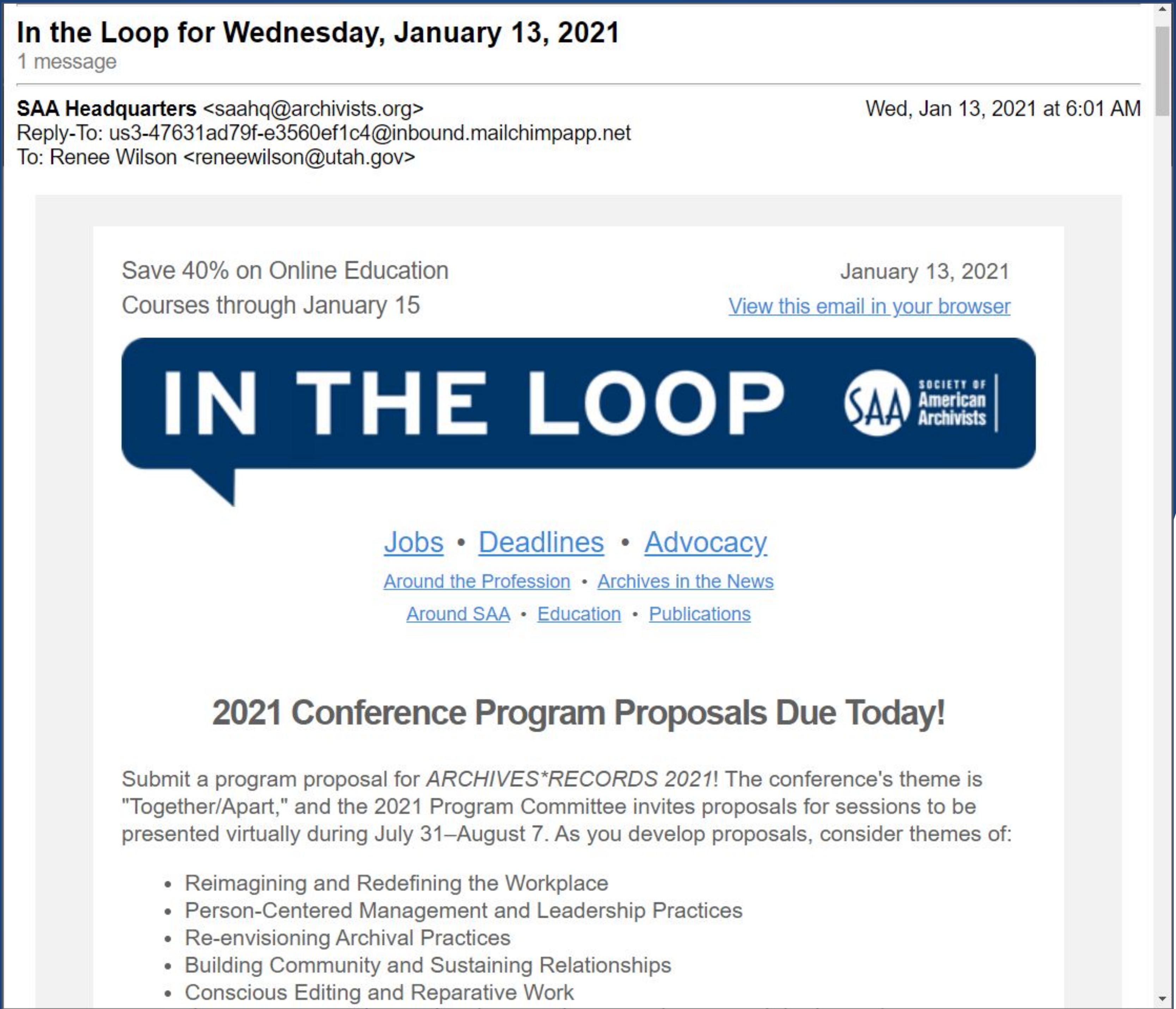

In the Loop for Wednesday, January 13, 2021

1 message

SAA Headquarters <saahq@archivists.org>
Reply-To: us3-47631ad79f-e3560ef1c4@inbound.mailchimpapp.net
To: Renee Wilson <reneewilson@utah.gov>

Wed, Jan 13, 2021 at 6:01 AM

Save 40% on Online Education Courses through January 15

January 13, 2021

View this email in your browser

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2021 Conference Program Proposals Due Today!

Submit a program proposal for *ARCHIVES*RECORDS 2021*! The conference's theme is "Together/Apart," and the 2021 Program Committee invites proposals for sessions to be presented virtually during July 31–August 7. As you develop proposals, consider themes of:

- Reimagining and Redefining the Workplace
- Person-Centered Management and Leadership Practices
- Re-envisioning Archival Practices
- Building Community and Sustaining Relationships
- Conscious Editing and Reparative Work

5. Is it a record?

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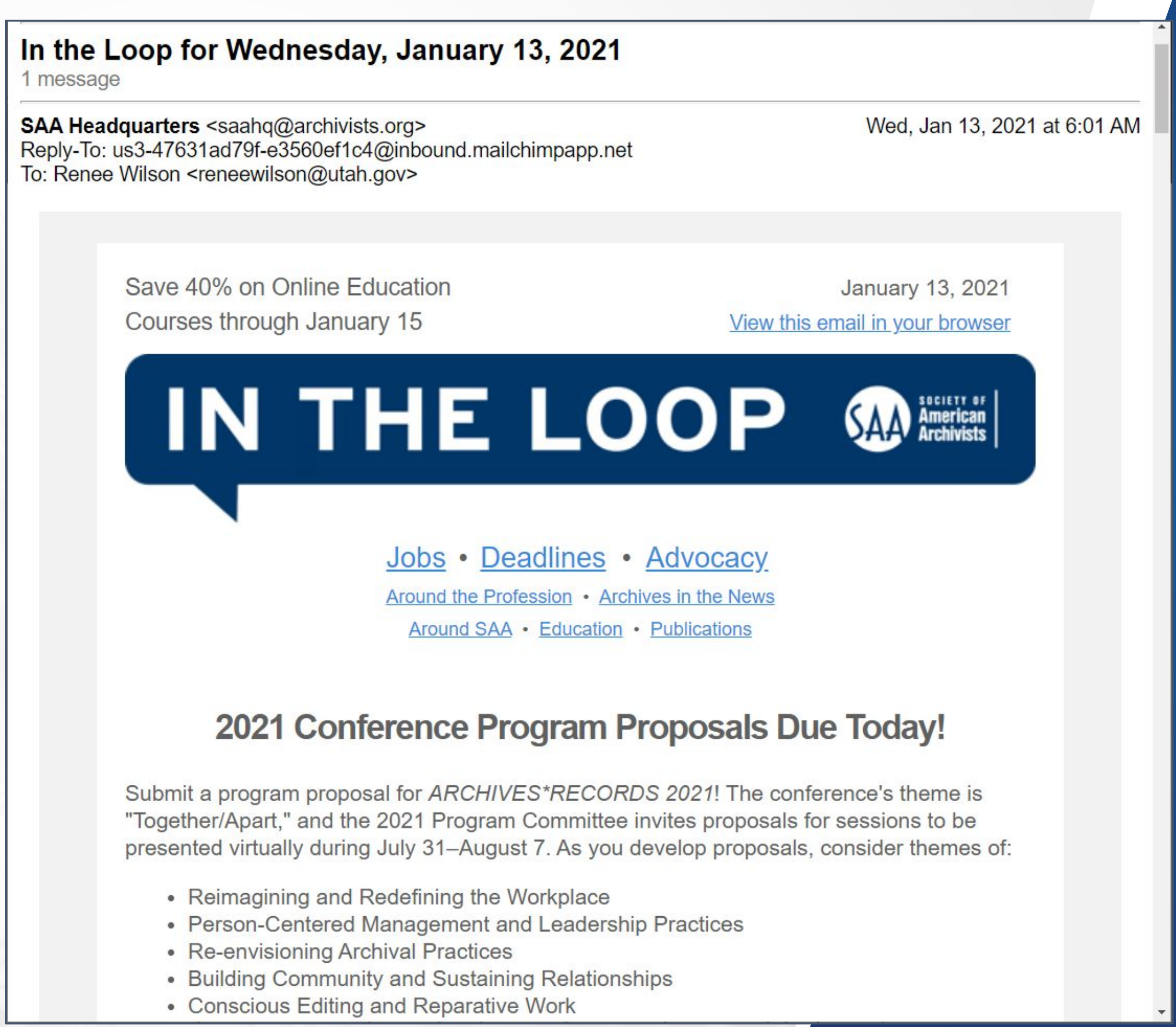
B. No
C. Not sure



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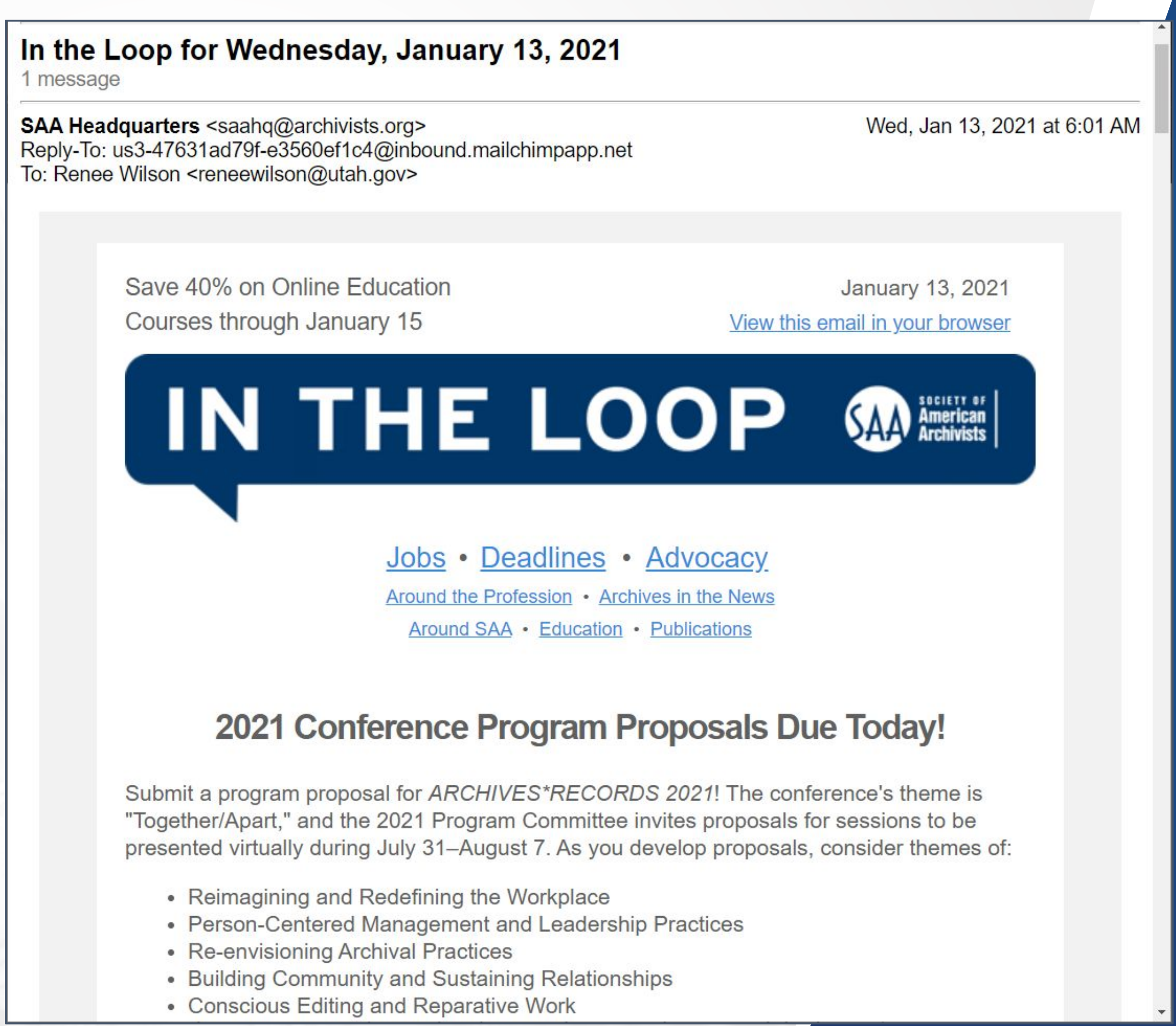

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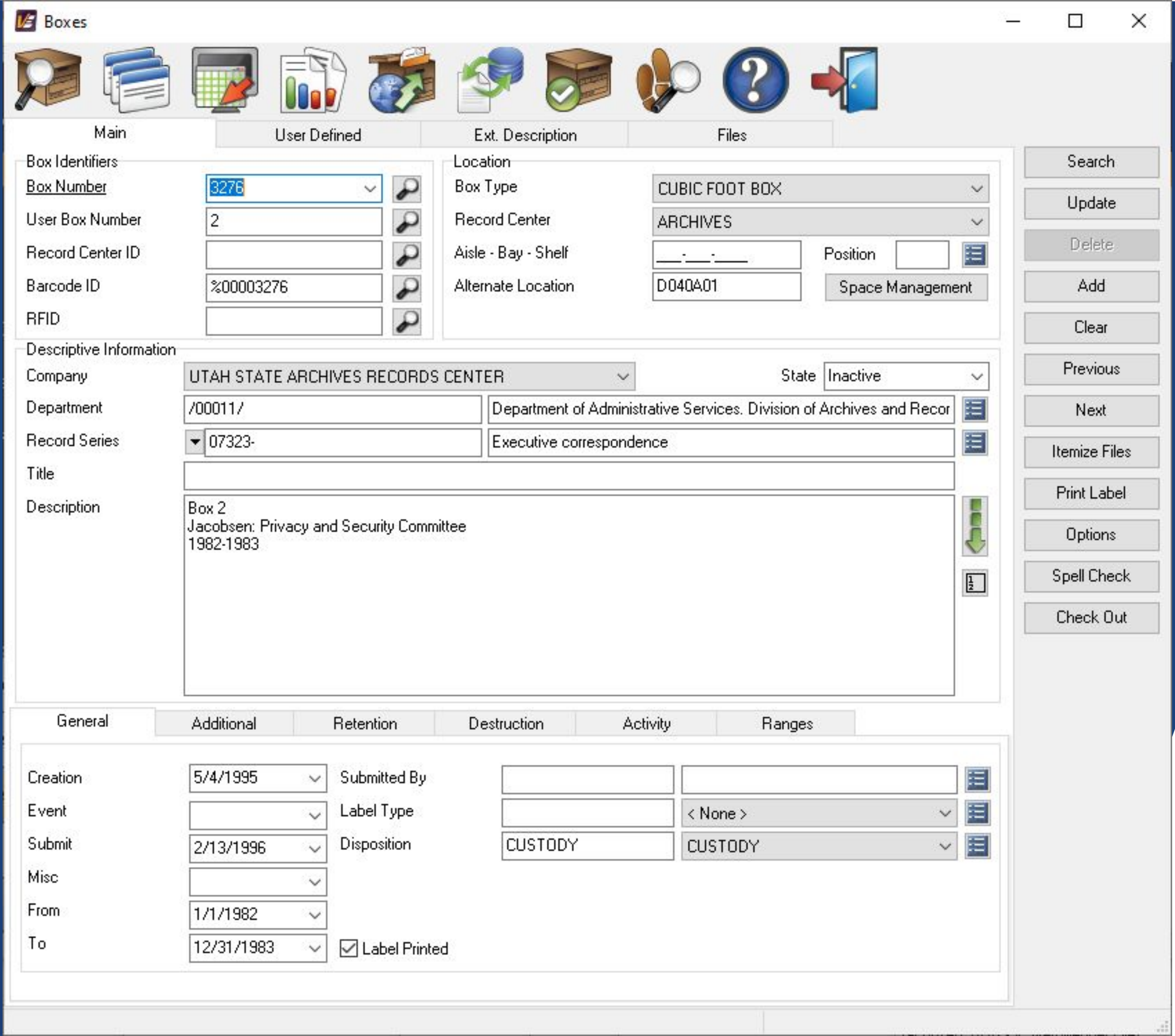

Boxes
Main
User Defined
Ext. Description
Files
Search
Update
Delete
Add
Clear
Previous
Next
Itemize Files
Print Label
Options
Spell Check
Check Out
Space Management
General
Additional
Retention
Destruction
Activity
Ranges

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

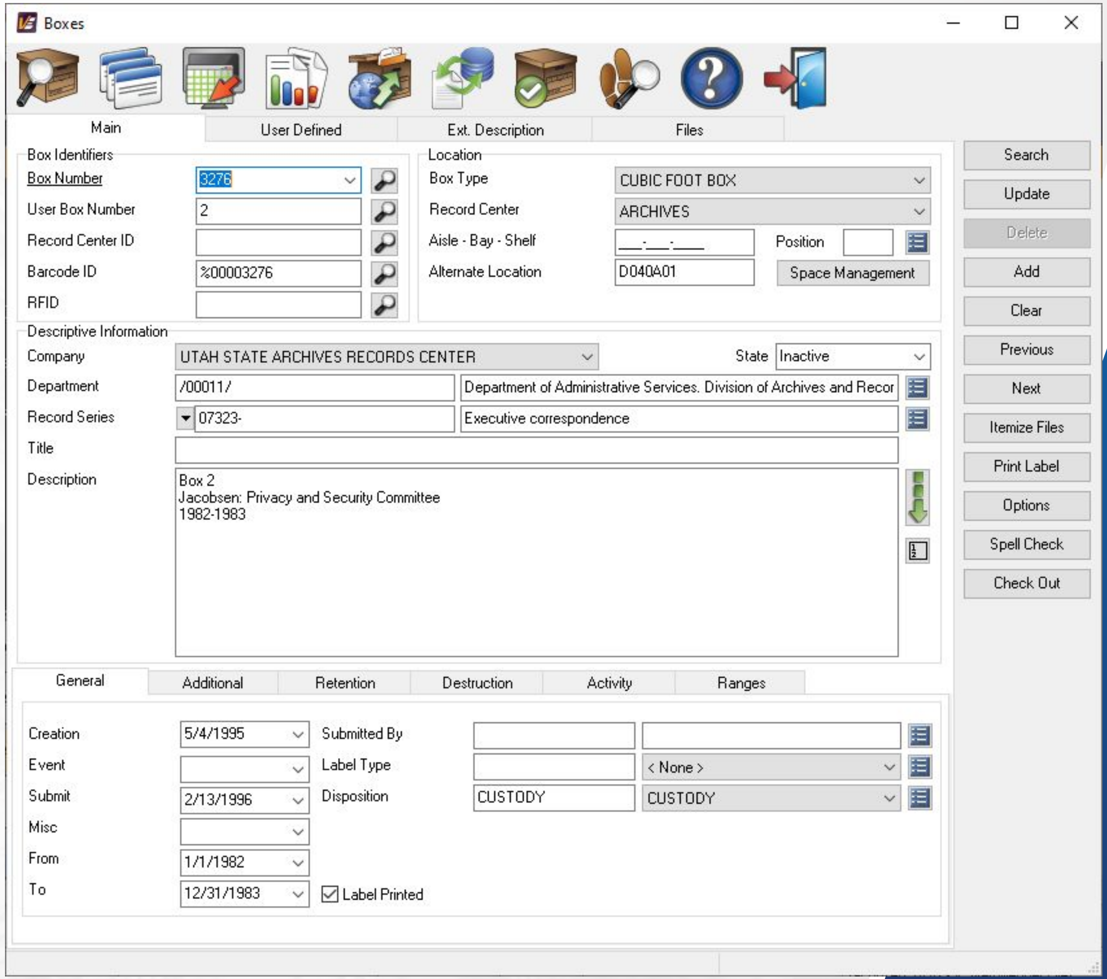
☑ Label Printed

6. Is it a record?

A. Yes

B. No

C. Not sure


Boxes
Main
User Defined
Ext. Description
Files
Search
Update
Delete
Add
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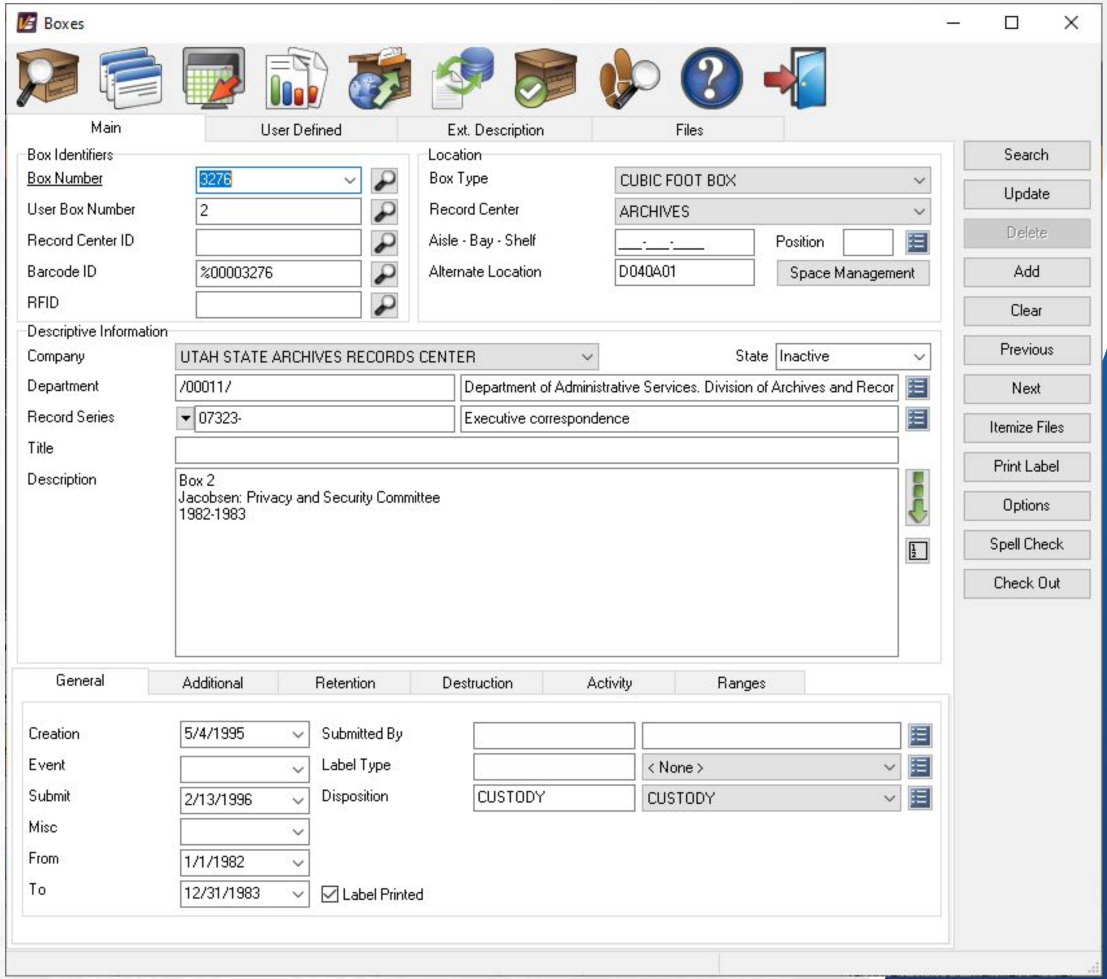
Boxes
Main
User Defined
Ext. Description
Files
Search
Update
Delete
Add
Clear
Previous
Next
Itemize Files
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RFID	

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Aisle - Bay - Shelf	___-___-____
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Title		
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Creation	5/4/1995	Submitted By		
Event		Label Type		< None >
Submit	2/13/1996	Disposition	CUSTODY	CUSTODY
Misc				
From	1/1/1982			
To	12/31/1983	☑ Label Printed		

Getting started

Scenario:

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

7. Where would you start?

A. Go through the records and figure out what's there, making an inventory as you go

B. Search the office for any inventories or information that may already exist about the records

C. Call Archives

D. Get a new job

E. Other

Where do you start?

1. Check existing RIM governance records
2. Inventory the records
3. Review agency functions
4. Identify your team

1. 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

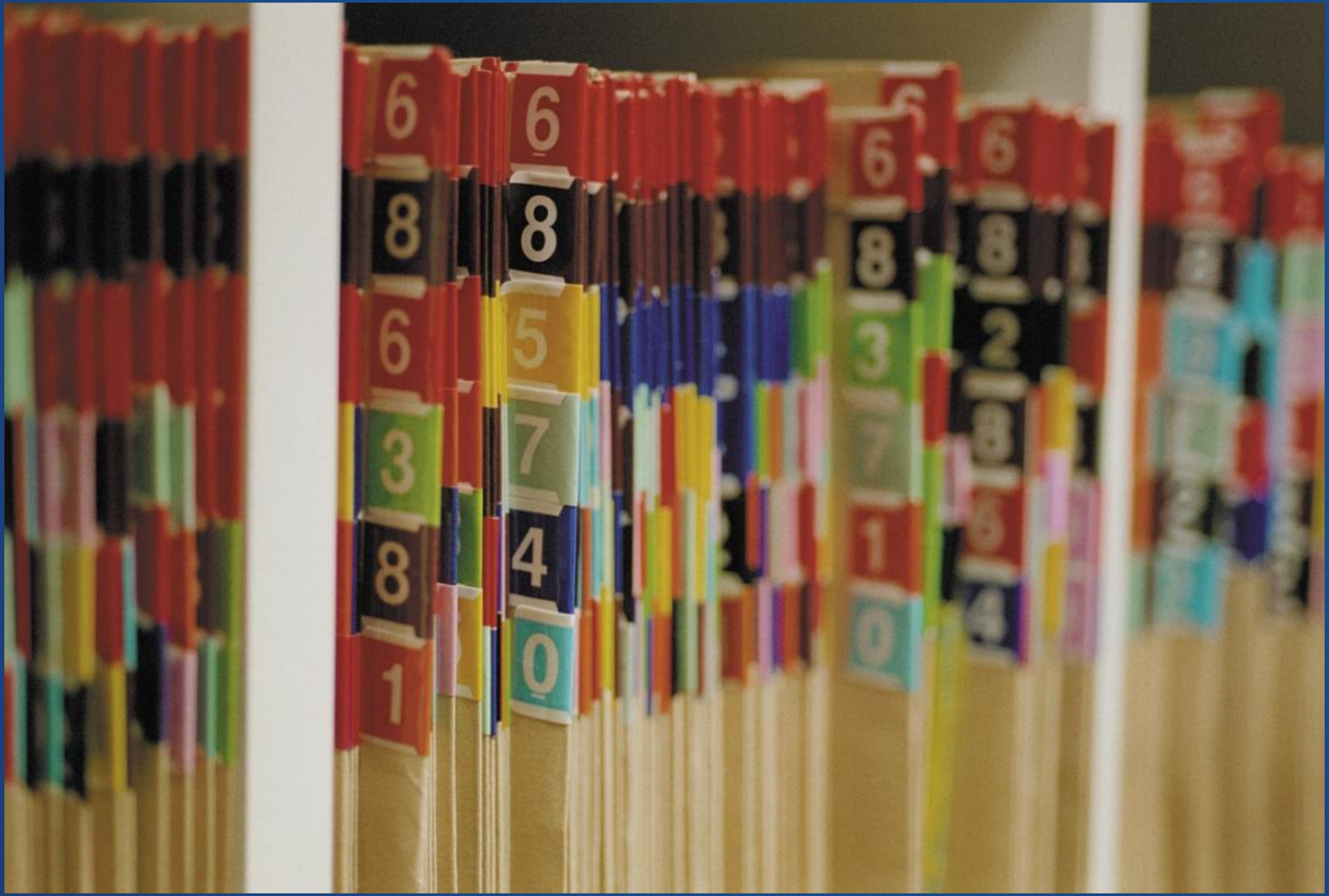
2. Inventory the Records

2. Inventory the Records

Methods:

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

A Record Series is a Group of Records

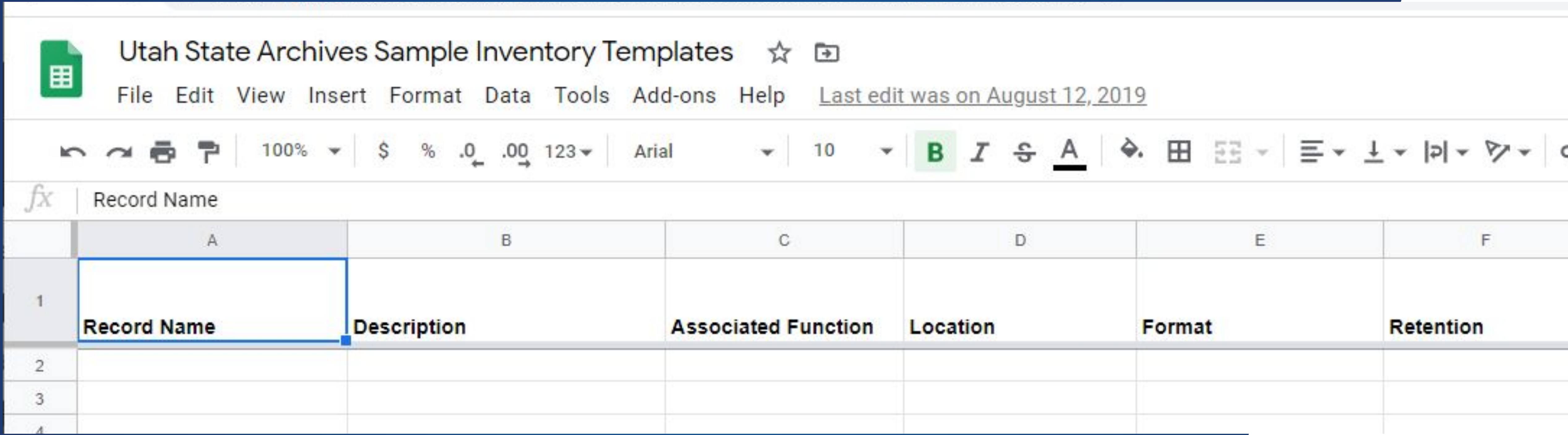


A Record Series is a Group of Records

Related in a logical way

- part of the same business process
- managed together
- have the same retention

Detailed Inventory Form


File
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Record Name
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E
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1
2
3

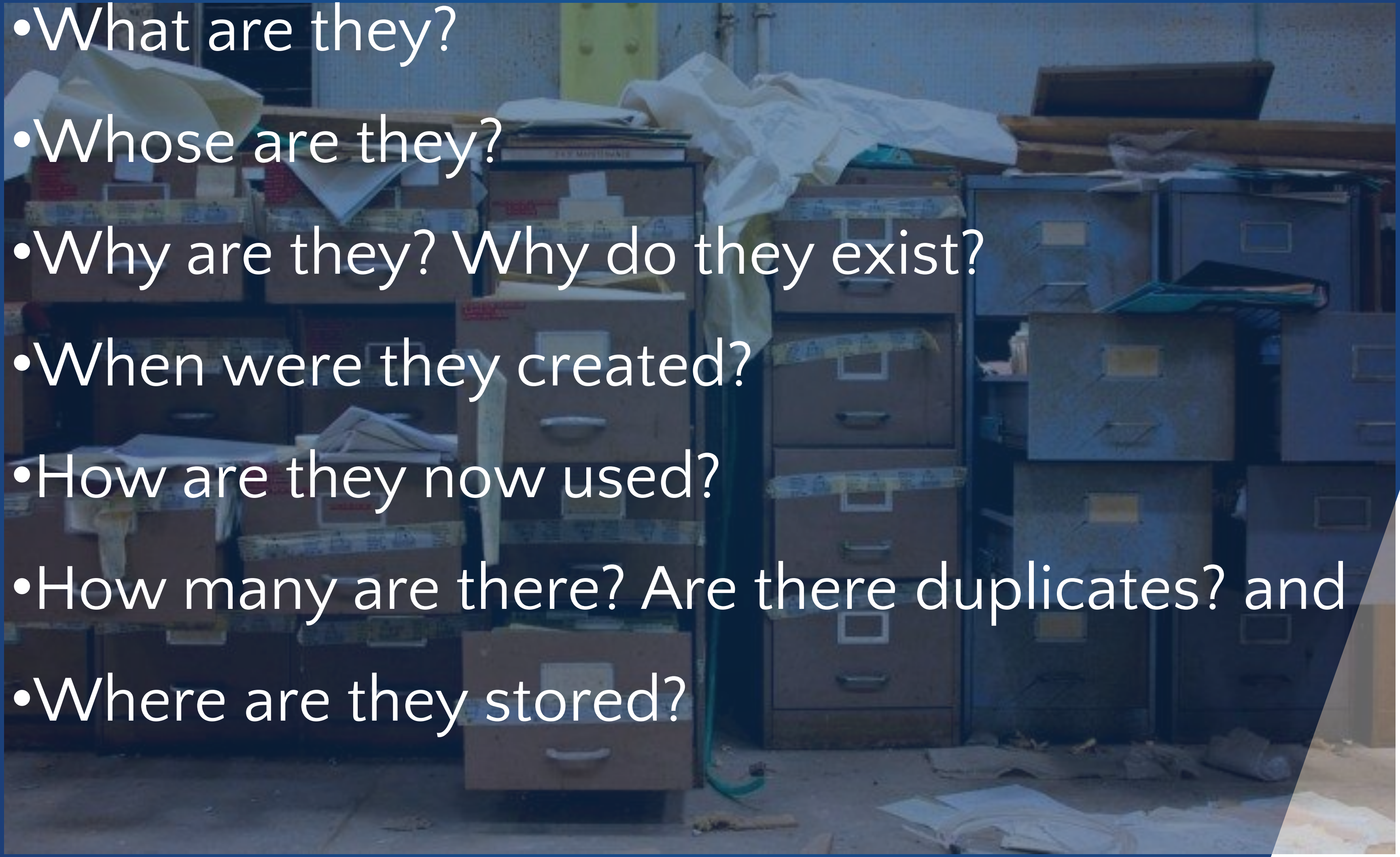
Utah State Archives Sample Inventory Templates

Last edit was on August 12, 2019

Record Name	**Description**	**Associated Function**	**Location**	**Format**	**Retention**

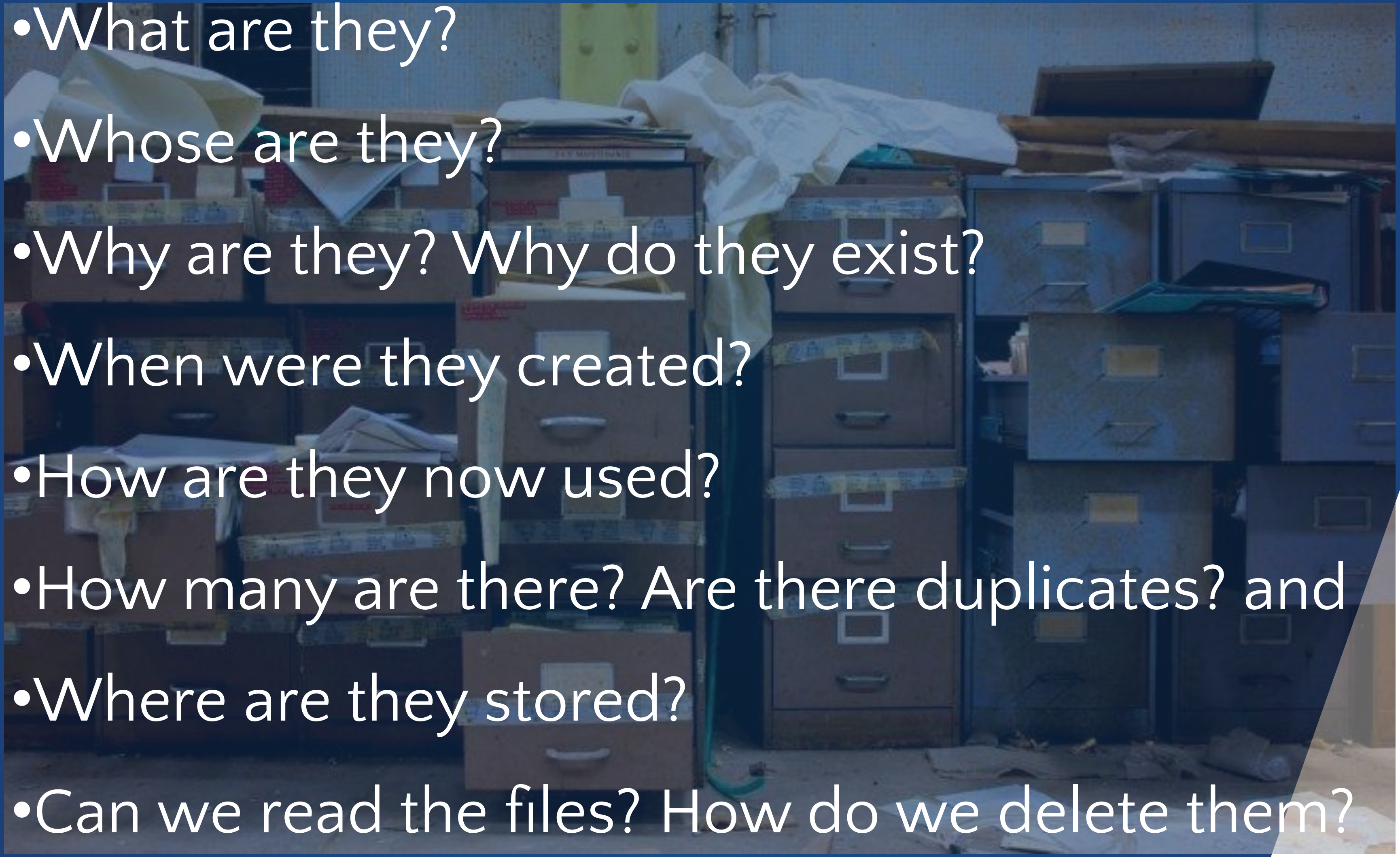
- Record series title
- GRAMA designation
- Location
- Media/file format
- How long it's kept (retention) and how it's stored
- How it's disposed of (disposition)

Inventory

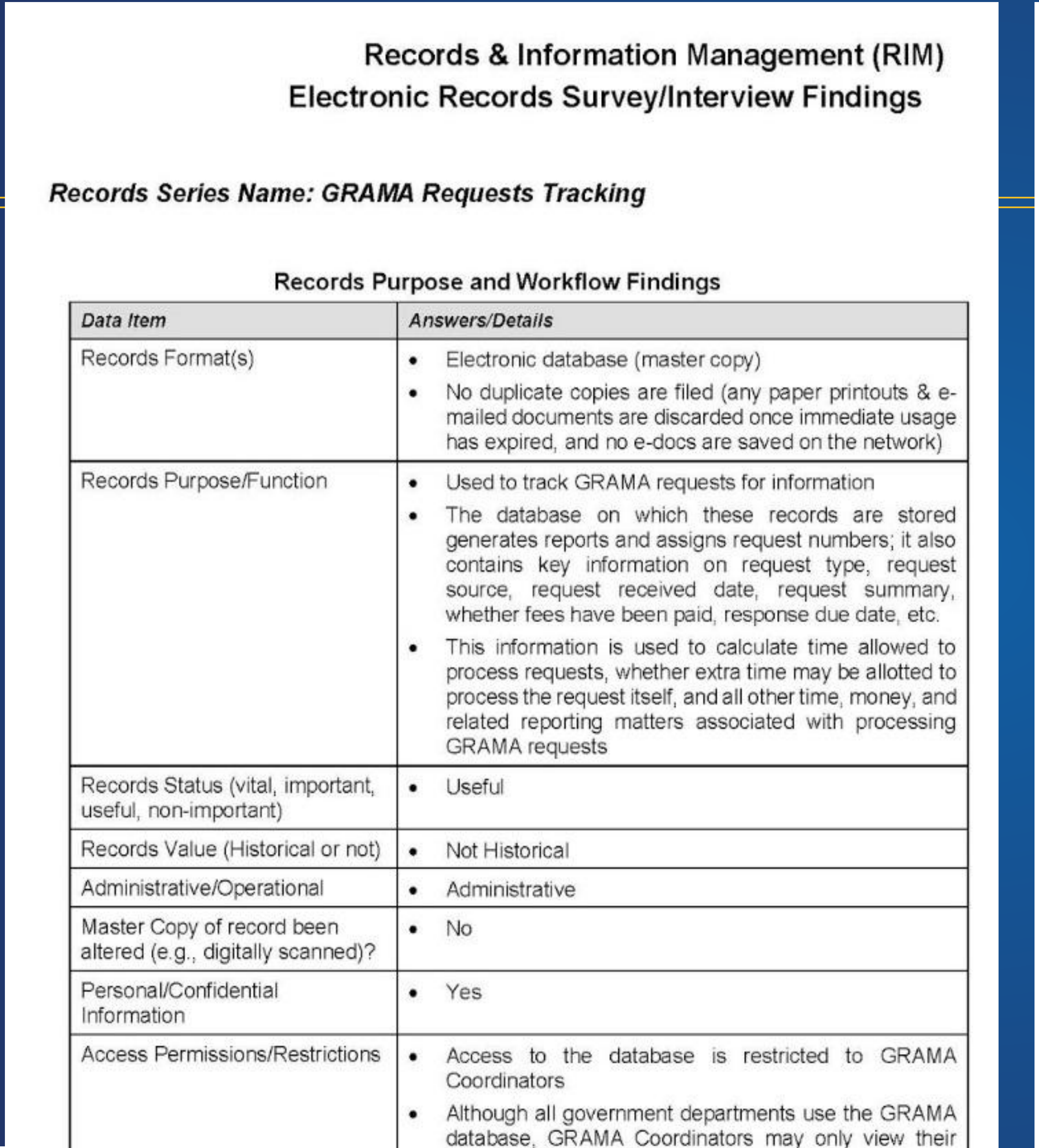


- What are they?
- Whose are they?
- Why are they? Why do they exist?
- When were they created?
- How are they now used?
- How many are there? Are there duplicates? and
- Where are they stored?

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?

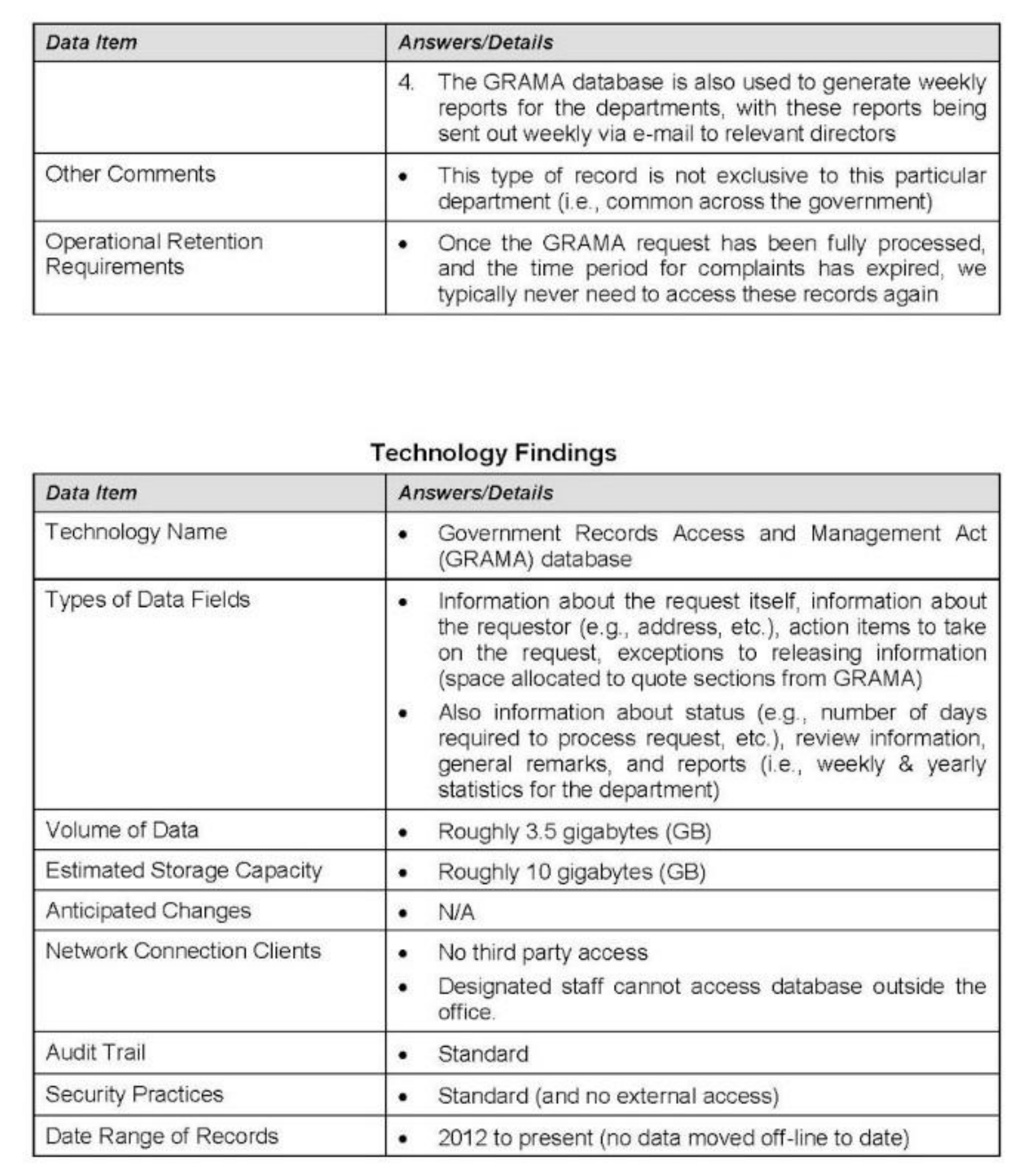


Records & Information Management (RIM)
Electronic Records Survey/Interview Findings

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

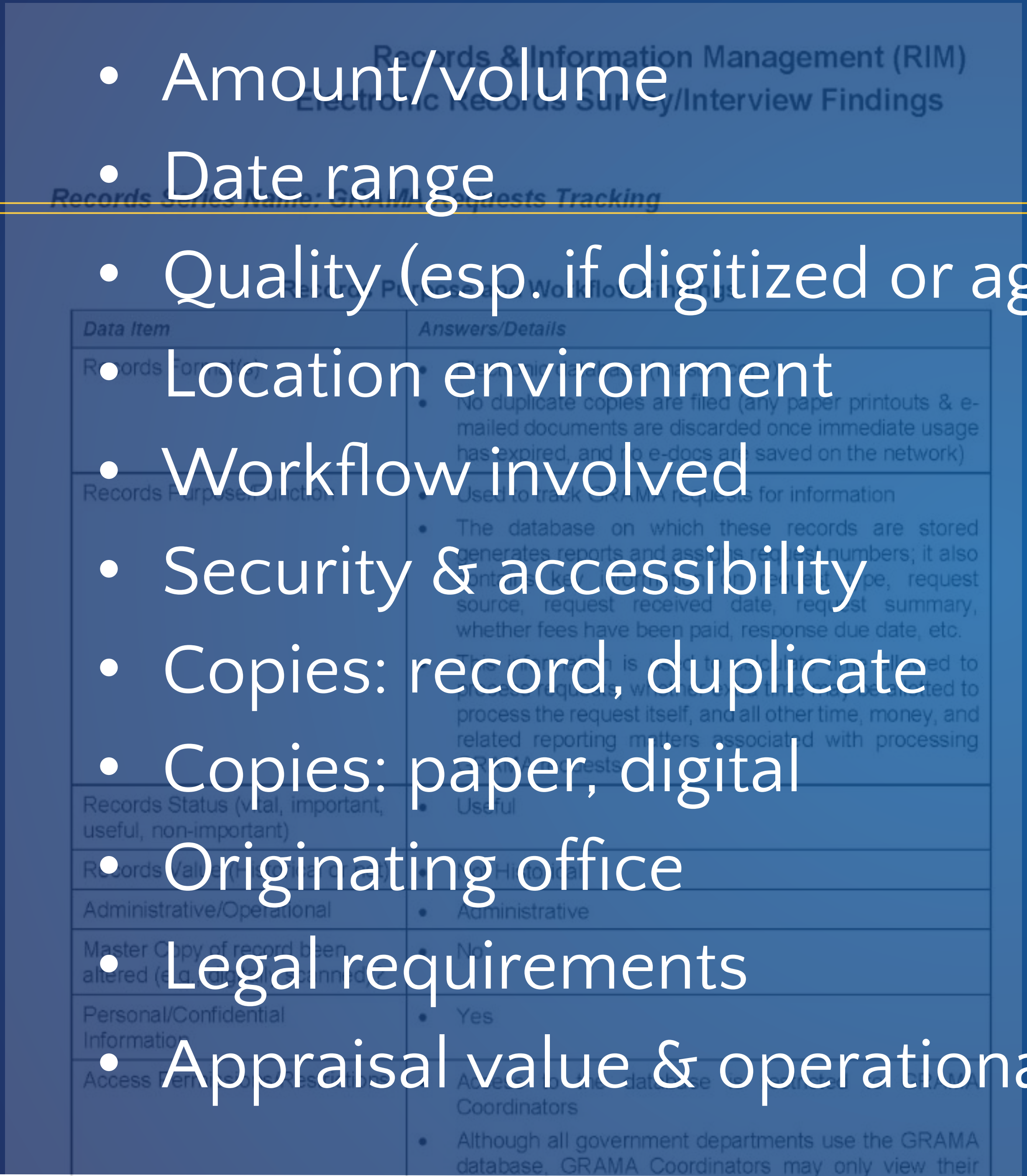


Data Item	*Answers/Details*
	4. The GRAMA database is also used to generate weekly reports for the departments, with these reports being sent out weekly via e-mail to relevant directors
Other Comments	• This type of record is not exclusive to this particular department (i.e., common across the government)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

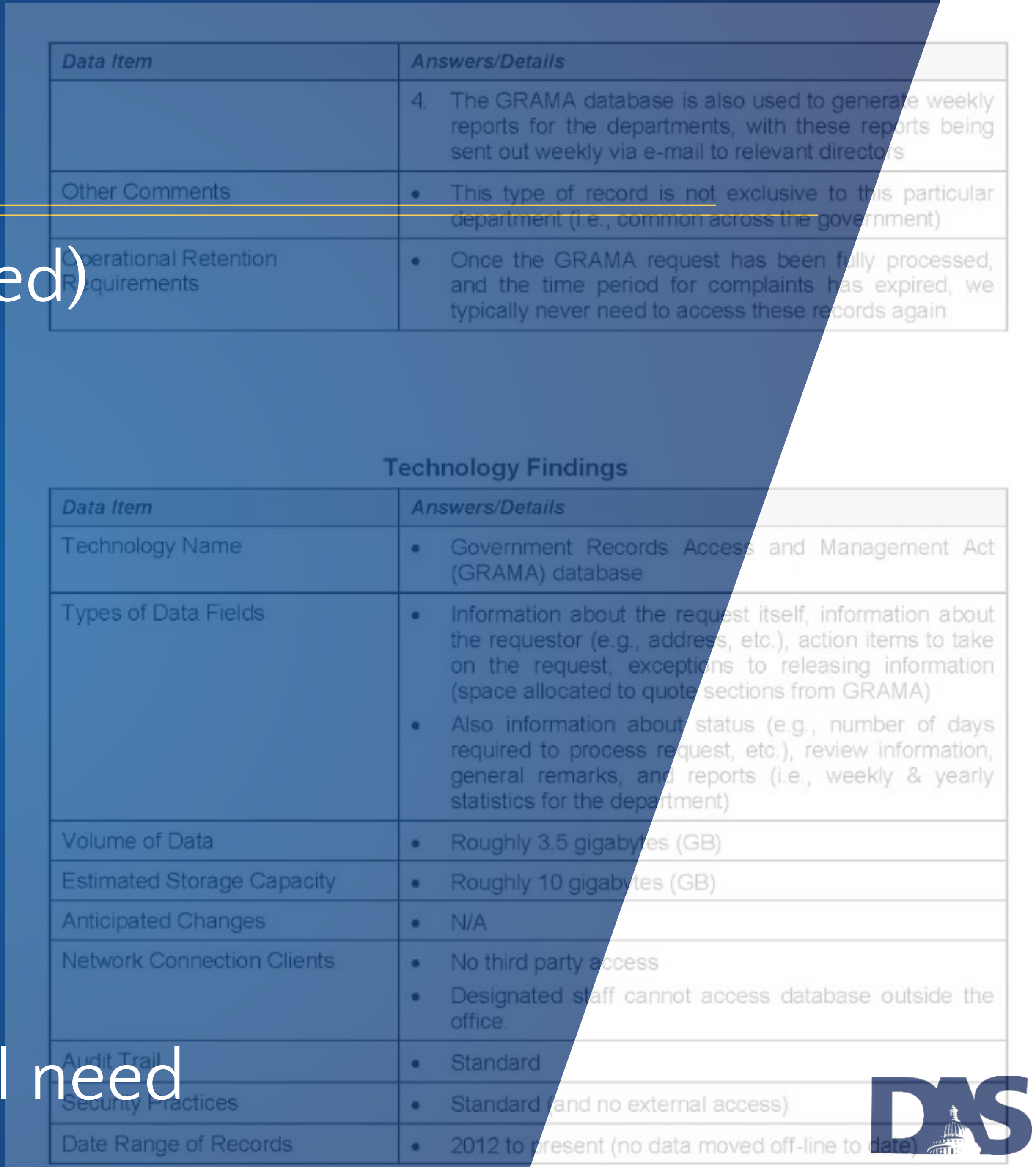


Records & Information Management (RIM) Electronic Records Survey/Interview Findings

Records Series Name: GRAMA Requests Tracking

Records Purpose & Workflow Findings

Data Item	*Answers/Details*
Records Format(s)	• [illegible] • 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 [illegible] allowed to process requests, [illegible] 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 [illegible]	• [illegible] 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 [illegible] Coordinators • Although all government departments use the GRAMA database, GRAMA Coordinators may only view their



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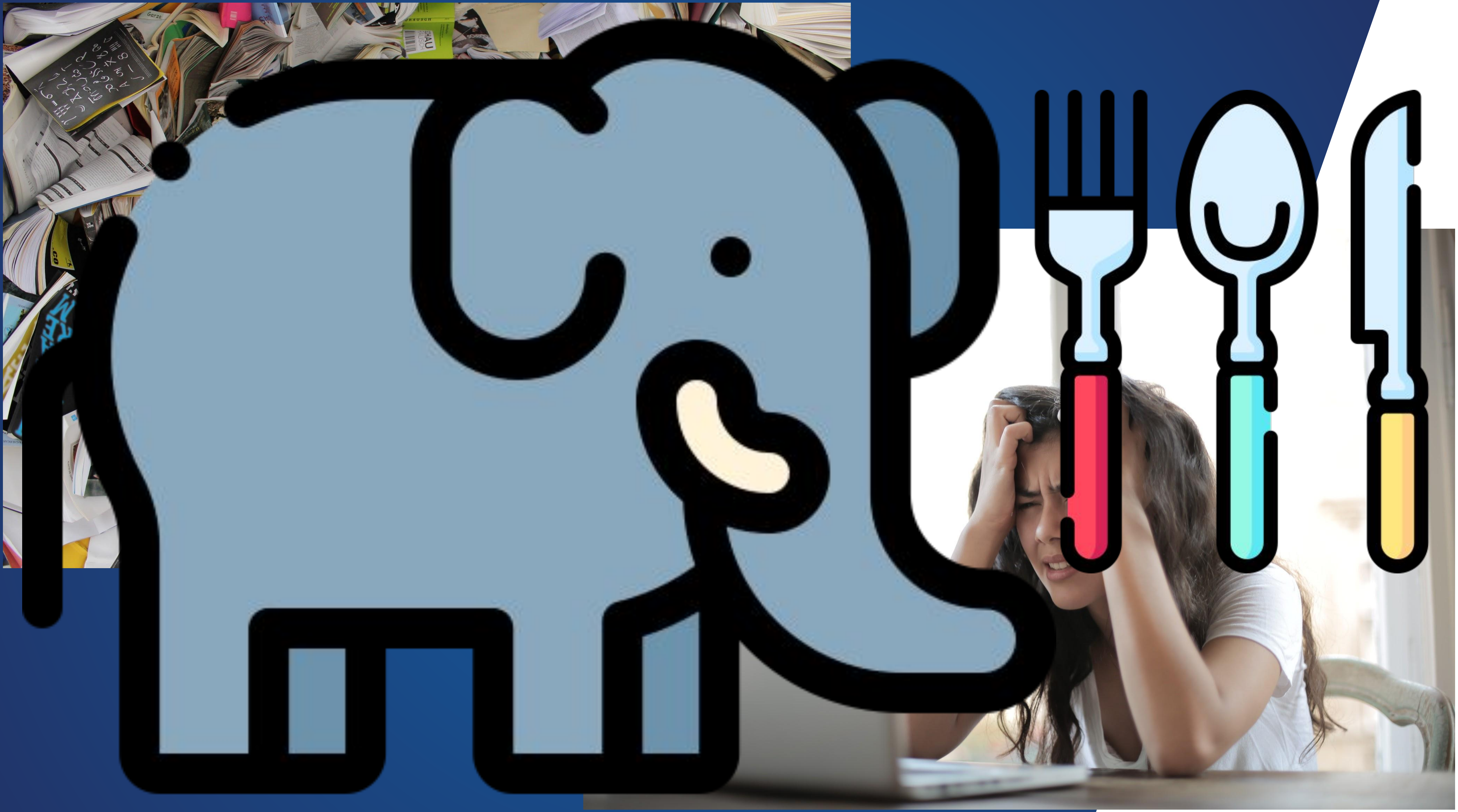
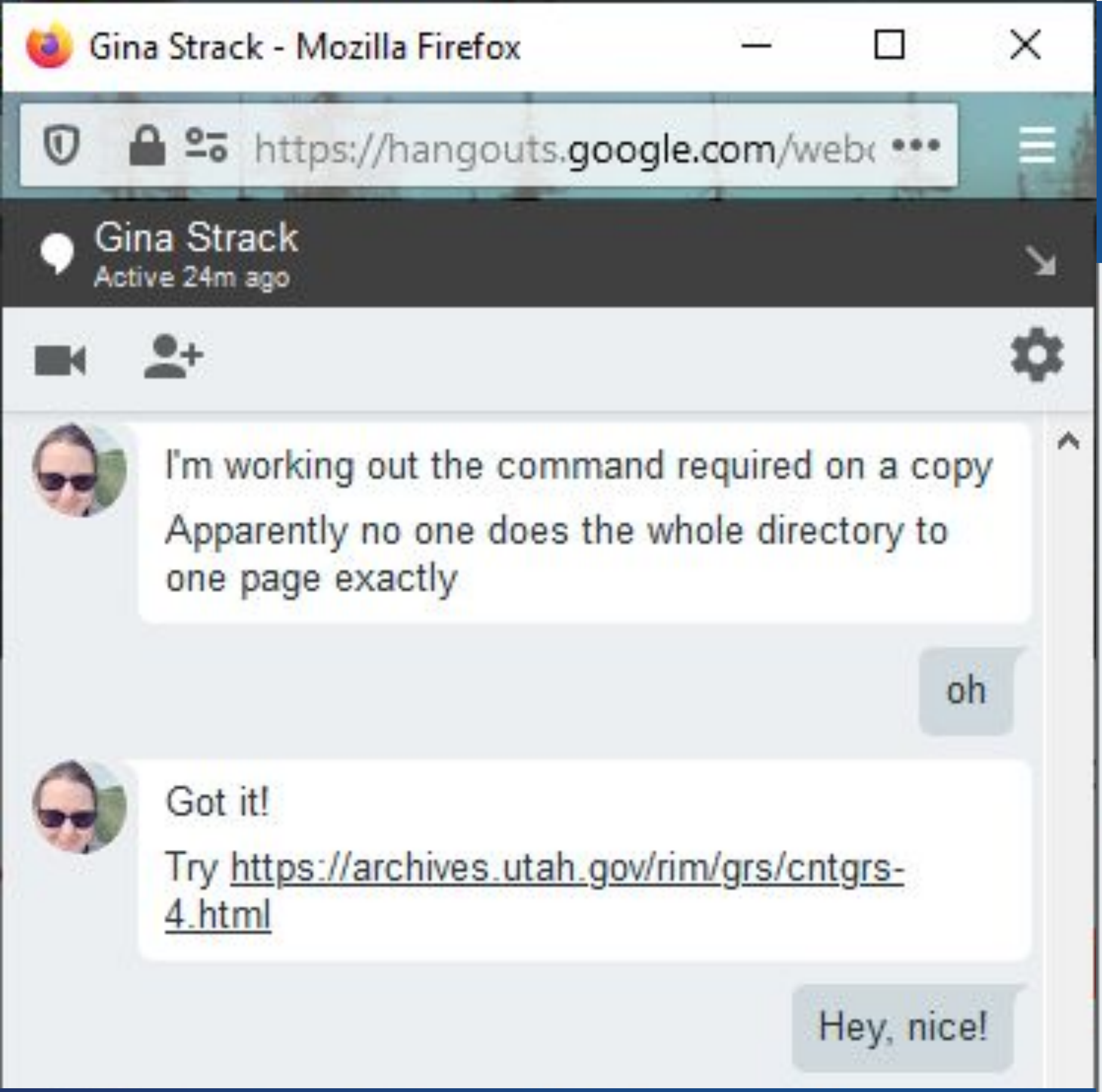


- Take a deep breath
- Do what you can
- One step at a time



Gina Strack - Mozilla Firefox
https://hangouts.google.com/webc

Gina Strack
Active 24m ago

I'm working out the command required on a copy

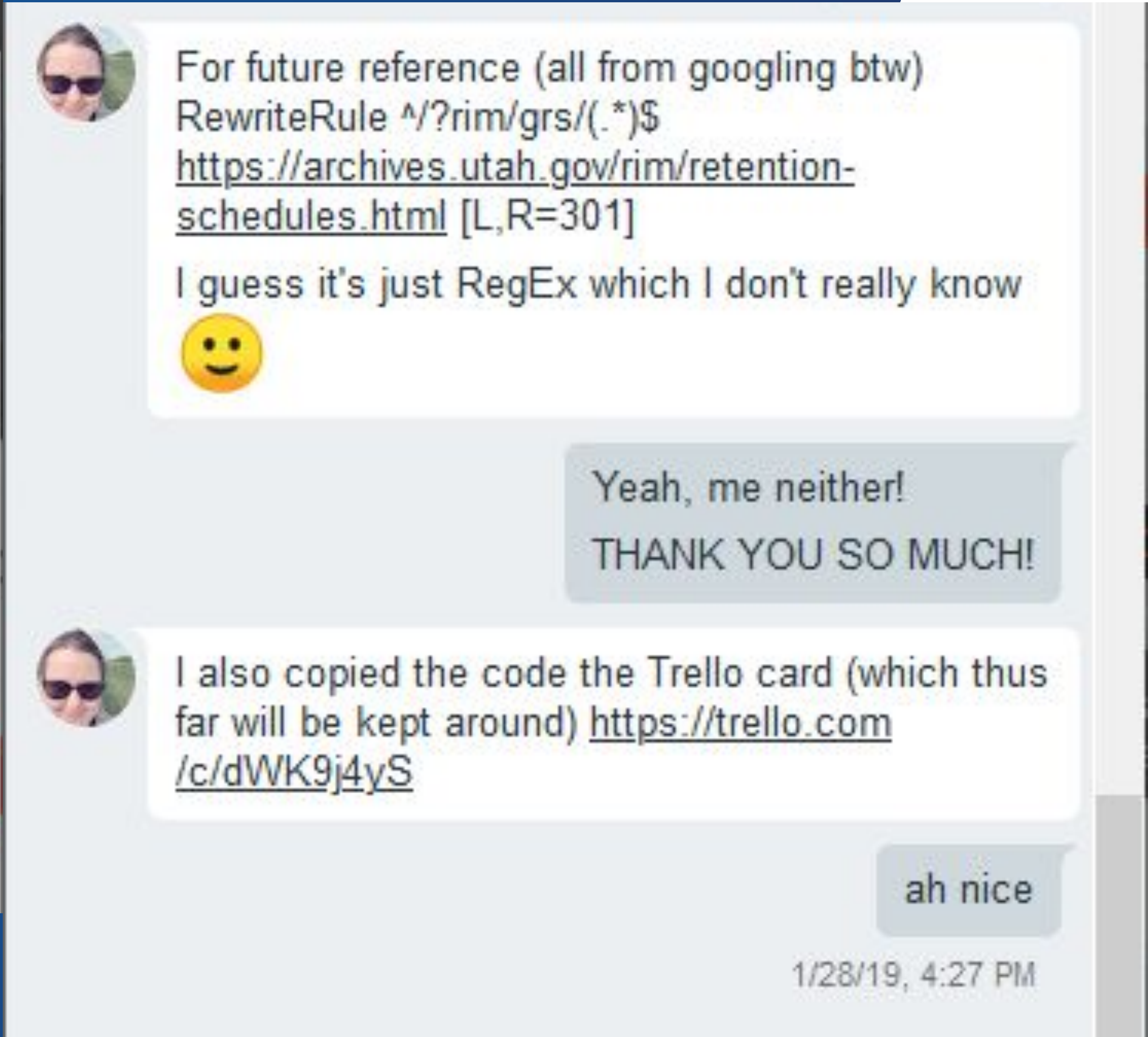
Apparently no one does the whole directory to one page exactly

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!

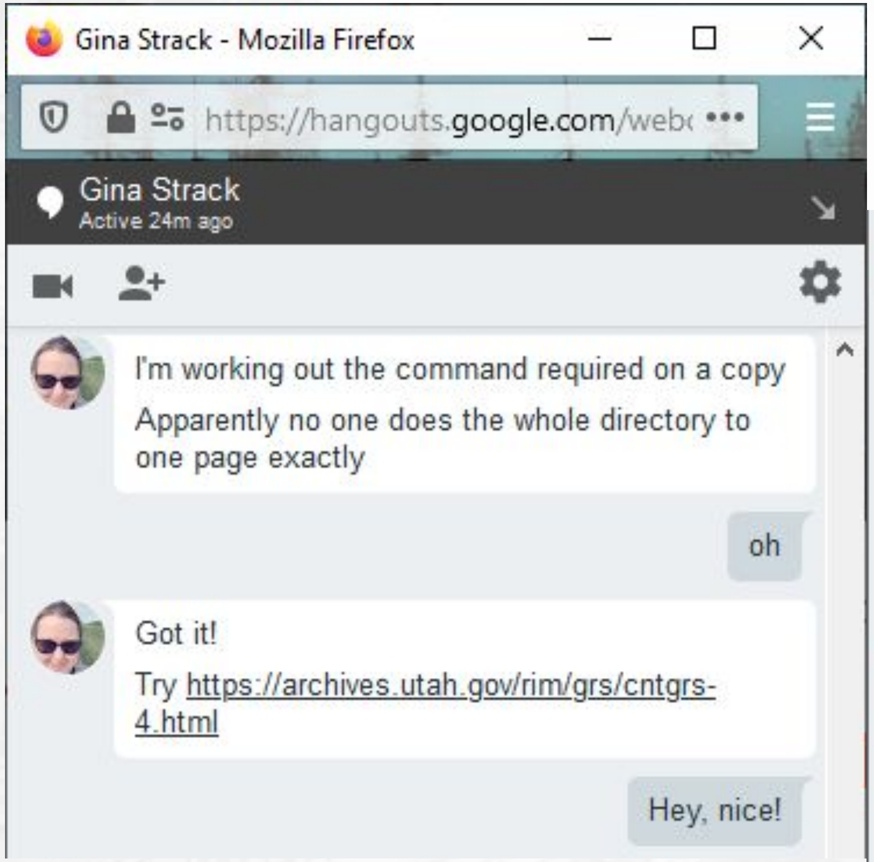
I also copied the code the Trello card (which thus far will be kept around) https://trello.com/c/dWK9j4yS

ah nice

1/28/19, 4:27 PM

8. Is it a record?

A. Yes
B. No
C. Not sure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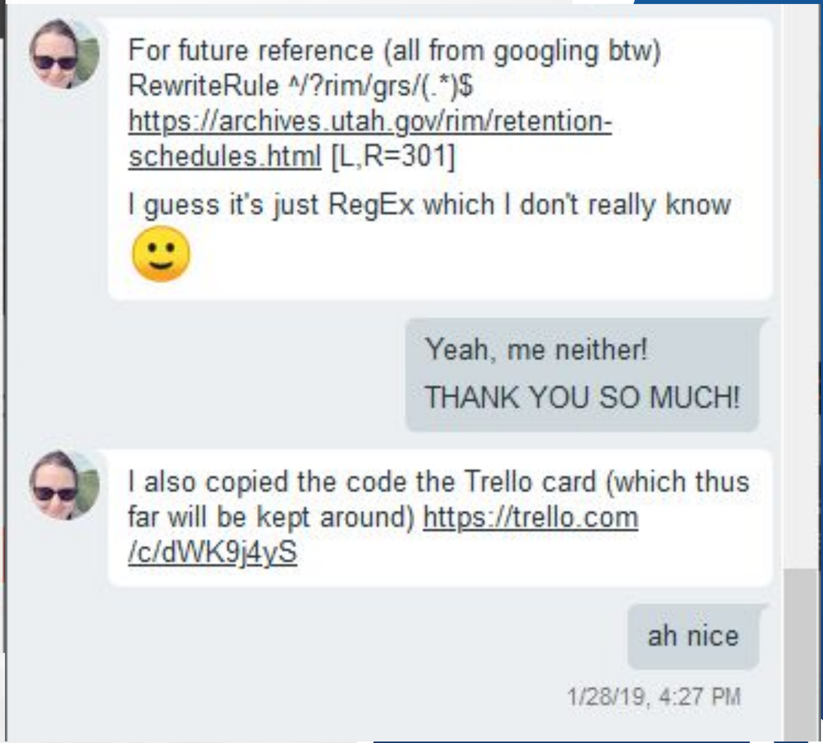

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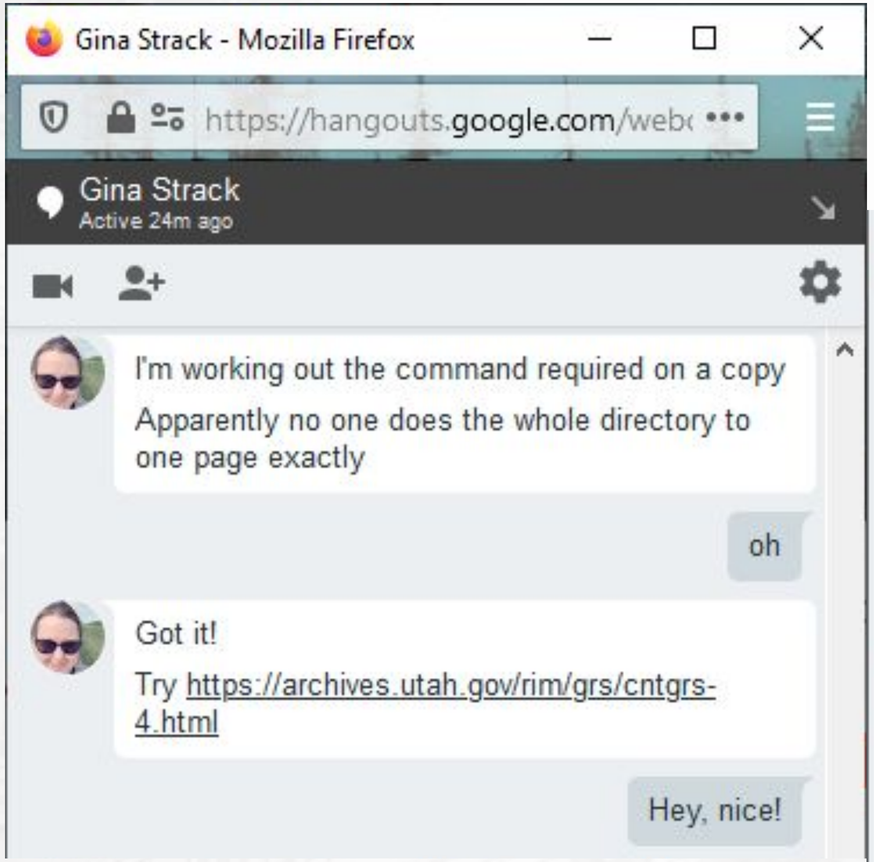
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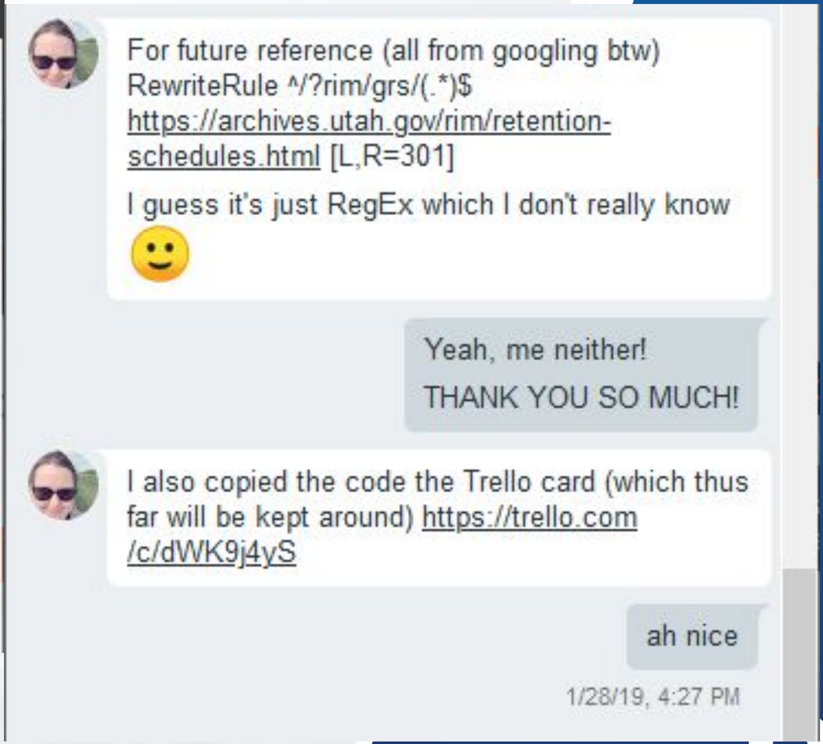

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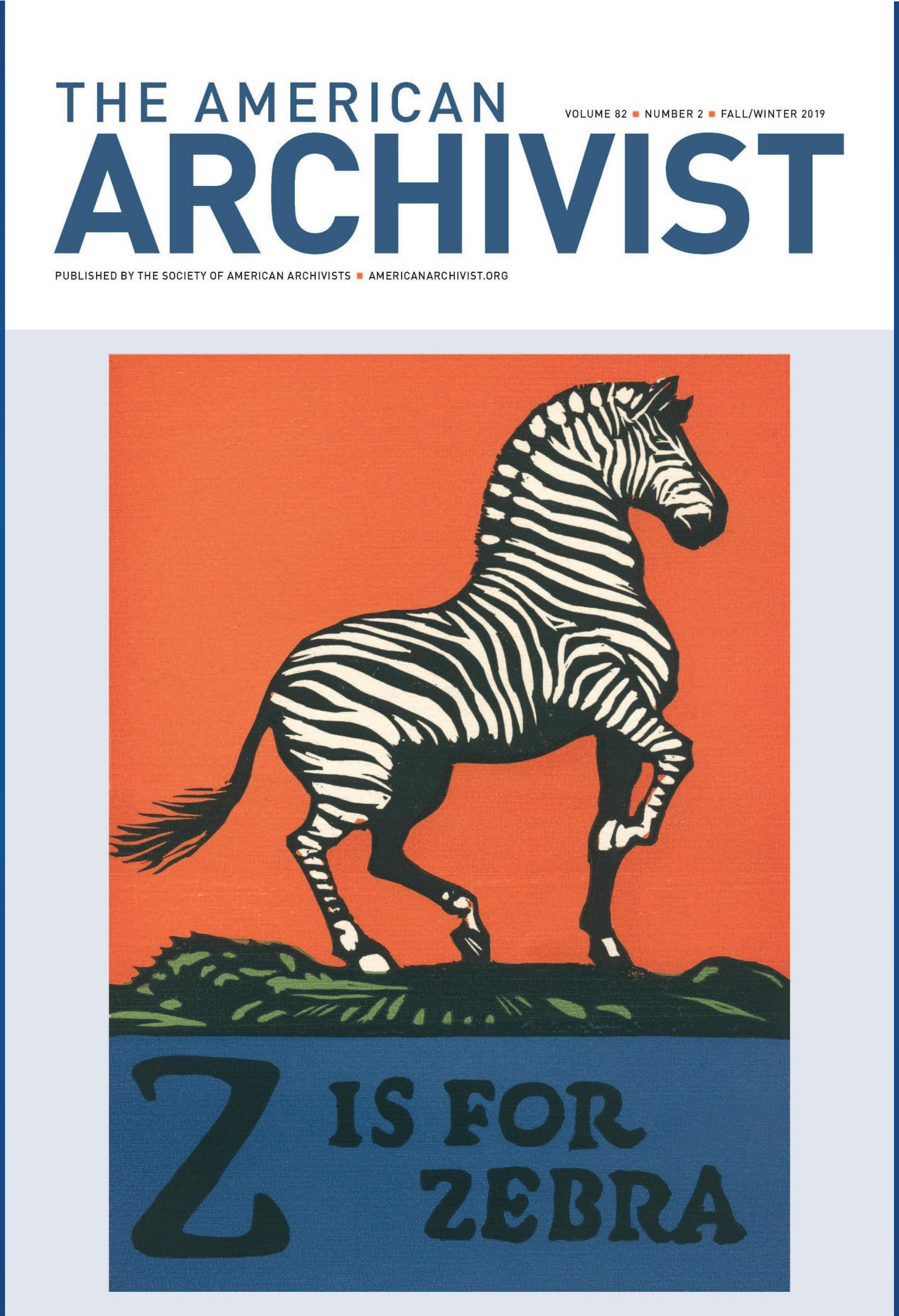


THE AMERICAN
ARCHIVIST

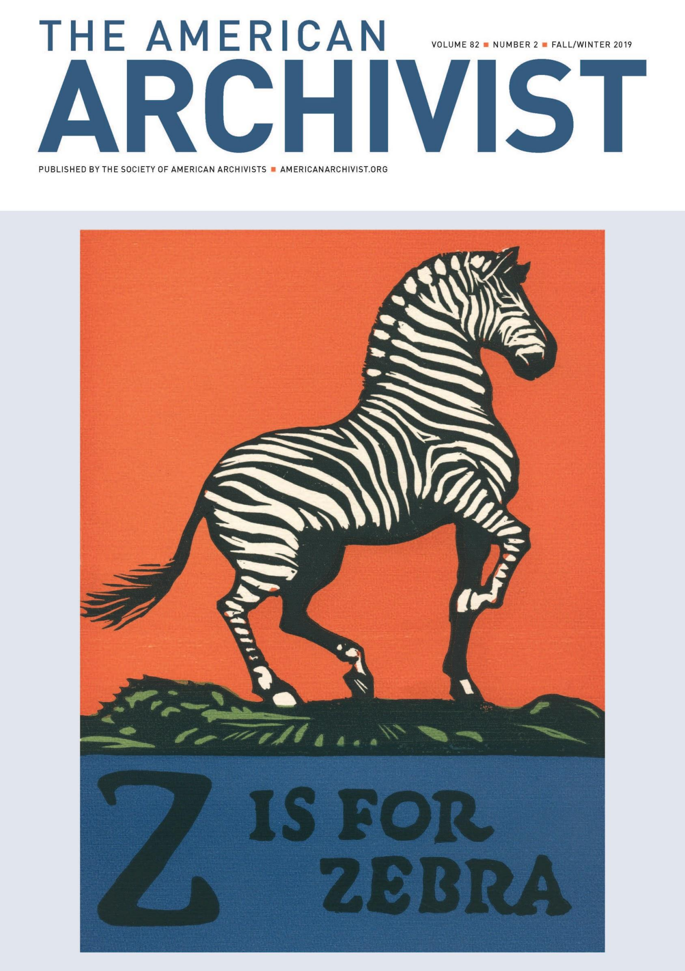
VOLUME 82 ■ NUMBER 2 ■ FALL/WINTER 2019

PUBLISHED BY THE SOCIETY OF AMERICAN ARCHIVISTS ■ AMERICANARCHIVIST.ORG

Z IS FOR ZEBRA

9. Is it a record?

A. Yes
B. No
C. Not sure



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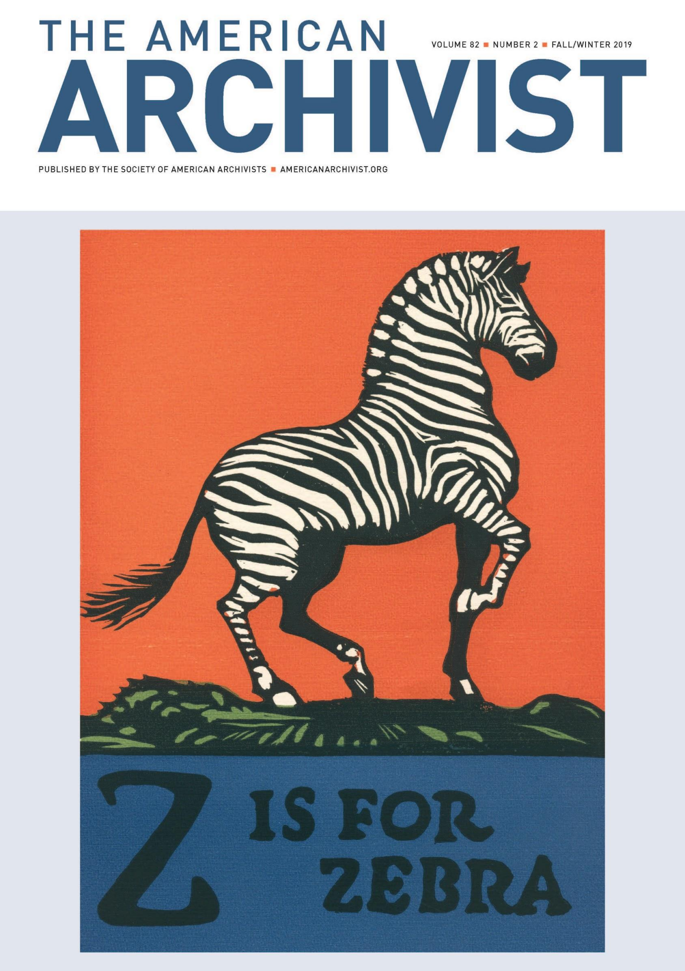

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Photographs of tattoos used to identify gang membership of prisoners when no gang membership is identified

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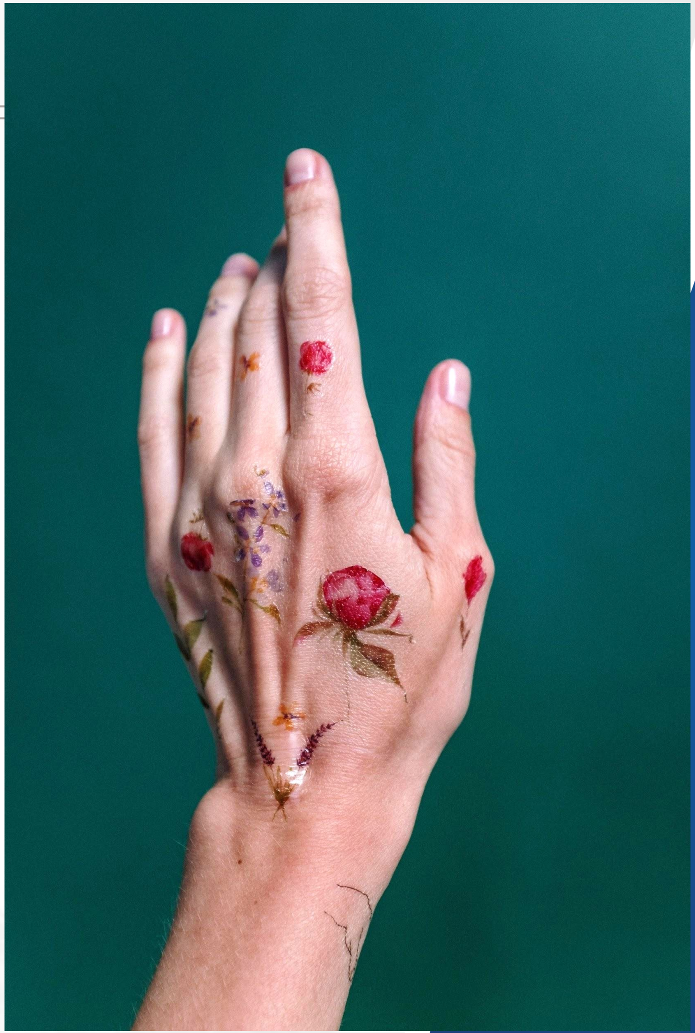

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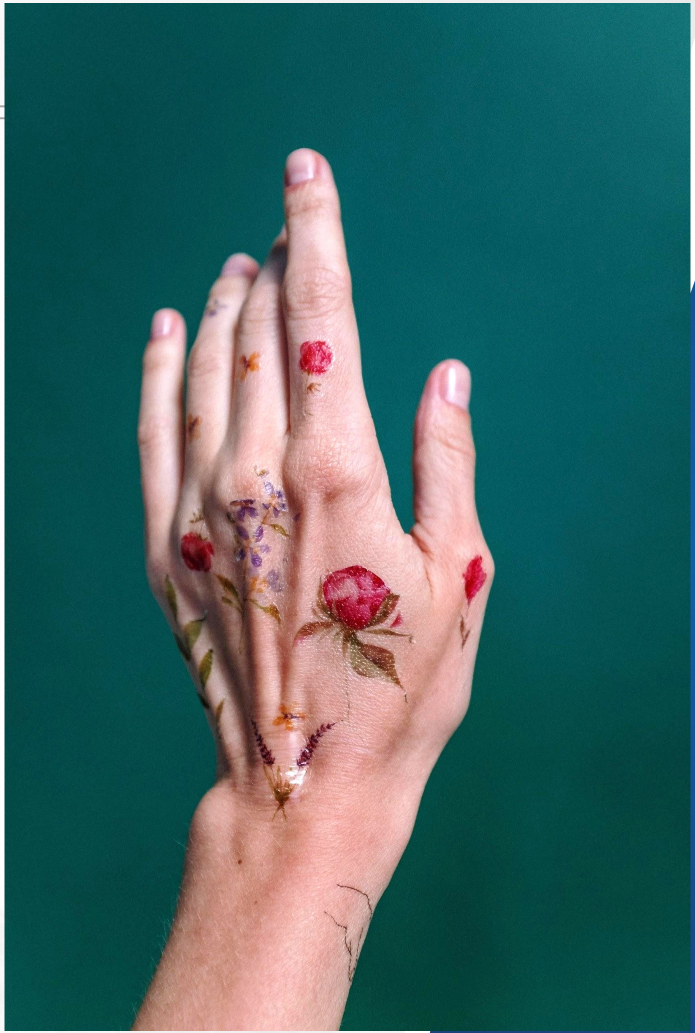

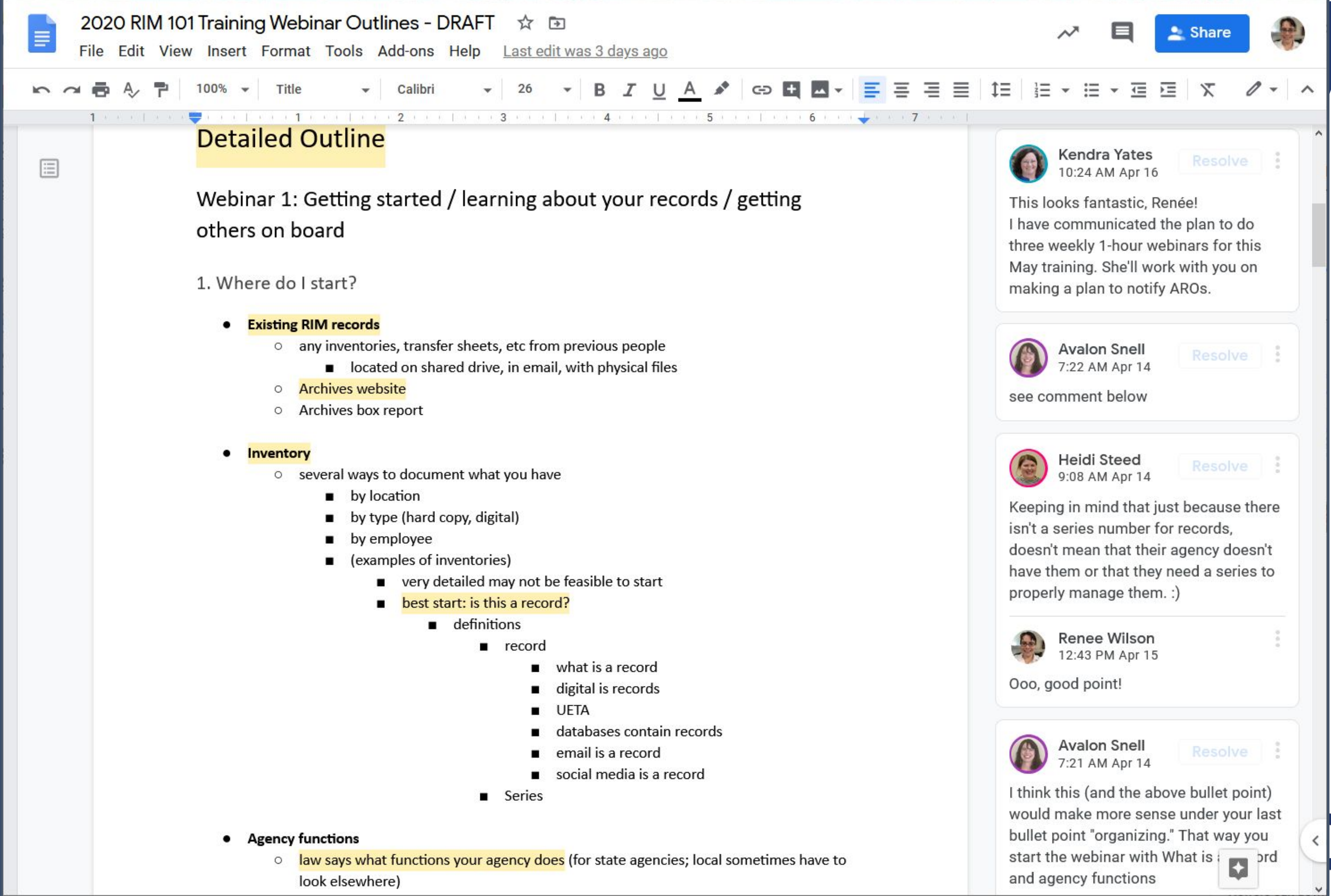
2020 RIM 101 Training Webinar Outlines - DRAFT
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Detailed Outline

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 a rd and agency functions

Resolve
Resolve
Resolve
Resolve

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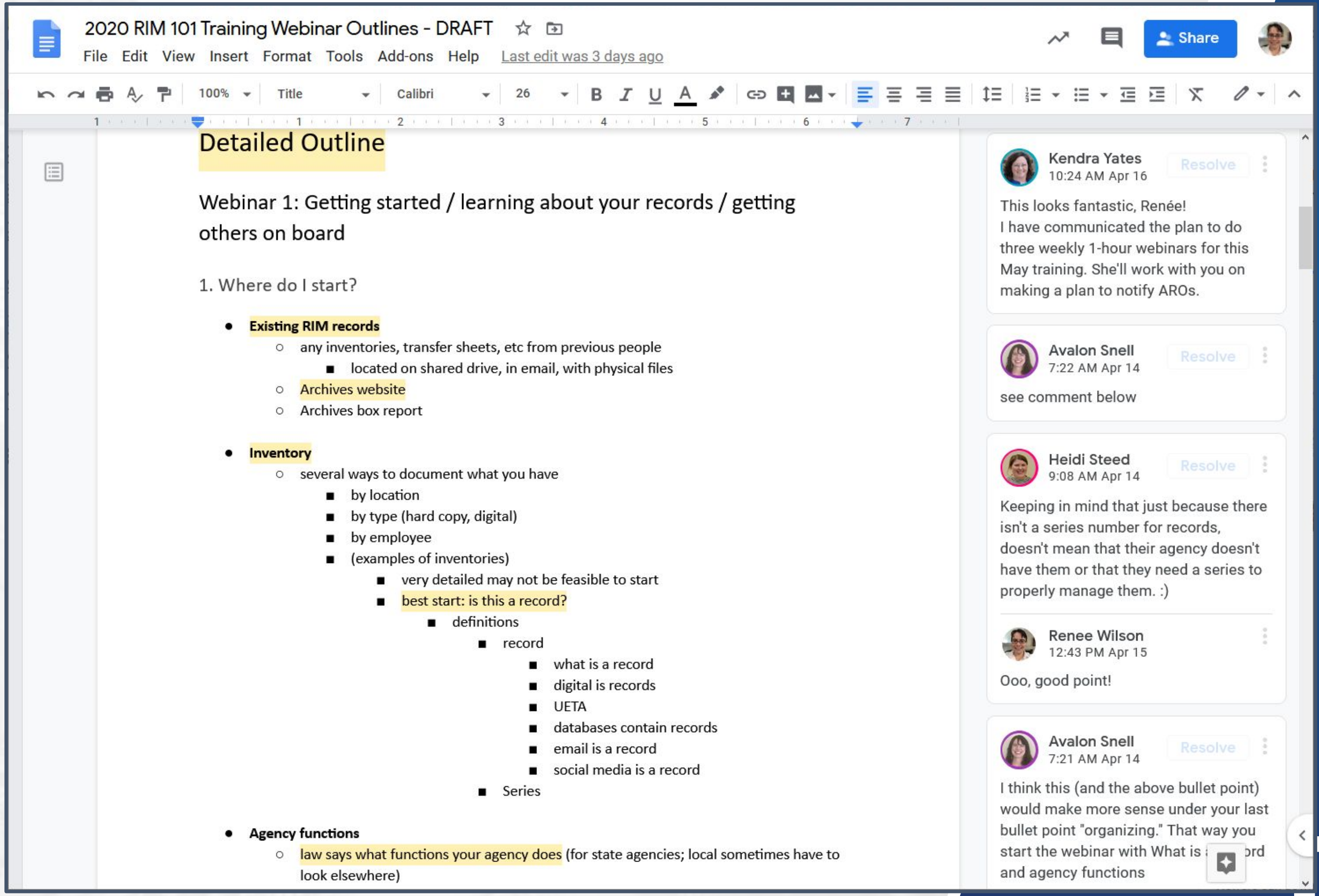

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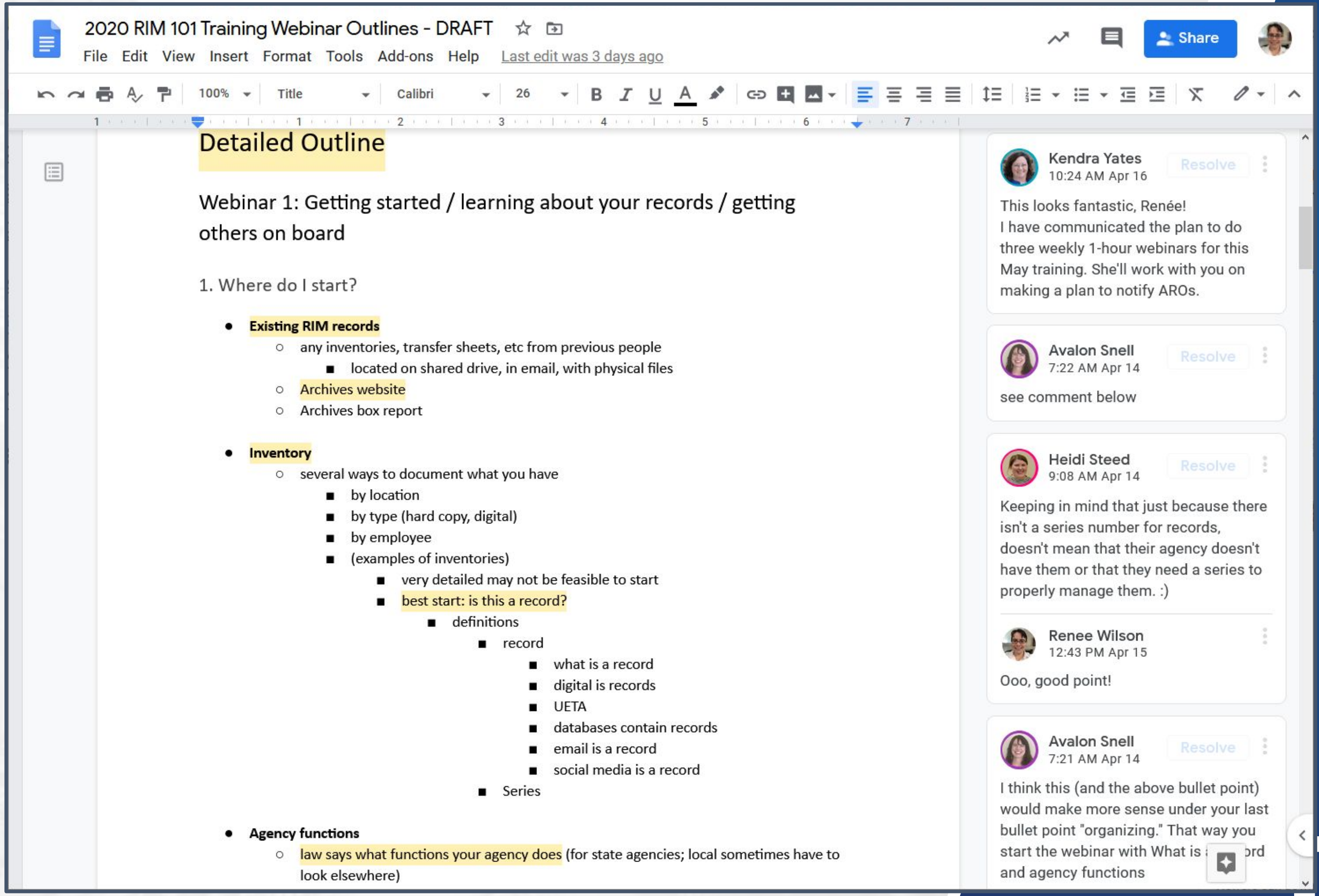
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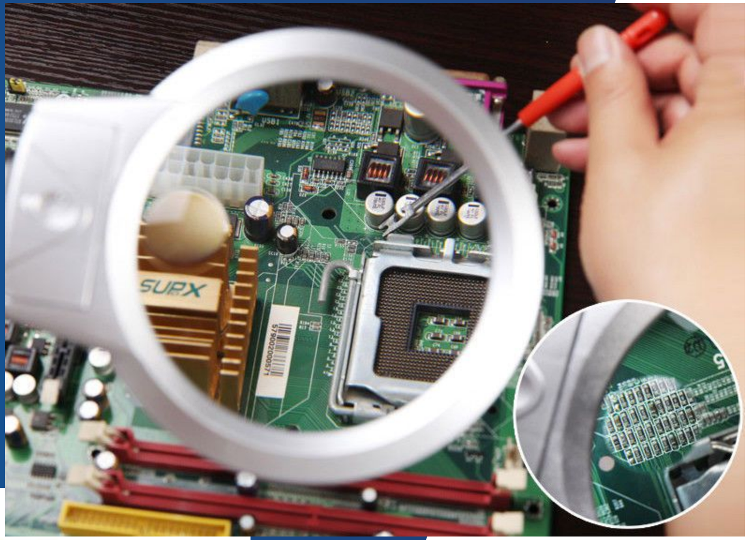
Resolve
Resolve
Resolve
Resolve

3. Review Agency Functions

- 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

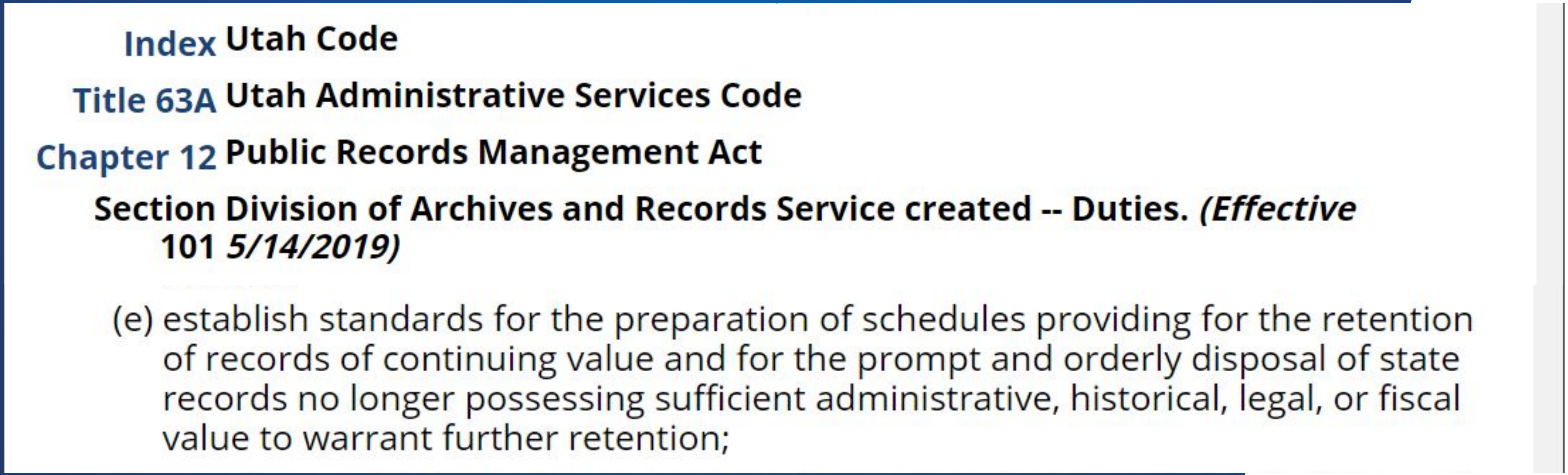
- Human Resources
- Budgeting
- Policy creation
- Accounts Payable and Receivable

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

- Division of Archives and Records Service:

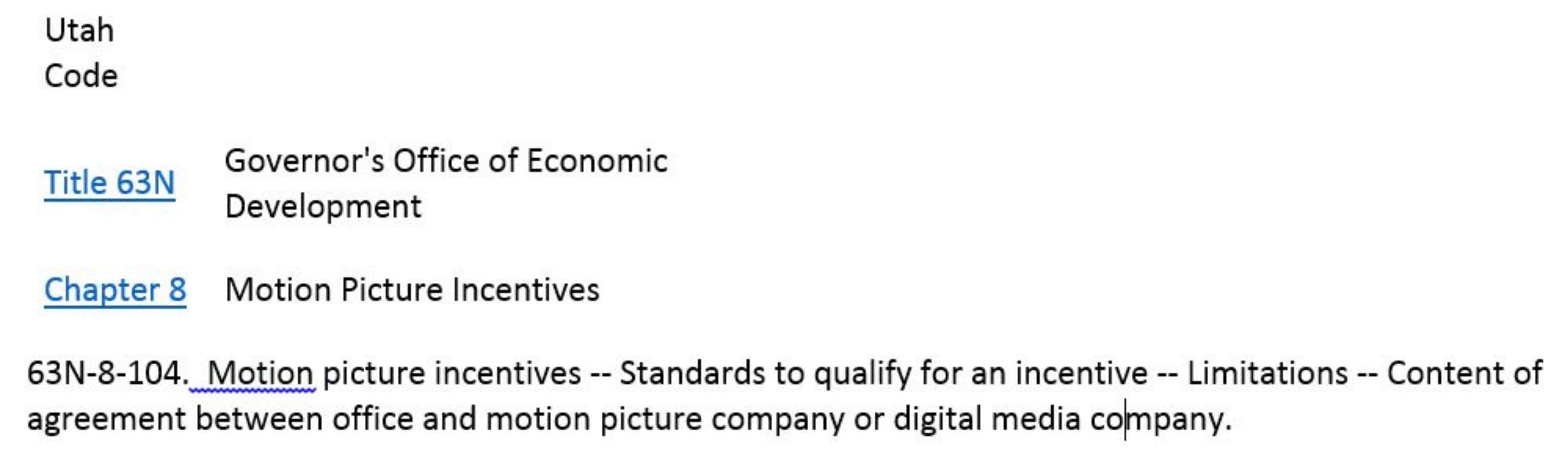


Index **Utah Code**
Title 63A **Utah Administrative Services Code**
Chapter 12 **Public Records Management Act**
Section 101 **Division of Archives and Records Service created -- Duties.** ***(Effective 5/14/2019)***

(e) establish standards for the preparation of schedules providing for the retention of records of continuing value and for the prompt and orderly disposal of state records no longer possessing sufficient administrative, historical, legal, or fiscal value to warrant further retention;

Functions found in statute or ordinances

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

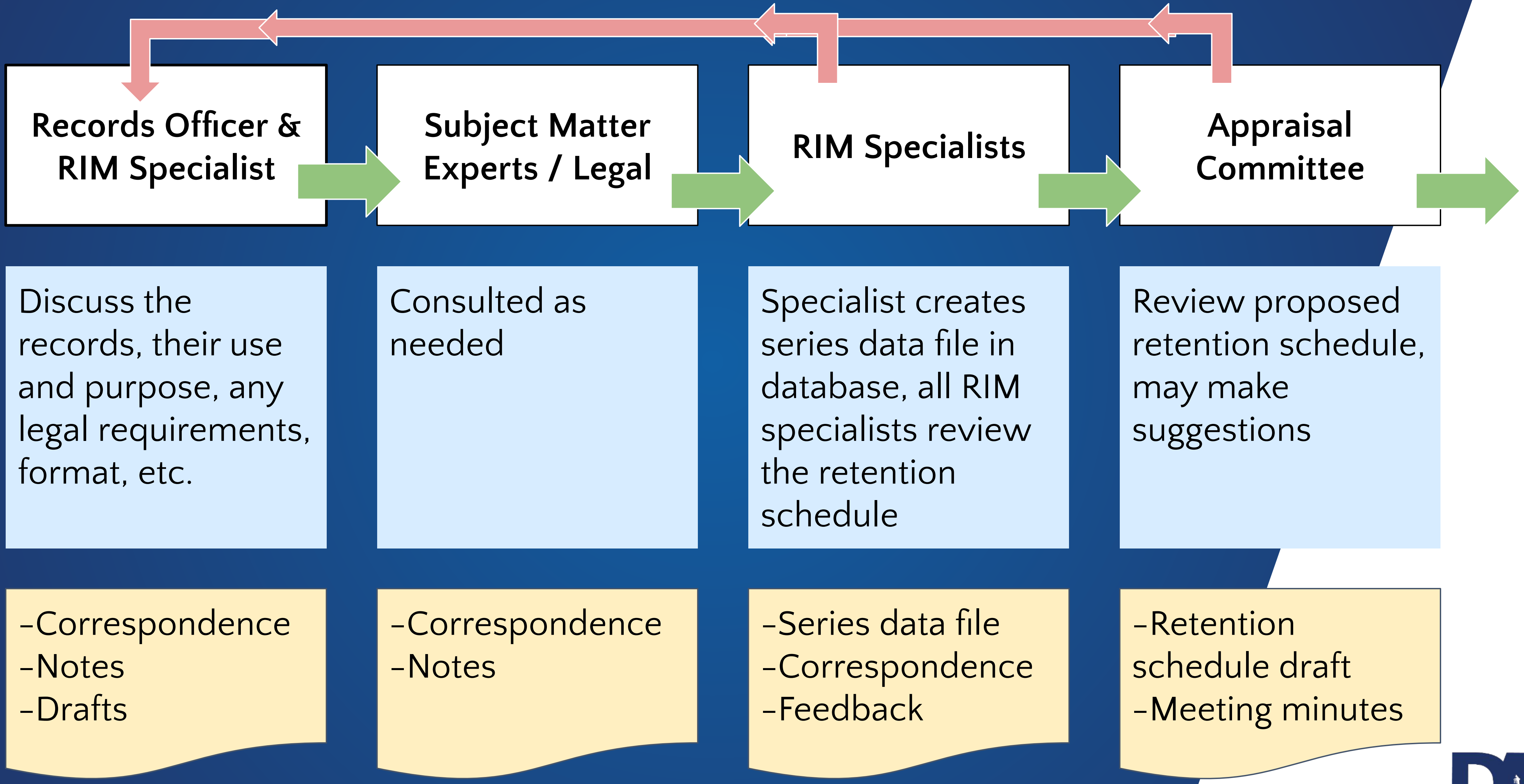


Utah
Code

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

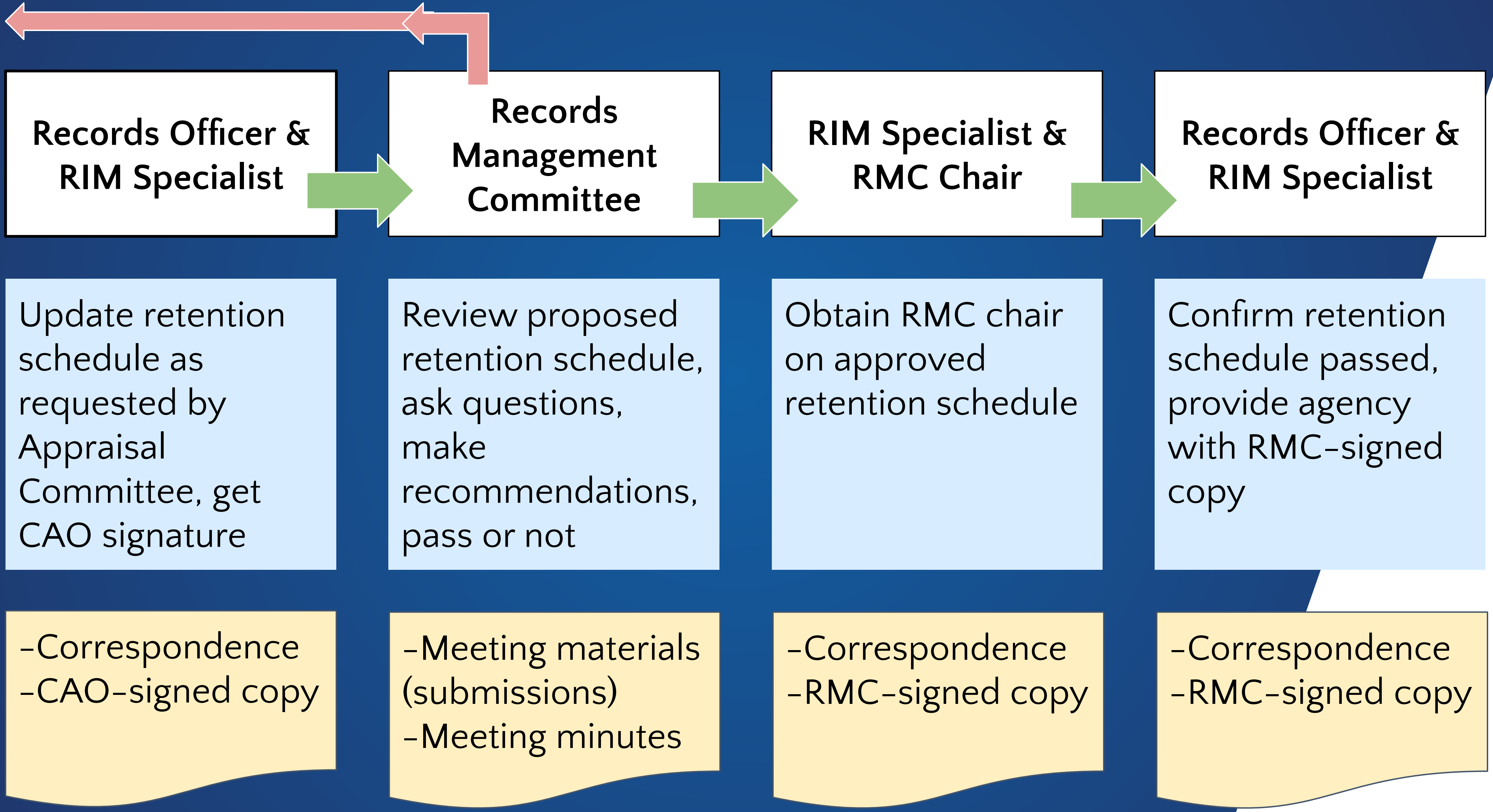
63N-8-104. Motion picture incentives -- Standards to qualify for an incentive -- Limitations -- Content of agreement between office and motion picture company or digital media company.

Creating a Retention Schedule



Records Officer & RIM Specialist	**Subject Matter Experts / Legal**	**RIM Specialists**	**Appraisal Committee**
Discuss the records, their use and purpose, any legal requirements, format, etc.	Consulted as needed	Specialist creates series data file in database, all RIM specialists review the retention schedule	Review proposed retention schedule, may make suggestions
-Correspondence -Notes -Drafts	-Correspondence -Notes	-Series data file -Correspondence -Feedback	-Retention schedule draft -Meeting minutes

Creating a Retention Schedule



Records Officer & RIM Specialist

Update retention schedule as requested by Appraisal Committee, get CAO signature

-Correspondence
-CAO-signed copy

Records Management Committee

Review proposed retention schedule, ask questions, make recommendations, pass or not

-Meeting materials (submissions)
-Meeting minutes

RIM Specialist & RMC Chair

Obtain RMC chair on approved retention schedule

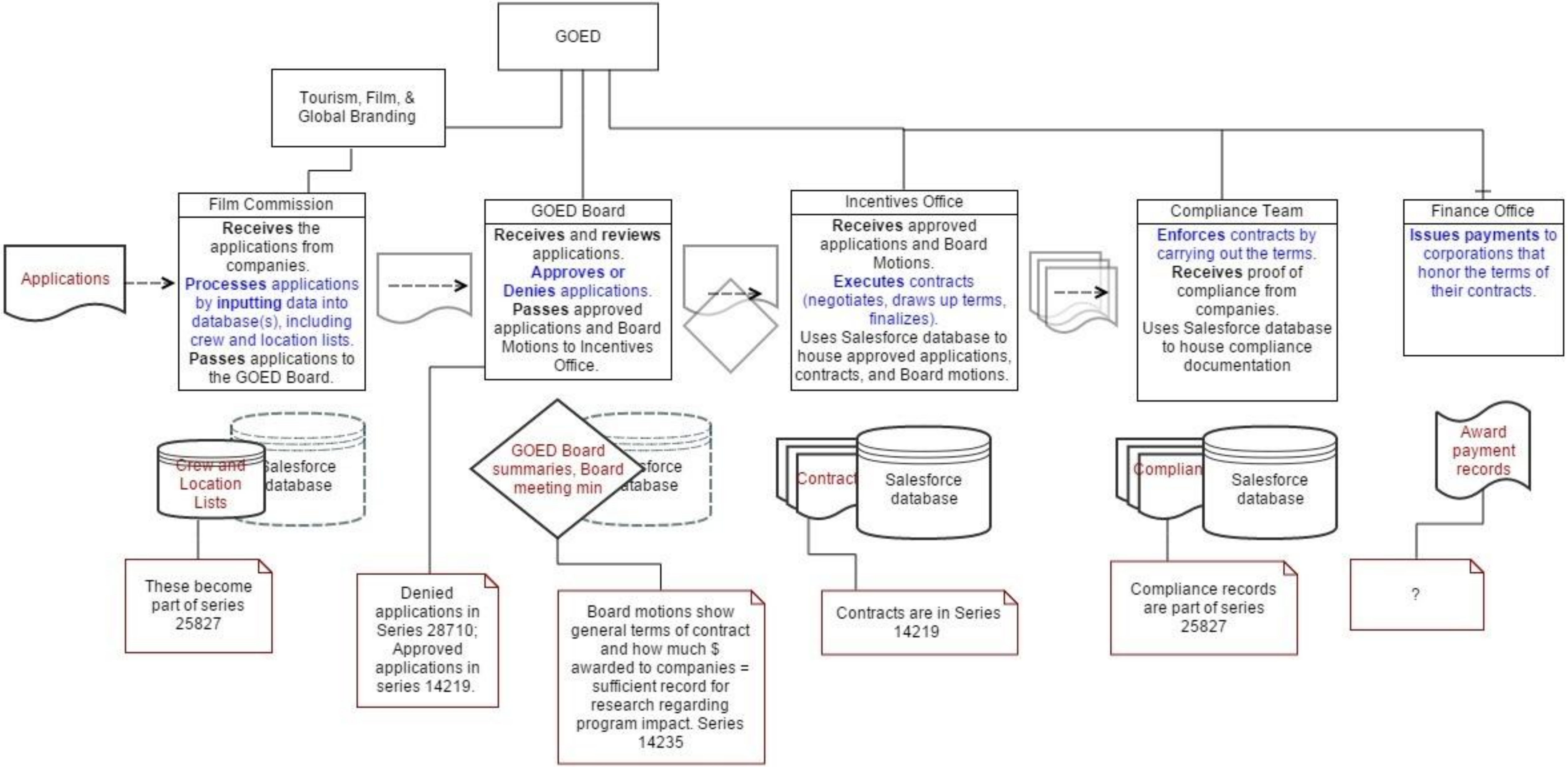
-Correspondence
-RMC-signed copy

Records Officer & RIM Specialist

Confirm retention schedule passed, provide agency with RMC-signed copy

-Correspondence
-RMC-signed copy

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

alesforce 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

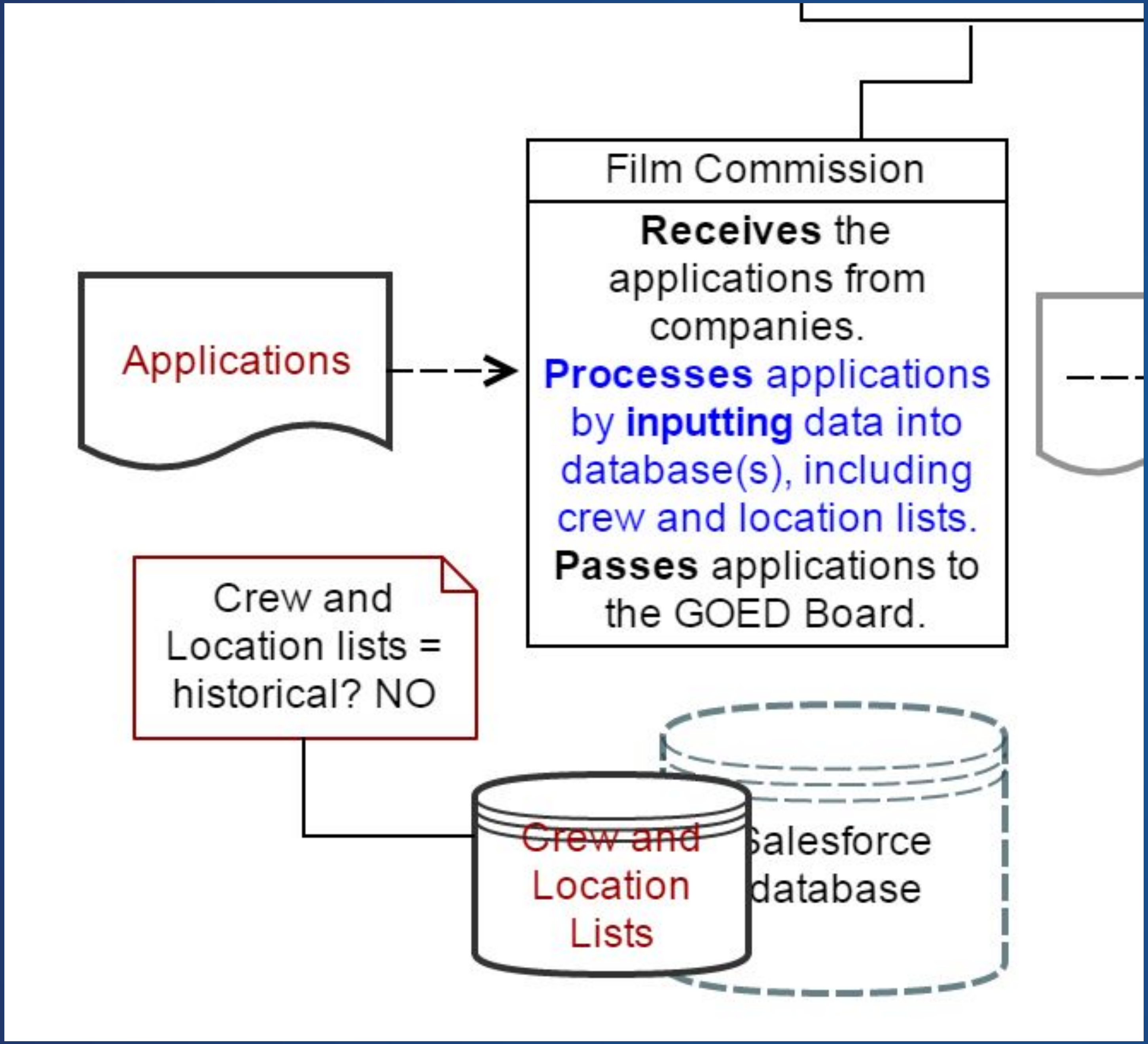
Complian

Salesforce database

Compliance records are part of series 25827

Award payment records

?



Film Commission

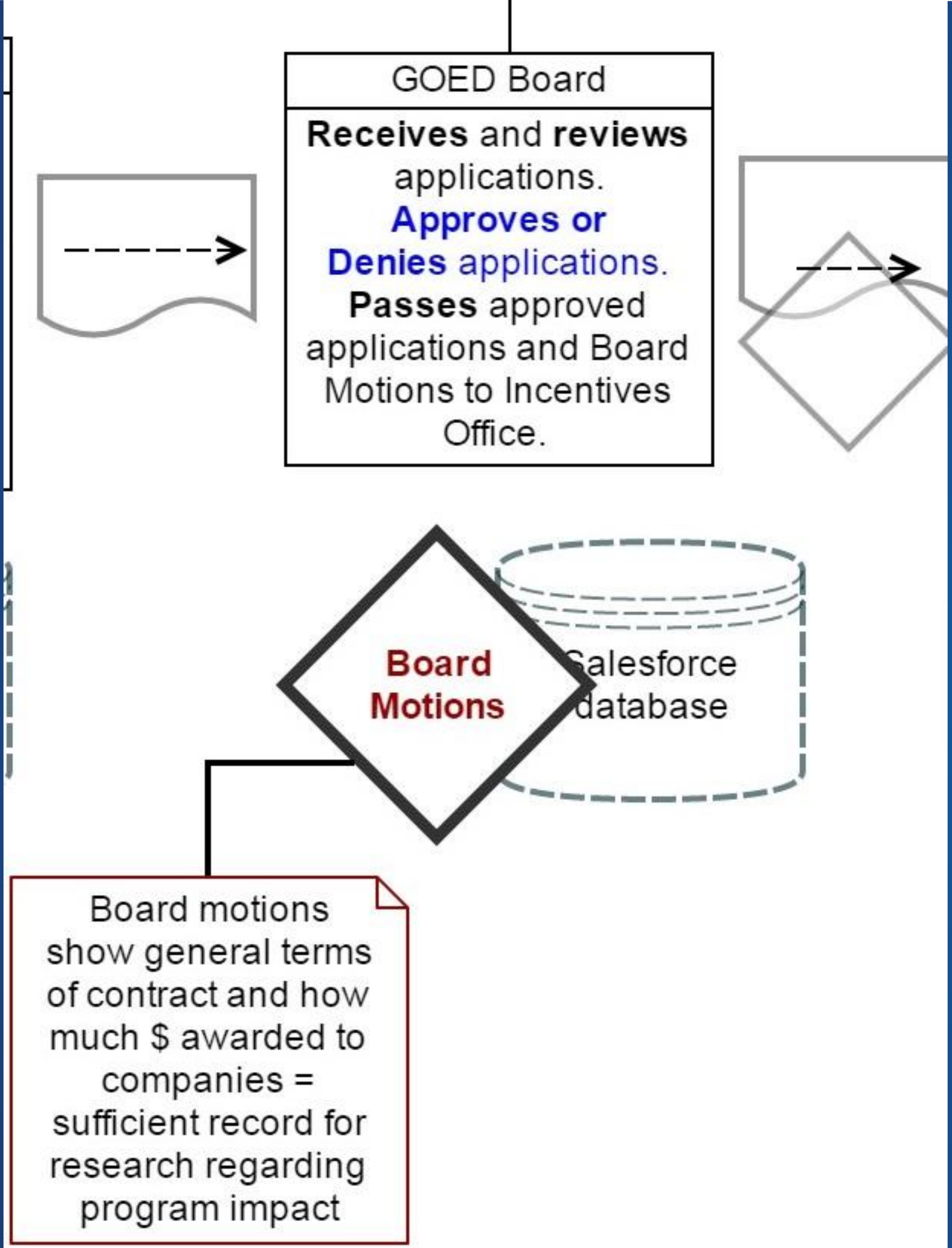
Receives the applications from companies.
Processes applications by **inputting** data into database(s), including crew and location lists.
Passes applications to the GOED Board.

Applications

Crew and Location lists = historical? NO

Crew and Location Lists

Salesforce database



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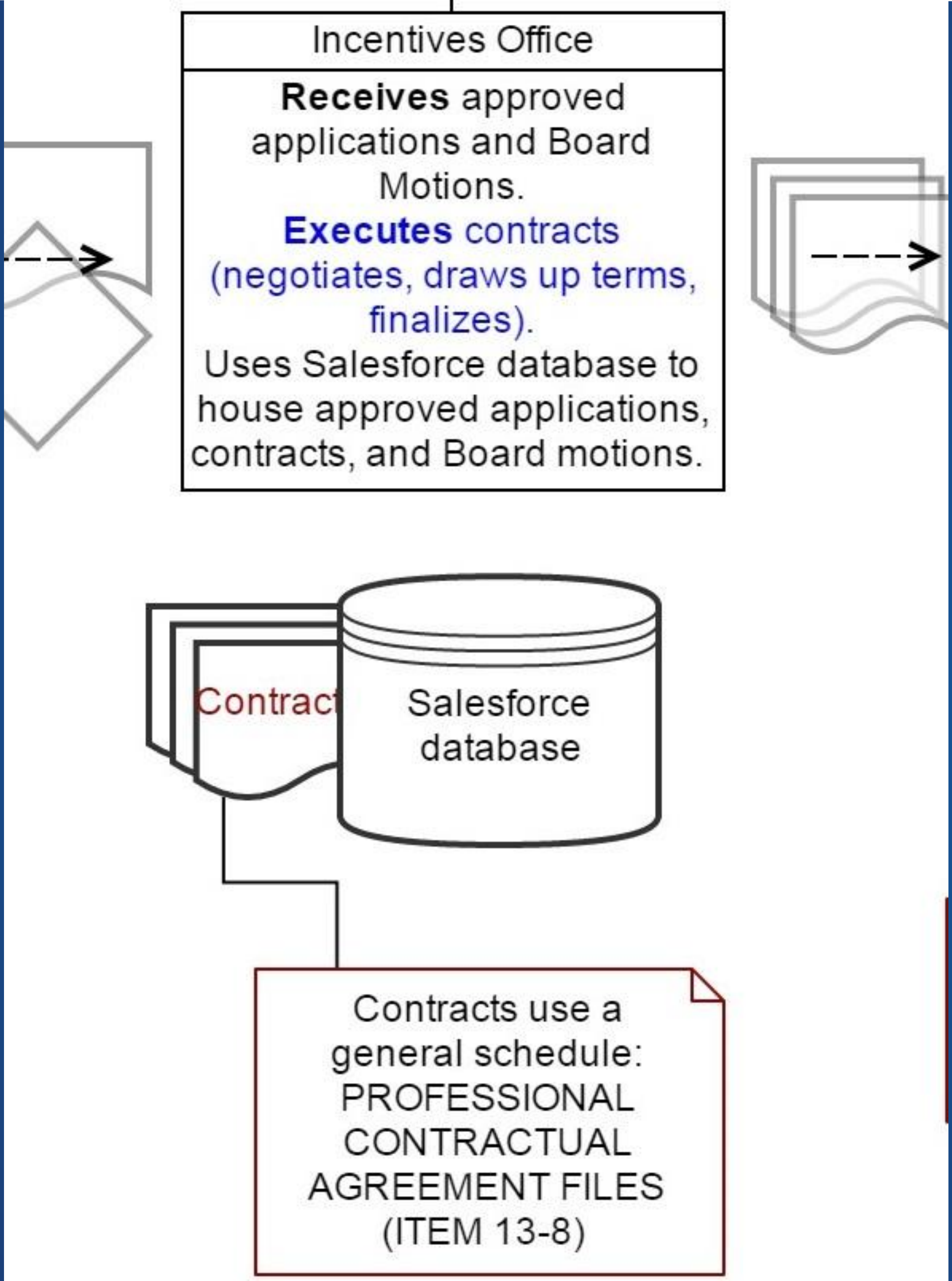
Board Motions

Salesforce database

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



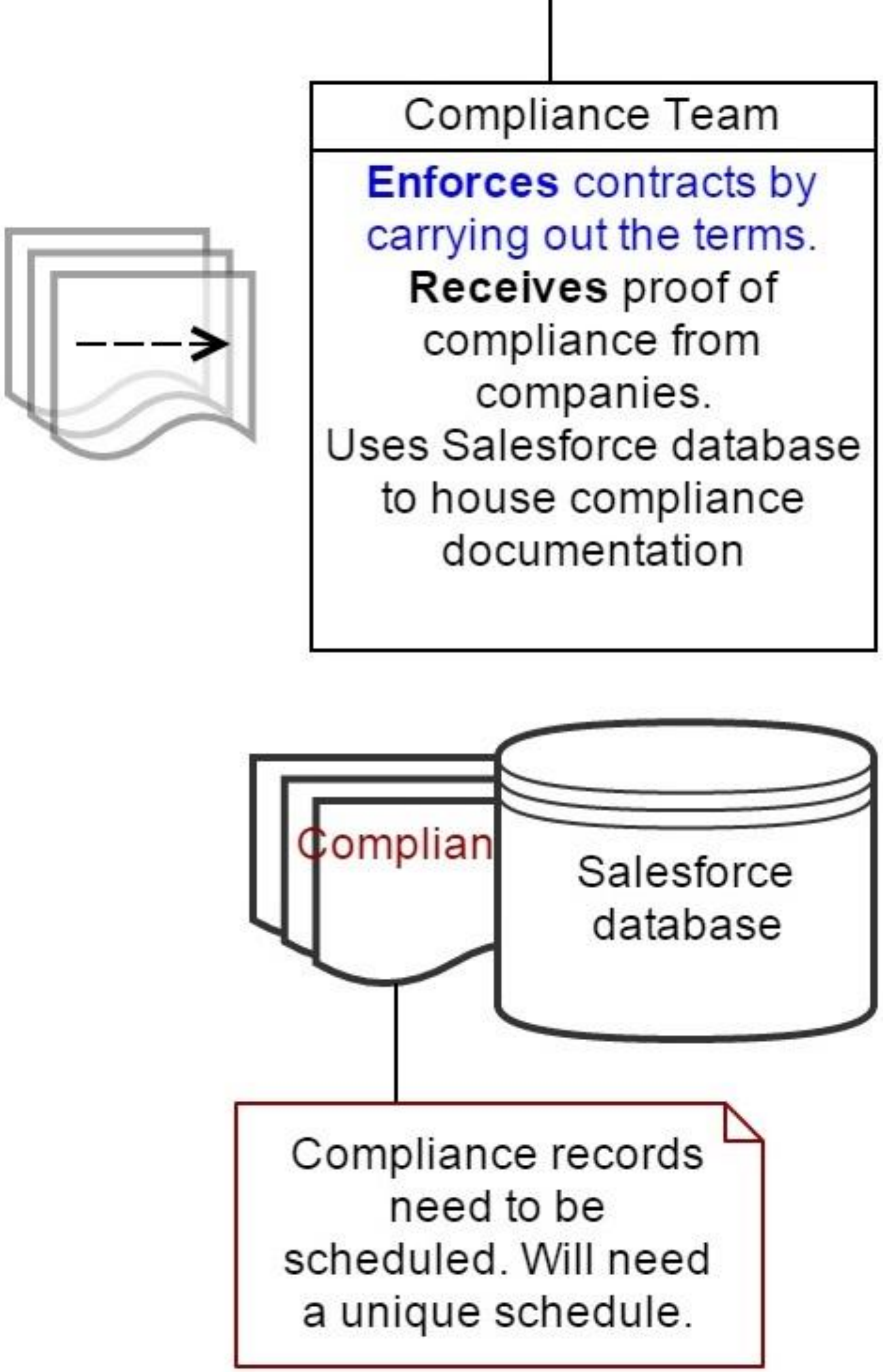
Incentives Office

Receives approved applications and Board Motions.

Executes contracts (negotiates, draws up terms, finalizes).

Uses Salesforce database to house approved applications, contracts, and Board motions.

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



Compliance Team

Enforces contracts by carrying out the terms.
Receives proof of compliance from companies.
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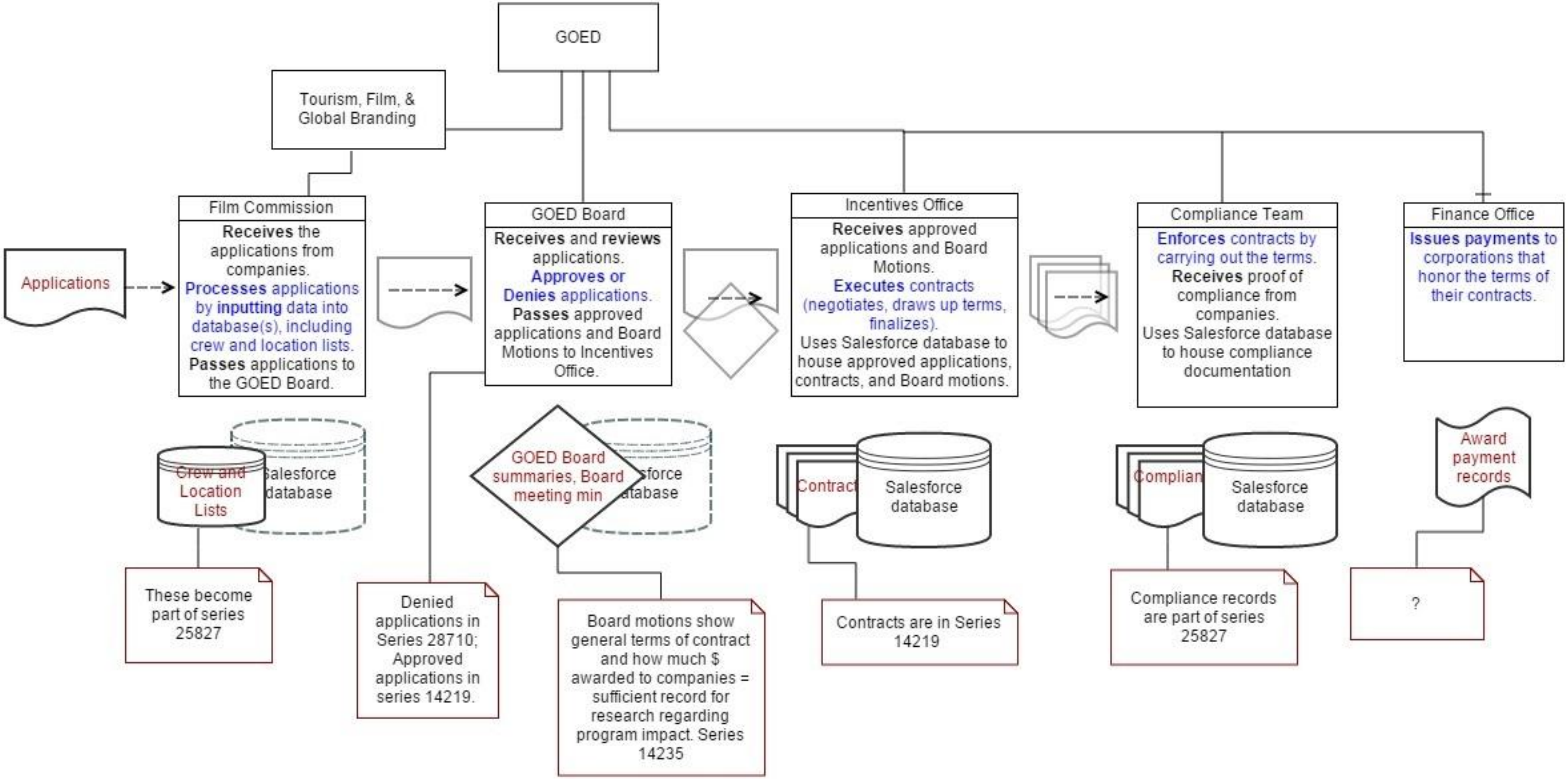
Complian

Salesforce database

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

MOTION PICTURE INCENTIVE PROGRAM function flowchart


GOED
Tourism, Film, & Global Branding
Applications
Film Commission
GOED Board
Incentives Office
Compliance Team
Finance Office
Crew and Location Lists
alesforce database
GOED Board summaries, Board meeting min
sforce atabase
Contract
Salesforce database
Complian
Salesforce database
Award payment records
?

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.

These become part of series 25827

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

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

Contracts are in Series 14219

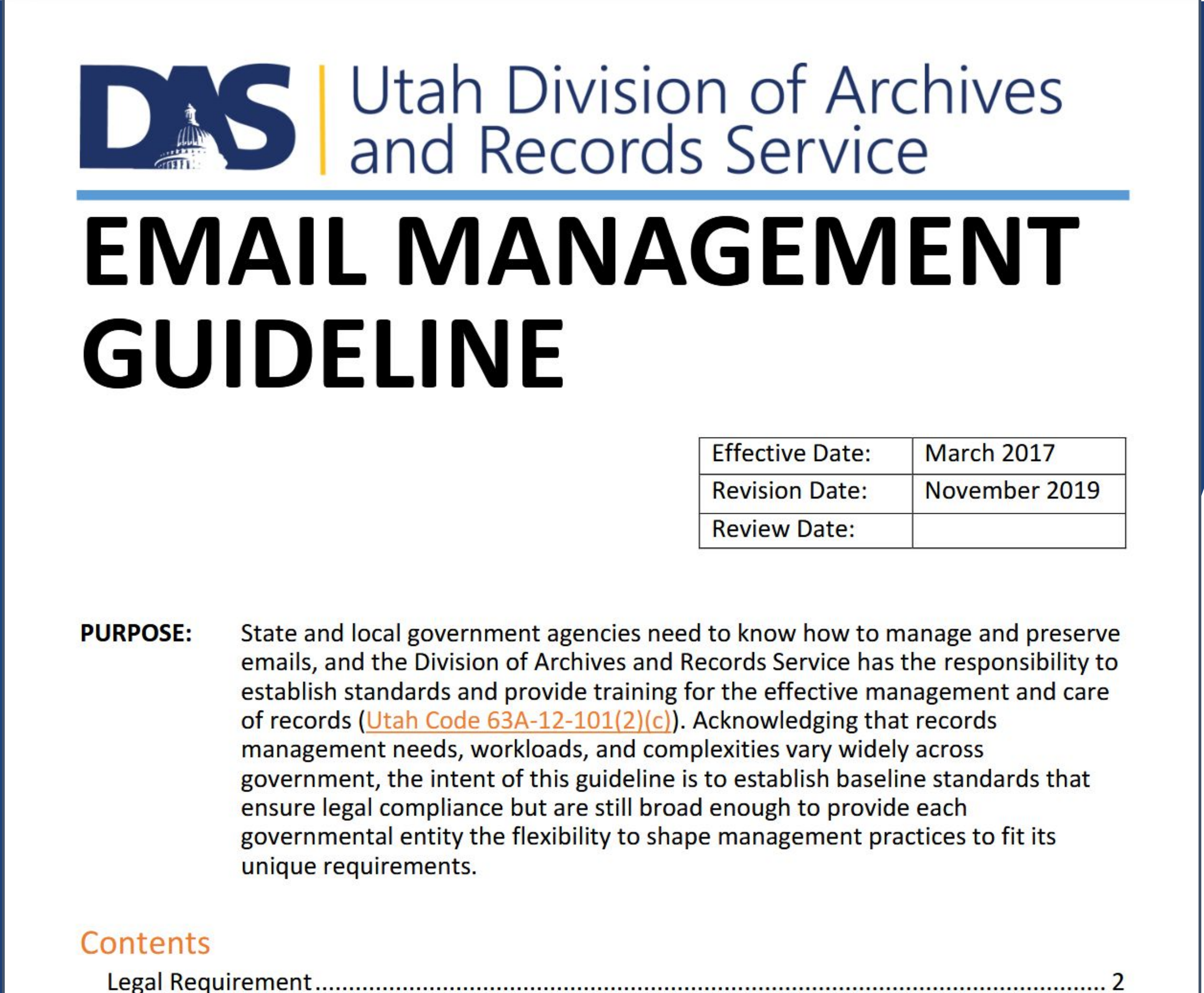
Compliance records are part of series 25827

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:	

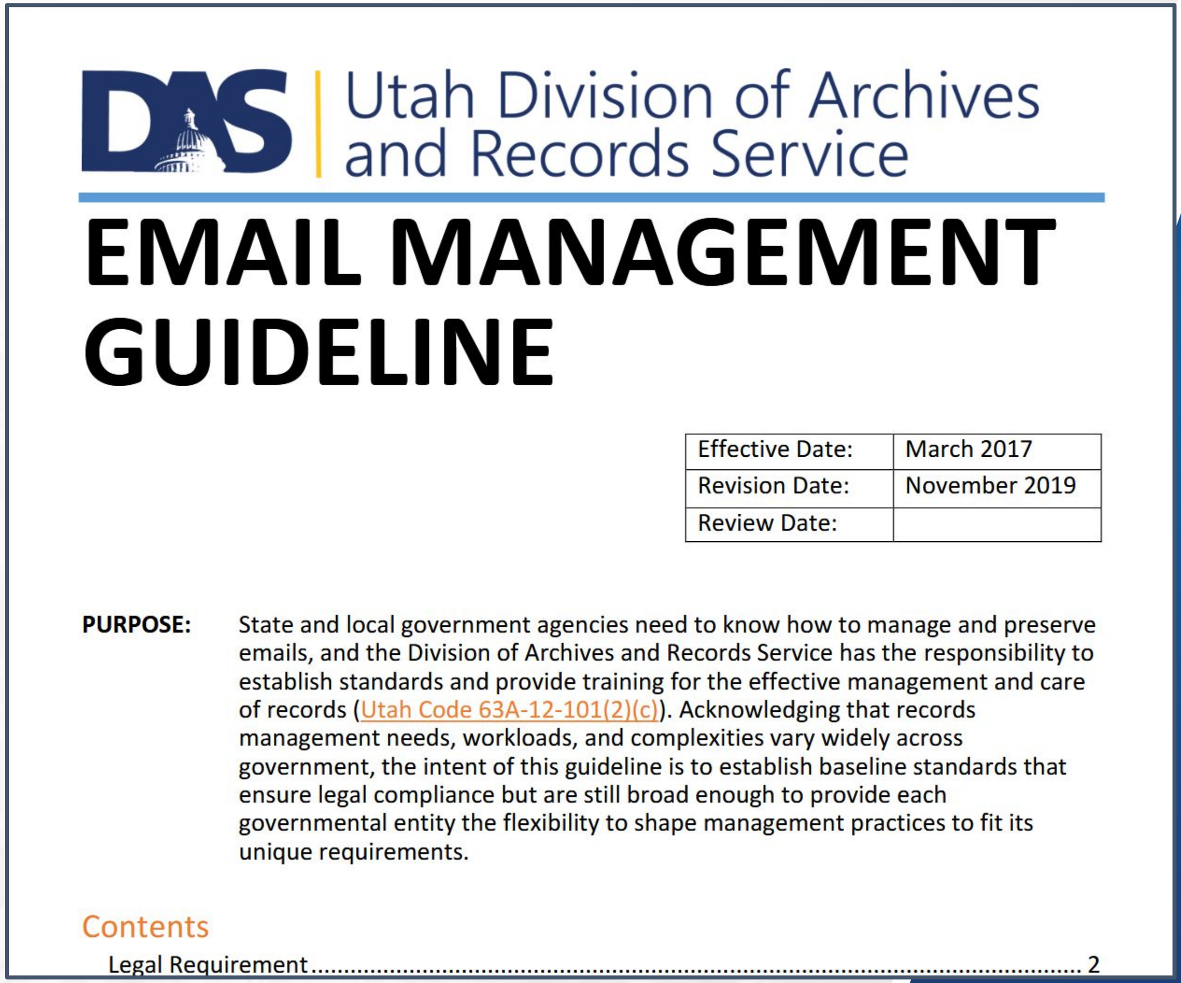
PURPOSE: State and local government agencies need to know how to manage and preserve emails, and the Division of Archives and Records Service has the responsibility to establish standards and provide training for the effective management and care of records (Utah Code 63A-12-101(2)(c)). Acknowledging 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

11. Is it a record?

A. Yes
B. No
C. Not sure



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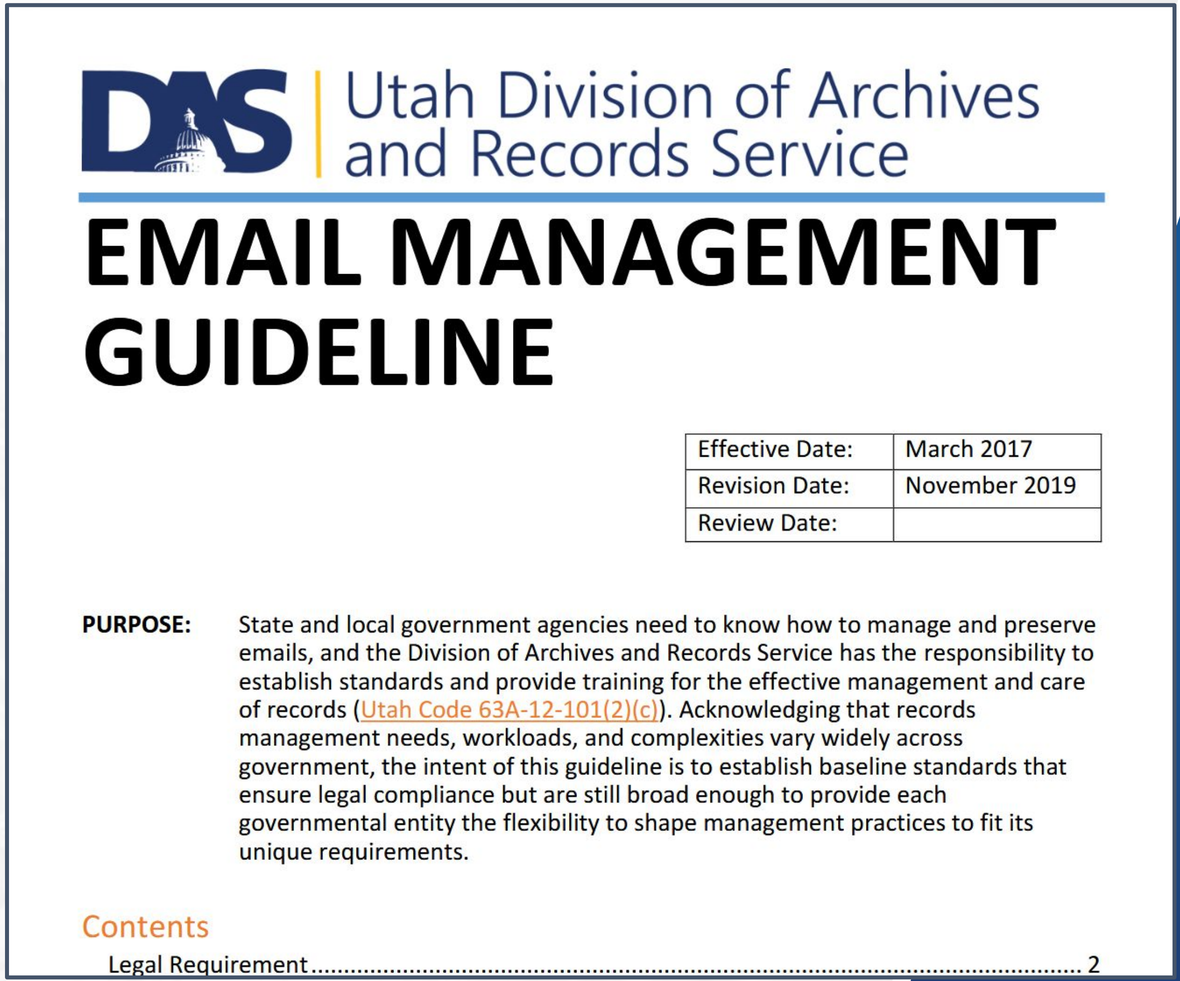

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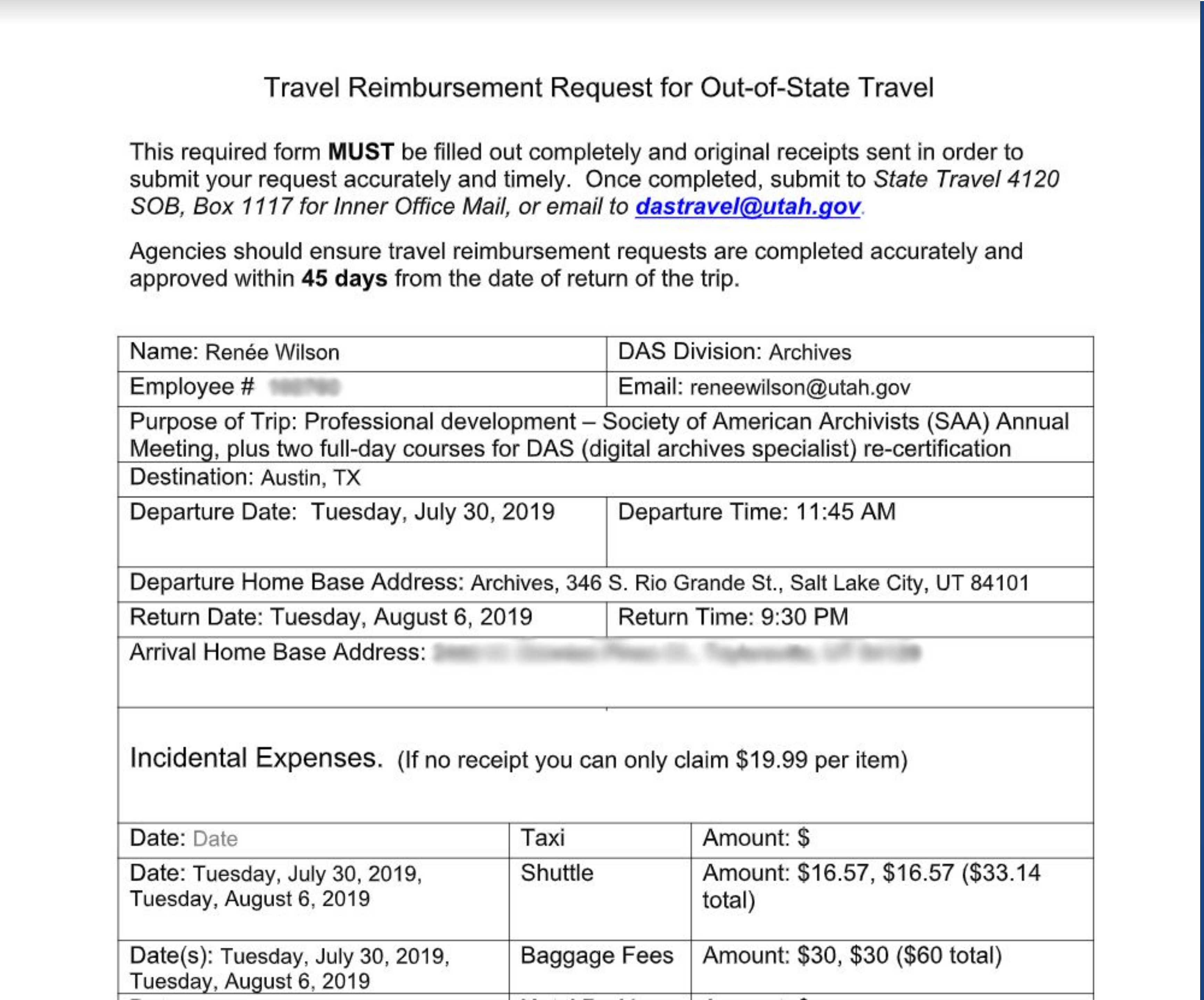

Travel Reimbursement Request for Out-of-State Travel

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

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Employee # [redacted]	Email: reneewilson@utah.gov
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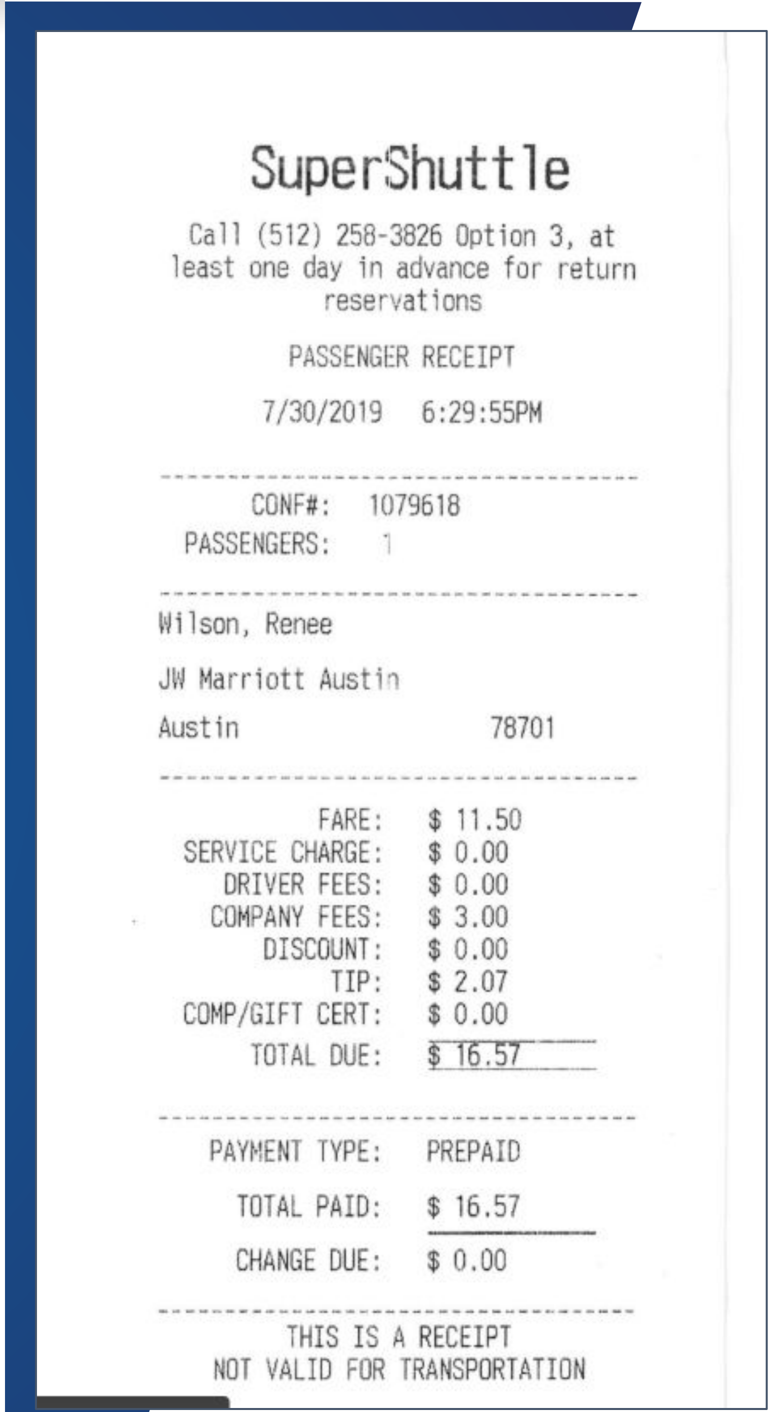
Destination: Austin, TX	
Departure Date: Tuesday, July 30, 2019	Departure Time: 11:45 AM
Departure Home Base Address: Archives, 346 S. Rio Grande St., Salt Lake City, UT 84101	
Return Date: Tuesday, August 6, 2019	Return Time: 9:30 PM
Arrival Home Base Address: [redacted]	

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

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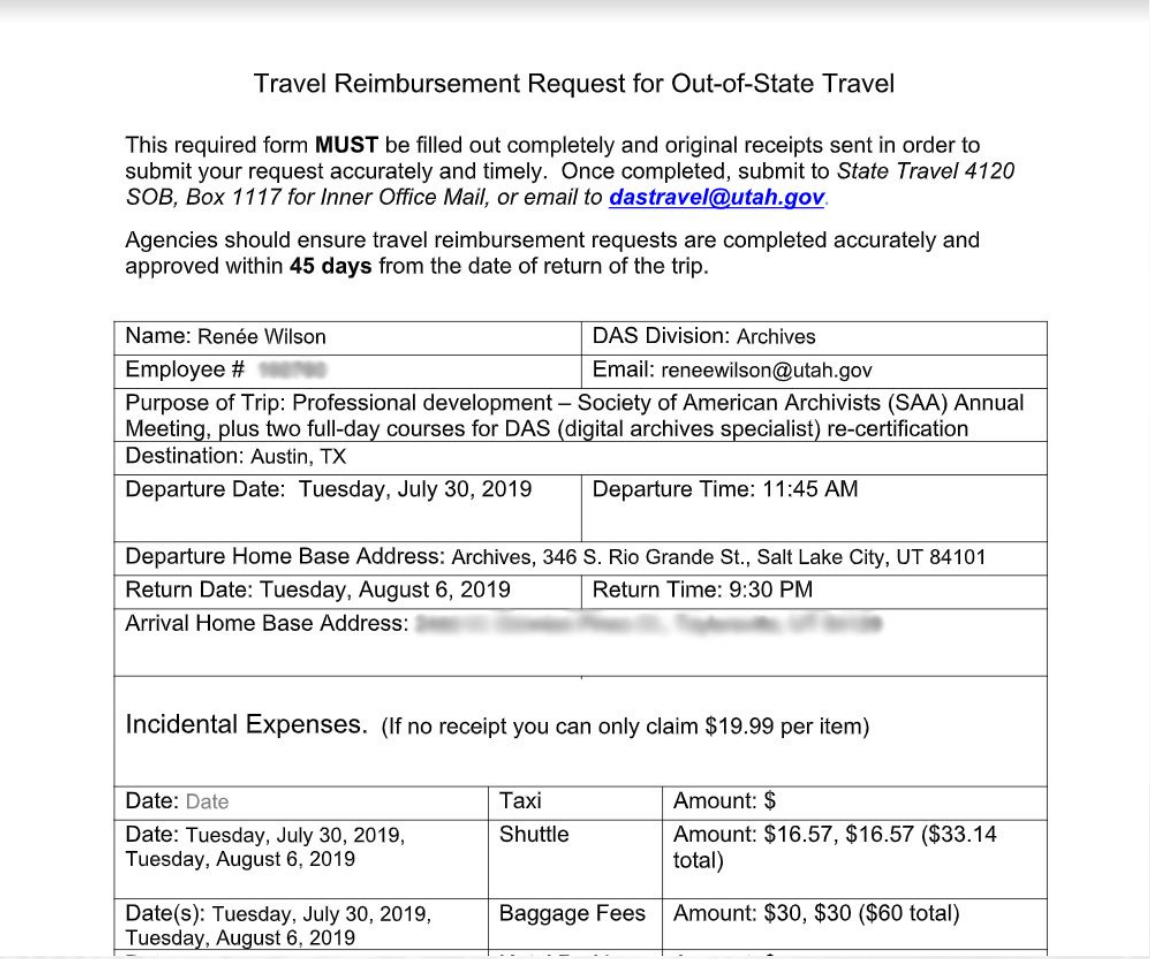

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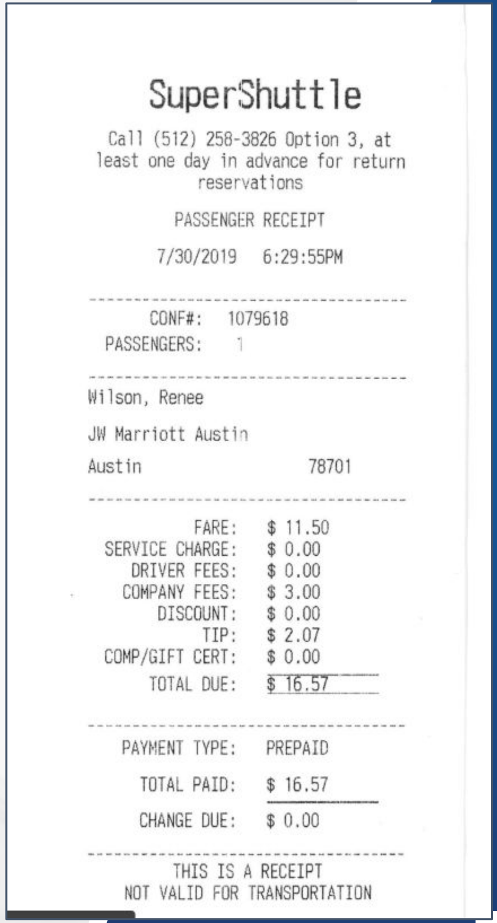

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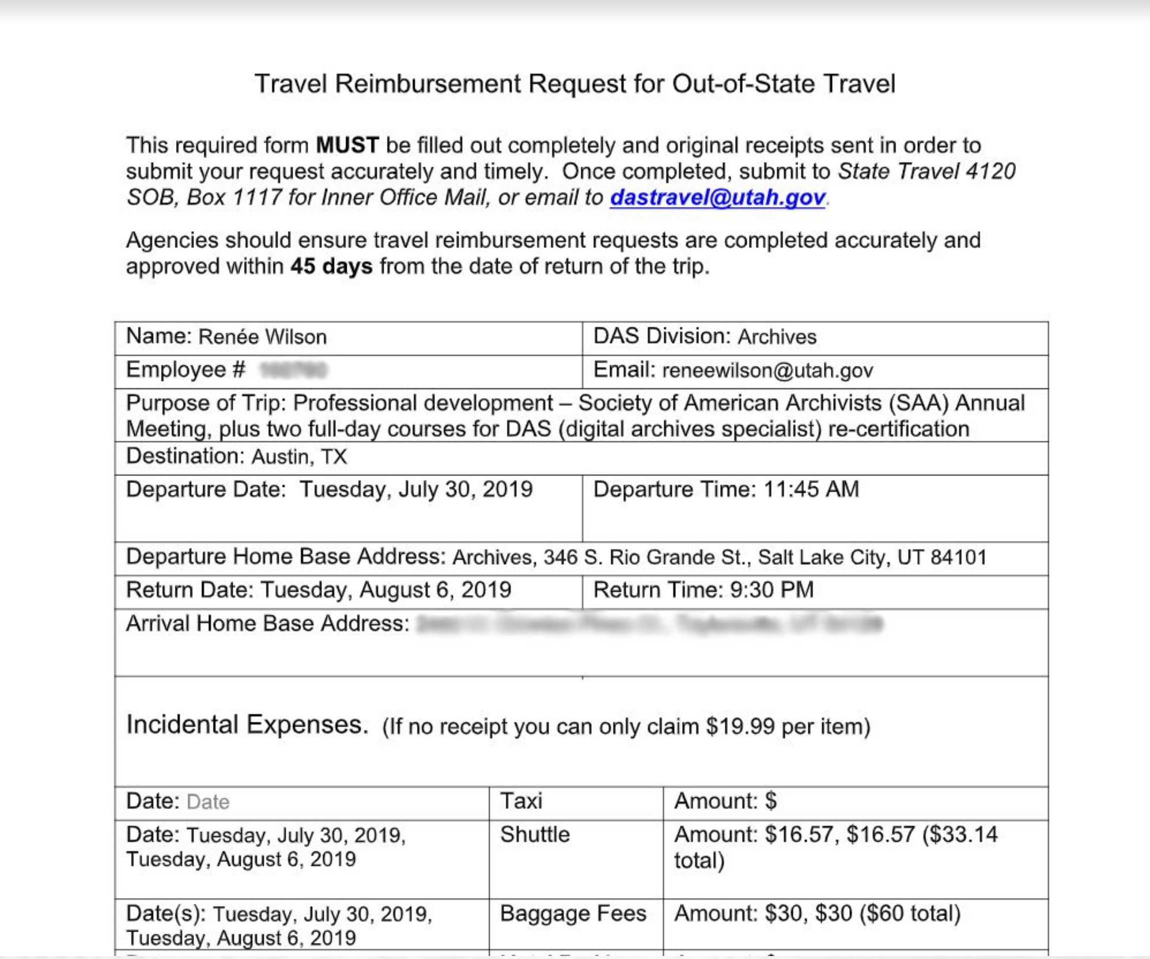

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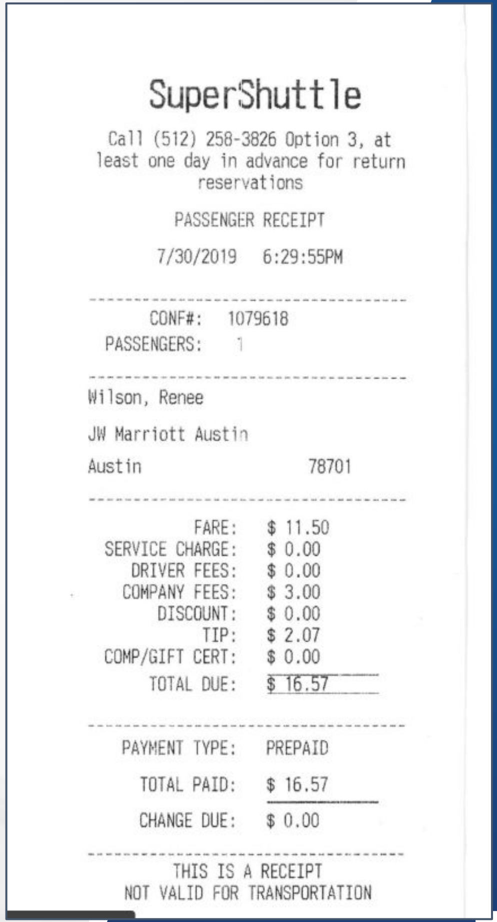

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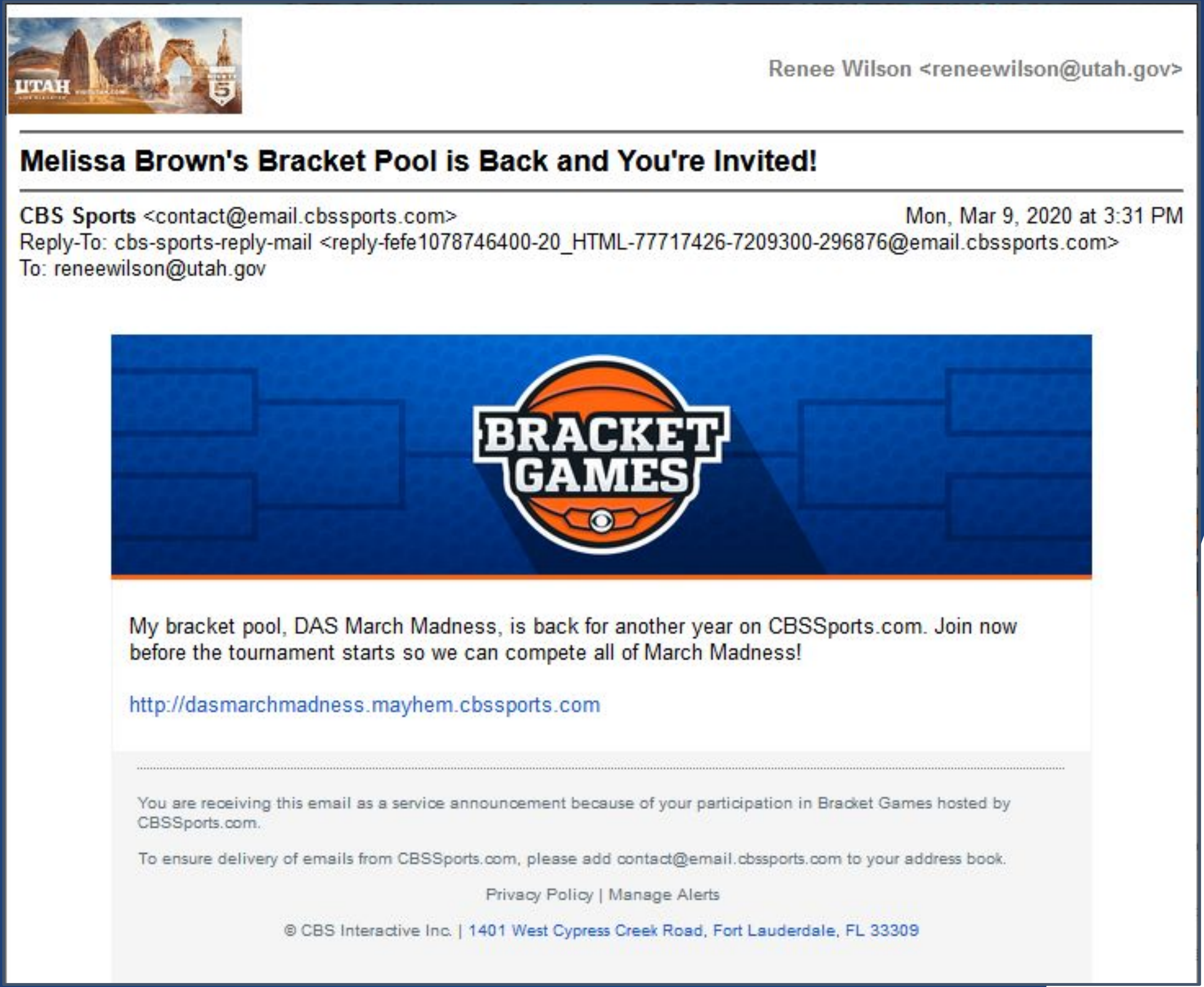

Renee Wilson <reneewilson@utah.gov>

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.

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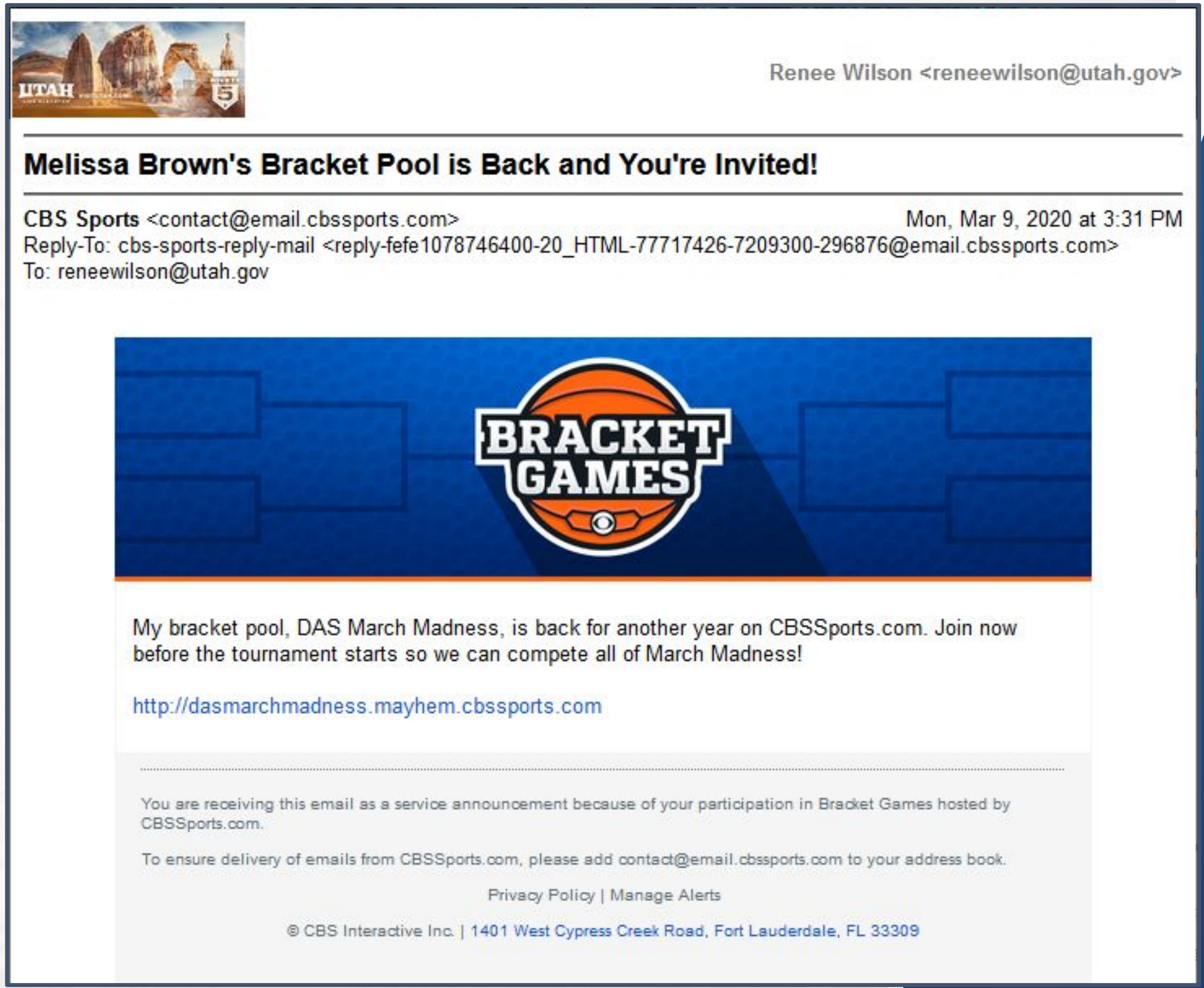

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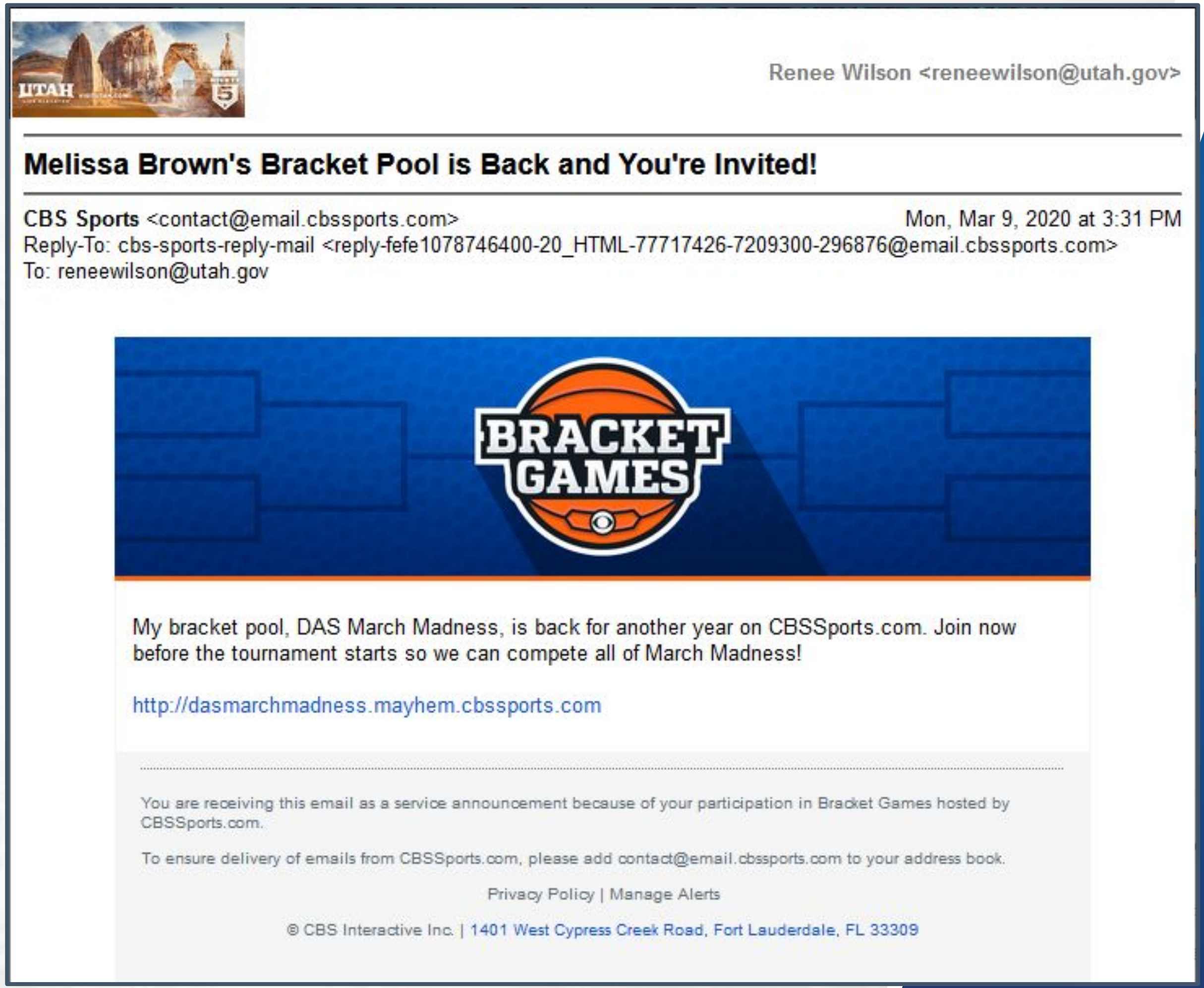

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Issue:

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

Getting started

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

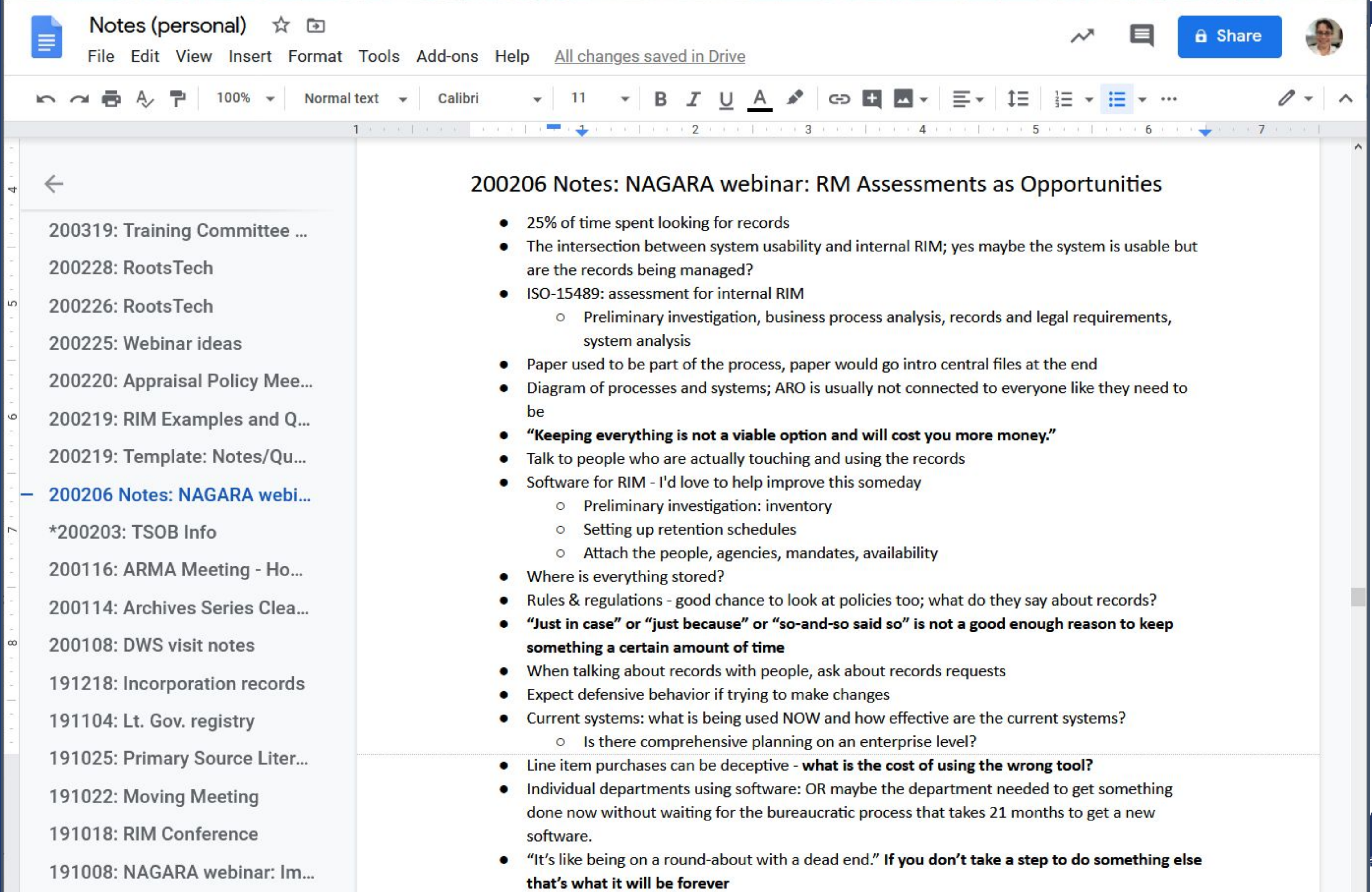
- Determine who will
  - Track each copy, especially the record copy
  - Monitor retention
  - Destroy and document
- Keep instructions simple and clear
- They need to understand the roles that they play in the management of your agency's records

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

Team Effort

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



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- 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**

14. Is it a record?

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B. No

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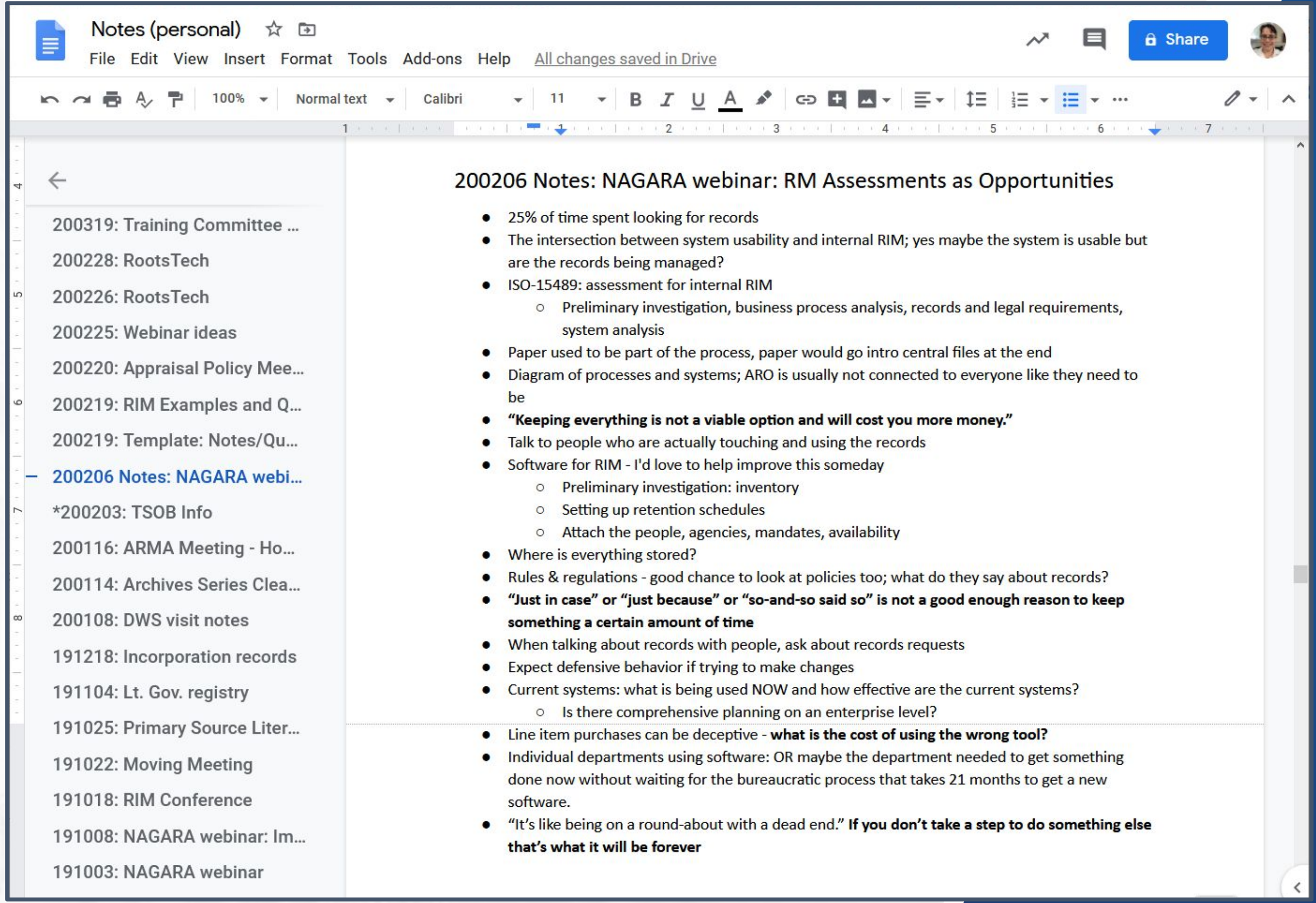
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Share
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Normal text
Calibri
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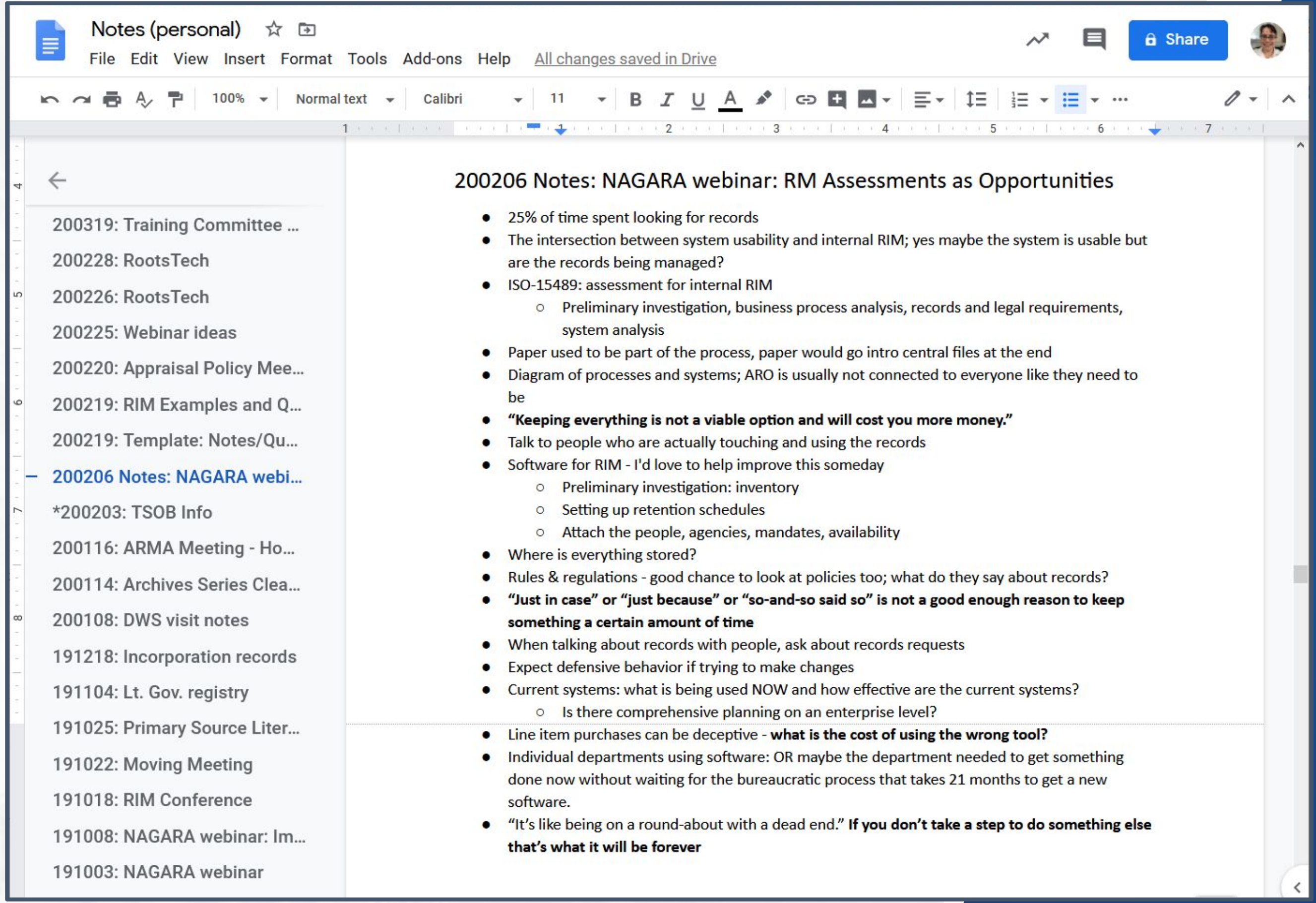
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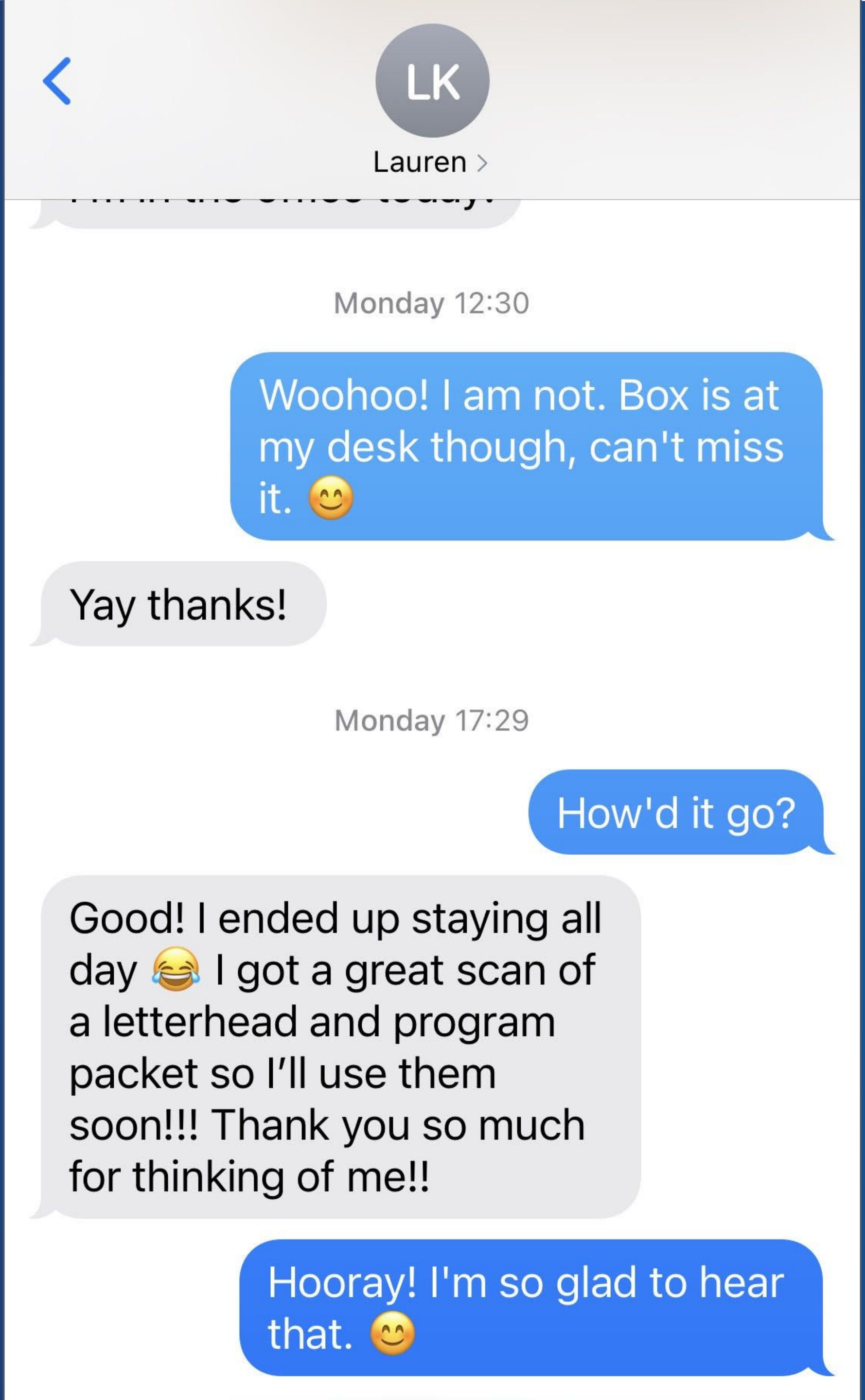


Monday 12:30

Woohoo! I am not. Box is at my desk though, can't miss it. 😊

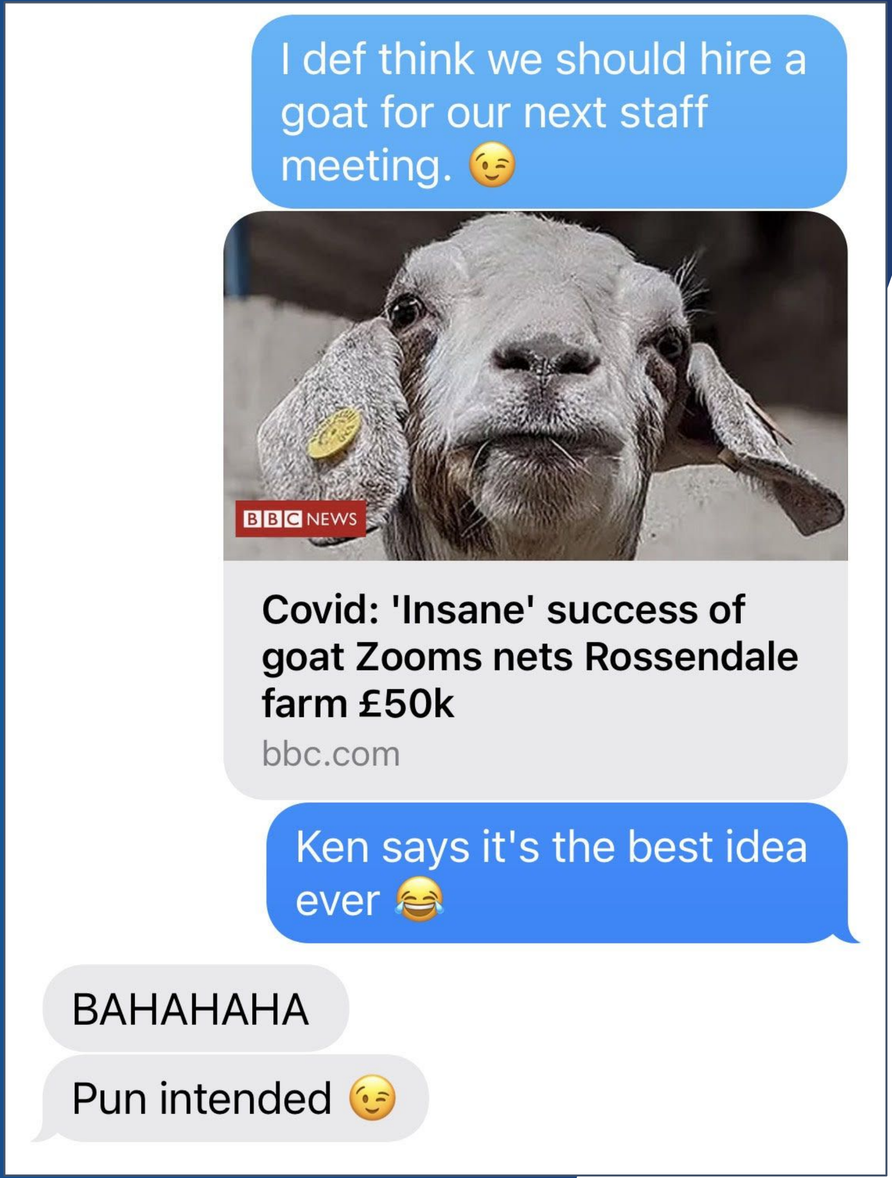
Yay thanks!

Monday 17:29

How'd it go?

Good! I ended up staying all day 😂 I got a great scan of a letterhead and program packet so I'll use them soon!!! Thank you so much for thinking of me!!

Hooray! I'm so glad to hear that. 😊



I def think we should hire a goat for our next staff meeting. 😉

Covid: 'Insane' success of goat Zooms nets Rossendale farm £50k
bbc.com

Ken says it's the best idea ever 😂

BAHAHAHA

Pun intended 😉

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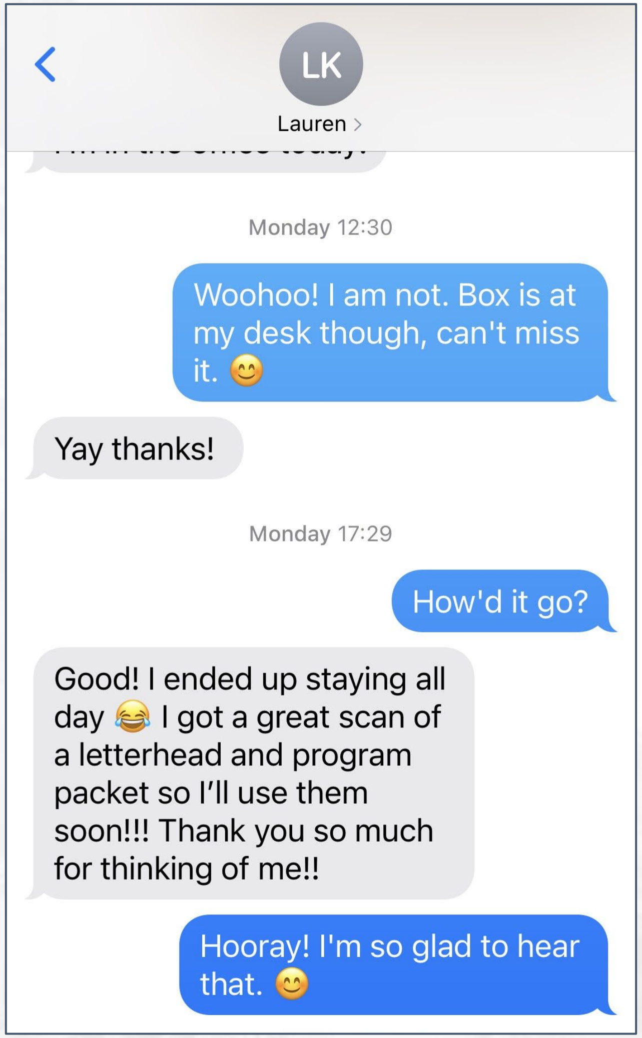


LK

Lauren ›

Monday 12:30

Woohoo! I am not. Box is at my desk though, can't miss it. 😊

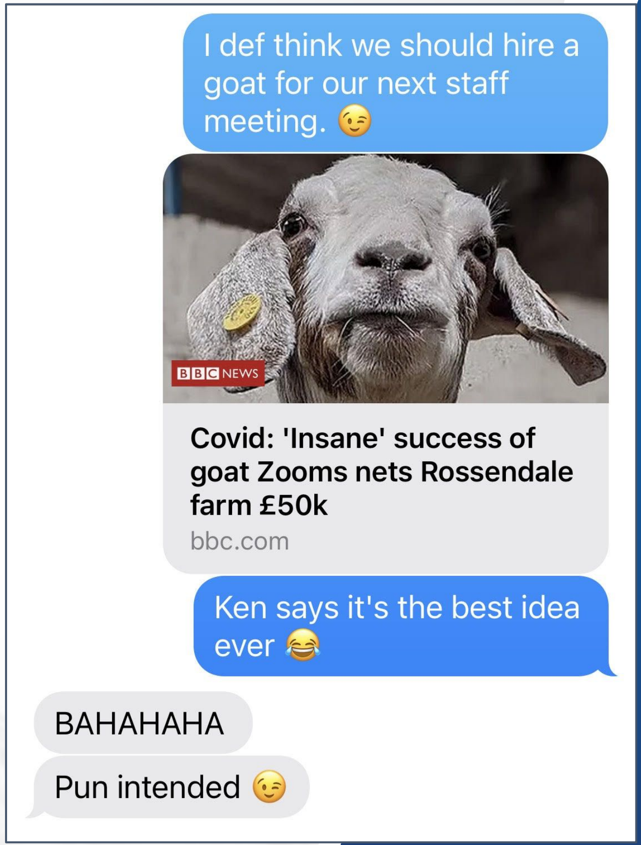
Yay thanks!

Monday 17:29

How'd it go?

Good! I ended up staying all day 😂 I got a great scan of a letterhead and program packet so I'll use them soon!!! Thank you so much for thinking of me!!

Hooray! I'm so glad to hear that. 😊



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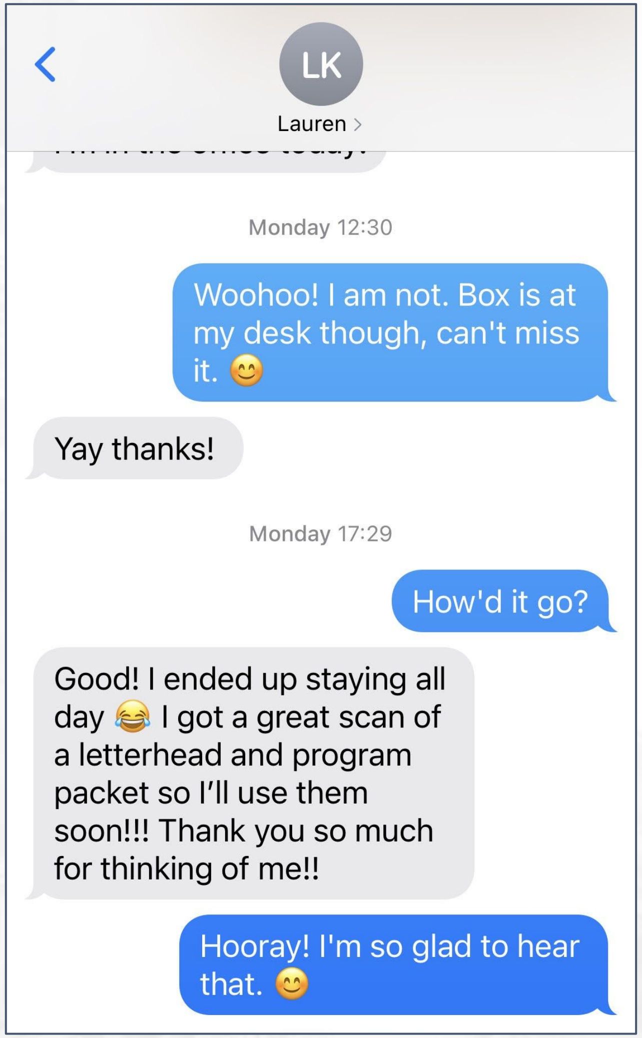

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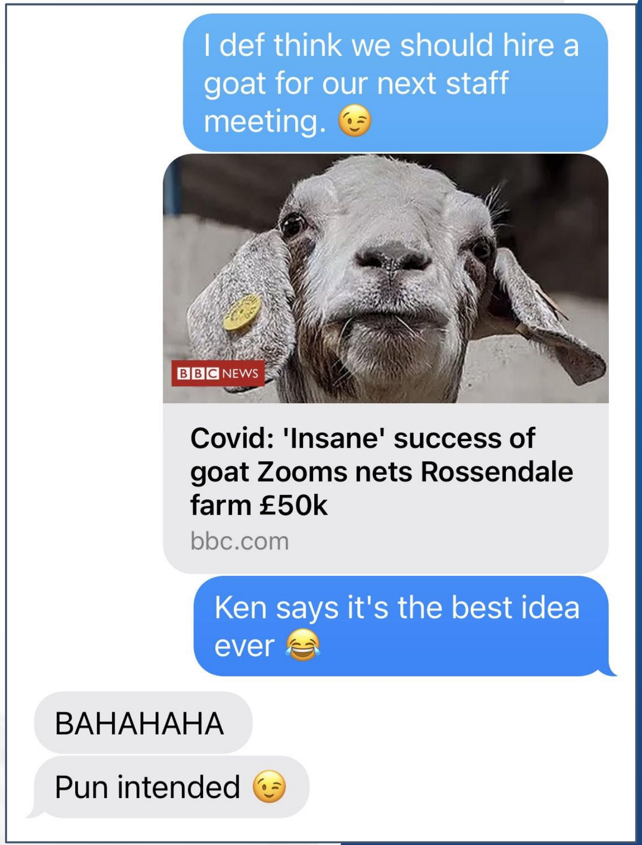

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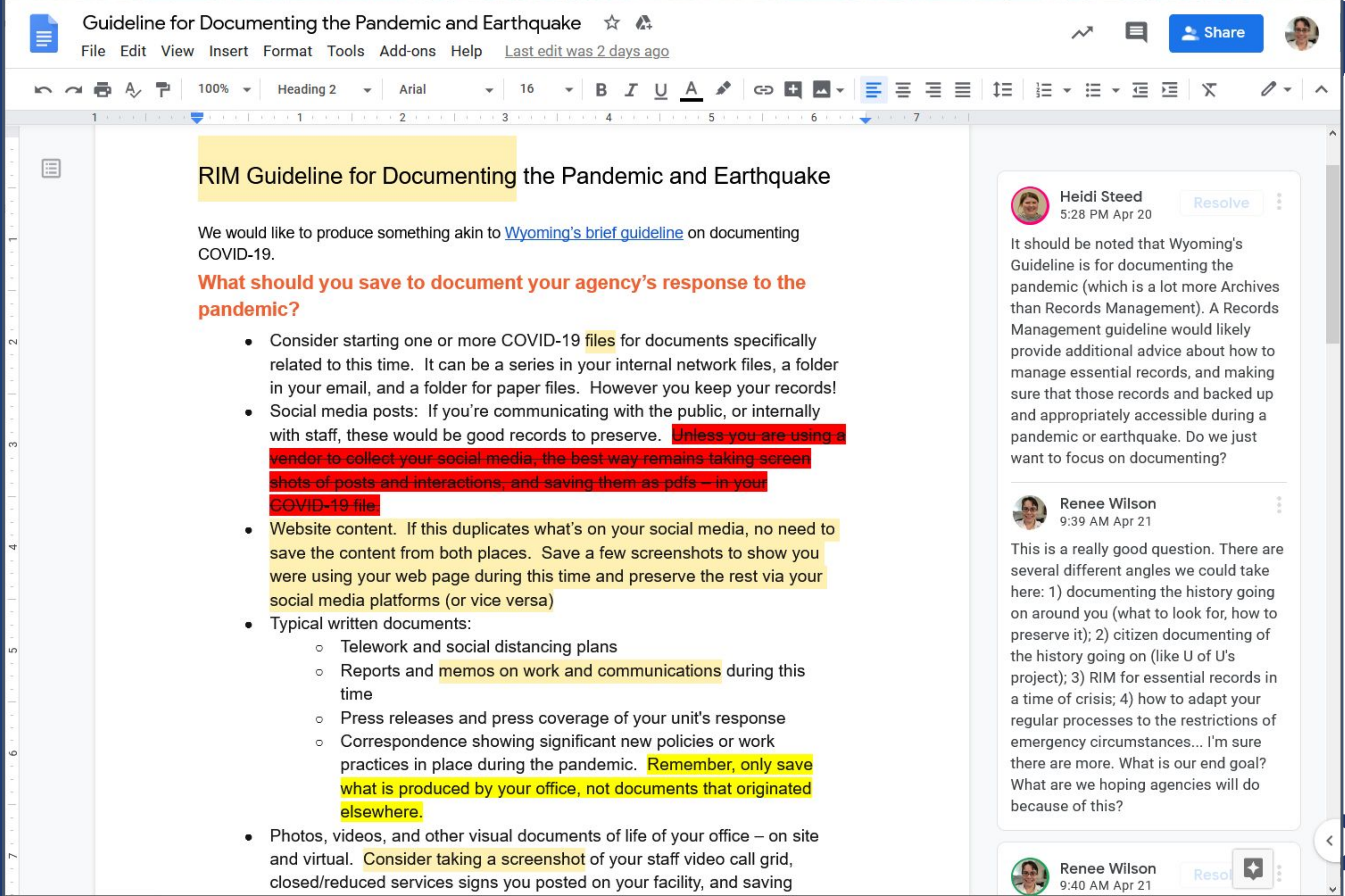

RIM Guideline for Documenting the Pandemic and Earthquake

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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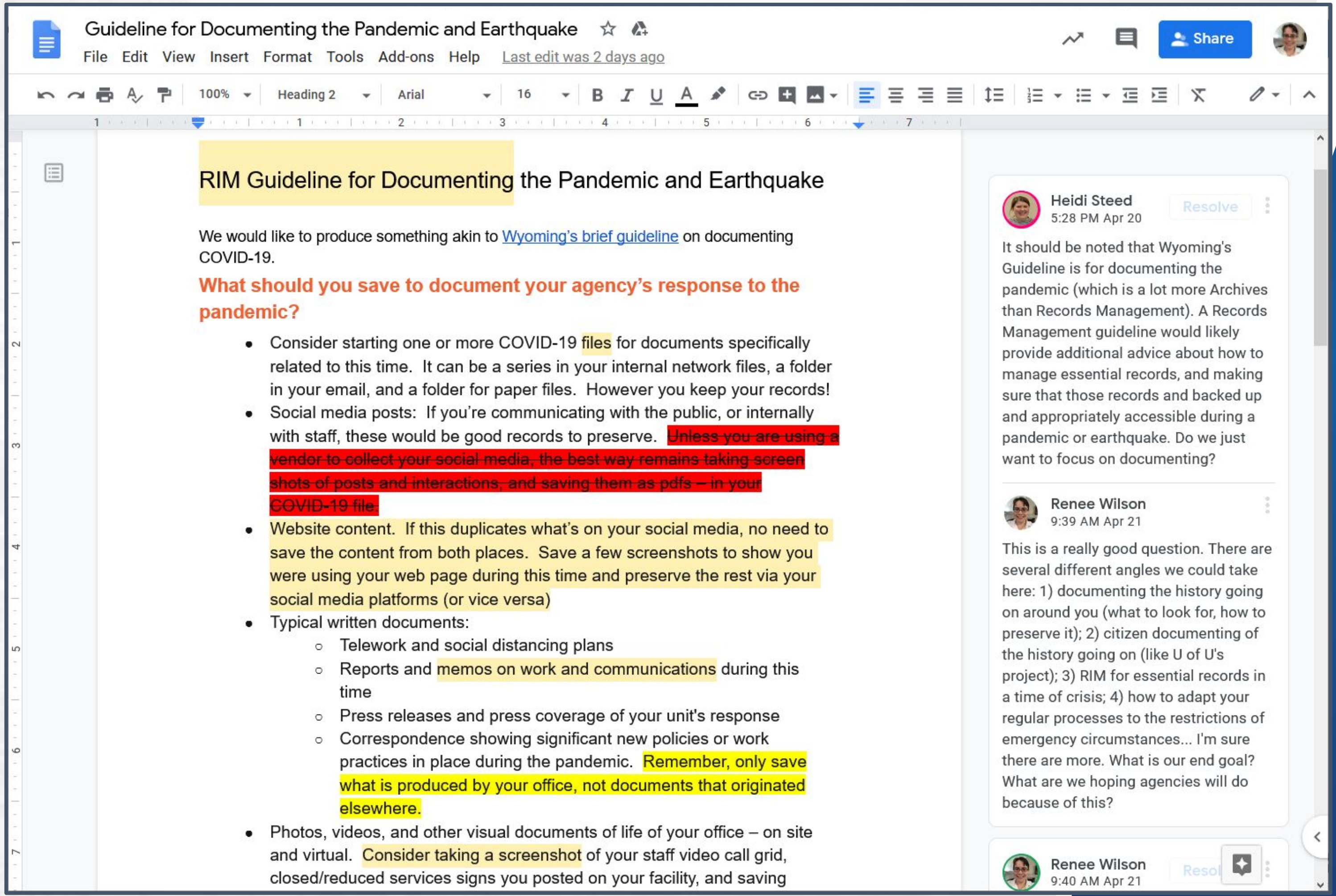

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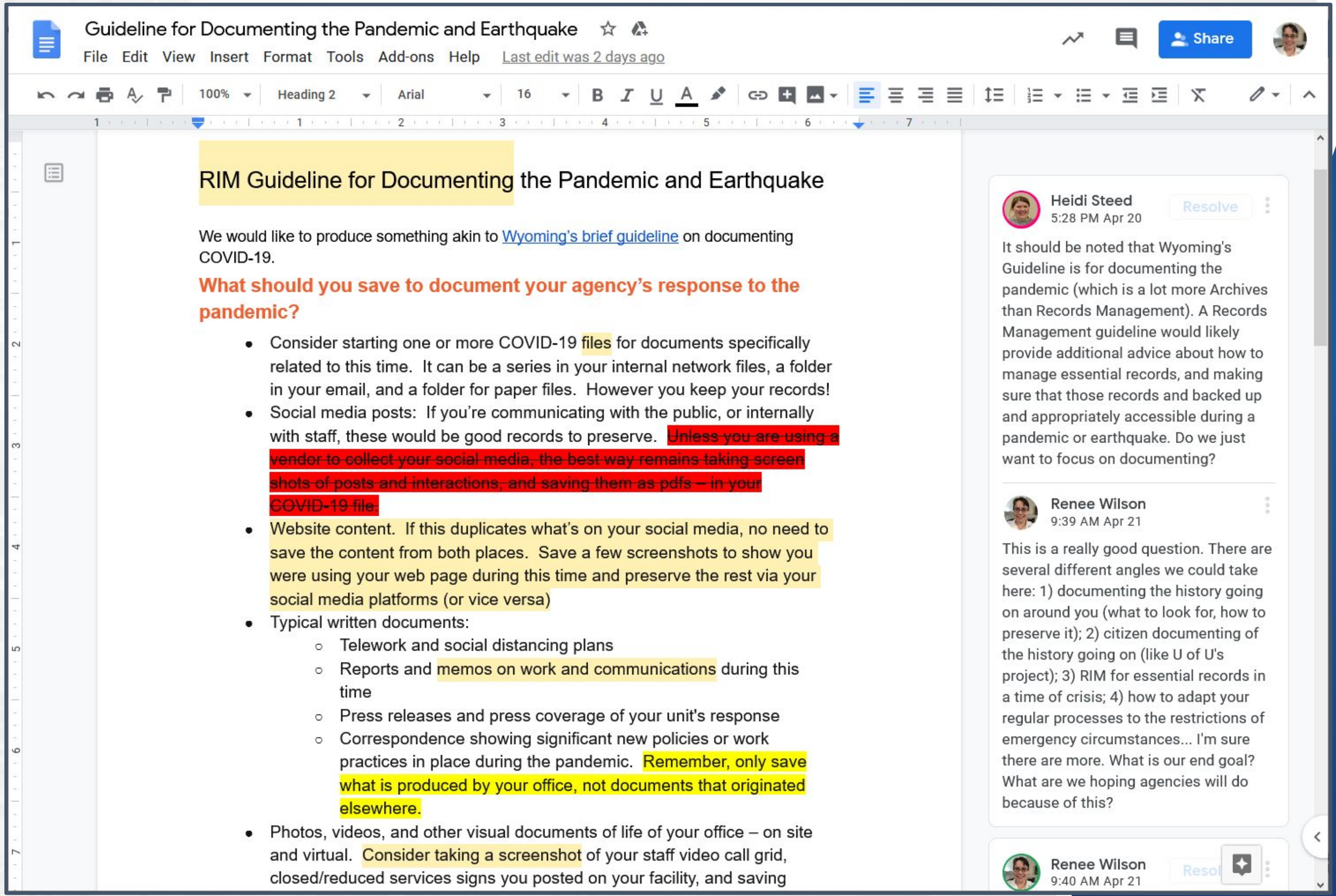

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Questions?

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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