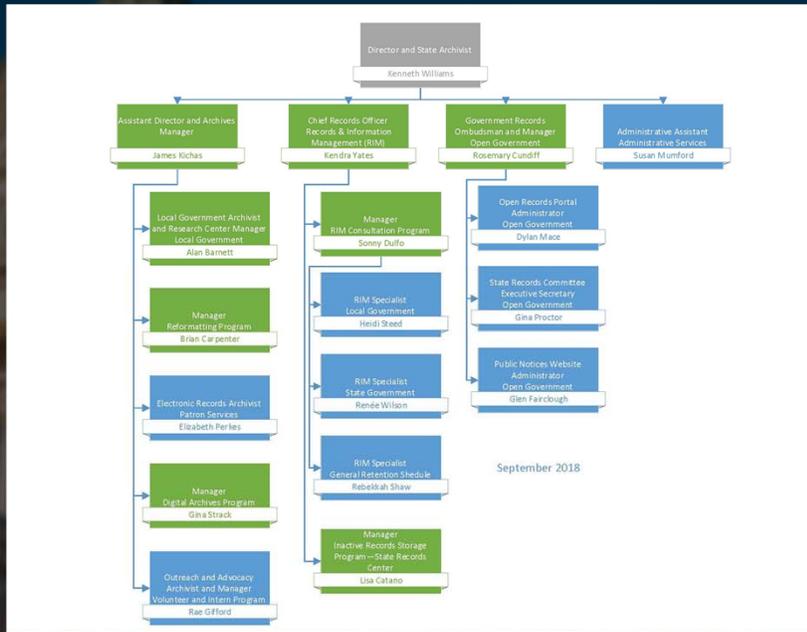




- we requested an audit of our records and information management services and program last year.
 - Hired auditors who specialize in the RIM field and have long successful careers as records and information managers.

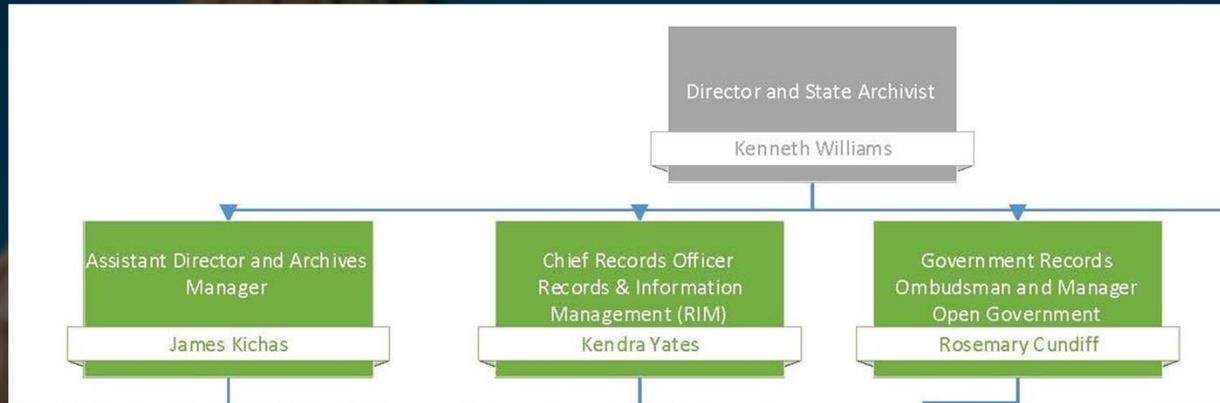
As a result of the audit findings and the things we are hoping to accomplish, there have been some organizational changes at the Archives.

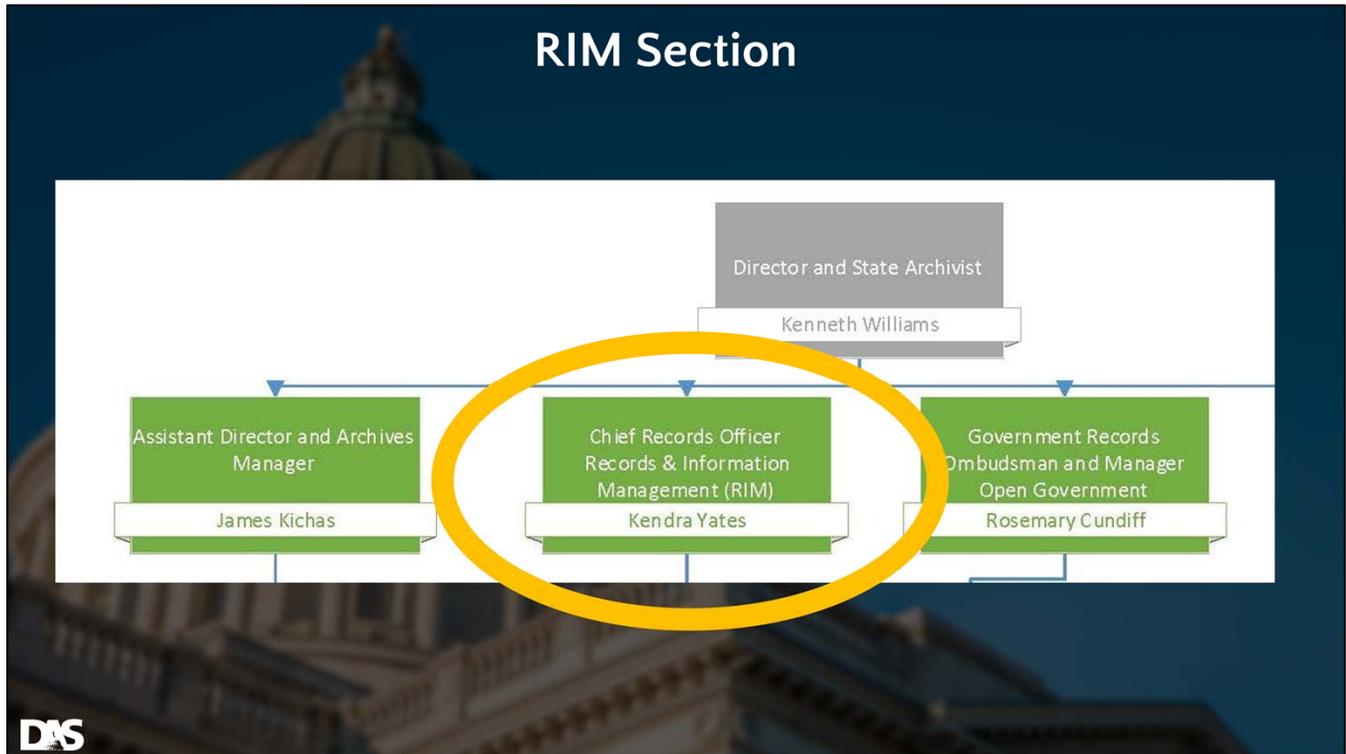
DARS Organizational Chart



The Utah Division of Archives and Records Service, or DARS, has been divided into 3 sections,

DARS Divided into 3 Sections





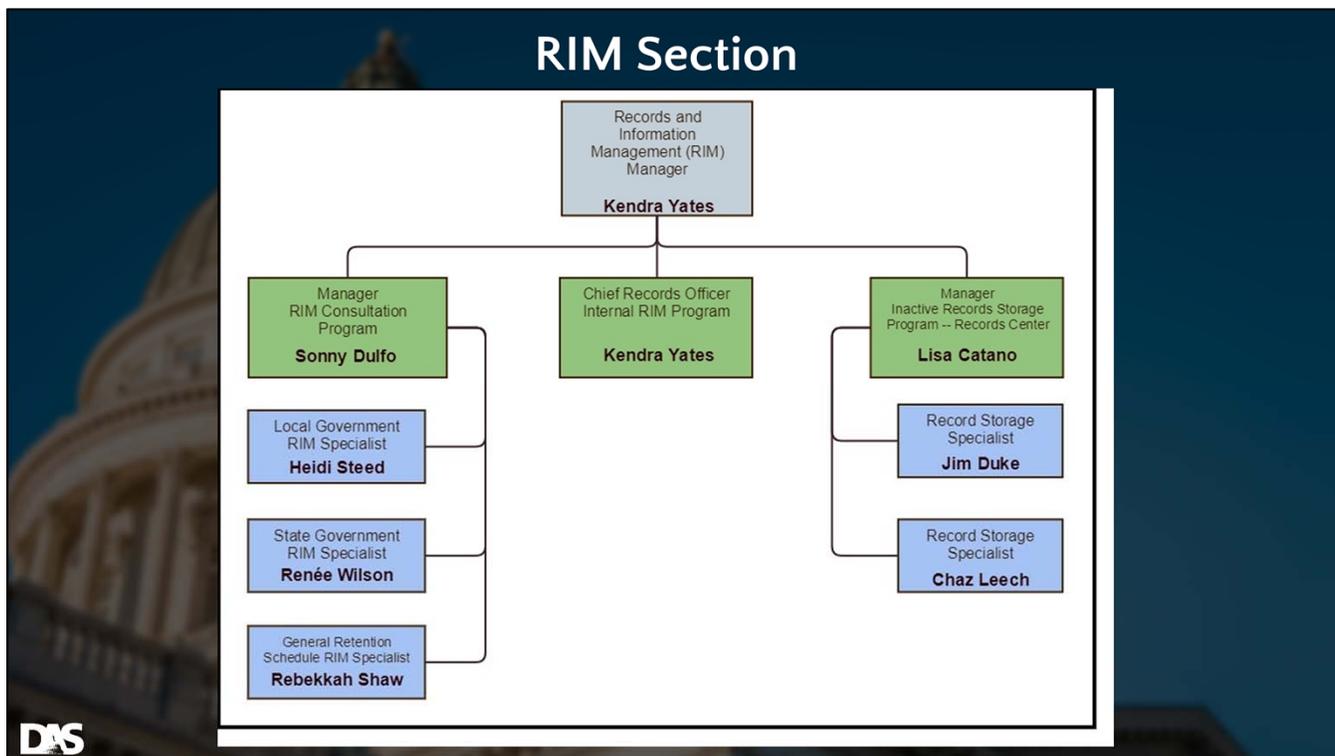
with a new [Records and Information Management \(RIM\) section](#) separate from the Open Records section.

- Rosemary Cundiff

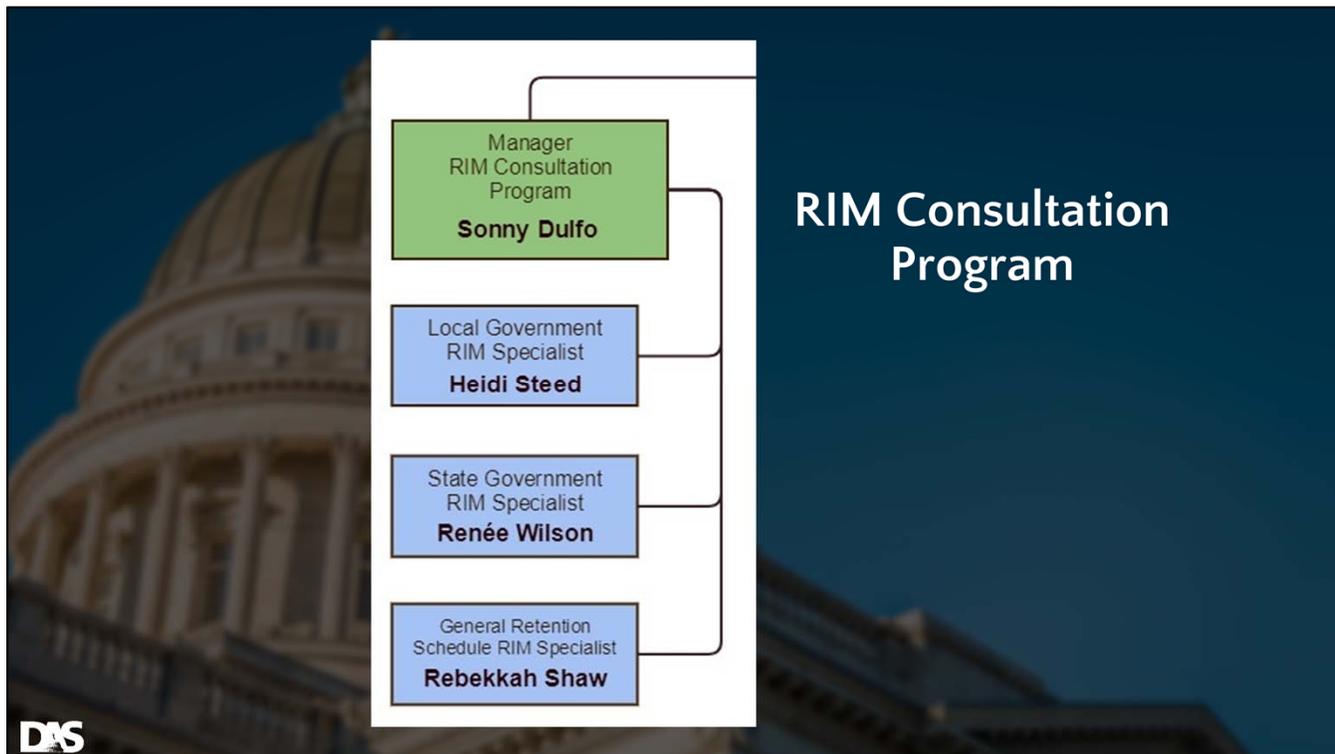


Resulted in:

- new roles
- new titles
- new staff for the records analysts.



The new RIM section contains the RIM Consultation Program—formerly known as the Records Analysis Program.



The Records Analysts at the State Archives are now called RIM Specialists, and I am no longer their direct manager.

RIM Specialists



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

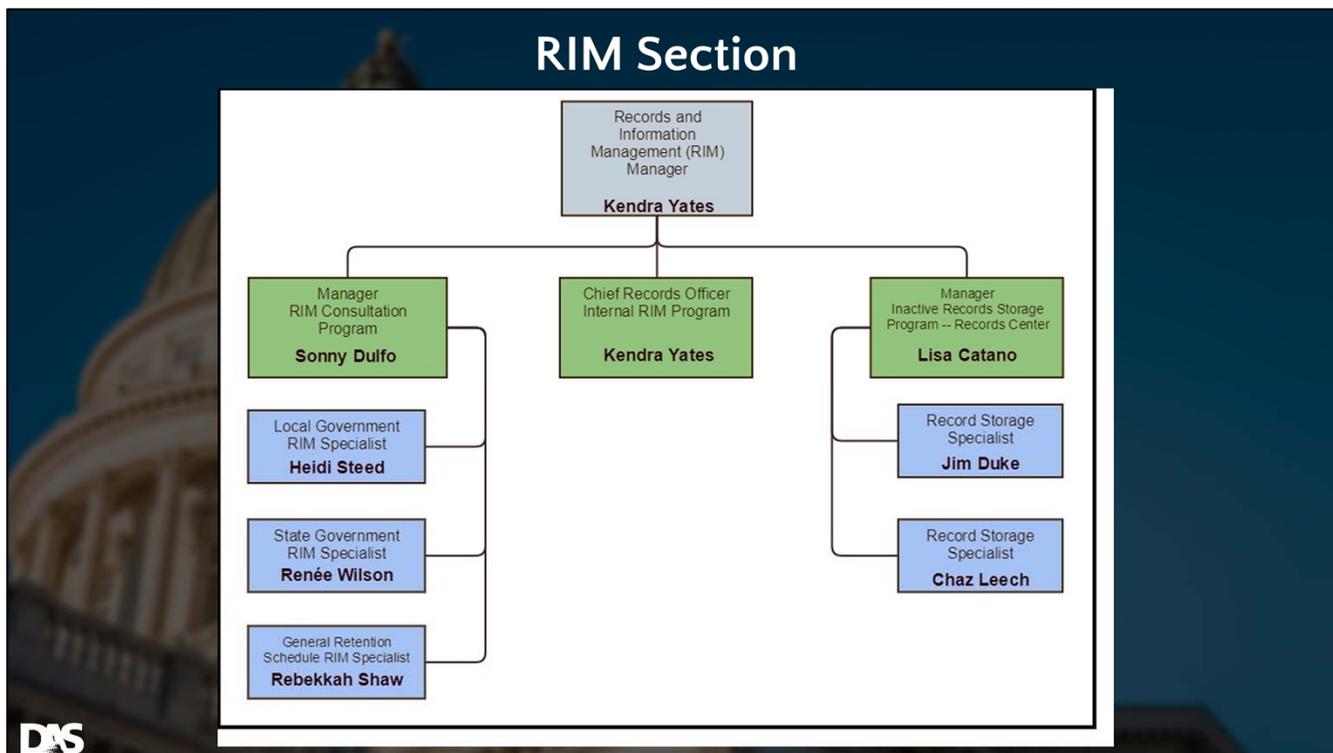


We have a new employee named Sonny Dulfo who has stepped into that role. Sonny holds an undergraduate degree in Psychology from BYU-Hawaii and a graduate degree in Library and Information Science from University of North Texas (UNT). He also received a Graduate Academic Certificate in Management of Information Agencies from UNT. Prior to working for the Division of Archives and Records Service, he held different positions at the Family History Library, Weber State University, The Art Institute of Salt Lake City, and Backstage Library Works. We are thrilled to have him on our team!

Everyone else in this amazing group will look familiar to you:

That's Heidi Steed on the left, then Sonny Dulfo, Rebekkah Shaw in the front, and Renée Wilson on the right.

Their agency assignments and the services they provide for you have not changed.



The RIM Section also contains the Inactive Records Storage Program, which is the State Records Center, located in Clearfield.



The staff at the State Records Center will now have the title of Records Storage Specialists, but the staff members and roles have not changed.

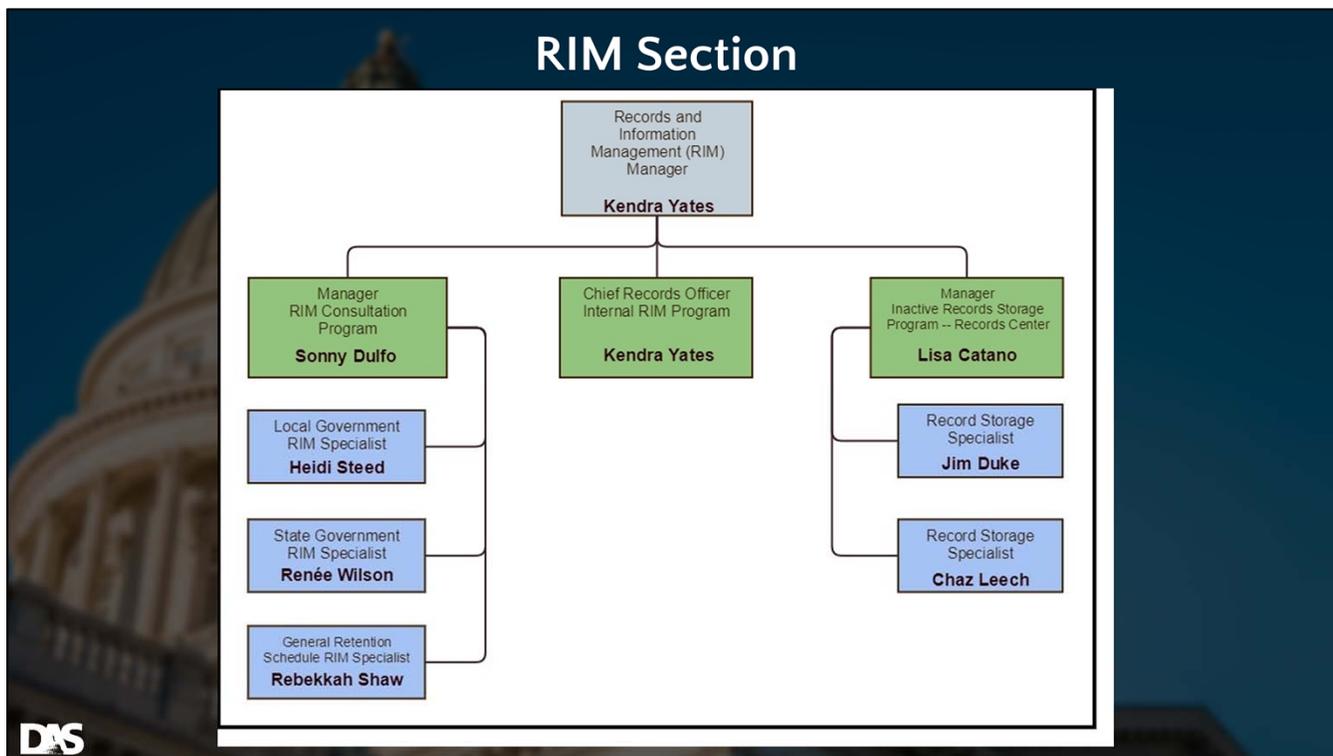
Records Storage Specialists



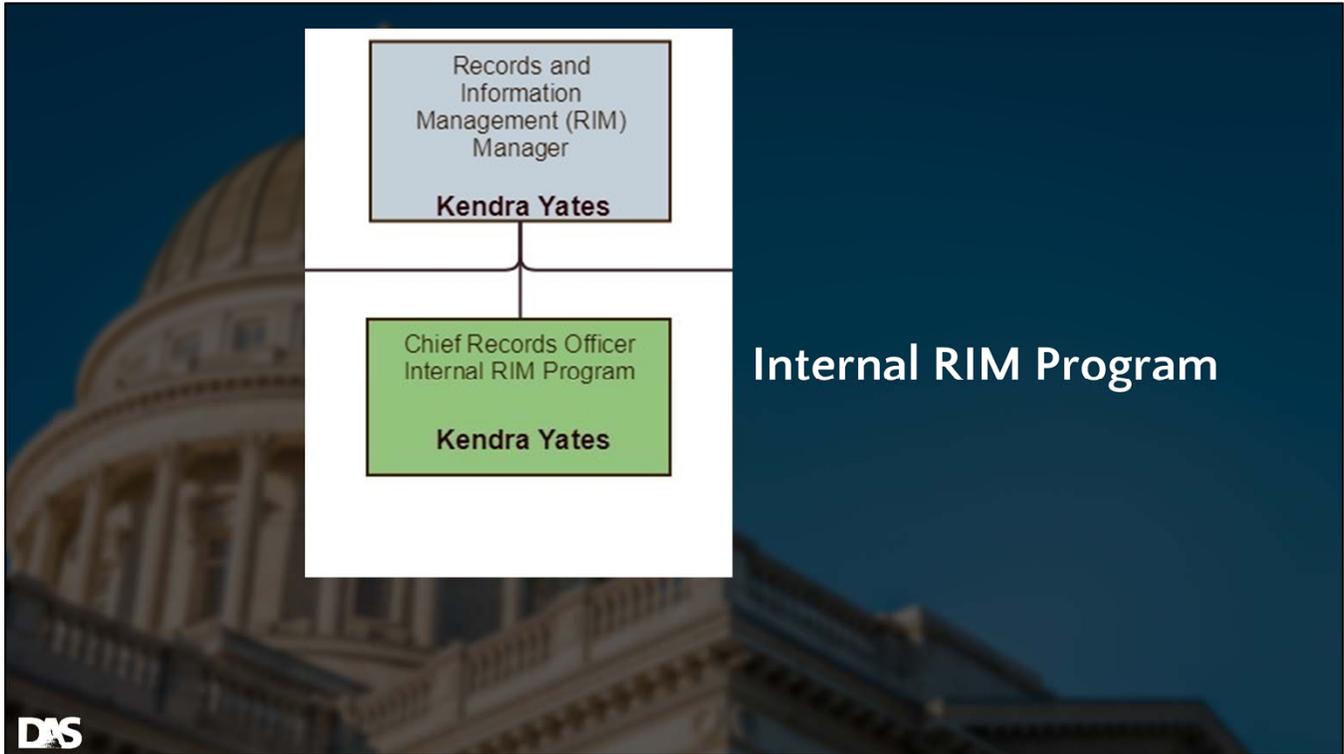
State Records Center Staff: Lisa Catano (Manager), Jim Duke, Chaz

This is Lisa Catano, the Records Center Manager, on your left, Jim Duke in the center, and Chaz Leech on the right.

- They will continue to answer your questions about off-site storage for your inactive records, sending records to or recalling records from the Records Center, and authorizing destruction of records you have stored there (as specified by the appropriate retention schedule).



The third program in the RIM section is the Division's Internal Records and Information Program, which has a staff of one—the Chief Records Officer.



That's me. In that role I am the appointed records officer for the Division, assigned to manage and provide access to our current records.

I am hoping that by getting more experience as a records officer, I will be better able to help my section provide useful tools and training to you and all records managers in the state.

So with that in mind, I decided to talk about how to do one of the first steps--conduct an inventory of your agency's records, something I have started working on. Though it is slow going so far.

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

DAS | Utah Division of Archives
and Records Service

Kendra Yates
RIM Section Administrator
&
Chief Records Officer

I've called it
"It's 10 P.M.
Do you know where your records are?"



For those of you too young to be familiar with this, it's a public awareness campaign that began in the summer of 1967 when New curfew laws went into effect in several cities across the U.S. as a result of urban unrest and rioting during that summer. New York City, feeling the effects of the Newark riots, was one of the largest metropolitan areas affected. Mel Epstein, the Director of On-Air Promotions at New York's WNEW-TV, coined the phrase that summer as a reminder to parents to keep their kids off the streets.



I thought about carrying this analogy further and relating your types of records to types of children:

- Couch potato records—they tend to be right under your nose, taking up space and increasing in a very apparent way.
- Overachiever records—these are electronic records in your database—they are off being productive where you can't even see them, but they get a lot done for you. It's hard to even catch the attention of these records sometimes, let alone get them to stop and tell you where they'll be tonight.
- Social butterfly records—these could be email and social media records that connect you to a broader community, but are really tough to pin down.
- Overstayed-their-Welcome records—it's easier to let these records keep living with you than to go through the trouble of kicking them out, which could include changing the locks or getting an eviction notice for them. Besides, they are off-site in the apartment above the garage, so you can pretend they have moved out... or been disposed of.

Okay this is where the analogy got a little worrisome. We at the Archives do not encourage disposing of your children under any circumstances.

I decided it would be safer to just discuss the benefits of conducting an inventory, some how-to's, and strategies for fitting it in.

Inventory: Collecting Data about Your Records



A **Records Inventory** is the dissecting of each record group (or record series) in order to capture all pertinent information about the record series to be used in its appraisal and management.

Keep in mind that when I say Record Series, I mean “A group of logically related records that support one or more business operations performed by a given business unit.” I do not mean retention schedule or record series number. Those can come later.

The records inventory identifies the location and contents of record series or records groups within the organization
it is later used to develop a classification scheme and retention schedule for each record series.

(Source: Glossary of Records and Information Management Terms, 2nd edition, 2000).

Steps for Success

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



Steps for success include the following:(page 18-22)

1. Get commitment from top management & staff
2. Define goals of initiative
3. Plan & strategize
4. Create form/template
5. Establish a work schedule
6. Communicate constantly

You must decide whether you are going to get expert external help, a combination of external and internal, or only internal help;

If using internal help, staff must be trained in inventory techniques to ensure uniform and complete data collection, and this also means that each department must designate one or more employees to conduct the inventory and be given designated time(s) each day to do it;

Target completion date(s) must be agreed to by all staff especially the departmental managers to whom these people report; and

The Project manager should be available to answer questions during the inventory.

page 16



The goal of conducting an inventory is to give you knowledge that will help you strategize more effectively, especially when it comes to deciding how to manage your records and data.

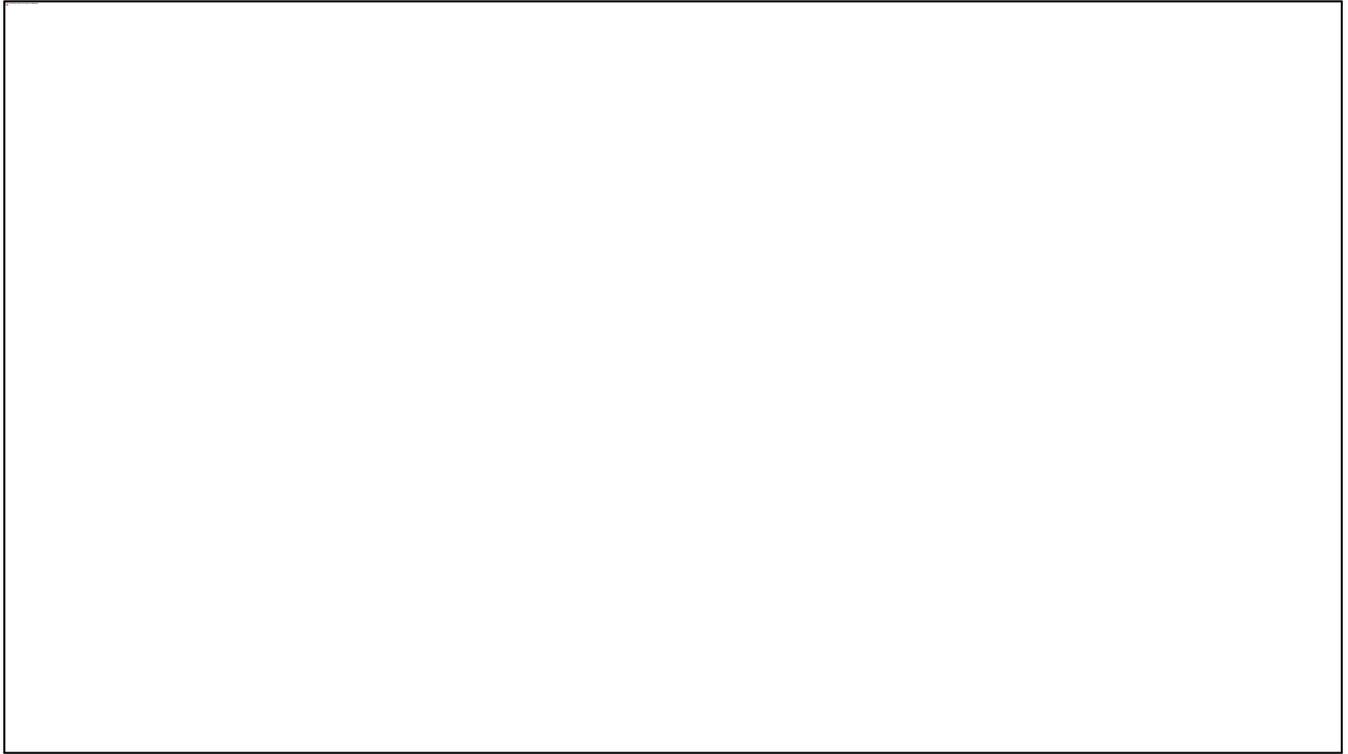
Inventory Objectives

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



By inventorying your records, you can find out

- What records do we create?
- How do we use them and how often?
- What value do they have to us?
- Where are they?
 - Paper vs. Electronic
 - Which are duplicates?
- How do we dispose of them?
- What is necessary to maintain them?
 - Equipment, supplies; hardware, software



Once completed, the records survey/inventory provides information on which areas are most urgent to address.
It helps identify program priorities. For instance:



- Maybe you find that paper records overflow their filing cabinets and inactive records need to be sent to secondary or less expensive storage – responding to these concerns would depend on the development of a retention schedule;
- If the filing equipment is of different sizes and shapes, a priority might be to standardize the equipment and order supplies from one vendor, which can reduce costs;
- Or maybe you recommend establishing a forms management program to rationalize and streamline development and use of forms;
- If you find that the filing cabinets are all or mostly empty because your processes are paperless, a priority might be to find a way to implement retention and disposition of your electronic records, since that is where you are creating most of your records.

The Power of Knowledge

Identify & Prioritize Needs

3195_FCH_Logo_OB_rev1.psd

| | | | | |
|----------------|--------------------------|---------------------------|---------------------|-----------------|
| Project Number | Client Name Abbreviation | Short Project Description | Designer's Initials | Revision Number |
|----------------|--------------------------|---------------------------|---------------------|-----------------|

Establish file naming conventions

DAS

- If electronic records are poorly named, and staff have difficulty retrieving information readily (especially if electronic records are in a lot of different locations), a priority may be to develop a classification scheme and apply common naming conventions;
- Or maybe you learn that you really need software to manage electronic records, and to give staff access to the information at their desktops, so software evaluation and selection will be a priority

The Power of Knowledge

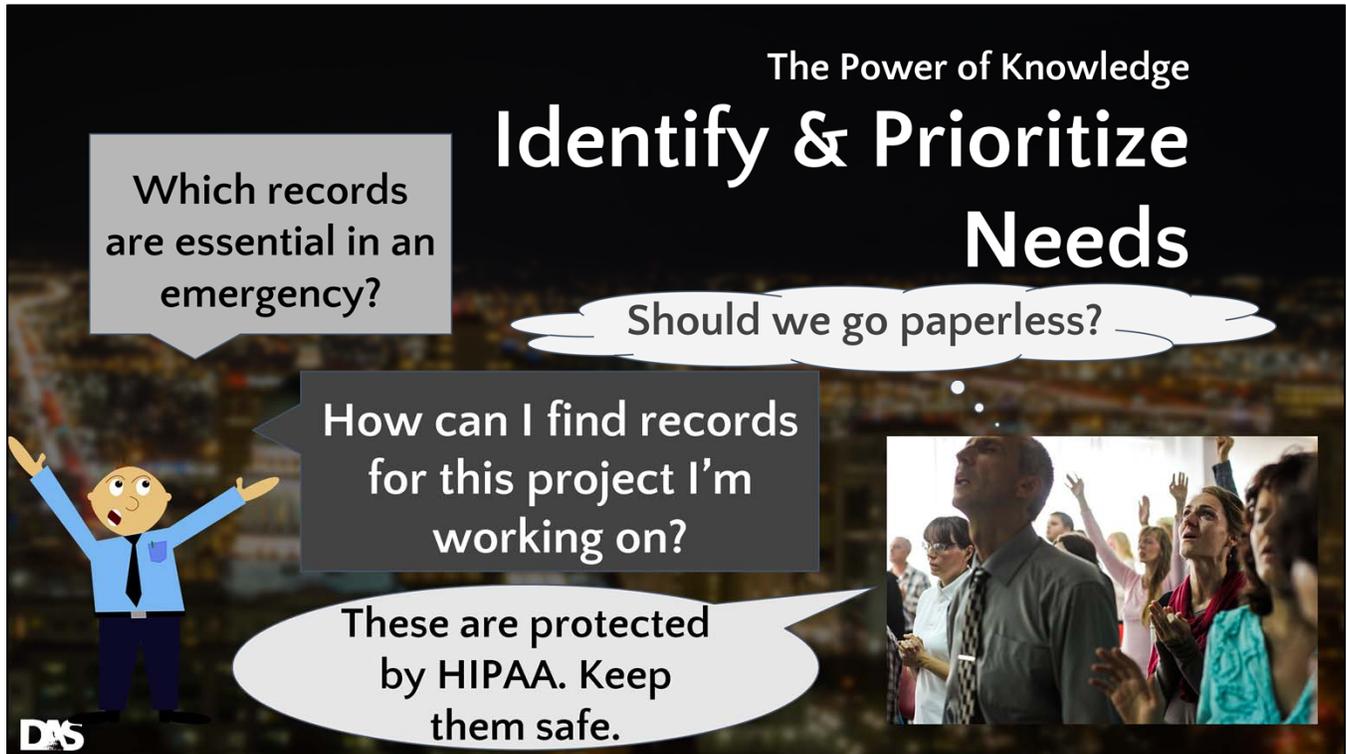
Identify & Prioritize Needs

Which records are essential in an emergency?

Should we go paperless?

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

These are protected by HIPAA. Keep them safe.



The image is a presentation slide with a dark background. At the top right, it says 'The Power of Knowledge' in white. Below that is the main title 'Identify & Prioritize Needs' in large white font. On the left, a cartoon character in a blue suit with arms raised is next to a speech bubble asking 'Which records are essential in an emergency?'. In the center, a speech bubble asks 'Should we go paperless?'. Below that, another speech bubble asks 'How can I find records for this project I'm working on?'. At the bottom, a speech bubble says 'These are protected by HIPAA. Keep them safe.'. On the right side, there is a photograph of a group of people in a meeting, some with their hands raised. In the bottom left corner, there is a logo that says 'DAS'.

Or maybe there are particular business concerns

- Like a particular office might be trying to put together a public awareness campaign and need access to old agency records. They would love for you to organize and index the collection.
- Identification of vital records for disaster recovery planning
- Determination if an imaging system would streamline the workflow and help improve active files management
- Records access & security

Physical Types

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

DAS

Physical types include:

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



Where do you need to look for physical records? There are probably more possibilities than you'd think:

- Filing cabinets
- Boxes stored on-site or at an Off-site Storage Facility like the State Records Center
- Closets or Cupboards
- Counter Tops & Desk Drawers
- Sheds
- Homes of Former Employees
- Displayed on Walls or in Exhibits

Electronic Types

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



Electronic Types include:

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

Unstructured Data refers to records created at the desktop using office automation applications such as electronic mail and other messaging applications, Microsoft (or other) word processing, or presentation software

Structured Data are the data created and processed in information systems and stored in relational databases, and the Info. IT department is typically responsible for the supporting infrastructure

Storage Media

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

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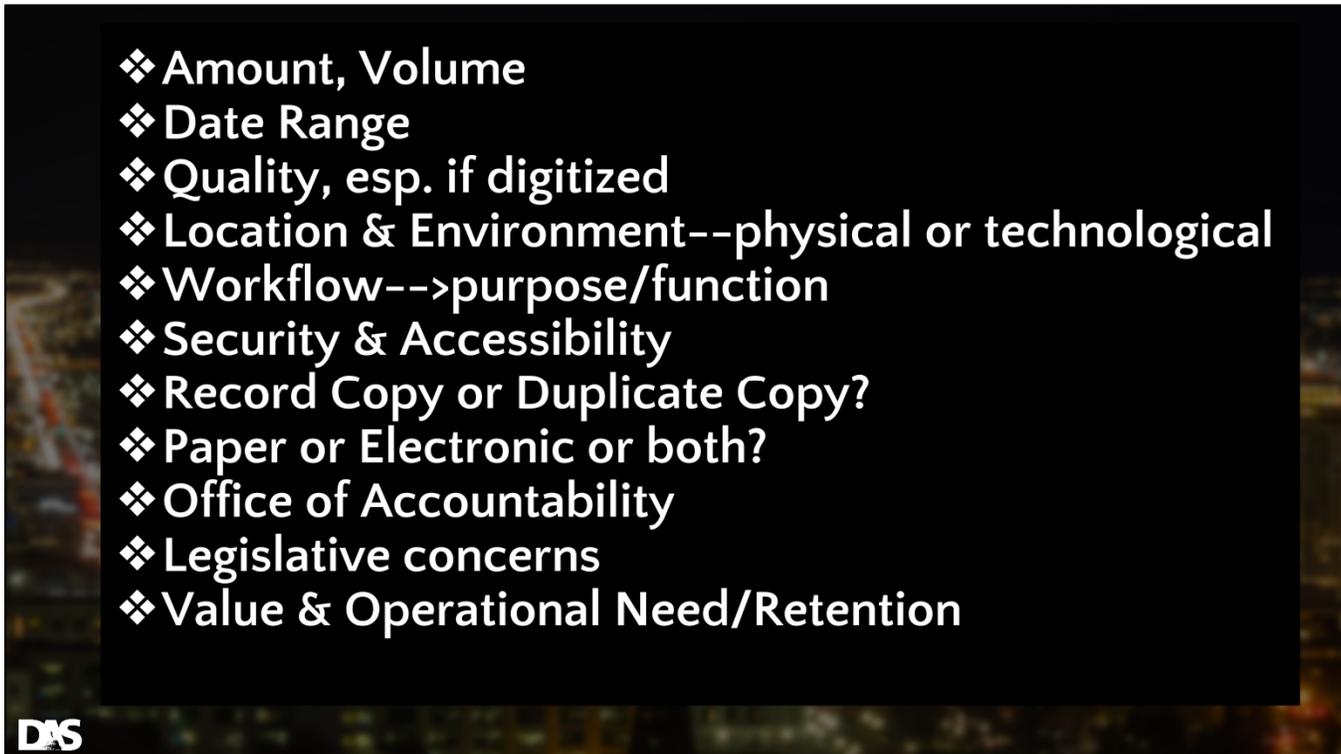
Look for electronic records on:

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



What data do you need to collect about your records?

It's going to depend on whether they are physical or electronic, but some of it will be the same. It could include:



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

DAS

It could include:

- ❖ !E Bž1÷|B/BžE'
- ❖ , ^÷' Œ^1%
- ❖ Kž^°-ž |N½E, Œ %÷'ü' ;
- ❖ >BŮ÷B1Œ Œ 1Y B31E '1÷'''' ' ÷' 'E½' žN'ü^ ŒEŒ' u' 1B3% Ů^a
- ❖ W BEE, B™ ŒžEž1; '1%Œ' 'ŒE' ^÷B1Œ1; ŒN' Œ,Œ' 'Œ' uBÈ; NŒW ' ^-Œ
, ž1u÷B1Œ' ; ŒBŒ' ' ŒŒE' ^÷B1Œ1; Œ™ ' ^-ŒžE½B1N' Œ BŒ' 'Œ' uBÈ; NŒN' EY' p
- ❖ M' užE°-žŒ Œ Œ Œ ŒN'1 °°-ž
- ❖ L' uBÈ; Œ BžžŒEŒ, ž½^u^÷' Œ Bžžp
- ❖ J^½' EŒNŒ' Œ Œ ŒB1 ŮŒ

You may find parts of a record series only in physical format and other parts only in electronic

In this case, both formats need to be kept with cross-referencing between the two so that users know where to find the complete collection

- ❖ B ,, Ů' Œ, Œ Œ Œž1÷^1 °°-žŒŒ™ ' Ů' Œ' '½^E-E '1-ŒEŒ,, Ů' ŒNŒE' N½B1N'1 Œ ŒBŒŒ
' BŒ' '1%Œ' 'Œ' uBÈ; ŒŮ½žpé
- ❖ >' %NŒ÷Y' ŒŮB1u' EŒNŒE' %^E; '1%Œ' 'N' ŒN½' u°, ŮŒ' uBÈ; Np
- ❖ !½žE^ N^ Œ^ž' Œ Œ ½' E^÷B1^ Œ ' ; ŒL' ÷' 1÷B1Œ. ' | ž E'E '1-Œ

Œ' ŒžEŒY' ; ; ŒžBžŒ™ ÷' Œ' E ½^ ÷' NŒ, BŒŮŒŒ Œ Œ Œ Œ ŒNŒ1; ŒŒ' ' EŒ ^÷^Œ1Bž-Œ
½' žN'ü^ ŒEŒ' Œ Œ ŒB1 ŮŒ' uBÈ; NŒŒ' ; ; Œ1Œ 3^E ½^ Œ, Œ™ ' ^-Œ' ' ŒBŒE ŒBŒŒŒŒŒ' Œ

USCE 1/2 10:10 PM 10:10 PM

Create a Template

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

Organizational Unit Information: (Records Access Dept.)

| <i>Data Item</i> | <i>Answers/Details</i> |
|--------------------|---|
| Principal Location | <ul style="list-style-type: none">• Basement, Main Building |
| Contact Person | <ul style="list-style-type: none">• Ms. Sadie Jensen• Phone: (555) 111-1111 |
| Mandate | <ul style="list-style-type: none">• Receive and process GRAMA requests (including requests for one's own personal information and for non-personal information)• Answers inquiries from, and provide advice to, the public re: GRAMA legislation and making access requests• Liaise with other government staff/departments when necessary to obtain information needed to satisfy request• Provide GRAMA training & advice to internal department staff• Assist with GRAMA reviews (e.g., complaints, remediation, etc.) |



Create a template, like the one I have provided you.

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) | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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) | <ul style="list-style-type: none"> Useful |
| Records Value (Historical or not) | <ul style="list-style-type: none"> Not Historical |
| Administrative/Operational | <ul style="list-style-type: none"> Administrative |
| Master Copy of record been altered (e.g., digitally scanned)? | <ul style="list-style-type: none"> No |
| Personal/Confidential Information | <ul style="list-style-type: none"> Yes |
| Access Permissions/Restrictions | <ul style="list-style-type: none"> Access to the database is restricted to GRAMA Coordinators Although all government departments use the GRAMA database, GRAMA Coordinators may only view their respective department's requests data |
| Records Workflow | <ol style="list-style-type: none"> Once a request for access to information is received, request-related information is manually entered in the GRAMA database, an online GRAMA tracking system (requests may be logged as <i>Personal</i> or <i>Non-Personal</i> requests for information; however, <i>General</i> request-related information is not entered into the GRAMA database until an initial fee has been paid) The GRAMA database automatically assigns a tracking number to each request The GRAMA database is perused regularly during the request processing phase, as it is used to track and maintain the timeline for processing the GRAMA request |

Page 2

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

| Data Item | Answers/Details |
|------------------------------------|---|
| Operational Retention Requirements | <ol style="list-style-type: none"> 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 | <ul style="list-style-type: none"> This type of record is not exclusive to this particular department (i.e., common across the government) |
| Operational Retention Requirements | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Government Records Access and Management Act (GRAMA) database |
| Types of Data Fields | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Roughly 3.5 gigabytes (GB) |
| Estimated Storage Capacity | <ul style="list-style-type: none"> Roughly 10 gigabytes (GB) |
| Anticipated Changes | <ul style="list-style-type: none"> N/A |
| Network Connection Clients | <ul style="list-style-type: none"> No third party access Designated staff cannot access database outside the office |
| Audit Trail | <ul style="list-style-type: none"> Standard |
| Security Practices | <ul style="list-style-type: none"> Standard (and no external access) |
| Date Range of Records | <ul style="list-style-type: none"> 2012 to present (no data moved off-line to date) |

Page 3

Create a template, like the one I have provided you.

Specific to Media Format

**Records & Information Management (RIM)
Hard-Copy Records Survey/Interview Findings**

Records Series Name: Committees Participation Files

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

Page 2

**Records & Information Management (RIM)
Hard-Copy Records Survey/Interview Findings**

| Data Item | Answers/Details |
|------------------------------------|---|
| Other Comments | <ul style="list-style-type: none"> None |
| Operational Retention Requirements | <ul style="list-style-type: none"> Need to keep meeting records onsite until committee meeting is finished, plus one year However, the committee terms of reference and other protocol-related information needs to be kept onsite for as long as the committee is operational (not just individual meetings), or until replaced by newer information |

| Physical Inventory Findings | |
|--------------------------------------|--|
| Data Item | Answers/Details |
| Volume (linear inches or cubic feet) | <ul style="list-style-type: none"> 32 linear inches |
| Number and type of fileboxes | <ul style="list-style-type: none"> 28 legal-size folders |
| Filing Equipment in use | <ul style="list-style-type: none"> One three-drawer lateral file cabinet |
| Equipment Square Footage | <ul style="list-style-type: none"> 8 square feet |
| Key Types of Documentation | <ul style="list-style-type: none"> Agendas, minutes, presentations, copies of approved policies, correspondence, committee terms of reference, committee strategic plans, supporting statistics, and project charters |
| Method of Arrangement | <ul style="list-style-type: none"> Alphabetically by name or subject, then chronologically by date |
| Date Range of Records | <ul style="list-style-type: none"> 2005 to present |

Page 3

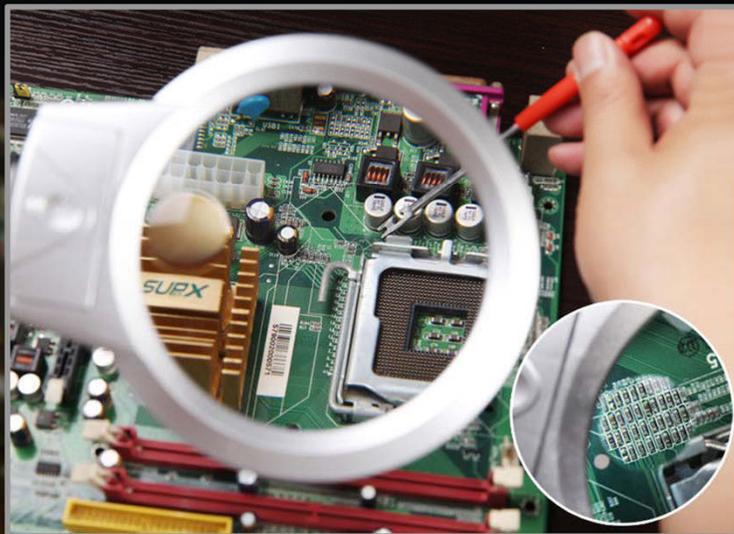
You'll notice that the data you'll need for electronic and physical records will be quite different in some areas.



You will need to come up with a strategy as to how you are going to survey the records.

Record Surveying Strategy

Limit your focus



Physical or Electronic

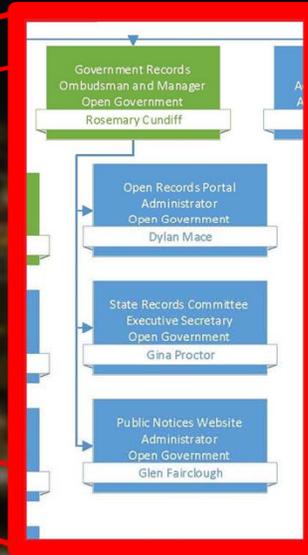
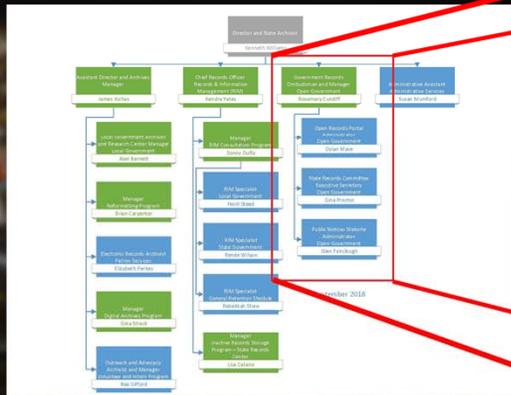
DAS

One effective strategy is to

- Limit your focus to one media format **at a time** (e.g., first physical and then electronic, or vice versa)

Record Surveying Strategy

Limit your focus



One department or business unit at a time



Or start with one department or business unit, then move on to the next.

- Trying to do the entire inventory at one time is not a good idea unless you have a very small agency.
- It is best to take “baby-steps” and learn from your experience as you go.
- A pilot project that inventories the records of a well-defined smaller section of an organization has a better chance at succeeding.

What strategy will work best for my agency?

| | |
|------------------------------|--|
| Paper First, then Electronic | <ul style="list-style-type: none">• Easier to inventory• More staff buy-in because they want records out of the way• Usually paper files are better organized and named |
| Electronic First, then Paper | <p>IF Electronic records are the main source of documentation for an operation and are considered the record copy, DO THEM FIRST</p> <ul style="list-style-type: none">• Biggest risks and system needs identified early• More difficult & time-consuming• More people involved |

Approaches to Inventorying Record Series

Should you inventory paper records first, electronic records first, or both at the same time? Each approach has its pros and cons.

Paper first:

- Easier to inventory
- More staff buy-in because they want records out of the way
- Usually paper files are better organized and named

Electronic first:

- It makes sense to inventory the electronic records first in cases where:
 - Electronic records are the main source of documentation for an operation
 - Electronic records are considered the record copy of the records of the organization, and the paper version is merely the working copy
- Advantages include the following:
 - Identifies early whether a preservation strategy is in place to address technology issues
 - Provides information on whether electronic records management software is needed
 - Identifies the RIM requirements for new information systems being considered
- Disadvantages include the following:

- More difficult and time consuming than inventorying paper records
 - Naming of electronic folders and files in an office is often very personal, with no formal naming conventions, and consequently you may have to open up each document to determine what it is about and what record series it belongs to
 - In databases & applications, there are often no discrete and/or identifiable “file folders”
- More people must be involved starting with users and including network administrators, database administrators, system designers and others

After looking at the pros and cons, you are the best person to determine the most realistic approach for inventorying records in your organization. Practically speaking, doing the paper records inventory first and then moving to electronic records is often the most feasible approach.

Additional Considerations

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

DAS

Additional things to Consider, which increase your chance of success:

- Delegate, make it a team effort
- Train staff
 - Non-Record vs. Record
 - Appraisal (understand Transitory vs. other administrative need)
- Identify Subject Matter Experts (SME's)
- Decide whether you are going to get expert external help, a combination of external and internal, or only internal help;
- If using internal help, staff must be trained in inventory techniques to ensure uniform and complete data collection, and this also means that each department must designate one or more employees to conduct the inventory and be given designated time(s) each day to do it;
- Target completion date(s) must be agreed to by all staff especially the departmental managers to whom these people report; and
- The Project manager should be available to answer questions during the inventory.

Three methods to choose from

- 1) Physical Inventory
- 2) Consultative Interviews
- 3) Questionnaire

DAS

There are three methods for inventorying your record holdings: conducting a physical inventory, consultative interviews, and/or a questionnaire.

A combination of a physical inventory with consultative interviews is recommended - you will need to obtain people's input about their records which you actually observe, and the best way is by talking to them. (page 10)

Physical Inventory

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

DAS

Physical exercise to identify the record series.

- Only investigate to the series level, like Bennett described earlier today when he spoke about data remediation.
- Look in physical storage spaces, like closets & file cabinets
- Open computer folders on shared drives, Sharepoint sites, and ask questions about database contents
- Find out how often the records are accessed and if there are duplicate copies of the records
- Is the file naming structure working?

Consultative Interviews

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

DAS

Consultative interviews are just what they sound like.

- You Interview people directly--this is essential for electronic records
- Your template, like the sample form I gave you, will give you an idea of the questions you need to ask.

Advantages:

- can improve relationship btwn records department and other employees
- Can discover unasked about information

Disadvantages

- takes a lot of time

Questionnaire

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

DAS

The third survey method is sending a questionnaire to users

- Have clear purpose in mind for each question
- Use the template you created to design your questions

Disadvantages

- Users may not understand the questions or terms
- Users may interpret the requirements differently
- People rely on memory instead of looking at the records or investigating to find answers
- Less opportunity for clarification
- Not everyone will respond

Analyze Collected Records Data

- Collate data
- Create reports
- Review & Use Data

DAS

Analyze results

- Collate data--use relational software such as ACCESS so you can manipulate the information for analysis
- Create reports, such as these:
 - Organizational unit (all records in a unit);
 - Record format (paper, electronic);
 - Record Status (vital, important, etc.);
 - Final Disposition (destroy, archives);
 - Personal Information Banks (PIB);
 - Name of record series; and
 - Technology used to support which record series.
- Review Data, identify areas needing improvement



I know it is a daunting task, but don't let the size of the task keep you frozen in a state of inaction.

Lao Tzu said it best: "The journey of a thousand miles begins with one step."

Some progress is better than no progress, and with planning and time, you will make headway.

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



DAS | Utah Division of Archives
and Records Service

And eventually when someone asks you:
Do you know where your records are?
You can say...



Yes! I know exactly where my records are. They are home, safe in bed.