Strategic plan goals and objectives: Accomplishment FY2015

Fall 2015

The Utah State Archives is pleased to issue the accomplishments it has achieved during the end of the first year of its Strategic Plan. The Archives strives to increase government efficiency, as part of Governor Gary R. Herbert's initiative and as part of continuous improvement for the Archives.

Every year the Archives' staff meets to review its Strategic Plan, take stock of it progress, and publish its growth for transparency for the public.

Action Items

Building one Archives

Initiatives:

Clarify roles and responsibilities

> *Action Items:*

>> Write policies, procedures, and workflows for work sections. Identify areas in which responsibilities fit-in or overlap with multiple work areas. Define roles in procedures, workflows, and projects and assign responsibility for outcomes.

>>> *2015:*

>>> *Drafted policies and procedures posted in the division's employee portal for continuity of operations including agency contact information, general and series specific schedules processes, records officer certification program, and training and outreach; support to the State Records Committee and actions of the Committee's Executive Secretary; work order for integration of microfilm to digitization (implemented for beta testing).*

>>> *Administrative rules for the State Records Committee were updated due to statute changes.*

>> Improve the usability of format management, including establishing record-sharing agreements with agencies to clarify who is to provide access, tracking formats within the system, integrating records migration and maintenance plans, and by completing the work of the Format Management Committee.

>>> *2015:*

>>> *The Archives' content management system was analyzed for changes regarding recordkeeping practices, particularly "format management." Retention and disposition fields were hard programmed separate from format management. Fields were added to report retention status information.*

>> Develop an understanding of others' roles and responsibilities through institutional policies.

2015:

Cross-training between sections offered on tools and processes such as Bag-It, DACS, microfilm work orders, and preservation.

Integrate archival standards into processing and records management workflows and outputs and ensure that all formats are addressed in processing and records management procedures.

2015:

Archives work flows were documented and updated for such procedures as digitization for agencies and reference; acquisition, submission, ingest, and storage of electronic records; description standards framework; microfilm-to-digital reformatting, filming-to-scanning product delivery; role clarification of records analysts and the open records administrator responsibilities.

Complete a succession plan for those positions responsible for critical systems and functions.

- Content Management System (mitigate risk with only one individual having access and training in system programming and maintenance duties)
- Expand programming opportunities and knowledge to eliminate bottlenecks when workflows and projects stall waiting for system-related actions
- ASRS maintenance (hardware, software, and daily operations)
- Digital Archives and allied systems maintenance

2015:

The Archives moves its digital collections to CONTENTdm, an environment hosted by library vendor OCLC, with a five-year contract.

Maximize and obtain new avenues of resources

Action Items:

Apply for grants as a way to increase or maximize resources and to ensure preservation and future access to permanent records.

2015:

The Archives submitted grant proposals to the National Historical Publications and Records Commission (NHPRC) to digitize floor debate audio recordings from the Utah House of Representatives and the Utah Senate and to the State Library (LSTA) to process and digitize the World War I Service Questionnaires and Photographs.

The Archives obtained funding from the Council of State Archivists (CoSA) State Electronic Records Initiative (SERI) for webinar training of staff members in electronic records preservation.

The Archives began collaboration in a grant from the NHPRC on electronic records management, with the State Archives of North Carolina as well as the Kansas State Historical Society, the Library of Virginia, and the Smithsonian Institution Archives.

Recruit more student interns and those in career transitions with the goal of creating new records management and archival professionals.

2015:

Supported existing volunteer and intern program; recruited from local college level and graduate programs and improved tracking and mentoring. Volunteers contributed 9,431 hours in support of the Archives.

Improve the volunteer/intern program and increase the program's effectiveness and reach throughout the State Archives.

Develop "Friends of the Archives," including fund-raising projects.

2015:

Governor Gary R. Herbert signed a declaration formalizing October 2014 Utah Archives Month, an annual event sponsored by archives and special collections across the state. Digital images of the Governor's 2014 declaration and the 2014 poster are on the Utah Archives Month website.

The Archives sponsored a celebration for its partners and colleagues for the 10th anniversary of the dedication of the Archives building (October 2014).

The Archives provided a training workshop to the Salt Lake Genealogical Institute on archival principles and methodology

Access for the present and the future[1]

Initiatives:

Preserve and manage electronic records

Action Items:

Provide standards and guidelines for records migration and format selection.

Formalize and institutionalize email management process.

Implement processing procedures and workflows for electronic records.

2015:

Electronic records policies and procedures framework established and policies drafted, adopted electronic record format standards via Indiana Working Group, conducted an inventory of electronic records on Archives' servers, and created a prototype electronic records transfer document.

Modernize records management

Action Items:

Become leaders and experts on electronic records management, including knowing which databases agencies across the state are using to generate and store information, as well as understanding the advantages and limitations of the different products.

2015:

The Archives commemorated National Electronic Records Day on 10-10 (October 10th).

Implement usability best practices into website design, function, and navigation. Design with the public and governmental entities' needs in mind.

2015:

The Archives collaborated with the Utah League of Cities and Towns, Utah Association of Counties, and the State Office of Education to provide training and to obtain feedback relating to the appearance of local government on the Open Records Portal.

Make readily understandable and current information about governmental entities and their records, including functions and descriptions, available on the website.

2015

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[1] Ties to DAS goals *"Improve the efficiency and effectiveness of DAS Operations"* and *"Institutionalize cyber-security and emergency preparedness."*

Updated or corrected hierarchical data for 534 state agencies. The Open Records Portal team created a user-friendly, streamlined presentation of governmental entity data and records officer information.

The Archives implemented a model for improved records series descriptions that included agency function and legislative mandate(s).

Reformat records for preservation and access

Action Items:

Scan patron and agency microfilm and transfer to digital masters to provide better access of information and to preserve the master microfilm from over use.
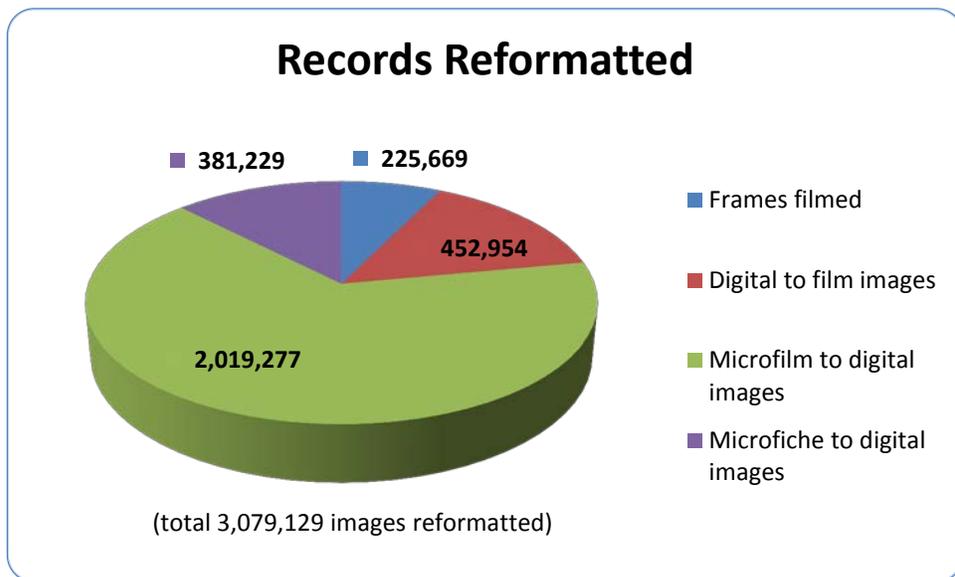
2015:

Process for creating digital masters established, and will be reevaluated every six months so that the process is always up to date.

Evaluate production process the first quarter of the fiscal year and establish performance measures based on production numbers.

2015:

The Archives reformatted 3,079,129 images. Of those 2,356,604 images were a result of sizeable projects with agencies such as the National Guard and the Bureau of Criminal Investigations.

Records Reformatted

- 381,229
- 225,669
- 452,954
- 2,019,277

- Frames filmed
- Digital to film images
- Microfilm to digital images
- Microfiche to digital images

(total 3,079,129 images reformatted)

Bring in new technologies for more effective work and establish new workflows.

Work with private partners and records creators to reformat and release highly utilized public records in a more timely and efficient manner.
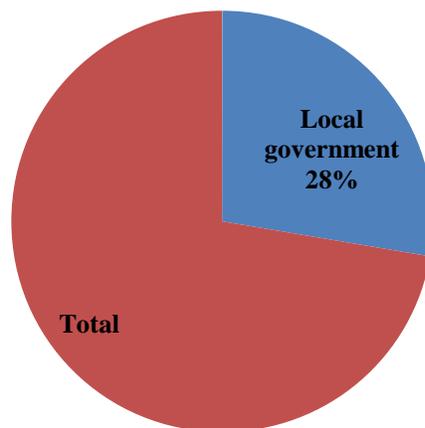
2015:

The Archives continued its partnership with Ancestry and FamilySearch in the National Historic Probate Project. FamilySearch digitized the probate case files from all 29 counties up to 1930. Ancestry made them available online via its Utah research page.

Coordinated with Vital Records and Statistics to more efficiently ingest records as they become available for public access and to digitize the Native American birth and death record books.

The Archives microfilmed 225,669 frames— 27 percent of filming was for the local government records, or 62,418 images.

Implement long-term storage policy for electronic records and reformatted digital records.

2015:

The Archives, with the Department of Technology Services, developed a business case for the storage and maintenance of electronic records.

Invest in the care, preservation, protection, and security of records

Action Items:

Develop preservation vault storage for microfilm at the State Records Center. Ensure that preservation housing is safe, secure, and environmentally controlled.

Bar code preservation microfilm housed in the State Archives' repository and relocate microfilm needing off-site security storage to the State Records Center for emergency preparedness and recovery purposes.

Promote initiatives that encourage records emergency preparedness in cooperation with the regional repositories and cultural resource institutions.

2015:

The Archives staff hosted the Emergency Management for Cultural Resources group to coordinate activities for emergency response with the Department of Public Safety and to update the 2014 Threats and Hazard Identification and Risk Assessment/NIMS report.

Participated in Heritage Preservation's May Day initiative by disseminating, via blog and email, information about the risk of fire in libraries and archives

and citing valuable resources available to aid in preparing for and recovering from fire or other natural disasters.

Foster regional repository and local government archival training and development, including providing re-grants when possible.

2015:

The Utah State Historical Records Advisory Board offered two re-grant cycles with funds from the National Historical Publications and Records Commission. The Board awarded nine re-grants, totaling $11,000.

Develop a maintenance plan for the automated storage and retrieval system (ASRS), including contracts and ongoing funding.

Institute a disaster-recovery statewide contract and expand in-house capabilities for disaster response and recovery.

2015:

Archives staff participated in the "Great Utah Shake Out," participated in a table top exercise and disaster scenario, inventoried and updated disaster supplies, and practiced the evacuation and response procedures.

Offer services unavailable elsewhere to maintain and access government records

Action Items:

Transfer microfilm reels to digital masters as a premier customer-oriented activity, providing the best value to patrons, agencies, and the citizens of Utah.

Utilize social media and technology to reach customers and enable customers to interact with records holdings

Action Items:

Engage in social media, including webinars, to interact with records officers across the state and build a community within the profession.

2015:

The Archives published records management blogs and used social media to obtain feedback and comment on proposed general retention schedules and to highlight outstanding record officers. The Archives published monthly blog posts for patrons and researchers to increase patron awareness and public interest on topics such as newly processed collections and historical events.

The Archives used Google Hangouts for more accessible on-line training.

Build a data portal that will link in meaningful ways all online government records as well as descriptions of records that are not online.

Implement a crowdsourcing program for indexing, especially offsite capabilities in time to recruit participants at the next RootsTech conference (February 2015).

> *2015:*
>
> *The Archives was an exhibitor at RootsTech to provide outreach at the largest genealogy conference in the world with over 21,000 people registered. In total, 638 interactions were noted that involved a conversation with conference-goers.*

Improve website presence, integrating new technology and an improved customer experience.

> *2015:*
>
> *An audit of the digital collections display in CONTENTdm improved patron access and interaction with online records.*
>
> *The Utah Public Notice Website was updated to improve functions—such as a map feature and calendar, feed-out to Twitter and Facebook, scaling to mobile responsive design, and new security features. Courts, interlocals, higher education and fifth-class political subdivisions were added.*
>
> *The Archives' website was named one of the best vital records websites for genealogists by Family Tree Magazine.*

Results-driven communication[2]

Initiatives:

Identify and resolve critical issues, breaking through bottle necks and simplifying work

>   *Action Items:*

>>   Resolve transfer process of digital preservation to system and to preservation media, including M-DISC™ technology.

>>   Create and develop understandable and accessible agency and series information, including hierarchy structure of government agencies.

>>>   *2015:*

>>>   *The Archives established a more effective appraisal process for evaluating new and updated records series reports and general schedules.*

>>   Develop an appraisal strategy, evaluating and identifying all records of permanent and historical value desired to document state government and the history of the state.

>>>   *Instituted an appraisal committee to review and evaluate all series-specific retention and general schedules, improving quality of schedules and providing communication and training to staff.*

>>>   *Archives staff traveled to cities in Millard and Juab counties to preserve local government records funded in part by an NHPRC grant. They brought in municipal council minutes, ordinances, and other historical records for preservation microfilming and digitization for access.*

>>   Institutionalize the APPX project tracking utility and create incentives for effective project management.

>>>   *2015:*

>>>   *Utilized project management utility to request, appraise and evaluate, approve, and track changes and programming to content management system to control technology development.*

Communicate, improve, and facilitate workflows; resolve and remove impediments to efficiency

>   *Action Items:*

>>   Update all workflow processes and documentation.

Adopt and implement established procedures and policies and common best practices

>   *Action Items:*

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[2] Ties to DAS goal *"Improve customer relations and communications."*

Establish regularly applied procedures to renew and update records officer and other information to keep our website current.

Expand accountability and transparency of government records through open records initiatives

Action Items:

Build a central portal for making and tracking records requests and for maintaining and displaying contact information for all of the state's records officers.

2015:

The Archives launched the Open Records Portal ahead of the January 1, 2015, deadline. Archives cleaned hierarchy and function data of each state agency and identified records officers who would be GRAMA responders. The Archives began work in preparation for the addition of school districts, charter schools, municipalities, transit districts, and counties to the portal for the January 2016 deadline. The Archives provided both on-line and in-person training on how to use the portal.

Open Records Requests
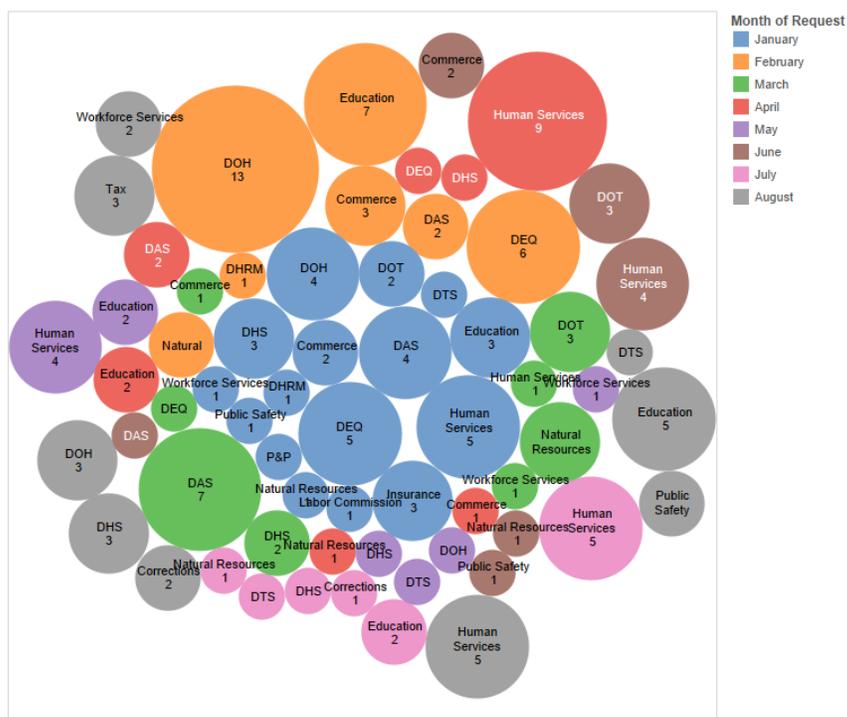
The Archives collaborated with the Utah League of Cities and Towns, the Utah Association of Counties, and the State Office of Education to both provide training and obtain feedback about the Open Records Portal.

Provide online resources and guidelines to assist records officers and the public in understanding the Government Records Access and Management Act (GRAMA) and other laws that govern records access.

>*2015:*

>*The Archives published the State Records Committee annual report, outlining the number of requests for appeals, the number of hearings, the number of appeals that were resolved prior to a hearing, and the outcome of State Records Committee decisions.*

>*The Archives updated the State Records Committee page on the division's website and posted GRAMA requests, responses, and supporting documents associated with State Records Committee hearings.*

>*The Archives updated the laws and ordinance page on the division's website and added references to case law that deals with records issues.*

>*The Government Records Ombudsman reported activities to the Political Subdivision Interim Committee, reporting increased numbers of consultations and GRAMA training events from previous years. She consulted with 770 requesters and 906 responders in navigating the open records request process. (She assisted 1,676 in FY15, over 1,565 in FY 14.) She facilitated 27 mediations over records disputes of which 20 were resolved. Approximately 500 records officers participated in GRAMA training.*

Embrace the open records initiative by offering even more resources through the digital archives.

>*2015:*

>*The Archives planned with the State Library and with the State Office of Education how to implement more dynamic connections for the Open Records Portal.*

Improve intellectual control of holdings

>*Action Items:*

Improve the usability of format management and enable recording of more detailed format information for each record series.

Barcode at least half of our microfilm collection, which is composed of approximately 60,000 rolls of microfilm.

>*2015:*

>*The Archives improved intellectual control of microfilm by bar coding 16,449 rolls, or 13 percent of the microfilm collection.*
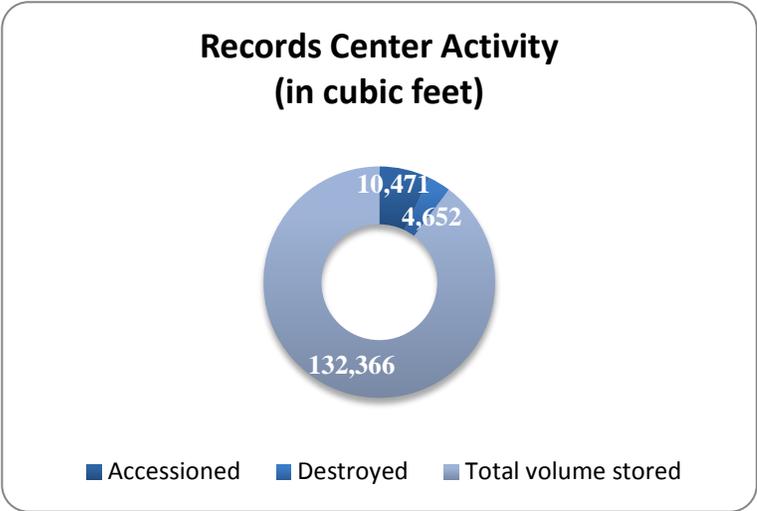
Reconcile database systems (Versatile and APPX) and correct data entries to ensure integrity of data.

2015:

Systems data improved in location management systems by analyzing and reconciling reports monthly. Work-process problems are identified and corrected; respective staff members are trained on appropriate data-entry standards in real time.

Unite inventory tracking systems (APPX, HK, Versatile, staff library, catalog, etc.) to ensure that all inventories match, are reconciled, and that reporting functions are accurate and easily utilized.

2015:

**Records Center Activity
(in cubic feet)**

10,471
4,652
132,366

■ Accessioned   ■ Destroyed   ■ Total volume stored

The Records Center staff tracked the activity of 132,366 cubic of records of state and local governmental entities.

Inventory records in electronic and other formats at preservation risk within the repository.

Enriching our knowledge[3]

Initiatives:

Institutionalize professional development and an environment of continuous improvement

Action Items:

Promote training available at professional conferences and workshops and utilize webinars and free or low-cost training opportunities.

2015:

Archives staff members attended the Society of American Archivists continuing education program addressing international and national standards and which standards apply to archival records, whether digitized or originally created as an electronic record.

The Archives hosted two successful records management conferences in November and April. Both conferences were well received and well attended, and featured guest speakers as well as speakers from the Archives staff.

Provide professional training opportunities; host (CoSA and SERI) webinar series for staff members' participation.

2015:

Archives staff attended development and training webinars sponsored monthly by CoSA and SERI on electronic records preservation, project management, and other archival issues.

Two Archives staff members earned the Society of American Archivists' Digital Archives Specialist (DAS) certificate. The State Archives served as the regional host for this exam, which also included participants from other archival repositories in Utah and Arizona.

The Archives hosted a training class on Describing Archives: A Content Standard (DACS), an archival standard for processing and descriptive work.

Improve records management in the state

Action Items:

Establish and implement a procedure for updating agency hierarchy and creating agency-specific and general retention schedules.

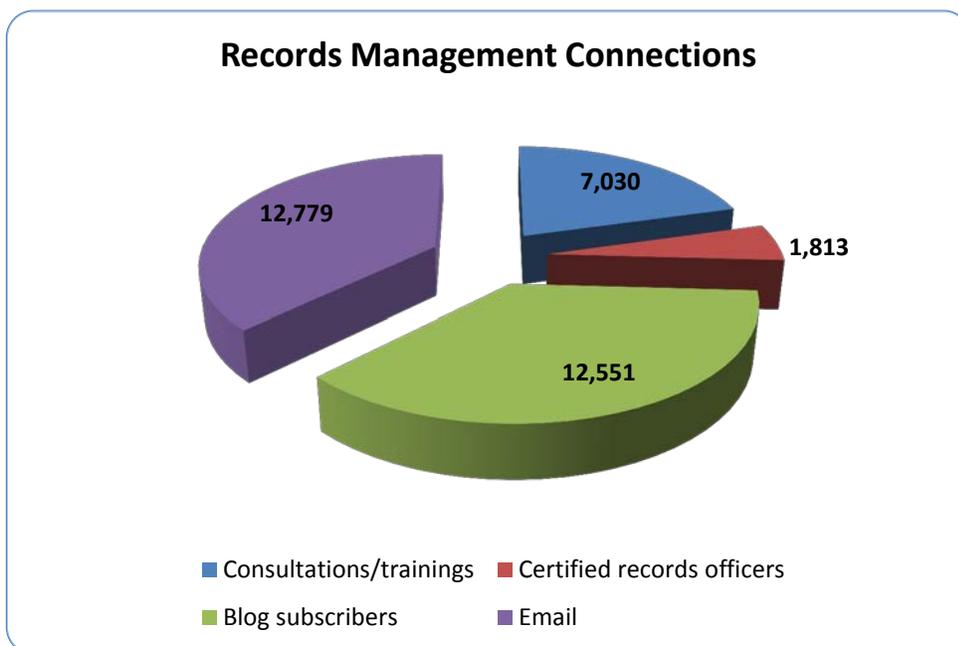[3] Ties to DAS goal *"Develop a quality, high performing workforce."*

Develop and update state general and agency-specific retention schedules.

> *2015:*
>
> *The Archives has updated 1,563 retention schedules as part of its SUCCESS initiative to improve the quality of retention schedules.*
>
> *The Archives has established a process of stakeholder review, involving the Attorney General's Office and state and local government groups.*

Develop and publish Public Records Management Act (PRMA) online training and certification.

Records Management Connections

7,030

1,813

12,779

12,551

■ Consultations/trainings   ■ Certified records officers
■ Blog subscribers   ■ Email

Develop the training program and user-friendly online materials to better serve and educate records officers, chief administrative officers, and the public—including the publishing of guidelines on records management topics such as email and electronic records management.

Increase the percentage of certified records officers statewide.

2015:

There were 653 records officers certified this year, increasing from 614 records officers certified last year.
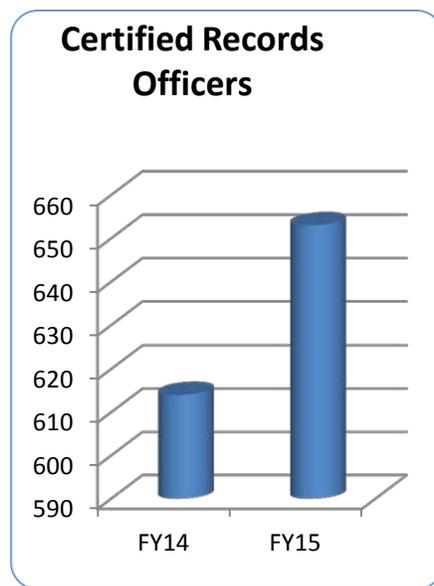
Decrease the percentage of obsolete record series. Reorient record series perspective from tangible to electronic formats.

Improve care of records in our holdings

Action Items:

Preserve and provide access (harvest, ingest, authenticate, etc.) to historical electronic records.

Inventory electronic records preservation needs of holdings.

Improve our skills in training and doing our work

Action Items:

Sponsor internal training and brown bag lectures by staff members on their responsibilities to educate coworkers on the processes and challenges faced in fulfilling their responsibilities.

2015:

"Building History" was the theme of three, free brown bag presentations hosted by the Utah State Archives in observance of Utah Archives Month in October 2014.

The Archives sponsored a statewide Electronic Records Conference on electronics records preservation and management.

Provide basic records management and access training modules that are targeted to the public and to chief administrative officers.

2015:

As part of Records Information Management Month in April 2015, the Archives sponsored a conference to highlight the importance of records and records information in all formats with participants from all levels of state government.

Archives staff provided training geared toward city and county administrators in the "Management and Care of Historic Records" to staff of municipal

Certified Records Officers

government, local historical institutions, and organizations. Training sessions were held at Snow College, Grand County Library, Weber State University, and the Utah State Archives.

Train staff to prioritize uninterrupted and focused work time and eliminate ineffective multi-tasking.

Promote participation in professional organizations in order to create new leaders and to remain abreast of new professional trends and developments.

2015:

Archives staff participated in quarterly meetings of the Utah Manuscripts Association to discuss and resolve competing collecting interests, assist and create partnerships, and report on recent acquisitions.

Archives staff attended the Western States Roundup, a joint conference of four regional archival associations; the Society of American Archivists Annual Meeting, the NAGARA Annual Meeting, and the Council of State Archivist Annual Conference, with staff presenting papers at NAGARA and the Western Roundup.

Enhance the training of processing archivists so that they are familiar with integrating archival standards and best practices into processing workflows, and are comfortable processing records regardless of format.

2105:

Adopted DACs requirements and Bag-It process for electronic records.