

Records Inventory

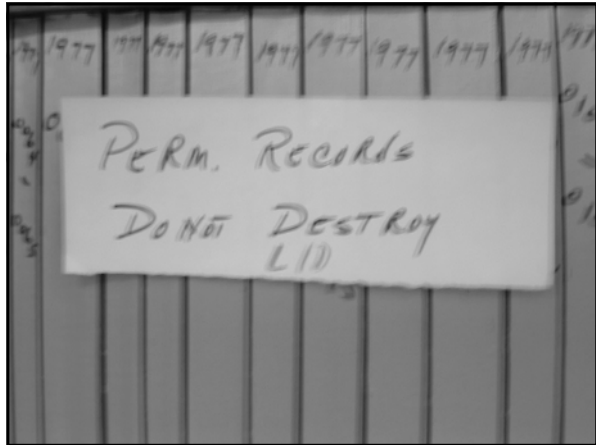
Patricia Holmquist, CRM
King County Records Management
patricia.holmquist@metrokc.gov

1











Introduction

- Why do a records inventory?
 - Identify volume of records
 - Identify record series
 - Identify record values
 - Identify essential/vital, confidential and obsolete records
 - Determine the agency's need for automation or imaging (digital and microfilm)
 - Determine increased efficiency and future storage costs

7

Agenda

- 9:30 to 10:15 Presentation
- 10:15 to 10:30 Break
- 10:30 to 11:00 Presentation
- 11:00 to 11:30 Audience questions and discussion

8

Vocabulary

- Record Series:
 - Highest level of classification in a taxonomy
 - Group of documents that have the same retention values
- File
 - Group of like documents
 - Unit of a record series
- Document
 - The smallest unit of a record series

9

Vocabulary

- Taxonomy
 - File Plan
- File Plan
 - Classification schema
 - Primary – Human Resources
 - Secondary – Recruitment
 - Tertiary – Job Announcements

10

Vocabulary

- Workflow
 - Steps in a process to completion
- Process
 - A series of actions or operations leading to completion

11

Vocabulary

- Retention values
 - Administrative/operational
 - How long the records are needed to do your job
 - Legal, audit, fiscal
 - How long the records are needed to meet legal, audit or fiscal requirements
 - Historical, archival
 - Records needed to preserve the history of the organization

12

Vocabulary

- Essential/Vital Records: Essential records contain information required to re-establish or continue an organization in the event of a disaster. Records containing unique and irreplaceable information necessary to recreate an organization's legal and financial position and preserve the rights of the organization and its employees, customers and other constituent groups. Essential records include records whose informational value to the organization is so great and the consequences of loss so severe, that special protection is justified in order to reduce the risk of loss.

13

Learning Outcomes

- Understand the tools necessary for collecting and processing records inventory information.
- Know how to conduct a records inventory.
- Understand how to manage a records inventory.

14

What information do I need to collect?

- For a retention schedule
- For a file plan
- For document workflow
- For a disaster preparedness plan
- For a space management plan
- For special media like electronic, microfilm, digital photographs, etc.

15

Design a Records Inventory form

- Sample forms
- Choose a format
 - Paper form
 - Electronic form

16

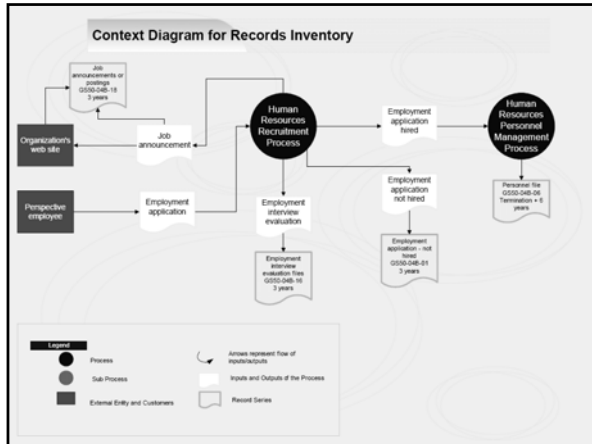
UNIVERSITY OF CINCINNATI UNIVERSITY RECORDS MANAGEMENT PROGRAM RECORDS INVENTORY FORM

Administrative Area: _____
 Division: _____
 Department/Office: _____
 Contact Person: _____ Phone: _____
 Records Series Title: _____
 Description: _____
 Origin of Records: _____
 Record Type/Format: _____
 Inclusive Dates: _____ Volume: _____
 Storage Method: _____
 Annual Accumulation: _____
 Retention Period and Justification: _____ Comments: _____
 Date Form Completed: _____

17

RECORD SERIES INVENTORY WORKSHEET SECRETARY of STATE
 Archives and Records Management Division 900 East 102nd Street, Columbus, OH 43210
 1. Agency: _____ & Department/Division: _____
 2. Record Series Title: _____
 3. Record Series Description (including Number (S/N): _____
 4. Date Range: From: _____ To: _____
 5. Record Series Origin: _____
 6. Record Series Format: _____
 7. Record Series Retention: _____
 8. Record Series Disposition: _____
 9. Record Series Location: _____
 10. Record Series Status: _____
 11. Record Series Comments: _____

18



Design a spreadsheet or database (retention schedule)

- The function of a spreadsheet/database is to summarize inventory information and to prepare for retention research.
- Spreadsheet/database fields are defined by the records inventory form.
- The spreadsheet/database should easily translate into a retention schedule format that can be distributed to work units.

23

Conduct pre-inventory research

- Do a walk through of the work units to be inventoried.
- What are their business processes?
- Who are their customers?
- Who does what and why in their work unit?
- What are the laws that regulate their industry, business processes and customers?

24

Conduct pre-inventory research

- Research Resources
 - Organizational charts
 - Comprehensive plans
 - Annual reports
 - Work unit web site
 - Federal, state, local and case law
 - Federal, state and local regulatory agencies

25

Write a work plan

- Who will you inventory first, second, third?
- How long will it take?
 - Create a timeline
- What resources will you need?

26

Sell your plan and get management support

- Meet with management and gain their support, you will need it!
- Announce the project and its benefits to all employees.
- Have a kick off meeting.

27

Meet with the manager of the work unit

- The interview should capture this information:
 - What are the work processes of the work unit?
 - Who are the owners of each work process?
 - Who are your primary regulators, auditors?
 - Have you been involved in litigation, public disclosure, privacy issues?
 - What are the records issues in your work unit?

28

Meet with the process owners

- Fill out the records inventory forms
 - One form per record series
 - Forms for file and document types, if needed
 - You can do this as you interview them, or
 - Teach them how to complete the form for you
 - Give them a deadline!

29

Summarize your inventory

- Complete your spreadsheet or database.
- Send a summary report to the manager of the work unit and the process owners for review and comment.
- Move to the next work unit.

30

Summary

- Now that you understand the tools necessary for collecting and processing records inventory information, and how to conduct and manage a records inventory, you are ready for the next step:
 - Records retention research

31

Where To Get More Information

- Learn more by attending the electronic records inventory presentation April 6, 2007
- ARMA
 - <http://www.arma.org/>
- AIIM
 - <http://www.aiim.org/>

32

Retention Research Sites

- Federal Laws
 - CFR: <http://www.gpoaccess.gov/cfr/index.html>
 - USC: <http://www.gpoaccess.gov/uscode/browse.html>
- State Laws
 - <http://apps.leg.wa.gov/rcw/>
 - <http://apps.leg.wa.gov/rcw/>
- Local
 - <http://www.mrsc.org/>
- Law Library
 - <http://lib.law.washington.edu/>

33
