

# Strategic Plan

2015-2019

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Utah State Archives and  
Records Service

## Why Records Matter

State laws provide that government meetings, decisions, and records be made available to the public. The State Archives holds Utah's documentary history as a public trust. This history belongs to the citizens of the state and they have a legal right to open and fair access. The State Archives is mandated to provide this transparency and accountability in government.

### State records are essential to protecting life, property, and the rights of citizens.

- *Birth and death records* are essential for individuals in proving legal identity and ancestry. These records are also used by thousands of family historians.
- *Military service records* permit veterans to receive benefits such as military pensions, VA medical care, and military funerals.
- *Divorce records* provide proof of marital status, name change, and length of a marriage when applying for such things as passports and Social Security benefits.
- *Court records* document individual rights, legal status, and legal identity. Name change and adoption decrees are important for citizens in documenting legal identity. Naturalization records are useful in family history research.
- *School records* provide proof of educational achievement for individuals who are seeking jobs or further education.
- *Land records* document land ownership, transfer of legal rights, and evidence of mineral, water, and surface rights.



### State records provide the informational infrastructure necessary to maintain order and accountability in government.

- *Legislative records* are used to understand the history and intent of laws and are accessed by lawyers and their clients in asserting legal rights.
- *Incorporation records* provide proof of the existence of a company when an individual is seeking legal redress, such as in cases of radiation or asbestos exposure.

### State records collections provide the documentation of the infrastructure of society and government.

- *Architectural records* document important structural infrastructure, necessary for seismic data, renovation, and other purposes.
- *Transportation records* document essential infrastructure to assess environmental impact, evaluate infrastructure damage, and roadmap infrastructure construction.
- *Community records* retain a sense of continuity with the past on which to build a future.

The State Archives preserves and makes available the documentary evidence of **all** citizens of the state.

## Strategic Plan

2015-2019

### Director's Message

#### *Building our future*



To build our future, the State Archives must ensure that government records are maintained and preserved properly so that they are available to future generations. Government records document government, promote history, and secure rights. \* Records are essential to providing information that protects life, property, and rights. Historical records, and their context, enrich future generations. They provide communities with a connection to the past and a historical foundation from which to build a future.

The State Archives identifies and preserves these records. In this age of rapidly changing technology, the State Archives ensures that changing technology does not result in an information dark age for future generations.

▪ *Patricia Smith-Mansfield, Director*

### Success Goal

#### Scope

As part of Governor Gary R. Herbert's initiative to increase government efficiency, the State Archives is committed to the process of continuous improvement. The State Archives' goal is to ensure legal access to government records—to *get the right records to the right people at the right time*. The State Archives' strategic plan is integral to the process of moving forward. Our objectives are aligned with our mandated responsibilities and daily work of preserving and providing access to the state's public records.

### Stakeholders

The State Archives serves four communities:

- Records officers, chief administrative officers, and governmental officials interested in records management
- Public members, avocationalists, and professionals interested in personal, community, and state history and culture
- Public officials, public, media, and associations interested in transparency
- Individuals and groups interested in the protection of rights

### Vision

*To serve the record needs of government and its citizens.*

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\* Council of State Archivists

## Mission

**The Utah State Archives' mission** is to assist Utah government agencies in the efficient management of their records, to preserve those records of enduring value, and to provide quality access to public information.

Our records analysts assist governmental entities with the creation, care, retention, and access to records during their administrative use. Our archivists assert custodianship over historical and permanent government records and assist cultural institutions in the care, access, and preservation of the state's historical documents.

Records analysts, archivists, and archival technicians work together to manage, preserve and provide access to the state's records and historical documents. [Appendix 1: Lifecycle of Records]

## Values

### Preservation of historical records

An understanding of Utah and its people depends on an enduring historical record. This history belongs to the citizens of the state. Government records are essential to protecting life, property, and the rights of citizens; to providing documentation of the infrastructure of society and government; and to providing the informational infrastructure necessary to maintain order, accountability, and transparency in government.

### Comprehensive and quality access

State laws provide that government meetings, decisions, and records be made available to the public. The State Archives holds Utah's documentary history as a public trust. This history belongs to the citizens of the state and they have a legal right to open and fair access. We educate citizens and agencies to promote understanding and increase efficiency. The State Archives is committed to providing quality services to its customers and seeks to find new avenues to increase access, expand its audience, and enhance the research experience.

### Leadership and partnership

The State Archives is a resource to its partners and customers, providing leadership to state and local governments and archival institutions throughout the state. Working together as partners, we can accomplish more and be more efficient.

Accountability and transparency in government begin with good records management. The State Archives provides guidelines, standards, tools, and resources necessary to state and local governments and the state's archival institutions so that they can be more effective.

## Strategic Focus

**The State Archives** understands the big picture when it comes to government records. We understand the process of open records as mandated by the Government Records Access and Management Act (GRAMA), the importance of preserving historical records, and how access secures critical rights of

citizens and ensures our history is told. We take the long view and plan for the future of records—their management, their care, their access—including through the possible obsolescence of their formats.

All these issues led us to develop this strategic plan. It is a five-year, living approach that will direct our daily work. Over the course of time, we will revisit, review, and revise the plan; establish yearly goals; and publish annual accomplishments.

## Goals

### *Building one Archives*

The State Archives will build one community through effective communication and activities in concert with a common purpose. The State Archives will work as one Archives team and assume leadership in the archival community to promote records management, preservation, and access.

#### *Initiatives:*

Clarify roles and responsibilities

Maximize and obtain new avenues of resources

### *Access for the present and the future<sup>†</sup>*

The State Archives will modernize its approach to the digital world and embrace electronic records information and emerging technology.

Customer-centered access will focus on enabling customers to obtain information and services efficiently.

#### *Initiatives:*

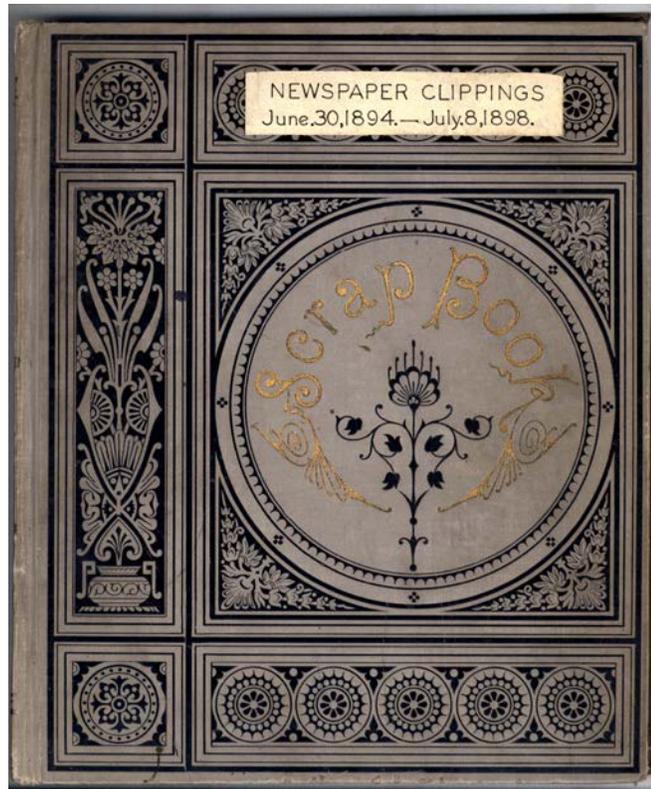
Preserve and manage electronic records

Modernize records management

Reformat records for preservation and access

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

Offer services unavailable elsewhere to maintain and access government records



<sup>†</sup> Ties to DAS goals “Improve the efficiency and effectiveness of DAS Operations” and “Institutionalize cyber-security and emergency preparedness.”

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

### *Results-driven communication<sup>‡</sup>*



Effective communication is clear communication that provides actionable results in well-defined workflows and processes, standardized procedures and policies, and formal and documented decisions.

Institutional information is established and is disseminated to State Archives staff members and shared with customers.

We will define, lead, and assist in best practices for the state. We will connect with others and help others connect to build the archival and

records management community.

#### *Initiatives:*

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

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

Adopt and implement established procedures and policies and common best practices

Expand accountability and transparency of government records through open records initiatives

Improve intellectual control of holdings

### *Enriching our knowledge<sup>§</sup>*

The State Archives supports education and training of staff to empower the work force.

Enriching our knowledge assists us in training, educating, and providing guidance to records custodians throughout the state.

Enriching our knowledge assists us in caring for, preserving, and providing access to permanent records of all formats.

#### *Initiatives:*

Institutionalize professional development and an environment of continuous improvement

Improve records management in the state

Improve care of records in our holdings

Improve our skills in training and doing our work

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<sup>‡</sup> Ties to DAS goal "Improve customer relations and communications."

<sup>§</sup> Ties to DAS goal "Develop a quality, high performing workforce."

## Appendix 1:

### Strategic plan goals and objectives

#### 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.

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.

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

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

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

#### **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.

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

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.

*Access for the present and the future\*\**

*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.

**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.

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

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

**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.

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

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.

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

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

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.

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

Develop 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.

**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.

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).

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

***Results-driven communication***<sup>††</sup>

*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-DISK™ technology.

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

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.

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

**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:*

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.

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

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

**Improve intellectual control of holdings**

*Action Items:*

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<sup>††</sup> Ties to DAS goal "Improve customer relations and communications."

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

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

Reconcile database systems (Versatile and APPX) and correct data entries to ensure integrity of data.

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.

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

## *Enriching our knowledge<sup>##</sup>*

### *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.

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

#### **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.

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

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

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.

Decrease the percentage of obsolete records 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.

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<sup>##</sup> Ties to DAS goal "Develop a quality, high performing workforce."

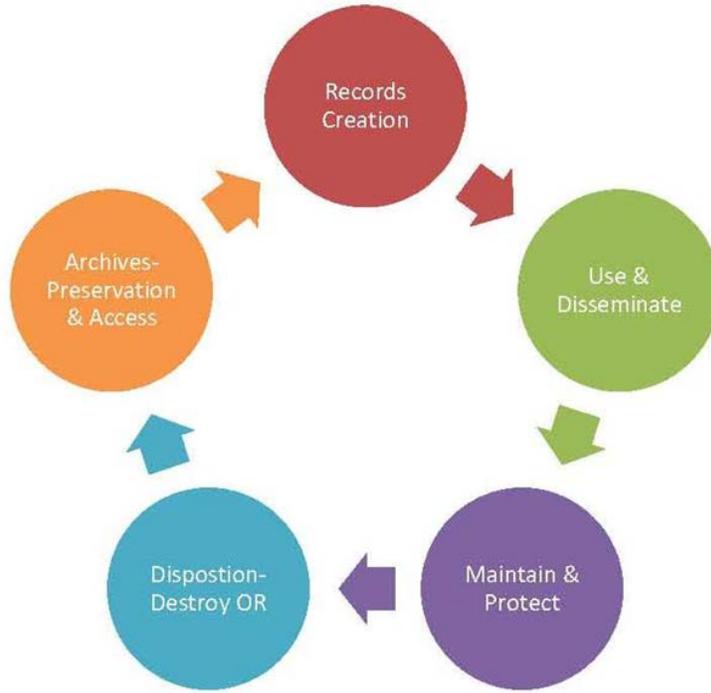
Provide basic records management and access training modules that are targeted to the public and to chief administrative officers.

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 with new professional trends and developments.

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.

## Appendix 2: The Lifecycle of Records



	Creation	Use & Disseminate	Maintain & Protect	Disposition or Destroy	Preservation & Access
<b>ARCHIVES MISSION</b>	Manages records				
			Preserves records		
	Provides access				

**Services: the Objectives of the Process**

The State Archives asserts stewardship of government records from their creation to disposition.

<b>Manages records:</b>	<b>Preserves records:</b>	<b>Provides access:</b>
	Identify records	
	Inventory records	
	Appraise records	
Create and maintain retention schedules		Maintain record series descriptions and classifications
	Acquire historical records	
	Accession historical records	
	Reformat records	
		Classify records
Store records	Maintain repository of historical records	
Dispose records (including destruction of obsolete records)	Transfer historical/permanent records (custodianship)	
Retrieve records in storage		Provide reference services
		Provide access—virtual and in-person
	Process records	Arrange and describe records
		Develop reference tools and guides (catalog, finding aids, etc.)
		Provide certified copies
	Provide grants	
	Provide forms, guidelines, and standards	
Identify agency records keeper contacts		Publish agency records keeper’s contact information
		Assist with GRAMA requests and provide mediation in disputes
Outreach		
Provide forum for networking with records keepers (blog, distribution of information, etc.)	Provide forum for networking for records keepers of historical records (cultural resource institutions)	Provide information of historical records issues
Assist in administering GRAMA		
	Assist in administering PRMA	

<b>Manages records:</b>	<b>Preserves records:</b>	<b>Provides access:</b>
Train records keepers and custodians		
Certify records officers		Publish records officers certifications
		Administer GRAMA request portal
		Support State Records Committee
	Administer Utah Public Notice Website	
Maintain and administer record series descriptions and retentions and manage records through Open.Gov	Identify, accession, and preserve historical records through Open.Gov	Administer Open.Gov for public access to public records