

# Strategic plan goals and objectives: Accomplishments FY2016

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Fall 2016

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 its progress, and publish its growth for transparency for the public.

## 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>1</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

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

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<sup>1</sup> Ties to DAS goals "Improve the efficiency and effectiveness of DAS Operations" and "Institutionalize cyber-security and emergency preparedness."

### *Results-driven communication<sup>2</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>3</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>2</sup> Ties to DAS goal "Improve customer relations and communications."

<sup>3</sup> Ties to DAS goal "Develop a quality, high performing workforce."

## Accomplishments 2016

### *Employee professional accomplishments/service*

Patricia Smith-Mansfield, Director and Utah State Archivist, is now serving as Vice President/President-elect of The Council of State Archivists.

Patricia Smith-Mansfield, Heidi Stringham, and Ken Williams currently serve on department Enterprise Risk Management committees.

Gina Strack serves on the Mountain West Digital Library Digitization Committee.

Jim Kichas currently serves on the CoSA/SERI Advocacy Subcommittee, as former Treasurer and current President-elect for CIMA, and as the Archives' representative on the Utah Manuscripts Association (UMA).

Susan Mumford is the meeting/social director for the Utah chapter of ARMA International.

James Kichas, Renée Wilson, Gina Strack, Rod Swaner, and Lorianne Ouderkirk are certified as Digital Archives Specialists (DAS) with the Society of American Archivists.

Gina Strack and James Kichas serve on UMA's EAD3 Committee to upgrade the State of Utah's *Best Practices Guidelines* (standards) for Encoded Archival Description3 (EAD).

Kendra Yates successfully completed the Certified Public Managers course.

### *Division accomplishments*

The Archives maintains and provides agency access to 133,600 cubic feet of records stored in the State Records Center (including over 800 cubic feet of court records accessioned this fiscal year). It also preserves and provides public access to 43,000 cubic feet of records, 125,000 rolls of microfilm, and 3,000 sheets of microfiche in its custody.

The Archives' Open Records Portal, which received the 2015 Governor's Award for Excellence in the category of innovation and efficiency, opened for municipalities, schools, counties, and public transit districts on January 1, 2016. This included 245 municipalities, 29 counties, 150 schools and school districts, and three transit districts, totaling 427 local governments. Special districts are now being integrated into the portal for launch by January 1, 2017. 502 open records requests have been made through the portal this fiscal year.

The Archives provides certification for records officers. Prior to January 1, 2016, this was certification exclusively on GRAMA. As of January 1, 2016, records officers may also certify in records management. Certification expires annually. At the current date, 702 records officers are certified.

The Archives maintains data for and provides notice assistance to over 3,500 public bodies from 1,100 governmental entities. From its inception in 2008, the Utah Public Notice Website has had over 188,000 notices posted online.

The Archives provided training and consultations to over 11,000 government employees, cultural resource institutions, and members of the public on such records issues as government records access and management, records preservation, and public notices. In addition to Archives-sponsored training events, this training includes regional training and by-invitation training at such conferences as the Utah League of Cities and Towns, the Utah Association of Special Districts, the Utah Bar Association, and Brigham Young University's State and Local Government Conference.

During fiscal year 2016, the State Records Committee executive secretary processed 125 appeals, and provided support for 37 hearings, of which five were continued.

During fiscal year 2016, the Government Records Ombudsman provided 1,765 consultations, including mail, email, telephone, or in-person assistance about issues relating to records access or mediation. Of these 688 involved requesters (the public, the media, and other entities) and 1,077 involved responders who are employees of Utah governmental entities. The total number exceeds any previous year. Of 37 facilitated mediations between parties, 21 were resolved and 14 progressed to the State Records Committee.

The State Records Committee approved 49 retention schedules.

The Archives automated storage and retrieval system (ASRS) was upgraded, with a new ASRS server installed and upgrade to (HK) system software completed.

The (2016) Legislature allocated \$4.2 million for the Archives repository expansion for fiscal year 2016-2017. An architect was selected in July.

The Archives preserves over 46,600 cubic feet of historical records from local and state governmental entities. This fiscal year, 344 cubic feet of historical records were processed, including such series as: Ogden School District records; Ogden Police Department Arrest and jail record books (1902-1941); Salt Lake City Council John R. Winder newspaper clippings and business correspondence (1873-1877); Department of Health, Office of Vital Statistics Delayed birth certificates (1905-ongoing); Department of Transportation, Division of Right-of-Way Railroad maps (1900-1960); Summit County Clerk Militia roll books (1904-1921); Salt Lake County Clerk Register of officials (1883-1900); and State Historical Society Military records section correspondence (1949-1965).

Additions to the online Digital Archives this fiscal year include: Salt Lake City Assessor Tax assessment rolls (added 32 more volumes), Territorial militia card index, Office of Vital Records and Statistics Birth certificates (online browse (1914-1915) and added to online index (1909)), Office of Vital Records and Statistics Death certificates (added to online index (1964-1965)), Salt Lake City Firemen photographs (1885-1901), historic photographs of Bingham Canyon and Copperton, and Joe Hill Project (1914-1916). This added over 134,000 images to the Digital Archives which is now comprised of more than 1.2 million images.

The Research Center staff provided a high level of service to patrons, assisting over 1,500 patron visits and over 5,000 requests by phone or email. The staff set a new benchmark by responding to requests within eight working days over 99 percent of the time. This has been accomplished in part because reference staff members have been willing to train and supervise volunteers to assist with requests.

Reference staff responded to nine requests for restricted records. In all cases the staff was able to provide access to the information needed by the requestors within the parameters established in GRAMA.

The quarantine, storage, and backup environments for the Electronic Archives have been installed by DTS. These systems serve as key components in the Archives electronic records digital preservation infrastructure. Acquisition and Ingest policies and procedures for electronic records have been drafted and submitted for final review and approval.

The Utah State Historical Records Advisory Board awarded re-grants totaling \$19,137, supported by a grant from the National Historical Publications and Records Commission (NHPRC).

The Archives hosted and supported meetings for cultural resource organizations statewide to develop the Emergency Management for Cultural Resources team and wrote the Cultural Property Appendix for ESF 11, which the team adopted.

The Archives volunteer program, *Friends of the Archives*, maintained formal accreditation for internships with the Salt Lake Community College History Department, BYU History Department, Emporia State University MLS program, and San Jose State MLIS program. Volunteers contributed 4,500 hours to providing preservation of and access to the state's historical records.

The Archives reformatted over 2.2 million images. This includes reformatting hard copy documents to microfilm, microfilm to digital images, and digital images to M-DISK™ (preservation medium). The Archives created over 500 digital master discs of historic electronic records. The Archives completed digitizing 155 rolls of microfilm of the Department of Health, Vital Records sealed adoption birth certificate records, creating 669,709 TIFF group 4 images for the agency.

The years-long project to inventory and clean-up system information for backlog microfilm was completed this fiscal year. The project was conceived in late 2004 with the purpose of adding bar codes to microfilm copies used for research. In order to apply bar code labels, outstanding issues related to retention and custody had to be resolved and approximately 2,000 reels identified. All reference microfilm rolls (about 36,000) are identified and have a bar code for tracking their location.

The preservation vault at the State Records Center (Clearfield) for security preservation of records was completed and approved for use by DFCM. The Archives barcoded and relocated 25,000 preservation microfilm rolls to its new preservation vault in the State Records Center and will relocate another 35,000 preservation microfilms this fiscal year and an additional 7,000 rolls in September 2016. This provides for a redundant preservation copy of historic records in the event of a disaster.

### *Grants*

The Archives received a National Historical Publications and Records Commission Grant, \$30,500, for support of the Utah State Historical Records Advisory Board and to award re-grants and provide training to local repositories.

Between 2014 and 2016, the Archives received \$2,577 in grant funding from the State Electronic Records Initiative (SERI) for electronic records training. These funds have paid for DAS, AIIM, and Lyrisis

digital archives and the PREMIS metadata standard trainings, for access to the practitioner course in Electronic Records Management.

The Archives successfully applied for a \$500 quick grant from the Utah Humanities Council to offset costs associated with 2015 Archives Month planning and promotion.

### *Outreach*

The Archives sponsored and hosted events for Archives Month in October 2015, including: a WESTPAS disaster preparedness workshop, a lecture by Carol Edison on Sanpete County tombstones, a SAA DAS Course on *Privacy and Confidentiality Issues in Digital Archives*, a lecture by Jim Kichas on Colorado River records, a lecture by Sarah Fox on her book *Downwind: A People's History of the Nuclear West*, and a lecture by Brian Cannon on his book *The Awkward State of Utah*.

The *Digital Preservation Framework* was approved and promoted for use as part of Electronic Records Day, a national observance in archives, on October 10, 2015. A blog was also posted on maintaining governmental social media and other communication records.

The Archives hosted an electronic records management conference, *From Ideas to Action*, during October's Archives Month. There were 189 attendees and the Archives also streamed the conference live to remote locations in Cedar City, Vernal, Richfield, and St. George.

The Archives hosted an all-day seminar, *A Day with GRAMA*, which was attended by 323 participants.

The Archives sponsored a table at the Ogden Family History Conference at Weber State University in September 2015. The Archives participated as an exhibitor at the annual RootsTech Conference held in Salt Lake in February 2016.

The Archives provided ongoing support to the Utah chapter of ARMA International and hosted a group project that saw ARMA chapter members donate approximately 48 hours to processing school records in Archives' custody.

The Archives was awarded ARMA International Utah Salt Lake City Chapter's *Partner of the Year*, 2016.

**SUCCESS Measure and Accomplishment:**

The Archives updated and brought up to standard 1,141 retention schedules as part of its SUCCESS metric (see formula and statistics below). This included eliminating obsolete retention schedules, updating descriptive data, and ensuring all required data fields have correct information.

$$Q_2 \text{ (Number of retention schedules that are up to standard)} * T_2 \text{ (Number of retention schedules)}$$

OE<sub>2</sub> (Sectional Administrative Costs)

Goal: Produce timely, thorough, and accurate schedules

Throughput = finalized schedules

Quality = thorough, accurate, adherence to standards

FY 2014		July	Aug	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	Total
	Baseline													
<b>Q = SUCCESSFUL SCHEDULES</b>	336	343	228	43	54	47	45	38	86	54	120	83	0	1141
<b>T = TOTAL SCHEDULES</b>	532	350	232	43	54	47	45	38	88	56	120	83	0	1156
<b>OE = OPERATING EXPENSE</b>	\$ 163,193	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 15,287	\$ 183,444
<b>Quality Favorable</b>	63.2%	98.0%	98.3%	100.0%	100.0%	100.0%	100.0%	100.0%	97.7%	96.4%	100.0%	100.0%		98.7%
<b>Quality (Unfav.)</b>	36.8%	2.0%	1.7%	0.0%	0.0%	0.0%	0.0%	0.0%	2.3%	3.6%	0.0%	0.0%		1.3%
<b>Total Percent</b>	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%		100%
	Baseline												% Change	5 Yr. Target
<b>25% 5 YEAR SUCCESS GOAL:</b>	63.6%												25.2%	79.6%

*USHRAB Report FY 2016*

The Utah State Historical Records Advisory Board (USHRAB) has been active in fulfilling its mission, values, and the following performance objectives.

<b>2015 Grant Recipients</b>		
Organization	Amount Awarded	Project Description/Public Component
Southern Utah University	\$750	Purchase supplies for Utah Shakespeare Festival Prompt Books and Dramaturg Binders; catalog (MARC) record and an item-level digital finding aid.
Weber State University	\$1500	Create custom boxes for Weber County DUP scrapbooks and Ogden State Bank ledgers; an online register made available.
Utah State University Libraries	\$2772	Digitization of the Brigham Young College Collection and available online through CONTENTdm, harvested by the Mountain West Digital Library.
Northwestern Band of Shoshone Nations	\$3000	Organize and rehouse tribal records from 1995-2015. A finding aid prepared and information entered into the tribal library catalog system.
Springville Historical Society	\$3000	Digitization of the Springville Herald Newspaper Collection, 1964-1973, made available online through the Utah Digital Newspapers Project.
The Episcopal Diocese of Utah	\$2500*	Organize and index historical documents and ledgers and purchase a storage cabinet for these records. Index available through the diocese website.
Box Elder Museum Foundation	\$2615	Clean and rehouse documents relating to the Civic Improvement Club of Brigham City which began in 1906. Finding aid available online.
Mapleton Historical Museum	\$3000	Digitize and properly house 200 photographs from the Mapleton City collection, available through the Mountain West Digital Library.
<b>Total Awarded</b>	<b>\$19,137</b>	

RECORD SERIES PROCESSED WITH FINDING AIDS		
Series Number	Entity Name and Series Title	Total Cubic Feet
28736	Cedar Hills (Utah) Articles of Incorporation files	0.33
12072	Fillmore (Utah) Council minutes	4
12073	Fillmore (Utah) Ordinances	0.33
83341	Millard County (Utah). Justice of the Peace: Fillmore Precinct Docket books	1.7
28688	Holden (Utah) Board minutes	1
28716	Leamington (Utah) Council minutes	0.66
28644	Levan (Utah) Accounting ledger books	1
9669	Levan (Utah) Council minutes	1
28650	Levan (Utah) Utilities payment record books	0.33
28704	Lynndyl (Utah) Council minutes	1
28714	Lynndyl (Utah) Newsletters	0.33
13300	Ogden (Utah) Police Department Arrest and jail record books	6
81444	Vital Statistics Section Native American birth certificates	0.7
28386	Garfield County (Utah) Spry Cemetery records	0.2
28732	Holden (Utah) Financial ledgers	0.33
10256	Kanab (Utah) Justice court records	0.33
28704	Lynndyl (Utah) Council minutes	1
28440	Millard County (Utah) County record books	0.33
28749	Riverside District Registrar (Utah) Birth registers	0.2
28750	Riverside District Registrar (Utah) Death registers	0.2
28665	Salt Lake City (Utah). City Council John R. Winder newspaper clippings and business correspondence	0.2
26068	District Court (Second District: Davis County) Civil and Criminal case indexes	1.33
81445	Department of Health. Office of Vital Records and Statistics Delayed Certificates of Birth	17.35
28717	Holden (Utah) Ordinances	0.33
28637	Levan (Utah) Ordinances	0.35
28639	Levan (Utah) Public Utility Bond and Loan Records	0.2
28753	Lynndyl (Utah) Resolutions	0.33
28224	Department of Transportation. Division of Right of Way Railroad maps	13
28791	Department of Workforce Services. Workforce Research and Analysis Division Local Insights	0.35
28797	Ogden School District (Utah) Employee timesheets	11.35
25010	Salt Lake City (Utah). Mayor. Division of Personnel Employee Newsletters	0.2
28774	Fairfield (Utah) Town Council meeting minutes	1
11860	Farmington (Utah) Council minutes	1
28795	Murray City School District (Utah) Utah materials files	0.7
28817	Ogden (Utah) Court Fee books	0.33
28819	Ogden School District (Utah) Principals meeting minutes	1
28831	Ogden School District (Utah) Secretaries' Cookbook	0.2
28811	Summit County (Utah). County Clerk Militia roll books	0.33
27864	District Court (Eighth District: Uintah County) Civil registers of action	3.5
3529	District Court (Third District: Tooele County) Juror and witness fee books	0.5
28633	Levan (Utah) Waterworks maps	0.5
28852	Ogden School District (Utah) Accreditation reports	2
28848	Ogden School District (Utah) Annual financial reports	2.05
28839	Ogden School District (Utah) Ben Lomon High School yearbooks	0.2
28843	Ogden School District (Utah) Nine weeks' reports	8.7
28846	Ogden School District (Utah) Rental contracts	4.35
14031	Ogden School District (Utah) School Board minutes	4
28815	Ogden School District (Utah) School Board minutes supplementary materials	25.55
28850	Salt Lake County (Utah). County Clerk Register of officials	0.33
17529	State Historical Society Military records section correspondence	4.3

Series Number	Entity Name and Series Title	Total Cubic Feet
28838	Stockton (Utah) Treasurer's cash balance book	0.33
28841	Bingham Canyon (Utah) Photographs	0.7
25943	District Court (Fourth District: Utah County) Criminal registers of action	1.5
28870	Levan (Utah) Utilities receipt books	0.35
28853	Ogden School District (Utah) Annual statistical reports	1.55
14031	Ogden School District (Utah) Board of Education minutes	4
28847	Ogden School District (Utah) Scrapbooks	2.2
28787	Weber County (Utah). County Clerk Militia lists	0.6
13190	Department of Administrative Services. Division of Administrative Rules William S. Callaghan Remembered	0.2
84865	Eureka (Utah) Ordinances and resolutions	0.35
28871	Levan (Utah) Warrant stubs and bank books	1
5285	Weber County (Utah). County Commission School system records	0.35
28876	Weber County (Utah). Clerk of the County Court County Courthouse construction records	0.2

**Total Cubic Feet Processed: 139.83**

# 2016

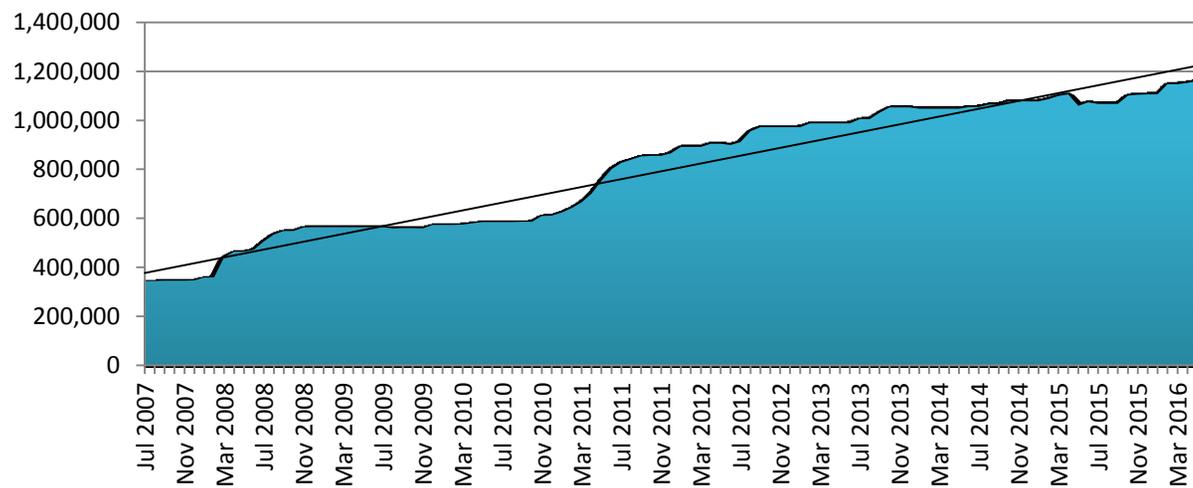
## *Ten Years of Digital Archives*

The very first items were uploaded to [images.archives.utah.gov](http://images.archives.utah.gov) in June 2006 (and then restored in November after a technical failure).

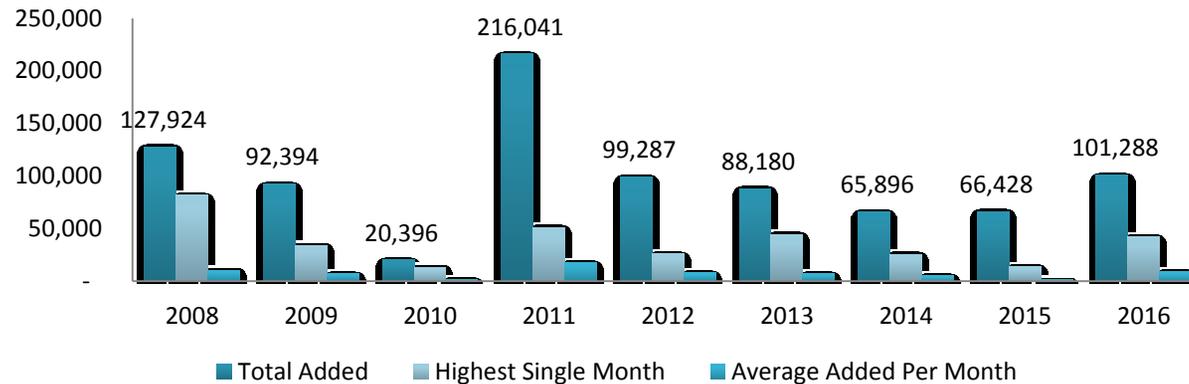
The very first death certificates were released to the public in December 2006.

In the subsequent decade, there has been steady growth through various system and organization changes.

### Items Online



The average number of items added in a month has been surprisingly steady (7,779) since 2008, with the lowest numbers happening as the effects of recession were felt (2010) and then again during the migration of the CONTENTdm software to new hosting (2014-2015), preceded by nearly a year of no updates.



### *New Additions in FY 2016*

- More from the Salt Lake City Tax Assessment Books, covering 1879-1892
- Territorial Militia Card Index
- Death Certificates, 1964 and 1965
- Birth Certificates, 1909, 1914 and 1915 (browse)
- Salt Lake City Firemen Photographs
- Joe Hill Digital Archive

## Most Viewed

### Collections

	Pages Viewed
Board of Pardons Prisoner Pardon Application Case Files	7,581
Third District Court Salt Lake County Civil Case Indexes	7,472
Office of Vital Records and Statistics Birth Certificates	6,000
Division of Animal Industry Brand Books	4,640
Division of State Archives Series Inventories	3,750
Legislature. House of Representatives Working Bills	3,069
Commissioner of Indian War Records Indian War Service Affidavits	2969
Legislature. Senate Working bills	1,978
Semi-Centennial Commission Book of the Pioneers	1,291
Ogden (Utah) City Recorder Mayors Photographs	942

### Items

	Pages Viewed
Elmer L. Gray :: Board of Pardons Prisoner Pardon Application Case Files <sup>1</sup>	1,147
Dec 1849-Dec 1874 and Dec 1874-Dec 1884 :: Division of Animal Industry Brand Books	914
Volume 1 :: Semi-Centennial Commission Book of the Pioneers	670
Federal enabling act :: Utah Statehood Constitutional Convention (1895) Records	541
ca. Dec 1897-Jun 1901, index :: Division of Animal Industry Brand Books	474
ca. Jul 1911-Oct 1912, index :: Division of Animal Industry Brand Books	449
1896-1921; A-Z, Plaintiff :: Third District Court Salt Lake County Civil Case Indexes	408
Volume 2 :: Semi-Centennial Commission Book of the Pioneers	349
Jan 1885-Dec 1888 :: Division of Animal Industry Brand Books	340
1917-1929; A-Z :: Third District Court Salt Lake County Civil Case Indexes	306

<sup>1</sup> The popularity of this record for Elmer L. Gray is from several articles online concerning his likely wife, whose headstone has a rather peculiar engraving. For one viewpoint, see <http://www.ufodigest.com/news/0509/666.php>.

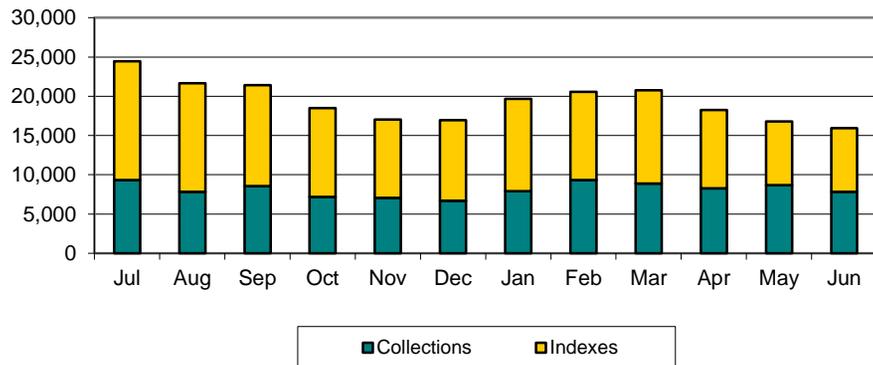
Utah State Digital Archives  
Usage Statistics

FY 2016	Pageviews	Search	Index Downloads	Index Search	Total Views	Item Count	New	Index Images	Total	
2015 Jul	9,335	1,315	15,102	15,003	24,437	648,060	-6,797	418,661	12	1,066,721
2015 Aug	7,837	1,025	13,820	14,139	21,657	648,060	62	418,723	62	1,066,783
2015 Sep	8,566	1,038	12,857	11,174	21,423	648,069	10	418,724	1	1,066,793
2015 Oct	7,190	841	11,299	10,555	18,489	682,042	33,973	418,724	0	1,100,766
2015 Nov	7,046	921	10,002	10,818	17,048	686,186	4,145	418,725	1	1,104,911
2015 Dec	6,670	822	10,301	8,867	16,971	686,577	391	418,725	0	1,105,302
2016 Jan	7,903	904	11,766	12,023	19,669	686,579	2	418,725	0	1,105,304
2016 Feb	9,315	1,072	11,239	11,228	20,554	721,701	42,047	425,650	6,925	1,147,351
2016 Mar	8,875	1,011	11,877	13,107	20,752	721,708	7	425,650	0	1,147,358
2016 Apr	8,280	1,043	9,952	8,565	18,232	727,134	5,426	425,650	0	1,152,784
2016 May	8,688	1,019	8,119	9,778	16,807	735,075	8,111	425,820	170	1,160,895
2016 Jun	7,844	979	8,085	9,040	15,929	742,140	7,114	425,869	49	1,168,009

FY 2016 Notes  
Duplicate death certificates removed in July.

**Total Viewed** 231,968  
**Total Added** 101,288  
**Average New** 9,208  
**Average Pageviews** 19,331

Items Viewed FY 2016



Items Online

