

2004 COSHRC Survey of State Archives and Records Programs

OVERVIEW

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Access the online survey at
<http://coshrc.comcode.com>

Find your agency's password
on the BLUE sheet enclosed with this mailing,
or contact COSHRC staff to retrieve it.

Questions? Comments? Concerns?

Contact COSHRC staff

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2004 COSHRC Survey of State Archives and Records Programs

State or territory reporting: _____

Name of individual completing form: _____

Telephone: _____ Email: _____

Name of administrative unit reporting: _____

SECTION 1: INSTITUTIONAL DATA

1.1 Is the reporting agency (check one)

An independent agency (skip to 1.3)

Part of larger agency

1.2 If part of larger agency, give full name of parent agency and intervening levels of administration (e.g., Secretary of State, Bureau of History, Archives Division; Department of General Services, Office of Information Services, Records Management Division)

1.3 This report covers the following core function(s) (check one):

Archives only

Records management only

Both archives and records management

1.4 The data provided in this report focuses on FY2004 which ended on the following date in your state:

_____ (mm/dd/yyyy)

**SECTION 2:
FINANCES**

2.1 Please provide the totals for your program during FY2004.

- a. FY2004 budget \$ _____
- b. FY2004 actual expenditures \$ _____

2.2 **Sources of funds.** Please indicate the sources of funds used for developing your program's budget. Provide the total dollar amount of received from each source.

- a. Appropriations \$ _____
- b. Fees \$ _____
- c. Revolving funds \$ _____
- d. Trust funds \$ _____
- e. Grants \$ _____
- f. Endowments. \$ _____
- g. Membership dues \$ _____
- h. Other (specify in 2.3) \$ _____

2.3 If your program had "Other" sources of funds (2.2h), please describe them:

2.4 In Question 2.1, above, you specified your total expenditures in FY2004. Please indicate how these expenditures were allocated among the following three categories:

- a. Personnel _____ %
- b. Operations _____ %
- c. Capital _____ %

2.5 The total budget/expenditures indicated in 2.1, above, cover the following functions (check all that apply):

- a. Records management
- b. Archives
- c. Local government records
- d. Grants
- e. Building construction or renovation

- f. Major equipment/real estate purchases
- g. Other one-time or nonrecurring expenses (please specify in 2.6)
- h. Other (please specify in 2.7)

2.6 If your program had "Other one-time or nonrecurring" expenses (2.5g), please describe them:

2.7 If your program had "Other" expenses (2.5h), please describe them:

2.8 Did your program have to absorb cuts during FY2004 from the amount originally appropriated or budgeted? If so, explain:

2.9. Please provide the reporting program's total expenditures in FY1999, comparable to the figure you reported in 2.1, above, for FY2004. *Note: This is an attempt to collect financial data for the midpoint between COSHRC's FY1994 survey and today.*

FY1999 expenditures \$ _____

2.10 Which of the following functions were covered by the total FY1999 expenditures indicated in 2.9? (check all that apply)

- a. Records management
- b. Archives
- c. Local government records
- d. Grants
- e. Building construction or renovation
- f. Major equipment/real estate purchases
- g. Other one-time or nonrecurring expenses (please specify in 2.11)
- h. Other (please specify in 2.12)

2.11 If your program had "Other one-time or nonrecurring" expenses in FY1999 (2.10g), please describe them:

2.12 If your program had "Other" expenses in FY1999 (2.10h), please describe them:

2.13 If your program has shifted programs or services to private contractors that used to be performed by state employees, please identify the programs/services and briefly explain the impact on your budget.

**SECTION 3:
STAFFING**

3.1 Please give number of FTEs for paid staff in the following categories.

Records management	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs
<hr/>			
Archives	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs
<hr/>			
Other	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs

3.2 Of your total paid staff FTEs, approximately how many are allocated to the following functional areas?

Local government records	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs

Electronic records	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs

Preservation	Administration/management	_____	FTEs
	Professional	_____	FTEs
	Technical	_____	FTEs
	Support/clerical	_____	FTEs

3.3 Has your staffing level changed significantly during the last 5 years? (check one)

Yes (please explain in 3.4)

No (skip to 3.5)

3.4 If you answered “yes” to 3.3, please explain how your staffing level has changed during the last 5 years, providing number of staff added/eliminated, functional areas affected, and reasons for increase/decrease.

Entry-level professional job categories. Please provide the formal job titles, salary ranges, and minimum pre-employment criteria for the following categories:

3.5 Entry-level professional archivist

a. Title _____

b. Salary range _____

c. Minimum requirements for an entry-level professional archivist (check all that apply)

Bachelor’s degree

- Master's degree
- Master of library and/or information science
- Certified Archivist (CA)
- Experience
- Other (please specify in 3.6)

3.6 If you checked "Other" in 3.5, please indicate the nature of these "Other" requirements:

3.7 Entry-level professional records manager

a. Title _____

b. Salary range _____

c. Minimum requirements for an entry-level professional records manager (check all that apply)

- Bachelor's degree
- Master's degree
- Master of library and/or information science
- Certified Records Manager (CRM)
- Experience
- Other (please specify in 3.8)

3.8 If you checked "Other" in 3.7, please indicate the nature of these "Other" requirements:

3.9 Title and salary of the **director of the reporting program.**
(e.g., state archivist and/or state records manager)

a. Title of director of reporting program

b. Salary of director of reporting program
\$ _____

**SECTION 4:
RECORDS-RELATED AUTHORITY AND SERVICES**

4.1 Total volume of records **scheduled** during the reporting period

- a. _____ lin/cu ft
- b. _____ series
- c. _____ agencies

In Questions 4.2-4.12, we are interested in determining the **extent of STATE authority** and the **services provided by STATE agencies** for specific types of records creators and repositories. Please indicate whether any state agency (your program or another) has authority for or provides services to each of the following types of agencies or organizations. If the services were not actually provided in FY2004 but would have been had they been requested, then circle the appropriate “provides service” response.

For executive branch agencies (circle one answer for each question)

4.2 Authority for records in the executive branch	Reporting program has authority	Another state agency has authority	No program exists	Don't know
a. Establish retention and disposition standards/guidelines and/or approve retention and disposition schedules	1	2	3	4
b. Establish other recordkeeping standards and/or enforce other recordkeeping practices or regulations	1	2	3	4

4.3 Services provided for the executive branch	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a. Serves as principal repository for archival records from executive branch	1	2	3	4
b. Consultation and training on records practices and procedures	1	2	3	4
c. Onsite labor (e.g., inventorying, processing)	1	2	3	4
d. Micrographics/digital imaging services	1	2	3	4
e. Conservation/preservation services	1	2	3	4
f. Storage of security microfilm	1	2	3	4

For legislative branch agencies (circle one answer for each question)

4.4	Authority for records in the legislative branch	Reporting program has authority	Another state agency has authority	No program exists	Don't know
a.	Establish retention and disposition standards/guidelines and/or approve retention and disposition schedules	1	2	3	4
b.	Establish other recordkeeping standards and/or enforce other recordkeeping practices or regulations	1	2	3	4
4.5	Services provided for the legislative branch	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a.	Serves as principal repository for archival records from legislative branch	1	2	3	4
b.	Consultation and training on records practices and procedures	1	2	3	4
c.	Onsite labor (e.g., inventorying, processing)	1	2	3	4
d.	Micrographics/digital imaging services	1	2	3	4
e.	Conservation/preservation services	1	2	3	4
f.	Storage of security microfilm	1	2	3	4

For judicial branch agencies (circle one answer for each question)

4.6	Authority for records in the judicial branch	Reporting program has authority	Another state agency has authority	No program exists	Don't know
a.	Establish retention and disposition standards/guidelines and/or approve retention and disposition schedules	1	2	3	4
b.	Establish other recordkeeping standards and/or enforce other recordkeeping practices or regulations	1	2	3	4

4.7 Services provided for the judicial branch	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a. Serves as principal repository for archival records from judicial branch	1	2	3	4
b. Consultation and training on records practices and procedures	1	2	3	4
c. Onsite labor (e.g., inventorying, processing)	1	2	3	4
d. Micrographics/digital imaging services	1	2	3	4
e. Conservation/preservation services	1	2	3	4
f. Storage of security microfilm	1	2	3	4

For state colleges/universities (circle one answer for each question)

4.8 Authority for records in state colleges or universities	Reporting program has authority	Another state agency has authority	No program exists	Don't know
a. Establish retention and disposition standards/guidelines and/or approve retention and disposition schedules	1	2	3	4
b. Establish other recordkeeping standards and/or enforce other recordkeeping practices or regulations	1	2	3	4

4.9 Services provided for state colleges or universities	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a. Serves as principal repository for archival records from state colleges and universities	1	2	3	4
b. Consultation and training on records practices and procedures	1	2	3	4
c. Onsite labor (e.g., inventorying, processing)	1	2	3	4
d. Micrographics/digital imaging services	1	2	3	4

e. Conservation/preservation services	1	2	3	4
f. Storage of security microfilm	1	2	3	4

For local governments (circle one answer for each question)

4.10 Authority for records in local governments	Reporting program has authority	Another state agency has authority	No program exists	Don't know
a. Establish retention and disposition standards/guidelines and/or approve retention and disposition schedules	1	2	3	4
b. Establish other recordkeeping standards and/or enforce other recordkeeping practices or regulations	1	2	3	4

4.11 Services provided for local governments	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a. Serves as repository for archival records from local governments	1	2	3	4
b. Consultation and training on records practices and procedures	1	2	3	4
c. Onsite labor (e.g., inventorying, processing)	1	2	3	4
d. Micrographics/digital imaging services	1	2	3	4
e. Conservation/preservation services	1	2	3	4
f. Storage of security microfilm	1	2	3	4

For nongovernment repositories (circle one answer for each question)

4.12 Services provided for nongovernment repositories	Reporting program provides service	Another state agency provides service	State does not provide such services	Don't know
a. Consultation and training on records practices and procedures	1	2	3	4
b. Onsite labor (e.g., inventorying, processing)	1	2	3	4

c. Micrographics/digital imaging services	1	2	3	4
d. Conservation/preservation services	1	2	3	4
e. Storage of security microfilm	1	2	3	4

**SECTION 5:
ARCHIVES HOLDINGS**

- 5.1 Please provide the **total volume of all records held by the state archives** at the end of the reporting period. _____ lin/cu ft
 Include all records from state government, local governments, and non-governmental sources held by the state archives.
 In Questions 5.2-5.7, you will be asked to give a breakdown, by media type, for each of these categories.
- 5.2 Of the total volume of all records held by the state archives reported in 5.1, how many **state government records** comprise each media type?
- a. Paper records (unpublished, handwritten or typescript materials including loose correspondence, letter books, ledgers, etc.) _____ lin/cu ft
 - b. Oversize paper (e.g., maps, blueprints) _____ lin/cu ft
 - c. Still pictures (including photographic prints, slides, negatives, digital media) _____ lin/cu ft
 - d. Moving images (including film, magnetic tapes/discs, digital) _____ lin/cu ft
 - e. Recorded sound (including grooved media, magnetic, optical, digital) _____ lin/cu ft
 - f. Electronic records (including floppy disks, CD-R/DVD-R, data tape cassettes/reels, online files) _____ lin/cu ft
- 5.3 Microfilm/fiche – state government (do not report security copies being held for another agency here; enter them in 6.4 d instead)
- a. Record copies (original records exist only on microfilm/fiche) _____ lin/cu ft
 - b. Preservation copies _____ lin/cu ft
 - c. User copies _____ lin/cu ft
 - d. Purchased from other repositories or publishers e.g., federal census) _____ lin/cu ft

- 5.4 Of the total volume of all records held by the state archives reported in 5.1, how many **local government records** comprise each media type?
- a. Paper records (unpublished, handwritten or typescript materials including loose correspondence, letter books, ledgers, etc.) _____ lin/cu ft
 - b. Oversize paper (e.g., maps, blueprints) _____ lin/cu ft
 - c. Still pictures (including photographic prints, slides, negatives, digital media _____ lin/cu ft
 - d. Moving images (including film, magnetic tapes/discs, digital) _____ lin/cu ft
 - e. Recorded sound (including grooved media, magnetic, optical, digital) _____ lin/cu ft
 - f. Electronic records (including floppy disks, CD-R/DVD-R, data tape cassettes/reels, online files) _____ lin/cu ft
- 5.5 Microfilm/fiche – local government (do not report security copies being held for another agency here; enter them in 6.4d instead)
- a. Record copies (original records exist only on microfilm/fiche) _____ lin/cu ft
 - b. Preservation copies _____ lin/cu ft
 - c. User copies _____ lin/cu ft
 - d. Purchased from other repositories or publishers e.g., federal census) _____ lin/cu ft
- 5.6 Of the total volume of all records held by the state archives reported in 5.1, how many **non-government records** comprise each media type?
- a. Paper records (unpublished, handwritten or typescript materials including loose correspondence, letter books, ledgers, etc.) _____ lin/cu ft
 - b. Oversize paper (e.g., maps, blueprints) _____ lin/cu ft
 - c. Still pictures (including photographic prints, slides, negatives, digital media _____ lin/cu ft
 - d. Moving images (including film, magnetic tapes/discs, digital) _____ lin/cu ft
 - e. Recorded sound (including grooved media, magnetic, optical, digital) _____ lin/cu ft
 - f. Electronic records (including floppy disks, CD-R/DVD-R, data tape cassettes/reels, online files) _____ lin/cu ft
- 5.7 Microfilm/fiche – non-government (do not report security copies being held for another agency here; enter them in 6.4d instead)
- a. Record copies (original records exist only on microfilm/fiche) _____ lin/cu ft
 - b. Preservation copies _____ lin/cu ft

- c. User copies _____ lin/cu ft
- d. Purchased from other repositories or publishers e.g., federal census) _____ lin/cu ft

5.8 Total volume of all records **accessioned by state archives during FY2004.**

- a. State government records _____ lin/cu ft
- b. Local government records _____ lin/cu ft
- c. Non-government records _____ lin/cu ft

5.9 Please indicate the extent to which the following functions of state government are represented in state archives holdings (circle one value for each function).

Note: We realize that this is a very subjective question, but a number of states have spent more than a decade addressing "adequacy of documentation" issues, so we wanted to try to paint a nationwide picture of which state government functions are documented relatively well and which appear to be under-documented.

Function	<u>Extent of State Archives Holdings in This Functional Area</u>				
	Comprehensive	Substantial	Adequate	Minimal	None
a. Agriculture	4	3	2	1	0
b. Commerce/business regulation	4	3	2	1	0
c. Community development	4	3	2	1	0
d. Corrections	4	3	2	1	0
e. Education	4	3	2	1	0
f. Elections	4	3	2	1	0
g. Environment	4	3	2	1	0
h. Finance	4	3	2	1	0
i. Government administration	4	3	2	1	0
j. Government services	4	3	2	1	0
k. Health	4	3	2	1	0
l. Human rights	4	3	2	1	0
m. Labor	4	3	2	1	0
n. Land	4	3	2	1	0
o. Law	4	3	2	1	0
p. Military	4	3	2	1	0
q. Public safety	4	3	2	1	0
r. Public utilities	4	3	2	1	0

s. Public welfare	4	3	2	1	0
t. Recreation	4	3	2	1	0
u. Transportation	4	3	2	1	0

**SECTION 6:
RECORDS CENTER HOLDINGS AND SERVICES**

6.1 How does your state provide for the temporary storage of nonpermanent records? (check all that apply)

- a. State records center operated by the reporting agency
- b. State records center operated by another state agency (specify in 6.2)
- c. Temporary storage of nonpermanent records has been outsourced to a nongovernment entity
- d. Other provisions for temporary storage of nonpermanent records (describe in 6.3)
- e. Our state does not have any provisions for temporary storage of nonpermanent records

6.2 If another state agency operates a records center (6.1b), please name that agency:

6.3 If your state has other provisions for temporary storage of nonpermanent records (6.1d), please describe:

If you indicated in 6.1 that the reporting agency operates a state records center, please answer 6.4-6.6. Otherwise, skip to 7.1.

6.4 Total volume of all records **held** by state records center at end of the reporting period

- a. State government records _____ lin/cu ft
- b. Local government records _____ lin/cu ft
- c. Nongovernment records _____ lin/cu ft
- d. Security microfilm held for another agency or agencies _____ lin/cu ft

6.5 Please indicate the total volume of all records **added to or removed** from the state records center during the reporting period:

- a. Transferred to the records center for storage during FY2004 _____ lin/cu ft
- b. Destroyed from records center during FY2004 _____ lin/cu ft
- c. Transferred from records center to state archives for permanent retention in FY2004. _____ lin/cu ft

6.6 Please indicate the total number of retrievals (reference requests) handled in the state records center during the reporting period:

- a. Total paper and other hard copy retrievals (reference requests) _____ retrievals
- b. Total electronic records retrievals
(transfers and/or backup copies of computer tapes) _____ retrievals

SECTION 7:

DESCRIPTION AND ACCESS (access to information about archival holdings)

7.1 Please indicate the volume of state archives holdings arranged and described during FY2004 at the series level or lower:

_____ linear/cubic feet, which comprise _____ series

7.2 What percentage of total state archives holdings are currently described at the following levels: (Each series should be reported in only one category. Although records described at the "detailed" level can also be assumed to be described at the "basic" and "mid" levels, they should only be counted in "c" below.)

- a. Basic level: core descriptions only, e.g., title, dates, quantity _____ %
- b. Mid-level: in addition to basic-level elements (above), these include more complete information about the creating agency and contents of the records, e.g., scope notes, biographical/organizational history notes _____ %
- c. Detailed level: specialized, in-depth finding aids prepared to facilitate access to individual items, names, or topics, including name indexes, item lists, calendars _____ %
- d. Other, including undescribed holdings (please explain in 7.3) _____ %

7.3 If you indicated that a portion of your state archives holdings are described at some other level of description (7.2d), please explain:

7.4 For what percentage of total archival holdings are descriptions available through each of the following types of finding aids at the series level?

Paper-based finding aids

- a. E.g., repository guides, series descriptions, indexes, folder lists _____ %

Databases or finding aids generated by your own repository and available for use on site

- b. Accessible to the public _____ %
- c. For staff use only _____ %

Searchable databases or finding aids, available remotely

- d. On CD-ROM or other removable media _____ %
- e. On agency's own website _____ %
- f. On another organization's website _____ %
- g. Through RLIN _____ %
- h. Through OCLC _____ %
- i. Through a statewide or regional network _____ %

**SECTION 8:
REFERENCE IN THE STATE ARCHIVES**

(access to and use of the records themselves or information in those records)

Note **If you are reporting for a Records Management Program only**, please skip to 9.1.

8.1 How many requests for information about or to use archival records were received during the reporting period in the following categories:

- a. Regular mail _____ letters
- b. Electronic mail _____ requests
- c. In person (count an individual only once each day; if an individual visits several days in a row, count each day as a separate visit) _____ daily visits
- d. By telephone _____ calls
- e. On-line chat _____ calls

8.2 If you have the following statistics available for traffic on your agency's website, please supply these figures for FY2004.

- a.. Number of unique visitors _____ individuals
- b. Average length of stay _____ minutes

8.3 Please estimate the percentage of total usage of your government records holdings for each of the following purposes.

- | | Percent of total use |
|---|----------------------|
| a Administrative use by government agencies | _____ % |
| b Genealogy | _____ % |
| c Local history | _____ % |
| d Scholarly research/publication | _____ % |
| e Undergraduate class work | _____ % |
| f High school/elementary school projects | _____ % |
| g Property/legal research | _____ % |

h Other _____%

8.4 How do you make actual records or information from those records available via the Internet?
(check all that apply)

- a. Memory project or digital collection compiled and managed by your own agency
- b. Memory project or digital collection managed by another organization
- c. Web exhibit compiled and managed by your own agency
- d. Web exhibit compiled managed by another organization
- e. Teaching packets that include images of documents along with curricula, lesson plans
- f. Other images of documents/records
- g. Transcripts of documents/records
- h. Contents of textual records converted to searchable database
- i. Other online source for access to actual archival records or information from those records
(please specify in 8.5)

8.5 Please describe the nature of other online source (8.4i)

8.6. Performance standards for responding to reference. In the questions that follow, we ask if your agency has a standard in place for the amount of time within which a customer or user can expect to receive a response and, if such a standard exists, what the target response time is for each category of reference requests.

8.7 Is there a performance standard in place for **mail requests**? (check one)

- Yes
- No, but one is in development (skip to 8.9)
- No (skip to 8.9)

8.8 If a performance standard is in place for **mail requests**,

- a. What is the target response time? _____
- b. What percent of requests meet this standard? _____ %

8.9 Is there a performance standard in place for **in-person reference**? (check one)

- Yes
- No, but one is in development (skip to 8.11)
- No (skip to 8.11)

- 8.10 If a performance standard is in place for **in-person reference**,
- a. What is the target response time? _____
 - b. What percent of requests meet this standard? _____ %

- 8.11 Is there a performance standard in place for **questions from state government agencies?** (check one)
- Yes
 - No, but one is in development (skip to 8.13)
 - No (skip to 8.13)

- 8.12 If a performance standard is in place for **questions from state government agencies**,
- a. What is the target response time? _____
 - b. What percent of requests meet this standard? _____ %

- 8.13 Is there a performance standard in place for **other reference requests?** (check one)
- Yes
 - No, but one is in development (skip to 8.15)
 - No (skip to 8.15)

- 8.14 If a performance standard is in place for **other reference requests**,
- a. What is the target response time? _____
 - b. What percent of requests meet this standard? _____ %

8.15. If you have comments or additional information about your agency's reference performance standards, please enter them here.

**SECTION 9:
PRESERVATION ACTIVITIES AND POLICIES**

9.1 Which of the following conservation treatments does your agency perform for itself or other organizations and which, if any, have been outsourced? (check all that apply)

Treatment.	a Performed in-house. on own holdings.	b Performed in-house. for other organizations.	c Treatments for own holdings are outsourced
1. Cleaning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | |
|--------------------|--------------------------|--------------------------|--------------------------|
| 2. Deacidification | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Mending | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Rebinding | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Rehousing | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Encapsulation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

9.2 Does your agency have a written, long-range preservation plan for the care of your holdings? (check one)

- Yes
- No, one is being developed (skip to 9.5)
- No, but preservation is included in overall long-range plan for the agency (skip to 9.5)
- No (skip to 9.5)
- Don't know (skip to 9.5)

9.3 Is your agency's long-range preservation plan up-to-date? (check one)

- Yes
- No
- Don't know (skip to 9.5)

9.4. When was your agency's long-range preservation plan last updated?

_____ (yyyy)

9.5 Does your state have a statewide preservation plan?

- Yes
- No, one is being developed (skip to 9.9)
- No, but preservation is included in overall long-range plan for the agency (skip to 9.9)
- No (skip to 9.9)
- Don't know (skip to 9.9)

9.6 Which agency is primarily responsible for administering the statewide preservation plan? (check one)

- State archives
- State library
- Other (please specify in 9.7)

9.7 If you checked "Other" in 9.6, please name the agency that is primarily responsible for administering the statewide preservation plan

9.8 What other agencies participate in developing and maintaining the statewide preservation plan?

9.9 Does your agency consider microfilm to be a permanent preservation medium? (check one)

Yes

No

9.10 Does your agency consider scanned digital images to be a permanent preservation medium? (check one)

Yes

No

9.11 Are you converting electronic data directly to microfilm or scanned images to microfilm? (check one)

Yes

No

9.12 Do you have a digitization plan and a digital preservation plan? (check one)

Yes

No, but one is in development

No

9.13 What criteria do you use to determine what will be digitized.

**SECTION 10:
FACILITIES**

10.1 In the **principal state archives facility**, what percentage of total archival storage areas is equipped to provide the following environmental controls?

- a. Year-round temperature controls _____ %
- b. Year-round humidity controls _____ %
- c. Fire detection _____ %
- d. Fire suppression _____ %
- e. Water detection _____ %
- f. Pest control _____ %

10.2 What standards are these controls designed to meet? (check all that apply)

- None
- ANSI
- National Fire Protection Association
- Other (specify in 10.3)

10.3 If you checked "Other" in 10.2, please describe what other environmental controls you have in place for your state archives facility.

10.4 In the **principal state archives facility**, what security measures do you have in place for each of the designated areas (check all that apply)?

	a. Public use areas/ reading rooms	b. Stacks	c. Staff work areas
Registration (sign in)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ID cards for staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ID cards for visitors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Metal detectors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security cameras	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lockers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manual locks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Card key locks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10.5 What other security measures do you have in place for your **principal state archives facility**?

10.6 In the facility used as the **principal state records center**, what percentage of total storage areas is equipped to provide the following environmental controls?

- a. Year-round temperature controls _____ %
- b. Year-round humidity controls _____ %
- c. Fire detection _____ %
- d. Fire suppression _____ %
- e. Water detection _____ %
- f. Pest control _____ %

10.7 What standards are these controls designed to meet? (check all that apply)

- None
- ANSI
- National Fire Protection Association
- Other (specify in 10.8)

10.8 If you checked "Other" in 10.7, please describe what other environmental controls you have in place for your state records center.

If you indicated in 6.1 that your agency operates the state records center, please answer 10.9-10.10. Otherwise, skip to 11.1.

10.9 In the facility used as the **principal state records center**, what security measures do you have in place and what portion of the following areas are adequately covered?

	a. Public areas	b. Stacks/storage	c. Staff work areas
Registration (sign in)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ID cards for staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ID cards for visitors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Metal detectors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | |
|------------------|--------------------------|--------------------------|--------------------------|
| Security cameras | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Lockers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Manual locks | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Card key locks | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

10.10 What other security measures do you have in place for your **principal state records center**?

**SECTION 11:
DISASTER PLANNING**

11.1 Does your agency have a written disaster plan?

- Yes
- No, but one is being developed (skip to 11.4)
- No, but preservation is included in overall long-range plan for the agency (skip to 11.4)
- No (skip to 11.4)
- Don't know (skip to 11.4)

11.2 Is your agency's disaster plan up-to-date?

- Yes (answer 12.3)
- No (answer 12.3)
- Don't know (skip to 12.4)

11.3 When was your agency's disaster plan last updated?

_____ (yyyy)

11.4 Does your state have a statewide disaster plan that includes provisions for salvaging records?

- Yes (answer 11.5-11.7)
- No, one is being developed (skip to 11.8)
- No, but preservation is included in overall long-range plan for the agency (skip to 11.8)
- No (skip to 11.8)
- Don't know (skip to 11.8)

11.5 Which agency is primarily responsible for administering the plan?

- State archives/records management
- State library
- State emergency management agency
- Other (specify in 11.6)

11.6 If you checked "Other" in 11.5, please name the agency that is primarily responsible for administering the statewide preservation plan:

11.7 What other agencies participate in developing and maintaining the statewide disaster plan? (name them)

11.8 Does your state have a disaster response team for responding to emergencies in public and private archival repositories? (check one)

- Yes (answer 11.9-11.11)
- No (skip to 12.1)
- Don't know (skip to 12.1)

11.9 Which agency administers the disaster response team?

11.10 What other agencies participate in the team?

11.11 Are archives/records management personnel members of the team? (check one)

- Yes
- No
- Don't know

**SECTION 12:
PLANNING AND EVALUATION FOR STATE ARCHIVES AND/OR
RECORDS MANAGEMENT PROGRAM**

12.1 Does your agency have a strategic plan in place?

- Yes, we have one developed specifically for our program
- Yes, it is included in the strategic plan for our parent agency
- No, one is being developed (skip to 12.6)
- No (skip to 12.6)

12.2 Is your agency's strategic plan up-to-date?

- Yes
- No
- Don't know (skip to 12.6)

12.3 When was your agency's strategic plan last updated?

_____ (yyyy)

12.4 If your agency's strategic plan is available online, please provide the URL:

http:// _____

12.5 To what extent is your agency's activity guided by the strategic plan? (check one)

- Often
- Occasionally
- Rarely
- Never

12.6 Do you have any records-related initiatives planned in the next 2 to 3 years?

- Yes (please explain in 12.7):
- No (skip to 12.8)

12.7 If you answered "Yes" to 12.6, please explain briefly the records-related initiative(s) you have planned in the next 2 to 3 years:

12.8 What are the **three most important issues** or concerns facing your agency in the next 2 to 3 years?

a.

b.

c.

**SECTION 13:
STATE HISTORICAL RECORDS ADVISORY BOARD (SHRAB)
ORGANIZATION AND ADMINISTRATION**

13.1 Does your state have a State Historical Records Advisory Board (SHRAB)?

- Yes, and the reporting agency administers the SHRAB
- Yes, but another agency administers the SHRAB (skip to 14.1)
- No, but we are working to establish one (skip to 14.1)
- No (skip to 14.1)

13.2 How is the SHRAB established (i.e., what is its legal mandate)?

- In statute
- By regulation
- By Executive Order

Other (please explain in 13.3)

13.3 If you answered "Other" in 13.2, please explain in what other way your SHRAB is legally established?:

13.4 Does the SHRAB have bylaws?

- Yes
- No
- Don't know

13.5 What legally mandated responsibilities does the SHRAB have beyond its role in NHPRC grant review? (check all that apply)

- a. Serves as State Records Commission/Board
- b. Serves as Local Records Commission/Board
- c. Administers a state-funded regrant program
- d. Other (please specify in 13.6)

13.6 If you answered "Other" in 13.5d, please explain what other responsibilities your SHRAB has:

13.7 During FY2004, how much did your SHRAB receive from the following sources?

Grant funds

- a. NHPRC grant for SHRAB administration \$ _____
- b. NHPRC regrant \$ _____
- c. Other NHPRC grant \$ _____
- d. Other federal grant funds \$ _____
- e. Private/foundation grant funds \$ _____

Other sources

- f. Direct funding from the state \$ _____
- g. Other sources (specify in 13.8) \$ _____

13.8 If you supplied an amount for "Other sources" in 13.7g, please explain what other sources of funding your SHRAB has:

13.9 How were SHRAB funds allocated?

- a. Board travel \$ _____
- b. Other administrative costs \$ _____
- c. Grants \$ _____
- d. Re-grants \$ _____
- e. Publications \$ _____
- f. Educational activities \$ _____
- g. Outreach \$ _____
- h. Other (specify in 13.10) \$ _____

13.10 If you supplied an amount for "Other" in 13.9h, please explain how the other allocations of SHRAB funds were made:

13.11 How much staff time did the State Archives provide in support of the SHRAB in FY2004?
(please provide average or typical FTE counts for each of the following positions)

State Coordinator/ Deputy Coordinator

- a. For ongoing administration & grant review _____ FTEs
- b. For special projects funded by NHPRC grants _____ FTEs

Other staff

- c. For ongoing administration & grant review _____ FTEs
- d. For special projects funded by NHPRC grants _____ FTEs

13.12 Which of the following does your SHRAB use in publicizing programs or encouraging applications?
(check all that apply)

- a. Publicity materials
- b. Advertisements in archival periodicals
- c. Referral by state/local archivists/records management personnel

- d. Presentations at archival association meetings, local government meetings, historical society meetings
- e. Assistance in writing proposals
- f. Pre-application reviews
- g. Grant-writing workshops
- h. Other (specify in 13.13)

13.13 If you answered "Other" in 13.12h, please explain what other methods the SHRAB uses to publicize programs or encouraging applications:

13.14 Does the SHRAB follow established NHRPC criteria when reviewing grants?

- Always
- Usually
- Seldom
- Never

13.15 Is a copy of each NHRPC grant recipient's final report to the NHRPC provided to the SHRAB?

- Always
- Usually
- Seldom
- Never

13.16 What kinds of NHRPC grants has your SHRAB itself received? (check all that apply)

- a. Administrative grants
- b. Re-grants
- c. Grants for programs or projects other than SHRAB administration and/or re-grants
- d. Our SHRAB has not received any NHRPC grants (skip to 13.20)

13.17 Have the programs originally funded with NHPRC grants been sustained with other funds?

- Yes
- No (skip to 13.20)

13.18 What is the source for the ongoing funding for the program(s) started by NHPRC grant(s)?

13.19 In what ways has the SHRAB been able to use NHPRC grants to leverage money to develop programs or resources in the state (e.g. Local Records Program, new buildings)?

13.20 Does your SHRAB have a website of its own or a section on your agency's website?

- Yes (please provide URL in 13.21)
- No, but one is in development (skip to 14.1)
- No (skip to 14.1)

13.21 If you answered "Yes" in 13.20, please provide the URL for your SHRAB's website or webpage:

http:// _____

**SECTION 14:
OUTREACH AND PUBLIC EDUCATION**

NOTE: IF YOUR STATE DOES NOT HAVE A SHRAB OR ANOTHER AGENCY ADMINISTERS THE SHRAB, please leave column "b" check boxes blank in Questions 14.1-14.5.

In Questions 14.1-14.5, please indicate which of the following activities are sponsored or conducted by your agency and/or your State Historical Records Advisory Board (SHRAB) (check all that apply).

	a State Archives/ State Records Mgt	b SHRAB
14.1 Workshops/training for the general public or other external audiences on:		
Genealogical research	<input type="checkbox"/>	<input type="checkbox"/>
Use of documents in the classroom	<input type="checkbox"/>	<input type="checkbox"/>
State history	<input type="checkbox"/>	<input type="checkbox"/>

	a State Archives/ State Records Mgt	b SHRAB
14.2 Conferences for		
Archivists	<input type="checkbox"/>	<input type="checkbox"/>
Records managers	<input type="checkbox"/>	<input type="checkbox"/>
State employees	<input type="checkbox"/>	<input type="checkbox"/>
Local government officials	<input type="checkbox"/>	<input type="checkbox"/>
Administrators/volunteers in local historical societies	<input type="checkbox"/>	<input type="checkbox"/>
Historians	<input type="checkbox"/>	<input type="checkbox"/>
Genealogists	<input type="checkbox"/>	<input type="checkbox"/>

	a State Archives/ State Records Mgt	b SHRAB
14.3 Tours of state archives and/or records facilities for:		
School groups	<input type="checkbox"/>	<input type="checkbox"/>
General public	<input type="checkbox"/>	<input type="checkbox"/>

	a State Archives/ State Records Mgt	b SHRAB
14.4 Newsletters or other regular publications (paper or electronic) produced by reporting agency for:		
State agencies/records managers	<input type="checkbox"/>	<input type="checkbox"/>
Local government agencies/records managers	<input type="checkbox"/>	<input type="checkbox"/>
Members of friends organizations	<input type="checkbox"/>	<input type="checkbox"/>
Volunteers	<input type="checkbox"/>	<input type="checkbox"/>
Elementary/high school teachers	<input type="checkbox"/>	<input type="checkbox"/>
Genealogists	<input type="checkbox"/>	<input type="checkbox"/>
General public	<input type="checkbox"/>	<input type="checkbox"/>

	a State Archives/ State Records Mgt	b SHRAB
14.5 Programs or services for teachers to facilitate use of archival documents in the classroom:		
Teaching packets	<input type="checkbox"/>	<input type="checkbox"/>
Section for teachers on our Web site	<input type="checkbox"/>	<input type="checkbox"/>
Publications for teachers on using archives	<input type="checkbox"/>	<input type="checkbox"/>
Workshops	<input type="checkbox"/>	<input type="checkbox"/>
Staff/representatives available to visit classrooms in person	<input type="checkbox"/>	<input type="checkbox"/>

14.6 Has your agency and/or SHRAB received special recognition for its programs or services in the last five years?

- Yes (explain in 14.7)
- No (skip to 14.8)

14.7. If you answered "Yes" to 14.6, please describe briefly the nature of the special recognition received by your agency or SHRAB, including the source and reason for the recognition.

14.8 Does your agency or SHRAB sponsor an awards program or another form of recognition for achievement and/or support of state and local history?

- Yes (explain in 14.9)
- No, but we plan to develop one (skip to 14.10)
- No (skip to 14.10)

14.9 If you answered "Yes" to 14.8, please describe the nature of your agency's or SHRAB's award or recognition program (e.g., frequency, who is eligible, identities of recent recipients)

14.10 What is the nature of your press and public relations activity?

- Actively promote awareness of the work and programs of the agency or SHRAB through ongoing press contacts and public events
- Occasionally issue press releases or hold special events when warranted, but no formal or sustained program
- Respond to press inquiries when they come in, but do not routinely seek out press coverage
- Other (specify in 14.11)
- Don't know

14.11 If you answered "Other" in 14.10, please explain the nature of your agency's or SHRAB's other press and public relations activities:

14.12 How often do reports on activities sponsored by your State Archives and Records program appear in the media?

- Weekly
- Monthly
- Several times a year
- Annually
- Other (specify in 14.13)

14.13 If you answered "Other" in 14.12, please describe how often reports on activities sponsored by your State Archives and Records Program appear in the media:

14.14 If your state has a SHRAB, how often do reports on activities sponsored by your SHRAB appear in the media?

- Weekly
- Monthly
- Several times a year
- Annually
- Other (specify in 14.15)
- Our state does not have a SHRAB or it is administered by another agency

14.15 If you answered "Other" in 14.14, please describe how often reports on activities sponsored by your State Archives and Records Program appear in the media:

If you have other comments, suggestions, or additional information you would like to submit in conjunction with this survey, please send them to

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Thank you for your participation!