

**Conducting an
Electronic Records
Inventory**

New York State Archives
www.archives.nysed.gov



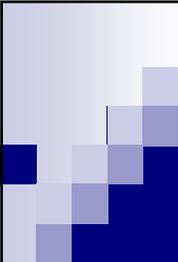
Objectives

- Understand purpose of an e-records inventory
- Learn practical steps to conduct an inventory
- Know how to use the results effectively
- Strategies to manage inventory over long term



E-Inventory Agenda

- E-inventory overview an purpose
- What to know before conducting an inventory
- Planning an inventory project
- Conducting an inventory
- Using the results of an inventory
- Practical steps going forward



OVERVIEW & PURPOSE

Why conduct an electronic records inventory?



Why an e-Records Inventory?

- Fundamental step for any RM program
 - Must know what you have before you can manage it
- Collect baseline data about your e-records
 - Helps to improve ongoing access and preservation
- Formulate a plan of action for e-records
 - Find out what needs to be addressed



Legal Reasons

- Help ensure legal compliance
- State law and regulations
 - Arts and Cultural Affairs Law
 - Commissioner's Regulations
 - Freedom of Information Law (FOIL)
- Court cases
- Federal Rules of Civil Procedure

Federal Rules of Civil Procedure

- Amendments enacted in December 2006
- Apply to electronic records in federal cases
- Provides for “safe harbor”
- Emphasizes
 - Electronic records inventory
 - Retention and other policies
 - Staff training

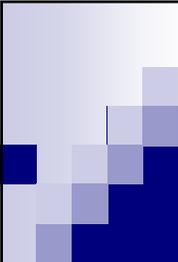
Other Reasons

- Disposal of obsolete records
- Information and knowledge sharing
- Storage planning
- Project planning

Additional Reasons?

Why else would you want to do an electronic records inventory?

How will one benefit you?



BEFORE CONDUCTING AN INVENTORY

What do you need to know?



Two Levels of the Inventory

1. Systems that create records
 - Examples
 - Electronic payroll system
 - Computer-aided design files for specific projects
 - General ledger & periodic reports in finance system
 - Minutes and agendas scanned into an ECMS
2. Records series within each system
 - A system can produce one or more records series



Structured vs. Unstructured

Structured Records	Unstructured Records
<ul style="list-style-type: none">• Database-driven applications<ul style="list-style-type: none">• Finance system, permit issuance, fee collection, etc.• Documents created by data contained within database• Records managed by application	<ul style="list-style-type: none">• Not database driven• Document-oriented<ul style="list-style-type: none">• Word processing, e-mail, spreadsheets, photos, presentations, PDF, etc.• Usually stored within file server folder structure• Often self-managed

Structured Records Challenges

- Limited knowledge of how the data is stored
- Often not designed for record disposal
 - Databases may store data forever
- Requires contacting vendor to get information
 - First-line support staff often do not know inner workings of system
 - Some applications do not retain detail info forever (e.g., some financial systems)

Unstructured Records Challenges

- Often exist in individual PCs or personal folders
- Often not subject to consistent filing rules
- Difficult to inventory and control
- Easily copied and transported

Third-Party Storage

- Not all records are stored on your network
 - Vendor managed applications
 - Hosted services (email, website, etc.)
 - State agency applications used by local governments
 - Federal applications used by state and local gov't
- Find out who, what, where and how
 - Who controls the application and data?
 - What records are being stored?
 - Where is the data physically stored?
 - How long is it retained?

Which presents the greater challenge for you?

- Unstructured
- Structured
- 3rd party hosted

PLANNING YOUR PROJECT

How do I start?

Planning an Inventory

1. Determine scope
2. Identify who will be involved
3. Know your work environment
4. Know your technology environment
5. Develop a strategy

Determine Scope

- Comprehensive or focused
 - All or a select number of departments
 - Records of certain cross-department functions
 - Combination of both
- Purpose
 - To implement new application system
 - To dispose of non-records to free up storage space
- Focus on critical needs first
 - Plan an inventory that is doable

Who Will Be Involved

- Project Director
- Records Management Officer
- Record Coordinators
- Information Technology
- Record Owners and Analysts
- Inventory Teams
- Consultant

Know Your Organization

- Organizational chart
- Department listing
- Sub-departments and functional groups
- Cross-departmental functions
- Department heads and key staff members

Know Your IT Environment

- IT environment
 - System inventory?
 - Formal IT unit?
- Record-creating applications
 - Departmental and cross-department applications
- Centralized or decentralized storage
 - Where are the files stored?
- In-house or hosted?
 - Web/cloud-based applications (vendor, state, federal)

Inventory Strategy

- e-Records inventory activities
 - Interviews
 - Examination of records
- Identify key e-records systems
- Associate records with key individuals
- Develop inventory schedule
- Collect data according to schedule

Retention Schedules

- Use as tool to determine what records *may exist*
 - Gets department staff thinking about what they have
- Staff may forget about certain records
 - May only use once or twice a year
- Results may include items not on schedule

What will be the scope of your inventory project?

- All departments?
- One?
- Somewhere in between?

CONDUCTING THE INVENTORY

Ready to begin...

Conducting an Inventory

1. Prepare your inventory tools
2. Talk with IT
3. Communicate with departments
4. Gather inventory data
5. Follow up and refine data collected

Inventory Tools

- Inventory forms
 - Information System Inventory
 - Records Series Inventory
- Interview notes
 - Indicate general comments and concerns

System Inventory Data I

- System Title
- System Owner
- IT Support
- Dates
- System Description
- System Size

System Inventory Data II

- File Formats
- Hardware
- Software
- Media Characteristics
- Relationship to Other Records
- System Documentation

System Inventory Data III

- Backup Procedures
- System Migration
- Access Restrictions
- Offices Using the System
- Records Series
- Person Conducting Inventory
- Date of Inventory

Series Inventory Data I

- Creator
- Series Title
- Schedule Item Number
- Dates
- Description
- Access Restrictions
- Related Information System

Series Inventory Data II

- Other Sources of Information about Records
- Series Size
- File Formats
- Software Arrangement
- Media
- Location of Physical Media
- Visible Damage

Series Inventory Data III

- Hybrid
- Passwords
- Encryption
- Compression
- Backups
- Person Conducting Inventory
- Date of Inventory

Should IT Staff Help Interview?

- Yes
 - To help answer technology related questions
- No
 - May get too technical for your purpose
 - May suppress user comments to minimize issues
 - May hinder your learning opportunity

Communication

- Let departments and units know
 - Why are you doing this
 - What is expected
 - Your time constraints
- Schedule face-to-face interviews
 - Get to know their work environment
 - Less chance for them to forget records series

Scheduling

- Schedule one unit at a time
 - Conduct only one the first day as a pilot
 - Refine your approach and tools as you process
- Begin with those you are more familiar with
 - Best to start with your own
 - Gain skills as the units become less known to you

Basic Interview Rules

- Schedule for no more than 1 hour
 - Don't overwhelm the office
 - Gather any missing information by phone, email, etc.
- Lower the threat
 - Make the process about their needs
 - How they want to improve their records management

Conducting the Interview

- Find out what they do
 - Break down into smaller unit roles and groups
- Attack records series by unit
 - Find out what each unit uses
- Focus on records
 - Not works-in-process or reference material
- Get them talking
 - Ask how they use the records

Refining Inventory Data

- May need additional information
 - Key staff may have been unavailable
 - Others may have the information you need
 - A vendor, state agency, IT support organization
 - Follow up with questions after reviewing data
- Verification of information gathered
 - Send your inventory back to interviewees
 - Have them review and correct your work

What would you suggest to make the interviewing process easier?

Is there other information you should collect?

USING THE RESULTS

Now what?

After the Data Collection

- Analyze results
- Identify needs
- Develop an e-records management plan
- Incorporate into an overall RM program
- Maintain inventory data

What Did You Find?

- What areas require more information?
 - Do certain departments need revisiting?
 - Have you identified all the record owners?
- System changes
 - What applications will soon be replaced?
 - What systems will soon be upgraded?

What Concerns Did You Find?

- Specific departmental issues?
 - Lack of backup?
 - Proprietary systems?
 - Lack of file plan or files management?
- What can be addressed now?
 - Low hanging fruit, easy to accomplish
- What needs investment planning?
 - Requiring senior official approval

Use Findings to Plan

- Be realistic in what can be accomplished
 - Short-range
 - Mid-range
 - Long-range
- Start small

Use Findings to Plan

- Identify well organized departments
 - Information systems are well designed
 - Records series conform to a file plan
- Recognize them for their work
 - Use as an example or model
- Focus on others

Policies and Procedures

- Consider the need for policies and procedures
- Refine existing ones
- Identify new ones that are needed

Policies and Procedures

- Help prove authenticity of e-records
- Assign roles and responsibilities
- Policy topics
 - E-records creation
 - E-filing and naming
 - Confidentiality
 - Acceptable use
 - Retention and disposition
 - Disaster preparedness
 - Others?

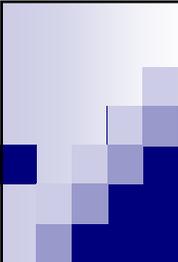
Maintain Data

- Inventory data collected is not for one-time use
 - Maintain in a database
- Inventory must be updated
 - At least annually
 - Or when a new system or series is created
- Use for future planning

What learned in a previous inventory project?

What else do you think you will find?

What will be most challenging for you?



PRACTICAL STEPS

Going forward from here...



After the Inventory

- Address serious matters first
 - If there are any
 - Prioritize these issues
- Incorporate findings into overall RM program



Implement Change via the Inventory

- Assign ownership to series and systems
- Review policy and procedure needs
- Develop or refine file plans
- Maintain inventory data
- Plan for system planning and upgrades

Assign Ownership

- Each records series must have an owner
 - Person responsible for records within a system
 - Person who make decisions about the records
 - Ensure agreement on who each owner is
- Identify the Record Coordinators
 - Medium and large organization need these
 - Someone in each department or unit
 - Someone responsible for records management there
 - RMO cannot do it all

Policies and Procedures

- These *are* important
- Create a team
 - Record Coordinators
 - Department heads
 - Information technology
 - Management
- Determine where policies are needed
- Set priorities
- Gather existing policies from others

File Plans

- Establishing naming conventions
 - Different systems for different series
 - Strive for brevity and consistency
- Design a filing system
 - Logical and easy to understand
 - Don't use series owner's name in the folder's name
 - Keep records separate by retention period

Goals of a File Plan

1. Ease access to records
2. Identify records *consistently*
3. Simplify records disposition
4. Meet compliance requirements
5. Make everyone's job easier

What's in a Name?

What the heck is it?

- Minutes.doc
- Letter091609.doc
- Subj: Helpful Info
- Purchases.mdb

Better name

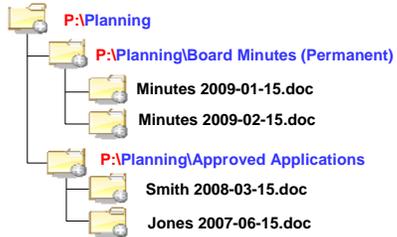
- Board Minutes 2001-08.doc
- Corr-ABC Event 20091612.doc
- Subj: Project X RFP Info.doc
- Purchases_FY07.mdb

File names should be as descriptive as practical

How to Store Records

- File individual records series separately
 - Nest folders within folders
 - Invoices subfolders: "2009," "2010," etc.
 - Project folder subfolders
 - "Correspondence," "Contracts," etc.
 - Avoid orphan files or "Miscellaneous" folders
- Follow *consistent* file naming conventions
- Use logical, specific names and dates
 - User should know what a file is without opening it

Examples



Examples



Track Progress

- Maintain data from e-records inventory
 - Use database to maintain the inventory
 - State Archives developed a database you can use
- Track management strategies
 - Upgrades, migrations, and refreshing
 - Backups
 - Quality control measures
 - Deletion of e-records
- Share information as needed

Future Planning

- RM must be involved in future system planning
- Address applications to be upgraded or replaced
 - Determine what will happen to older data
 - New storage devices that will be used
 - Upgraded servers
 - Network infrastructure changes
- Track these continuously
 - Use inventory to maintain new information

How will you begin your inventory?

What else do you need to help with your project?

LAST WORDS OF ADVICE

Summary

- Communicate
- Work with IT
- Integrate RM into IT planning
- Be realistic
 - Address one functional area at a time

Thank You!

For more information:
www.archives.nysed.gov

New York State Archives

Information System Inventory Instructions

10 January 2014

Part of the inventory of electronic records on a college or university campus will be conducted at the information system level. An information system is any computer-based system that supports the acquisition, creation, storage, processing, management of, and/or access to information. A system may consist of a single records series, a set of closely related records series, or a set of disparate records series. An information system may be a database, a software application, a document management system, or even a file directory on a LAN.

Examples of information systems include

- A database of information about current and former employees
- Computer-aided design files for campus construction and planning
- A digital repository of photographs managed by the development office
- Time and attendance program (such as PeopleSoft)

This part of the inventory is usually applicable only to records maintained by your home institution, not to records you collect. In general, you will inventory only those records systems that contains multiple records series, since a single-series system can be inventoried at the series level alone. Below are the inventory data fields to complete for each information system followed by instructions for completing each field. If some fields are not applicable to the system you are inventorying, leave them blank. The instructions assume the use of a database to collect and evaluate the inventory data.

Information System Inventory Data Fields

System Title
System Owner
IT Support
Dates
System Description
System Size
File Formats
Hardware

Software
Media Characteristics
Relationship to Other Records
System Documentation
Backup Procedures
System Migration
Access Restrictions
Offices Using the System
Records Series
Person Conducting Inventory
Date of Inventory

Instructions for Completing Each Data Field

System Title

Name by which the electronic records system is known to those who maintain and use it. Make the title as descriptive as possible, indicating the subject, function, and, if necessary, form of the records. The purpose of the title is to provide a means to identify the electronic records system.

System Owner

Name of the person or unit that is responsible for receiving, creating, and managing the records in the system. The owner is the one most likely to understand the business purpose of the information system and the records series within it. The owner tends to be the one who will provide data for dates covered, system description, relationship to other records, backup procedures, and restrictions on use.

IT Support

Name of the person or unit that provides technical support for the records system. The IT support person is usually a member of an in-house information technology unit or a vendor. This person tends to be the person who provides or clarifies information on file type and format, quantity and estimated growth, hardware, software, supporting files, backup procedures, and provisions for migration. The IT support might be an in-house person or unit or an outside vendor.

Dates

Beginning and ending dates of records in the system. The beginning date may be the date a system was implemented, records were migrated or converted from another

records system (including a paper file system), or a new function or module was added to an existing system. If the records are still actively used, indicate the ending date as “9999.”

For unstructured files (such as word-processed files in a directory structure), dates covered will be the first and last dates that a file or files were created.

Use “ca” for “circa,” when you cannot determine exact dates.

Example

- The system was implemented in 1989, but information dating back to the 1930s has been manually entered; however, it is not clear whether this data entry has occurred on a systematic or as-needed basis.

Dates are important for research and retention purposes, and for understanding the relationship of the electronic records to other records.

System Description

A summary of the records system’s business purpose, scope, and contents. A useful strategy for describing a system is to list the data fields in that system (especially if the system consists of a database or electronic forms). Indicate the electronic records’ relationship to the department’s mission or business operations.

Examples

- Contains contents, shelf location, circulation, and disposition information for each box of inactive records currently stored, or disposed of, since 1997 at the records center. The database record for each box contains the system number, alternate ID number, originating department or office name, department or office with current legal custody, and summary contents description. When a box is charged out, the date and the name of the requester are entered.

The primary purpose of the system description is to help you identify the system in the future (based on how you describe the system now) and assess the value of the electronic records for retention and research purposes.

System Size

Size of the records system in megabytes or gigabytes. The purpose of collecting data on size is to plan storage and migration needs, after factoring in the number of electronic records you can legally destroy during a given time period.

File Formats

Basic characteristics of the electronic data within the system, include word-processed files, databases, spreadsheets, geographic information system (GIS) records, computer-aided design (CAD) records, and email.

Examples

- Word processed files in MS Word (.doc or .docx)
- Oracle database
- Excel spreadsheets
- MP3s
- PDF/As
- Motion JPEG 2000s

The purpose of documenting file type and format is to collect data to plan preservation and normalization needs. For example, you may decide, as a result of the inventory, to retain permanent files in their native format as well as in an open format that will be used for the preservation copy.

Hardware

Equipment required to retrieve or process the electronic records system, including its capacity and age. Hardware may include mainframe computers, midrange computers, servers, and freestanding personal computers (PCs).

Example

- The database resides on a Sunfire 2400 UNIX enterprise server and the application is on an HP server.

The purpose of collecting data on hardware is to plan for hardware upgrades and data migration as needed and to ensure the electronic records are accessible for their full retention periods.

Software

Software program used to create and/or access the records. Provide any information that would be useful for understanding the nature of that software. For example, indicate whether the software is open or proprietary (and, if the latter, provide the name of the vendor that supports the software).

Examples

- The database server is running Sun Solaris 10 and the application server is running MS Windows 2003 and Internet Information Server to serve out Application Server Pages. Application software on the database server is Oracle 10G. Program name is GAIN 2000 Enterprise Edition and version is
- The system is a Microsoft Access database with a Microsoft Visual Basic for Applications interface developed by the ITS PC Applications Group.

The purpose of collecting this data is to plan for software upgrades, software migration, and data migration as needed to ensure access to the records for their full retention periods.

Media Characteristics

If applicable, the type or types of storage media involved (magnetic tapes, optical discs, or other) and the storage density of the media in terms of gigabytes. Also, use this field to note what records in the system are online (immediately available to users), nearline (quickly available through delayed processes such as those of a DVD jukebox), or offline (meaning that the data is stored on external media that must be manually added to the system to allow access).

Example

- Online data is available on students who have attended in the last ten years, nearline data is available on a DVD jukebox for five years previous to that, and all other digital data is managed off line. Total capacity of the system is approximately 1 terabyte.

The purpose of collecting information on media is to plan for the refreshing of media, copying data, without changing it, from old to new media before the media degrades or goes obsolete.

Relationship to Other Records

The records or series that are related to this system because data from this system is transferred to or from another system or the records in this system exist, wholly or partly, in another format (such as microfilm or paper).

Example

- Paper transfer list reports providing contents, shelf location, and disposition information on a group of boxes stored by a department or office at the same time are kept on file at the records center and provided to each department or office.

The purpose of describing the relationship of electronic records to other records is to identify official copy for retention purpose. For example, the inventory may provide data to determine whether you can periodically purge the system (because the records are not official copies) or whether you need or want to copy the electronic records to another format (such as microfilm) as a preservation measure.

System Documentation

Information that supports the creation, maintenance, or use of the electronic records or the records system itself, such as indexes, data entry manuals, and data dictionaries.

Example

- There is no documentation regarding the database. Some codes used in the database are unknown to current employees. An updated list of fields would be helpful. Additional databases are also stored on the X: drive of this office.

The purpose of collecting data on supporting files is to ensure consistent creation of, access to, and full use of records for at least as long as their retention periods.

Backup Procedures

Frequency of backups, media used, and other backup procedures.

Examples

- This system is backed up daily with a full system tape back up monthly. The tapes are stored approximately two miles away at Elm Park.
- Records in the software package are backed up everyday at 4:15 pm. This is a “mother to peer” backup. This same information is manually backed up on CD periodically and stored off site.
- The server is equipped with an eight-tape cartridge tape drive. Tapes 114 are for daily incremental backups, Monday through Thursday. These tapes are recycled every four weeks. The fifth tape is for a full backup every Friday which is sent to IT for offsite storage. Tape 6 is used for a full monthly backup. This tape is sent to the vendor, which downloads the data into their system. Once downloaded, the vendor identifies all images added to the system since the last download and outputs them to silver halide microfilm. The tapes are then stored in leased underground storage in Kansas.

The purpose of collecting data on backups is to ensure vital records protection. For example, the inventory can help you identify when you don't back up often enough or when your backups are located too close to the system itself.

System Migration

Any information relevant to the system migration, upgrades, or other maintenance needs of the records.

Examples

- The original database was created in FoxPro. It was migrated to Microsoft Access in 1998; the oldest records date from 1998. The IT department is in the process of migrating the database to Oracle. The migration should be completed in the spring of this year.
- System was upgraded in 2010. The vendor has no plans for future upgrades.
- Data maintained in the DocStar system will be migrated to ImageNow in the spring of 2014.

The purpose of collecting data on migration is to ensure ongoing access to and use of records. Data about migration can help you schedule migration at a frequency that ensures access but minimizes data loss.

Access Restrictions

Any restrictions to access, including the reasons for the limitations and the length of time they will be in effect. For example, indicate whether use of the records is limited by law, and cite the law or regulation that mandates the restriction.

The purpose for collecting data on use restrictions is to ensure appropriate security for records that are restricted and adequate access to those records that aren't.

Offices Using the System

List of all offices that use the system.

Records Series

List of records series managed by this system. Include all major records series, whether permanent or not.

Person Conducting Inventory

Person's first and last name.

Date of Inventory

Date the system inventory was completed.

New York State Archives

Electronic Records Inventory Instructions

10 January 2014

In an electronic records inventory, as with any inventory, it's important to focus on aggregates of records rather than on individual records or files. The following data structure will allow you to collect information on series or collections of records in a fashion that will give you a means to evaluate your institution's needs regarding electronic records management and archives. Below are the inventory data fields to complete for each electronic records series or collection followed by instructions for completing each field. If some fields are not applicable to the records you are inventorying, leave them blank. The instructions assume the use of a database to collect and evaluate the inventory data.

Electronic Records Inventory Data Fields

Creator	
Series Title	
Schedule Item Number	
Dates	
Description	
Access Restrictions	
Related Information System	<i>Dropdown list of information systems</i>
Other Sources of Information about Records	
Series Size	
File Formats	
Software	
Arrangement	
Media Characteristics	
Location of Physical Media	
Visible Damage	
Hybrid	All digital Digital and analog
Passwords	None If Yes, Describe
Encryption	None If Yes, Describe
Compression	None

	If Yes, Describe
Backups	None If Yes, Describe
Appraise	Checkbox
Deaccession	Checkbox
Person Conducting Inventory	
Date of Inventory	

Instructions for Completing Each Data Field

Creator

Name of the department, unit, or entity that is responsible for receiving, creating, and managing the records in the system.

Series or Collection Title

Name by which the records series is known.

Schedule Item Number

The number used to manage and control the records. Each records schedule produced by the State Archives include numbers for each item in the schedule. If you are using more than one schedule, also include the schedule name (such as, ED-1 or MU-1). Leave blank if there is no such number because the records do not appear on a schedule.

Dates

Beginning and ending dates of creation of records in the series. If the records are still actively used, indicate the ending date as "9999." Use "ca" for "circa," when you cannot determine exact dates.

Description

A summary of the records series' purpose and contents.

Example

- Contains purchase requisitions, purchase orders, and payment verification for all purchases under \$5,000.

Access Restrictions

Any restrictions to access, including the reasons for the limitations and the length of time they will be in effect. For example, indicate whether use of the records is limited by law, and cite the law or regulation that mandates the restriction.

Examples

- All student transcripts are restricted by provisions of FERPA. Access may be provided only at the student's specific request.

Related Information System

The title of any information system that this series forms a part of, linked to the related information system, if possible. This datum usually applies only to records created in a home institution. This field in the database is a dropdown list that links to the relevant information system by its title. For this reason, it is best to complete the inventory of the information system before beginning the inventory of the series within it. Note that all records series will not be maintained in a greater information system. See the "Information System Inventory Instructions" for more details on information systems.

Other Sources of Information about Records

Any other sources that provide information about the records' content, use, or condition. These might include accession records, deeds of gift, transfer agreements, user guides, manuals, or technical specifications.

Series Size

Size of the records series in megabytes or gigabytes.

File Formats

Basic characteristics of the electronic data within the series or collection, including word-processed files, databases, spreadsheets, geographic information system (GIS) records, computer-aided design (CAD) records, and email.

Examples

- Word processed files in MS Word (.doc or .docx)
- Oracle database
- Excel spreadsheets
- MP3s
- PDF/As
- Motion JPEG 2000s

Software

The software program or programs used to create and/or access the records. Provide any information that would be useful for understanding the nature of that software. For example, indicate whether the software is open or proprietary (and, if the latter, provide the name of the vendor that supports the software).

Examples

- Microsoft Word
- Adobe Acrobat

Arrangement

The description of the manner in which the records in the series or collection are organized. For a simple series of individual files, this might simply be alphabetical by filename by default. In complicated series, the arrangement or file structure will be more complicated. Provide enough information to clarify the general arrangement of the records. You can also use this field to indicate the sequence of the records on electronic media and the arrangement of the media themselves. Arrangement can be by year, by project number, alphabetically, a combination of these, or according to some other sequence.

Media Characteristics

Provide the number of items for each type of media used to store records in this records series. Types of media include the following:

Removable Media

- External hard drives
- CDs
- DVDs
- 5¼-inch floppy disks
- 3½-inch floppy disks
- USB drives
- Other (Specify)

Other Storage

- Internal hard drives
- Servers in house
- Cloud storage
- Other (Specify)

Location of Physical Media

The physical location or locations of the electronic media in the series. Include the building and room at minimum, and row or cabinet and shelf or drawer if applicable.

Visible Damage

Description of any physical damage to the media.

Examples

- The jewel cases of the DVDs are cracked and there is some slight scratching of the tops of some of the DVDs.
- The layers of about half of the CDs are separating

Hybrid

Whether the records are entirely digital or they are hybrid (contain both digital and analog records).

Passwords

Answer “None” if none of the files are password-protected. Answer “Yes” if any of the files are password-protected, and also provide a description of the type of password protection and a list of any known passwords. You need to know the passwords to password-protected records to ensure access to the records.

Encryption

Answer “None” if none of the files are encrypted. Answer “Yes” if any of the files are encrypted, and also provide a description of the type of encryption and a list any known keys to decrypt the files. You need to know if records are encrypted and how to decrypt records to ensure access to them.

Compression

Answer “None” if none of the files are compressed. Answer “Yes” if any of the files are compressed, and also provide a description of the type of compression and the means to decompress the files. You need to know about records compression, since compression can lead to data loss or accessibility issues.

Backups

Frequency of the backup or backups of the series, media used for the backups, the physical location of the backups, and other backup procedures.

Example

- Series is backed up along with other records stored on the college’s internal servers: daily, with a full tape backup monthly.

Appraise

If the records you are inventorying need to be appraised or reappraised for their continuing value, check this box.

Deaccession

If the records you are inventorying are archival designated as archival that should be deaccessioned, check this box.

Person Conducting Inventory

Person's first and last name.

Date of Inventory

Date the inventory of the series was completed.