

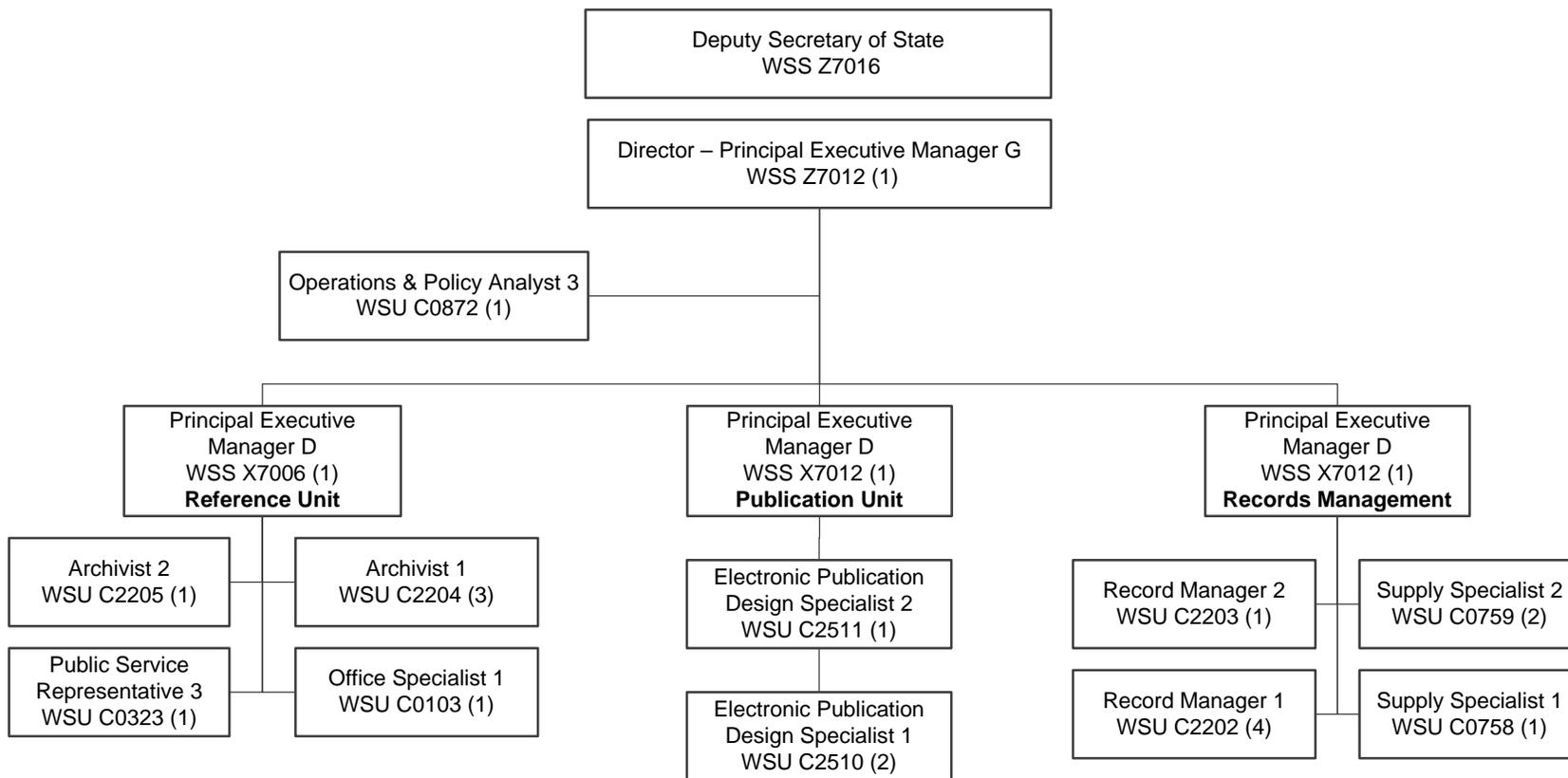
# Office of the Secretary of State



**Archives Division  
2013-15  
Governor's Balanced Budget**

# Budget Narrative

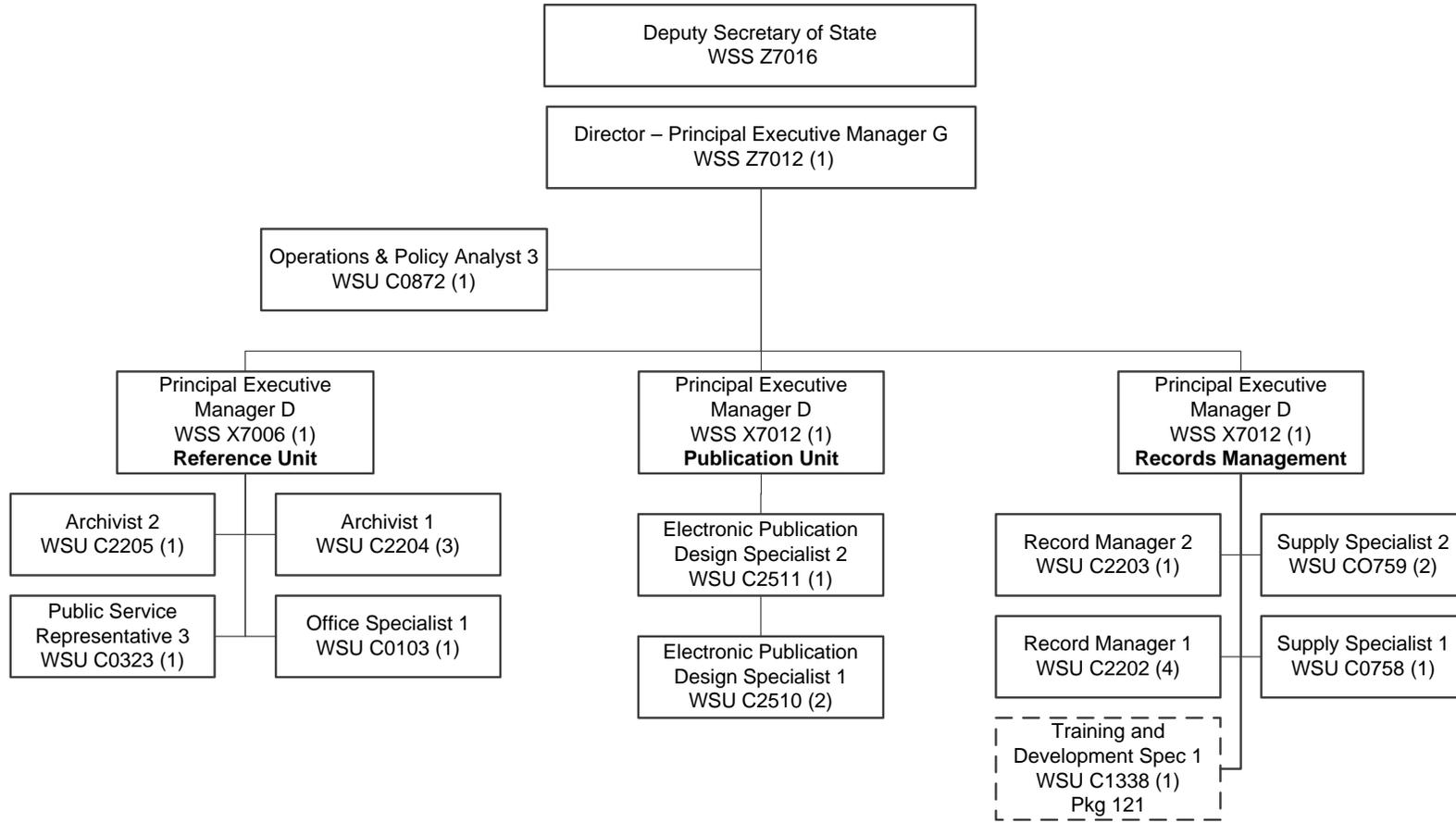
## Archives Division Organization Chart 2011-13 Biennium



FTE 22.00 Archives

# Budget Narrative

## Archives Division Organization Chart 2013-15 Biennium



FTE 23.00 Archives

# Budget Narrative

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## ARCHIVES DIVISION

### **Mission and Legal Authority**

The Archives Division manages and provides access to the State's information. The Division identifies, preserves, and provides access to the permanently valuable records of Oregon government and provides records management advice and assistance to all levels of Oregon government to facilitate the prompt disposition of records. We write standards for the appropriate use of technology and media to ensure that information is accessible for as long as it is required by the authorized records retention schedule. The Archives Division also operates the State Records Center, providing inexpensive storage of State agency records, and operates the Security Copy Depository, providing a secure, climate-controlled storage area for State agencies' and political subdivisions' microfilm. We also accept for filing the State's "Official Documents" required to be filed with the Secretary of State and staff and manage the State Historical Records Advisory Board. Additionally, The Archives Division accepts for filing and is responsible for receiving, verifying, processing, publishing and maintaining all State agencies' and boards' and commissions' administrative rules, and publishes the Oregon Blue Book. The Archives Division operates under the authority of ORS 192.001-192.170; ORS 357.805-357.895; ORS 171.407, 171.420-171.430; ORS 177.120; and ORS 183.325-183.362.

### **Revenue**

#### **General Fund Appropriation**

The operations of the Archives Division are primarily funded by a General Fund appropriation. The approved General Fund appropriation for the 2013-15 biennium is \$3,628,110.

#### **Other Fund Revenue**

The Division has five programs funded by Other Fund revenues: the State Archives, State Records Center, Microfilm Storage (aka Security Depository), Oregon Administrative Rules, and Oregon Blue Book. The Division has established fees for services that help defray the cost of public reference to archival records. The Division publishes an annual Oregon Administrative Rules Compilation, which is sold for \$650. The Oregon Blue Book program is funded through the sales of the book. The 2013 sale price is \$18.00 per book. Starting in July 2009, the Publications Unit began being funded by an assessment process that is based on the number of rule notices filed by an agency and the number of pages that the agency's rules occupy in the annual compilation. The Publications Unit's Other Fund Revenue collected from this assessment will be \$1,058,612. The State Records Center is funded through an

## Budget Narrative

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assessment process to State agencies based on their cubic storage space at the State Records Center. State Records Center Other Fund Revenues will be \$1,186,476. The Security Copy charges a per reel based fee to State and local government agencies for environmentally secure storage of security microfilm. This fee covers the rent on the Archives Building charged to other funds and one full time employee responsible for managing the Depository. Security Depository Other Fund Revenues will be \$233,732.

The Division also receives \$168,869 in Federal Funds, through grants provided by the National Historical Publications and Records Commission. The State Historical Records Advisory Board grant is a continuing grant currently funded for \$30,000. The other grant is a one-time grant to put the Governor's Office into the Oregon Records Management Solution (ORMS) and to do a feasibility study with Washington State on sharing the Oregon Records Management Solution (ORMS), and their Digital Archives in Cheney, WA. This grant is valued at \$138,869 and is scheduled to end March 31, 2014.

### **Miscellaneous Receipts**

Public and State agency customers have a need for copies of important documentation. Nominal charges are set for these services. The Archives also sold calendars depicting scenic images of Oregon taken by staff and cloth grocery bags illustrated with historic trademarks to help bolster Miscellaneous Receipts. In accordance with ORS 283.250, a miscellaneous receipts account is established at the State Treasury. Revenues are budgeted at \$71,971 for the 2013-15 biennium, but actual receipts can vary widely.

### **Customers and Business Drivers**

The Archives Division is divided into three units: Reference (including Official Documents), Records Management (which includes both the State Records Center and Security Copy Depository), and Publications. In addition, the State Archives is responsible for managing and staffing the State Historical Records Advisory Board, which is charged with working to protect all of the state's historical resources by providing advice and assistance as well as working with the State Heritage Commission, State Library and State Archives to all historical societies, museums and Archives in the State. All programs are overseen by the State Archivist.

# Budget Narrative

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## **Program Activities**

### **Reference**

The Reference Unit acts as the State's information broker by maintaining and providing access to Oregon's permanently valuable records. Government agencies, attorneys, genealogists and family historians and the general public are all regular customers of the Archives Division's Reference Unit and use a variety of records including those of the legislature, elected officials, state agencies and local governments. Many of these records are used in a traditional manner such as proving legislative intent or tracing a family's history. However, the records in the Archives have also been used to do such things as market Oregon, help other states develop programs or legislation initially developed in Oregon, write or illustrate books and publications and even to decorate homes and offices.

Reference activities are driven by demand for services. Demand is a result of customer need and awareness of service availability. These variables are managed by providing more information about resources to customers, primarily on the Internet, and by providing more opportunity for customers to choose their own service. For example, customers can choose to serve themselves in the initial stages of an inquiry by using Internet searches and requesting information be sent via e-mail or fax. Reference also promotes the records stored in the Archives by creating and posting many elaborate exhibits that not only provide users a glimpse into our holdings but to those in other repositories as well. The Reference Unit has also created and monitors a list-serv (OR-ROOTS) that gives customers a forum to exchange information about Oregon and its rich history. The list-serv has helped to structure requests for services and ensures a prompt and accurate response. All of the services provided by this Unit are designed to promote government transparency.

### **Records Management**

The Records Management Unit is the State's information manager. The Unit is responsible for writing records retention schedules to assist agencies in keeping information only as long as it is beneficial to the citizens of Oregon; provides advice and assistance on a variety of Records Management issues; develops standards relating to information and technology delivering and storing information; trains State and local governments in the proper management of information; and operates the State Records Center and Security Copy Depository. The Records Management Unit has been instrumental in the implementation and management of the agency's Electronic Records Management System and in implementing the Oregon Records Management Solution (ORMS), the statewide electronic records management system currently being offered to all levels of government as a Software

## Budget Narrative

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as a Service solution. The following agencies are implementing ORMS: Public Utilities Commission; Dept. of Energy – ARRA and Facility Sitings; Secretary of State; cities of Beaverton, Milwaukie, West Linn, Dundee, St. Helen's and Lebanon; Tillamook County and Tualatin Hills Park and Recreation. The Unit relies on in person contact and the internet to do much of its work. It was the first program in the country to use web-based training applications and currently is using virtual machines to help with the implementation of ORMS, saving time and money on travel. Other tools on our website include manuals for disaster preparedness and training, e-mail management, micrographics and digital imaging; and records retention schedules for all state agencies and local governments. The Unit continues to write records retention schedules for many state and local government agencies and has developed and is offering to State agencies a process for and assistance in creating agency file structures for use in implementing an Electronic Records Management System (ERMS). The scheduling process and database inventory continues to be time-efficient; creates a better product that includes all public records created by the Agency, including electronic records; is easier for the Agency to use; and allows us to see what information currently resides in databases and how these databases are being maintained and managed.

The Unit has also participated in statewide and national committees on technology and records related issues including social media, electronic records management and a public records definition update passed by the Oregon Legislature in 2011.

Finally, the Unit applied for and received a National Historical Publications and Records Commission grant to put the Governor's Office into the Oregon Records Management Solution (ORMS) and to do a feasibility study with Washington State on sharing the Oregon Records Management Solution (ORMS), and their Digital Archives in Cheney, WA. This grant is scheduled to end March 31, 2014.

### *State Records Center*

The State Records Center, which is part of the Records Management Unit, provides low-cost, high-density storage for inactive records of State agencies. The unit provides access to records stored at the State Records Center only to the agency that deposited them. Despite a 2 FTE staff, the Records Center services requests (average of 130 per day) on 98,000 cubic feet of records, within a 24 hour period and with a 100% accuracy rate.

# Budget Narrative

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## *Security Copy Depository*

The Security Copy Depository which is also a part of the Records Management Unit, stores and manages over 178,000 rolls of security microfilm for state agencies and political subdivisions. Microfilm is inspected, stored, retrieved, and refiled at the request of the Depository's customers.

## **Publications**

The Publications Unit serves state agencies by receiving, verifying, processing and filing administrative rules; publishes monthly, an electronic Oregon Bulletin which contains notices and full text of rulemaking actions by an agency and an update to the compilation of effective Administrative Rules; publishes annually in paper and electronically the Annual Oregon Administrative Rule Compilation and provides access to Administrative Orders. The Unit serves the legal community by publishing an annual, hard copy compilation of all of the administrative rules for State agencies and boards and commissions and by providing advice and assistance in researching previous versions of administrative rules. The Unit serves the general public by providing access to administrative rules and by providing notification of rulemaking in a free and continuously updated on-line version of Oregon's Administrative Rules.

The Unit is also responsible for compiling and publishing the print version of the Oregon Blue Book on a biennial basis, as well as the free, enhanced, web version of the Blue Book that is continuously updated.

## **Challenges**

### **Reference**

- Written, phone and e-mail requests are answered within five days of receipt.
- Official Document filings are processed within one day of receipt.
- Permanently valuable records are transferred from the creating agency to the State Archives, preserved (e.g. re-housed and stored in a proper environment) and made accessible to researchers in a timely manner.
- Technological Obsolescence.
- Archives stack areas are nearing capacity.

# Budget Narrative

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## **Actions Taken**

- Policies and procedures have been updated to ensure compliance to our standard.
- Increase use of technology to assist, not only in locating records, but in making more information available online to aid our users.
- Volunteers, interns and student workers are utilized to enhance services provided.
- Conducted a Request for Information to determine the costs and resources needed to transition from static shelving to compact mobile units.
- Incorporated Web 2.0 capabilities, namely Twitter and Facebook. These additional capabilities allow patrons and staff to utilize social media and patrons to interact with Archives staff. Postings include a regular feature of “Photo of the Day,” and posting of historical records of importance to Oregon. We have included a feature in our electronic records management system called “Web Drawer” which allows almost immediate access to records classified as “level 1” in the State’s asset classification system. This is also how we are providing access to the digital audio tapes of the legislative sessions.

## **Records Management**

- Need for a statewide solution for managing electronic information at all levels of government
- Need to update special retention and disposition schedules on a five-year cycle.
- Need to update our general schedules issued as OARs on a five-year cycle.
- The ever increasing demand for advice and assistance by state and local agencies on a variety of Records Management issues, especially those relating to electronic records (i.e. use, access, retention, ownership, social media, etc.)
- Ever changing standards and retention requirements set at the national, state and local level that affect how records are kept and for how long.
- Getting State and local government employees to understand their responsibilities as a public employee as it relates to public records.

# Budget Narrative

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## *State Records Center*

- Requests for records are filled within 24 hours of receipt.
- Records are destroyed as soon as their authorized retention period has been met.
- The State Records Center is currently at capacity.

## *Security Copy Depository*

- Requests for microfilm are filled within 24 hours of receipt.
- Each roll of microfilm is inspected to ensure compliance with national and international standards that have been adopted by the Archives Division.

## **Actions Taken**

- Conducted a Request for Proposal (RFP) and awarded a contract to Chaves Consulting/Synergy Data Center in Baker City, OR to host the statewide solution. The Oregon Records Management Solution will be moving from Pilot Phase to full program in the very near future. This solution gives state and local governments an efficient and cost-effective approach to managing their electronic records.
- Participated in national standards committees to develop solutions for the ever developing technology industry. Completed participation on the National Standard for Social Media (Web 2.0) and subsequent white paper as well as the national Statewide Electronic Records Initiative Steering Committee.
- Training State and local government agencies on their responsibilities as a public employee as it relates to public records, including on how to apply the new definition of public records passed in the 2011 Legislative Session.
- Working with the State Records Center's landlord to explore options for expansion. See POP 122
- Updating schedules to ensure that public records are only kept for as long as they are necessary to meet fiscal, legal, administrative and historical requirements. Using social media to provide wider access to information relating to public records and taking advantage of tools such as "Go to Meeting" to provide training virtually saving time and expenses associated with travel.

# Budget Narrative

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## **Publications**

Statutorily set publication deadlines are met despite the ever increasing volume of Administrative Rules and Notices being filed on a monthly basis (approximately 867 permanent and temporary Rules). State Agency Rules Coordinators are provided advice and assistance by telephone, on-site visits and email about filing requirements and procedures, and if necessary, referred to legal counsel.

The Oregon Blue Book is edited and revised every odd numbered year according to a strict publication schedule and the enhanced on-line version is updated daily.

## **Actions Taken**

- Eliminated the hardcopy publication of the Monthly Bulletin
- Enhanced the online Rules Notice Filing application and will be adding the capability of filing permanent and temporary Rules online as well.
- Training State agency rules coordinators so that they better understand the requirements of their position as it relates to Administrative Rules.
- Development of QR Codes and placed in 17 state parks connecting the park location to facts found in the Oregon Blue Book.
- The Internet version of the Oregon Blue Book will continue to evolve as an initial access point for information about Oregon government. Links to State agency websites and standardized, consistent and reliable information about government programs will help citizens navigate through what could be a maze of information.
- Continuing to upgrade our website to incorporate web 2.0 capabilities.

## **Measurements**

The Archives Division evaluates its performance on an annual basis through a survey that measures the satisfaction of its customers, both public and government. The Archives Division also monitors access to its information online and to its physical holdings, and keeps track of web activity when new information is posted.

## Budget Narrative

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