

**MPAC**

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MANAGEMENT PLANNING & ADMINISTRATION CONSULTANTS, INC.

EXECUTIVE SUMMARY  
FOR THE  
FINAL REPORT  
OF THE  
STUDY OF THE RECORDS MANAGEMENT PROGRAM  
FOR THE STATE OF HAWAII

AUGUST, 1988  
MANAGEMENT PLANNING & ADMINISTRATION CONSULTANTS, INC.  
-HONOLULU-

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## TABLE OF CONTENTS

EXECUTIVE SUMMARY ABSTRACT .....	iv
PART I	PAGE
FIVE YEAR PLAN FOR REORGANIZATION AND EXPANSION OF RECORDS MANAGEMENT BRANCH (1989-1994)	
OPTION A .....	1
I. Phase One (1989-1991) .....	1
A. Micrographics and Computergraphics Section .....	1
B. The Records Management Analysis Section .....	5
1. Functionally-Oriented Records Management Analysts .....	5
2. Assignment of Personnel and Specific State Government Department Groups .....	7
3. Records Storage Unit .....	8
4. The Neighbor Islands .....	9
II. Phase Two (1991-1993) Records Information Systems Section .....	10
ORGANIZATIONAL CHART FOR REORGANIZATION AND EXPANSION OF RECORDS MANAGEMENT, OPTION B .....	12
III. Specific "Key" Objectives of the Five Year Plan .....	15
A. "Key" Objectives for 1989-91 .....	16
B. "Key" Objectives for 1991-93 .....	17
C. "Key" Objectives for 1993-94 .....	18
IV. Elements Essential to the Success of the Five Year Plan .....	19
A. The Importance of Training and Commitment of Resources .....	19
B. Release-Time for Training .....	20
C. Travel for Selected Staff Development .....	22
General Overview of Technology Applications .....	26
Sources for Expertise in Records Information Systems .....	29

FINDINGS AND RECOMMENDATIONS	
A. STRENGTHS .....	31
1. Administration of the Program	31
2. Qualified Technicians .....	31
3. The Placement of Departmental Records Officers .....	32
4. Service-orientation and Co-operation Among the Records Technicians .....	32
5. Placement of the State Archives in DAGS .....	32
B. WEAKNESSES .....	33
C. RECOMMENDATIONS .....	34
1. Recognition of the Value of Records Management by Department Heads .....	34
2. Role of Departmental Records Officers .....	34
3. Placement of the Records Officer in each Department ...	35
4. Training for Departmental Records Officers .....	37
5. Records Officer Must Get Commitment from Department Head .....	39
6. Training for Records Management Branch Archivists and Supervisors .....	40
7. Data Collection and Reporting by Records Management Branch .	41
8. Regular Interaction with Neighbor Island State Offices.	42
9. Reorganization and Expansion of Records Center .....	43
10. Improved Communication and Interaction Between Records Enter Staff and Departmental Records Officers .....	43
11. The Physical Plant: Records Center Facility .....	44
12. Processing of Guests and Clients .....	45
Additional Consultant Activities: Records Management Manual .....	46
Additional Consultant Activities: Training Sessions .....	47

## EXHIBITS

## PAGE

[Note: Exhibits begin from No. 15]

15. Department of Accounting and General Services, Position Distribution Chart .....	2
16. Records Management Branch, Position Description Chart .....	3
17. Option A, Organizational Chart for Reorganization and Expansion of Records Management .....	4
18. Option B, Organizational Chart for Reorganization and Expansion of Records Management .....	14

## CHART

Five Year Plan Overview .....	24
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## EXECUTIVE SUMMARY ABSTRACT

The executive summary basically covers the Five-Year Plan for the reorganization and expansion of the Records Management Branch of the Archives Division and a summary of MPAC's findings and recommendations for the records management program for the State of Hawaii.

The executive summary is an abridged version of the Final Report of the study of the records management program for the State of Hawaii conducted by the MPAC team.

Part I of the executive summary outlines the various phases of the proposed Five-Year Plan, describes and explains the purpose and reorganization and experiences of the Records Management Branch, and details the "key" objectives which must be achieved for the success of the Plan.

Part II of the executive summary provides a summary of the findings and recommendations and provides a brief description of the strengths and weaknesses of the present records management program. Detailed recommendations are provided and addresses specific problem areas with the purpose of solving the problem or improving and/or providing a remedy for the specified weakness.



Also covered in Part II is a summary of the training sessions for Departmental Records Officers and a description of the Records Management Manual to be issued by the State Archives in September, 1988. Training tapes in VHS and Beta formats which will help the State achieve and facilitate in-house training in the future was an additional by-product of the training sessions.

PART I

FIVE YEAR PLAN FOR REORGANIZATION AND EXPANSION  
OF RECORDS MANAGEMENT BRANCH (1989-1994)

OPTION A

I. Phase One (1989-1991)

Phase One of the reorganization and expansion of the Records Management Branch would involve an additional four (4) positions; two supervisory positions at the Archivist IV classification and two at the more technical level with duties of a general Records Management Analyst at the Archivist III classification. (See Exhibits 15, 16 and 17).

A. Micrographics and Computergraphics Section

The first phase of the reorganization of the Records Management Branch would require an Archivist IV classification supervisor (SR-21) over the Micrographics and Computergraphics Section. The supervisor of this section would need a background in micrographics and microcomputers and would assist in the planning, implementing, and training with regard to technological applications and advances for the Micrographics Unit, which would be headed up by the existing Microphotographer V. Ideally, Micro-photographers V (SR-13), III (SR-9), and I (SR-5), would work as a team under the

# EXHIBIT 15

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES

## POSITION DISTRIBUTION CHART

JULY 1987

ARCHIVES DIVISION

ARCHIVES DIVISION			
2716	Archives Administrator	M1 HF	A
		EM-05	

19	Secretary III	AB	14
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RECORDS MANAGEMENT BRANCH			
		M1 HF BA	
8690	Archivist V	A	24

HISTORICAL RECORDS BRANCH			
		M1 HF B0	
9655	Archivist V	A	24

27862	Clerk-Steno II	ACA	9
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SUPPORT SERVICES			
3987	Library	A	
1/	Assistant III		7

TRANSLATION SERVICES			
22	Hawaiian	ACA	
	Translator		17

22292	4313	ACA	
	Clerk II		6

MICROGRAPHICS SECTION			
		M1 HF BA A	
12723	Microphotographer V	A	13

LEGISLATIVE RECORDS SECTION			
17	ARCHIVIST IV	A	21

GOVERNMENT RECORDS SECTION			
22291	18	16	ACA
	ARCHIVIST III		21

NON-GOVERNMENT RECORDS SECTION			
21	LIBRARIAN IV	ACA	21

11871	Microphotographer III	ACA	9
-------	-----------------------	-----	---

12954	Clerk III	ACA	8
-------	-----------	-----	---

12952	12953	33360	
	Clerk II	ACA	6

22294	Archivist III	ACA	18
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22293	Archivist III	ACA	18
27086	Clerk III	ACA	8
27895	Clerk II	ACA	6

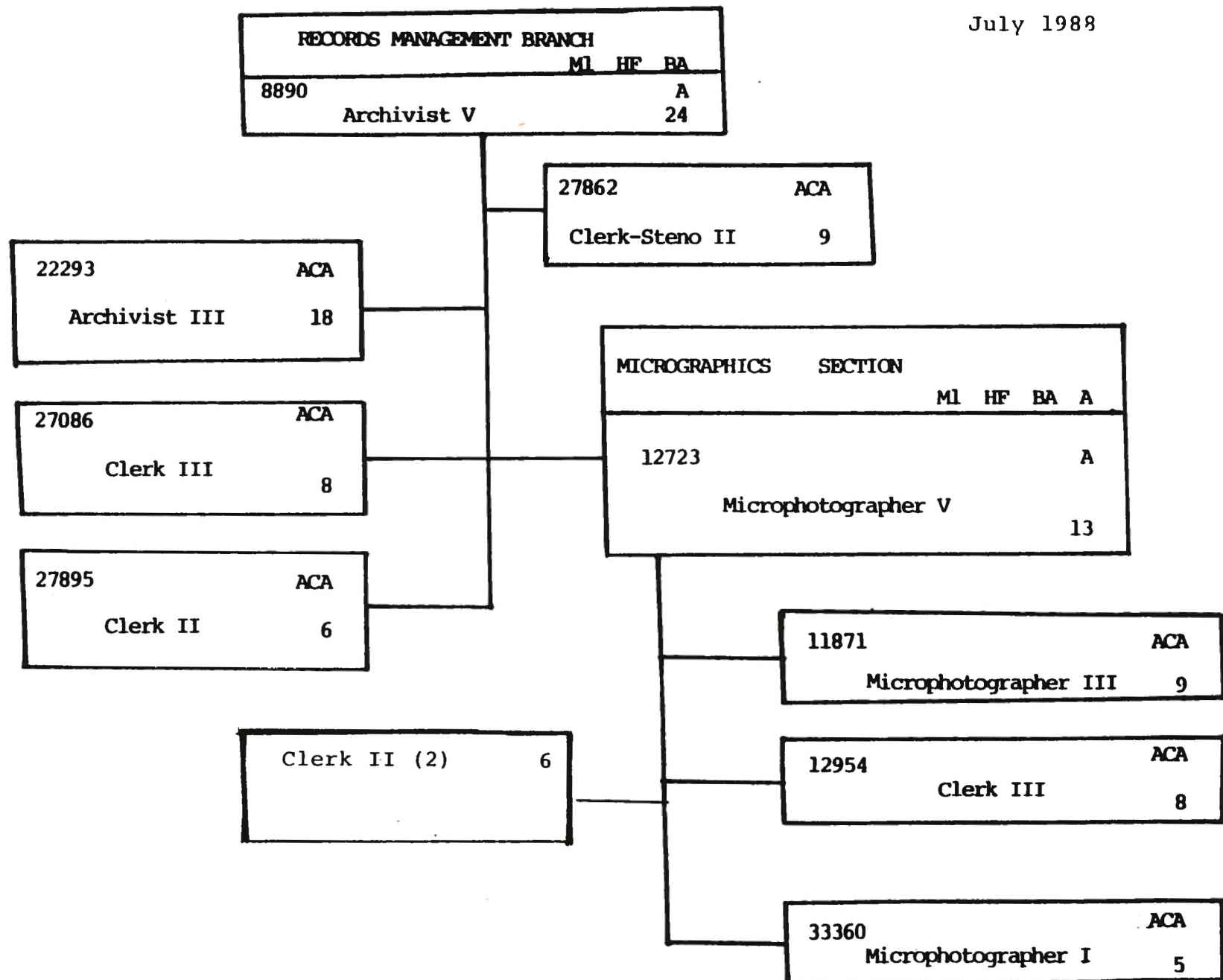
/ to be redesignated.

CHART X

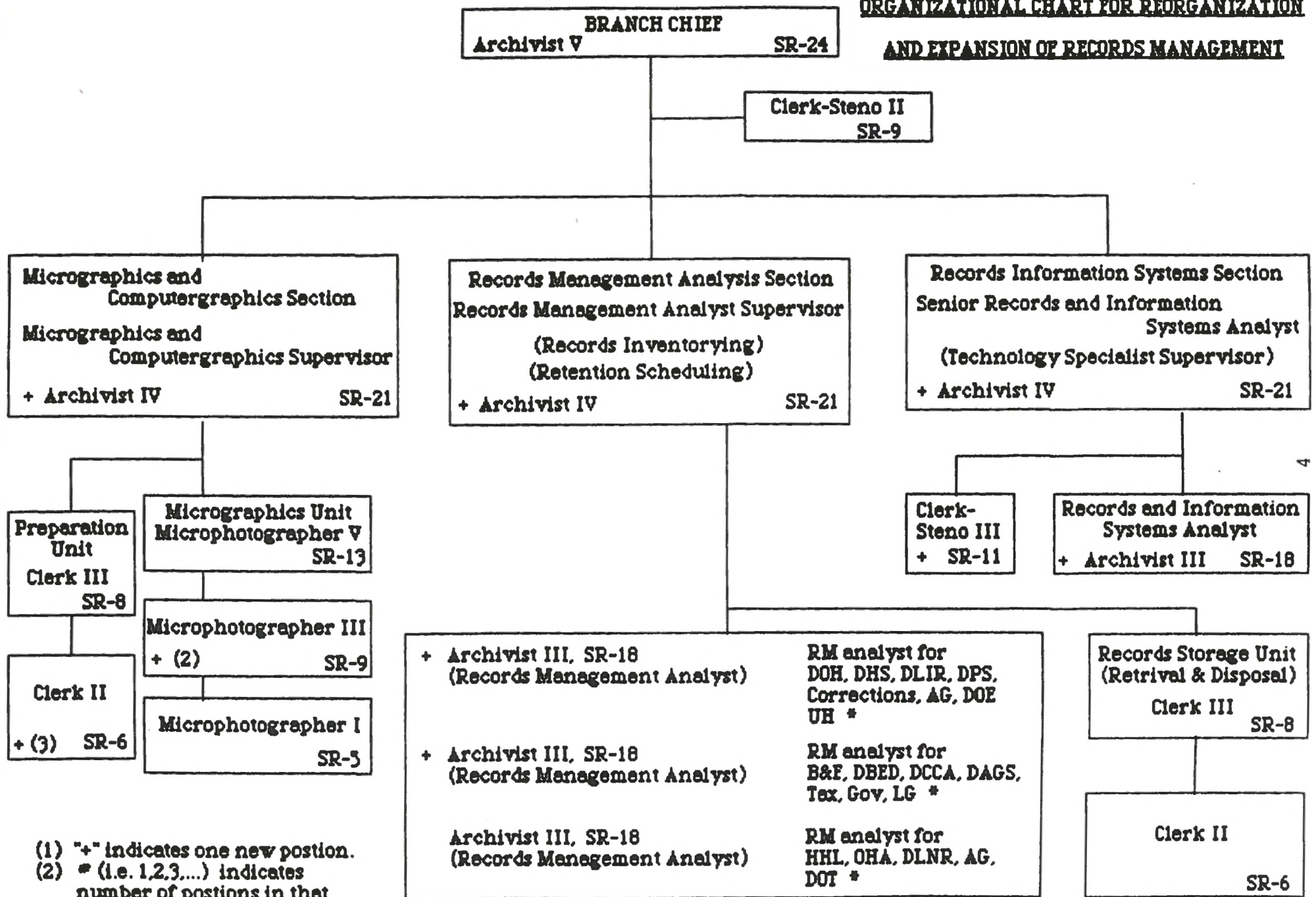
## EXHIBIT 16

RECORDS MANAGEMENT BRANCH  
Position Description Chart

July 1988



**ORGANIZATIONAL CHART FOR REORGANIZATION  
AND EXPANSION OF RECORDS MANAGEMENT**



- (1) "+" indicates one new position.  
(2) \* (i.e. 1,2,3,...) indicates number of positions in that job classification.

\* (and Neighbor Island Offices for each State Department where appropriate.)

training and supervision of the new Archivist IV supervisor position. The existing clerk III (SR-8) preparation specialist would head up the preparation unit and report directly to the Archivist IV, and become part of the team in carrying out specific assignments.

B. The Records Management Analysis Section

Phase One of the reorganization of the Records Management Branch would also require the creation and expansion of a functionally-oriented Records Management Analysis Section.

This Records Management Analysis Section would be headed by a Records Inventory/Retention Scheduling Specialist at the Archivist IV (SR-21) classification. As supervisor of this section, the new Archivist IV position would need a background in all aspects of Record Management but would also be a specialist in Records Inventory and Retention Scheduling. Moreover, the supervisor would be required to provide training in these specialized areas to subordinate Record Management Analysts in the Records Management Analysis Section as well as to Departmental Records Officers from the various State Departments.

1. Functionally-Oriented Records Management Analysts

The Records Management Analysis Section would



be organized to match specific responsibility in the functional areas of government departments.

Ideally, the records management program could improve if each of the 20 state government departments had a full-time Departmental Records Officer. However, 20 new positions would be much too costly and would not necessarily guarantee standardization of procedures, policies, and effective processing of records. Therefore, it is proposed that the Records Management Analysis Section have three (3) groupings of State Government departments based on general functional and service purposes.

Initially, this arrangement would require the addition of only two Records Management Analyst positions at Archivist III (SR-18) classification and would assist in the standardization of records processing within as well as across the three groups of State Government Departments.

Over time, the assignment of the same Archivist III Records Management Analyst to be responsible for and on-call to specified State Government Departments would greatly improve the efficiency and effectiveness of the Records

Management program. Moreover, it is recommended that State Department Heads should cooperate by assigning the same part-time Departmental Records Officer (DRO) for at least five years and encourage orientation and training in the first year for all DROs. The subsequent interaction between the full-time Archivist III Records Management Analyst assigned to the specific department and the trained Departmental Records Officer would further facilitate the effectiveness and efficiency of the overall State Records Management Program.

2. Assignment of Personnel and Specific State Government Department Groups

The Records Management Analysis Section would be initially arranged with three State Government Department groups with the assignment of one Archivist III (SR-18) Records Management Analyst as follows:

Group I - Records Management Analyst for DOH, DHS, DLIR, DPS, Corrections, AG, DOE, UH and neighbor island offices for these departments



Group II - Records Management Analyst for B&F,  
DBED, DCCA, DAGS, Tax, Governor,  
Lieutenant Governor and neighbor  
island offices for these departments

Group III - Records Management Analyst for HHL,  
OHA, DLNR, AG, DOT and neighbor  
island offices for these departments

As stated previously, two (2) of the above  
Archivist III (SR-18) Records Management  
Analysts would be new positions. The third  
assigned Archivist III (SR-18) Records  
Management Analyst would actually be a  
reassignment of the existing Archivist III  
(SR-18) to the Records Management  
Analysis Section.

### 3. Records Storage Unit

The retrieval and disposal functions which  
are presently being serviced by the existing  
Clerk III (SR-8) and Clerk II (SR-6) positions  
will be reassigned to the Records Management  
Analysis Section under the Records Storage Unit  
and report directly to Records Management  
Analysis Supervisor. It is recommended that  
the Records Management Analysis Supervisor  
develop a team approach to better integrate the  
duties and the functions of the three Records

Management Analysts assigned to the State Government Department Groups and duties and functions of the clerks' responsibilities for the retrieval and disposal. This team approach would lead to servicing the records management needs of all state government departments more effectively and efficiently.

#### 4. The Neighbor Islands

Initially, it was thought that a separate neighbor island liaison position be recommended, but after careful consideration by the MPAC team in consultation with the State Archivist, it was decided that Records Management Analysts assigned to each group of departments also be responsible for the neighbor island offices.

Overall, this approach would be a more efficient and effective way to deal with those State departments which have a substantial amount of neighbor island records. Also, instead of one person dealing with all the neighbor island offices, there would be three persons who are already dealing with the same State departments on Oahu to assist the neighbor island offices.

To facilitate the communication process and interaction with the neighbor island offices,

the MPAC team is recommending that each Records Management Analyst visit each neighbor island at least once a quarter (i.e., Maui, Kauai, and Hawaii). This would mean (4 quarters x 3 islands each quarter) 12 round trips for each of the Records Management Analyst assigned to each group of the State Department unless one round trip including all three neighbor islands could be made on a regular monthly basis, in which case this would require just four round trips for each Records Management Analyst.

It is suggested that one day be set aside each quarter for each of the Records Management Analysts for scheduled visits to all three islands. If a particular records problem is known to exist in a specific island office, the State Archives would then be able to also designate a particular person to make the visits to address the problem. Therefore, the archivist would also have the flexibility of alternating personnel in place of the Records Management Analysts, when appropriate.

## II. Phase Two (1991-1993) Records Information Systems Section

Phase Two of the reorganization and expansion of the

Records Management Branch will require the creation of a Records Information Systems Section headed by a Senior Records and Information Systems Analyst at the Archivist IV (SR-21) supervisor classification. The supervisor of this section would be involved in the planning, implementing, and training with regard to technology applications in the critical areas of records processing (i.e., forms and files management, vital records, etc.). This supervisor should be able to orient and train subordinates in all three sections of the Records Management Branch as well as Departmental Records Officers where appropriate and have a broad knowledge of system alternatives to best meet various unique applications.

The supervisor will be assisted by a Records Management and Information Systems Analyst at the Archivist III (SR-18) level. The general job description for this position would be that of an Archivist III but would include specific technical know-how in computer applications similar to that of a Systems Analyst Programmer. This person would be required to know and implement new applications and enhancements to current applications which are the norm for successful records automation systems. It is the Systems Analyst's job to translate these requirements into system implementation. He or she designs the

application based on user specifications and system capabilities, develops the program structure, and tests the application before turning it over to the users. Also, working as part of the Records Information Systems Team would be a records and word computer word processing specialist at the Clerk-Steno (SR-11) level. The SR-11 level is proposed due to the volume of computer word-processing and technical knowledge in a variety of computer software programs which would be required.

#### ORGANIZATION CHART FOR REORGANIZATION AND EXPANSION OF RECORDS MANAGEMENT

##### OPTION B

Option B differs from Option A in the following ways:

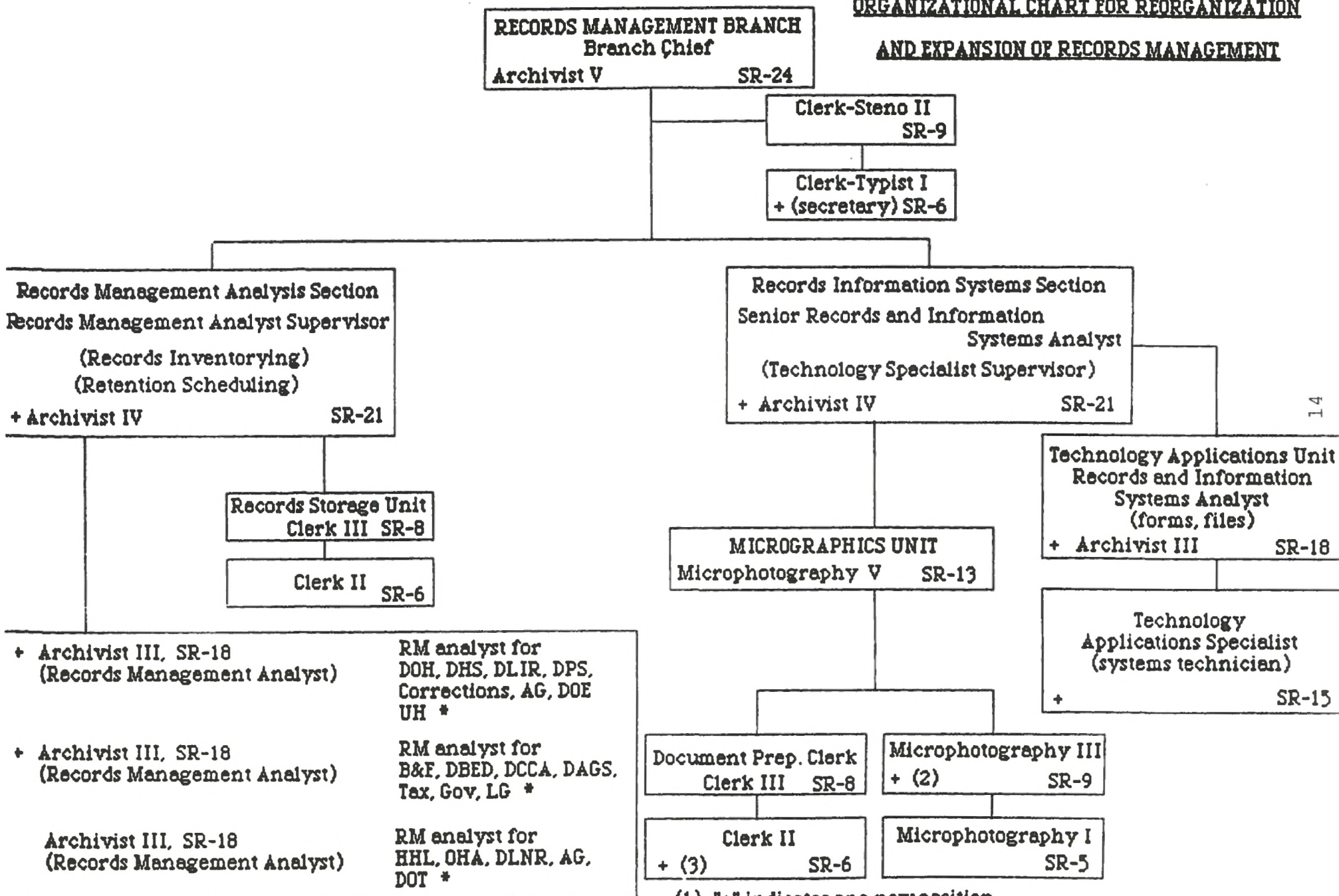
1. Instead of having three new sections as in Option A, Option B combines the Micrographics Section (now Unit) under the supervision of the Records Information Systems Section. The cost-effective advantages of this approach is obvious having only two Archivist IV supervisors rather than three reporting to the Branch Chief. The Senior Records and Information Systems Analyst as supervisor of the Micrographics Unit could also assist to modernize and develop the preparation and micrographics functions. The disadvantage might be in long term effectiveness. If the section remained separate, future

growth in the technological applications for all areas of records management might be better served. However, short term cost-effectiveness could be better achieved through the Option B (two supervisor) approach and may also evolve into a more efficient administrative process in the long run as well. See Exhibit 18.

2. In Option B, there are two phases in the evolution of the reorganization. 1989-91 phase would require the addition of one Archivist IV (SR-21) classification supervisor for the Records Management Analysis Section and 2 Archivist III classification (SR-18) Records Managements Analysts for the State Department groups. However, the 1989-91 phase of Option B would require one Archivist IV classification (SR-21) supervisor for the Records Information Systems Section to assist in the development, planning, implementation and training with regards to the reorganization of the Micrographics Unit and the Records and Information Systems Function of the Records Information Systems Section. Also, the increase in expected workload of the new professionals will require an additional Clerk-Typist I (SR-6) position to assist the existing Clerk-Steno II.

3. Phase two (1991-93) in Option B would require the addition of a Records and Information Systems Analyst specializing in files and forms management. This position would be at the Archivist III (SR-18) level

**ORGANIZATIONAL CHART FOR REORGANIZATION  
AND EXPANSION OF RECORDS MANAGEMENT**



14

\* (and Neighbor Island Offices for each State Department  
where appropriate.)

- (1) "+" indicates one new position  
(2) \* (i.e. 1,2,3...) indicates number  
of positions in that job classification



and as in Option A this person would assist the Records Information Systems Section Supervisor in training and in the implementation of the planned modifications of the Micrographics Unit as well as the Records Management Analysis Section. Unlike Option A, the Records and Information Systems Analyst would head up a Technology Applications Unit.

The successful and continuous operation of a modern records system will require the skills of a Technology Applications Specialist who reports to and assists the Records and Information Specialist in the programming of computer applications, assists in the training of personnel in all sections and be general trouble-shooter for records automation. The job description would be more reflective of the EDP Systems Analyst than that of an Archivist, but should be at the SR-15 level or above.

Option B (1991-93) phase two may also require an additional Micrographer II position at the SR-9 level and an additional Preparation Clerk II at the SR-6 level to carry some of the additional workload in Micrographics expected with the reorganization and addition of professional personnel. Also, the additional Preparation Clerk II (SR-6) will maintain the one to one ratio of preparation clerk to microphotographer.

### III. Specific "Key" Objectives of the Five Year Plan

In addition to the achievement of the regular



on-going objectives necessary to maintain the Records Management Program, it will be important to focus on the achievement of specific "key" objectives during each phase of the Five Year Plan. These objectives are "key" in the sense that they are critical to the success of the Five Year Plan and the achievement of the overall goal of creating a more efficient and effective Records Management Program for the State of Hawaii.

A. "Key" Objectives for 1989-91

1. Records Management Manual: development, training, and orientation (note: State Archivist takes the lead in training DROs in each of the 20 departments).
2. Inventory Review: training and orientation.
3. Retention Schedules Review: up-dating, training, and orientation.
4. Reorganization: review and orientation.
5. Supervisors and technician: staff development (i.e. training).
6. Policies and Procedures: review and up-dating.
7. Records Center: Physical Plant expansion and reorganization.
8. Preparation for in-house training capacity: equipment purchases (i.e. overhead projector, video equipment (VHS format),

monitors, slide projector, screens, etc.).

9. Preparation for automation of Records Management functions: computer purchases, staff development and/or acquisition of staff in computer applications.
10. Recruit and hire "key" supervisory personnel.

B. "Key" Objectives for 1991-93

1. Continue Development of Records Management Manual: training and orientation (note: Each of the DROs having been trained by the State Archivist in the use of the manual in the 1989-91 phase, now should take the lead in training their own records management personnel.
2. Continue inventory review
3. Continue retention schedule up-dating
4. Assess preliminary results of reorganization in view of stated objectives.
5. Assess preliminary results of changes in policy and procedures initiated in the previous phase (1989-91) in view of stated objectives.
6. Assess preliminary results of staff development in view of stated objectives.
7. Assess preliminary results of reorganization

and expansion of Records Center Storage  
Physical Plant.

8. Assess inventory of purchased equipment needed for staff development, training, workshops, etc. and make plans to acquire or make arrangements for joint usage of any other needed equipment or supplies.
9. Assess the progress in Records automation initiated in 1989-91 and make necessary adjustments in staff development of equipment and software.

C. "Key" Objectives for 1993-94

1. Up-date retention schedules based on four year review of inventory in all 20 departments and build these schedules into the Records Management Manual.
2. Continue in-house review and analysis of records automation initiated in 1989-91 and base changes on on-going evaluation conducted in 1991-93 phase.
3. Recruit and hire "key" supervisory personnel for Records Information Systems Section.
4. Develop general guidelines and specific procedures for Records Information Systems Section.

5. Acquire or make arrangements for joint usage with other state departments of specialized equipment and software for computer applications in the inventory of records, retention schedules, vital records control, active records control, and retrieval, etc.
6. Develop specialized training sessions in Records Information Systems Personnel.

#### IV. Elements Essential to the Success of the Five Year Plan

##### A. The Importance of Training and Commitment of Resources

It is absolutely essential that substantial resources are set aside for training and workshop sessions in the 1989-91 and 1991-93 biennium budgets and continued in the 1994 fiscal year if the Five Year Plan is to succeed. What was started in 1988 with regard to training for DROs should continue and expand to the supervisor and technician level. The reasons are obvious. Reorganization and expansion of the Records Center staff and Physical Plant have far-reaching implications for all State Departments. The intent is to have an initial investment over the next 3-5 years to realize cost-savings to the State over the

long-term, that is, the next 10-20 years and beyond. To accomplish the cost-benefit of this Five Year Plan requires increasing the level of efficiency and overall productivity of existing staff at all levels directly involved in records management. Therefore, not only should the training for the DROs be continued, but training for relevant supervisors and technicians should be provided. Therefore, the MPAC team recommends that a minimum of \$5,000 per group per year be set aside for this purpose (i.e. \$15,000 a year total training cost).

If the cost is calculated based on training 20 DROs and about 80 related clerical staff, this would mean only \$50 investment per person per year for the DROs' training and workshops.

#### B. Release-Time for Training

Experience and a review of the literature on organizational change demonstrate that training must go hand in hand with organizational change or you may wind up with a modern organizational structure that is dysfunctional, because the workers, supervisors, and technicians, etc. essential to the change were not made active participants in the process of change. Training and small group interactive-type workshops are,

therefore, essential and a wise investment over the long term.

The MPAC team recommends that even before the 1989 fiscal year begins, that follow-up workshops to the DROs Training provided in July and August of 1988 should be arranged. A sample workshop could involve bringing the DROs from the 20 departments together for one or two sessions focusing on basic inefficiencies such as the real and potential duplication of effort in the retaining of certain documents by all departments and possibly reaching an agreement in designating a particular department to keep certain correspondence, etc. Also, through the interaction, the DROs may discover that one particular department may have a model records retention schedule, inventory procedure, or may have developed a particular useful form or filing procedure that could be adopted by other departments. This type of workshop could be led by either an in-house supervisor knowledgeable in the field or by an outside consultant or a combination of both as team leaders of small groups. The purpose would be to glean from the group process those practical, efficient, and time-saving ideas, approaches, and procedures which would result in the most cost-saving as well as be the most applicable to all the Departments.

These workshops and training sessions would require that the DROs take this time away from their normal routine. Therefore, the MPAC team recommends that a minimum of 20 hours per year be set aside for this purpose.

C. Travel for Selected Staff Development

In addition to the commitment of travel resources for Neighbor Island Outreach on a regular basis, some travel resources should also be committed to the professional development of "key" supervisors. This type of staff development may require sending a "key" supervisor to specialized intensive conferences, workshops, and other relevant training sessions often held on the mainland for 1-3 weeks. The criteria for selection of "key" supervisors should be based on how critical that supervisor is to the successful achievement of the short and long-term goals of the Records Management Program. Whenever possible, arrangements for the professional development should be made for these "key" supervisors prior to their placement in the "key" supervisory positions outlined in the Five Year Plan. Professional development and training prior to placement would be especially critical in situations where the "key" supervisors are recruited and promoted


















vertically from within the ranks of the State  
Archivies Division or related State department (a  
minimum of \$5,000 a year should be committed for  
select staff professional development).



## FIVE YEAR PLAN OVERVIEW

### "KEY" OBJECTIVES

### YEAR

	1989	1990	1991	1992	1993	1994
1. Records Management Manual: development, training and orientation (note: State Archivist takes the lead in training DROs in each of the 20 departments).						
2. Inventory Review: training and orientation.						
3. Retention Schedules Review: up-dating, training, and orientation.						
4. Reorganization: review and orientation.						
5. Supervisors and technicians: staff development (i.e. training).						
6. Policies and Procedures: review and up-dating.						
7. Records Center: Physical Plant expansion and reorganization.						
8. Preparation for in-house training capacity: equipment purchases (i.e. overhead projector, video equipment (VHS format), monitors, slide projector, screens, etc.).						
9. Preparation for automation of Records Management functions: computer purchases, staff development and/or acquisition of staff in computer applications.						
10. Recruit and hire "key" supervisory personnel.						
11. Continue Records Management Manual: training and orientation (note: Each of the DROs having been trained by the State Archivist in the use of the manual in the 1989-91 phase, now should take the lead in training their own records management personnel).						
12. Continue inventory review.						
13. Continue retention schedule up-dating.						
14. Assess preliminary results of reorganization in view of stated objectives.						
15. Assess preliminary results of changes in policy and procedures initiated in the previous phase (1989-91) in view of stated objectives.						
16. Assess preliminary results of staff development in view of stated objectives.						
17. Assess preliminary results of reorganization and expansion of Records Center Storage Physical Plant.						

## FIVE YEAR PLAN OVERVIEW

### "KEY" OBJECTIVES

### YEAR

1989    1990    1991    1992    1993    1994

18. Assess inventory of purchased equipment needed for staff development, training, workshops, etc. and make plans to acquire or make arrangements for joint usage of any other needed equipment or supplies.



19. Assess the progress in Records automation initiated in 1989-91 and make necessary adjustments in staff development of equipment and software.



20. Up-date retention schedules based on four year review of inventory in all 20 departments and build these schedules into the Records Management Manual.



21. Continue in-house review and analysis of records automation initiated in 1989-91 and base changes on on-going evaluation conducted in 1991-93 phase.



22. Recruit and hire "key" supervisory personnel for Records Information Systems Section.



23. Develop general guidelines and specific procedures for Records Information Systems Section.



24. Acquire or make arrangements for joint usage with other state departments of specialized equipment and software for computer applications in the inventory of records, retention schedules, vital records control, active records control, and retrieval, etc.



25. Develop specialized training sessions in Records Information Systems Personnel.



## General Overview of Technology Applications

Various technologies are having a significant impact on records management. The greatest impacts are being felt through the application of micrographics, optical disks, and computers.

The increased significance of micrographics systems is one of the most important impacts of contemporary records management. Space savings is a major advantage of micrographics since space requirements may be reduced by as much as 98 percent. More significant uses, however, relate to the use of micrographic copy in automated retrieval systems and for vital records protection.

The two most important contemporary developments in micrographics involve a marriage of the microform and the computer--Computer Assisted Retrieval (CAR) and Computer Output Microform (COM). In A CAR system, which was mentioned earlier in the discussion of information retrieval, on-line computer data is combined with supportive microform and accessed through the computer terminal. In the COM process, data are fed into the computer and processed directly via a camera onto a film or fiche medium. This provides for much easier applications of electronic storage or retrieval of computer printout data.

With the increased importance and use of

micrographics, the records manager must be aware of the vast number of related products on the market. Wise choices must be made in selecting cameras, processors, readers, and printers. Again, the prime considerations are service and cost.

The optical digital data disk system, or more often referred to simply as the "optical disk" is the newest technology that is having an impact on records management. The optical disk is designed as a system of mass memory and uses laser technology. In this system, 60,000 or more digitized images may be captured on a single 12-inch disk. Images may then be sorted, retrieved, transmitted, or displayed on a terminal. A system may contain multiple disks and the total images in storage may total into the millions. Most of the early systems have been in government operations, but more corporations are now beginning to use them. Also, there is an increased number of companies manufacturing and marketing them. Significantly increased usage is predicted for the future.

Computer technologies have been integrated into various aspects of records management. According to the data from the recent national study of records management programs mentioned earlier, the following table shows the areas of records management in which a computer is being used:

## Computer Applications in Records Management Programs

Retention Schedules

Computer-Output-Microform

Computer-Assisted-Retrieval,

and other Micrographics Applications

Active Records control and Retrieval

Creation Control Programs--Forms,

Reports, and Correspondence

Inactive Records Control and

Records Centers

Vital Records Control

Inventory of Records

Electronic Mail

Destruction Control

Optical Disk Systems

Records managers must understand the implications of the computer and what it can do to enhance the control factors in records management programs. They must also work closely with the data processing specialists in planning, selecting, and implementing appropriate computer hardware and software for specific records management applications. Developing effective security control for computer data should also be a cooperative effort.

(Source: The Fundamental Elements of a Comprehensive Records Management Program by James Bennett, ARMA

Conference, pages 234-5, October 1987)

Sources for Expertise in Records Information Systems

The State Archivist can seek expertise in Records Information Systems from a number of sources. Besides on-the-job training, where does the aspiring records professional go to learn the craft? A number of colleges and universities are recognizing the need for education in this area with program or courses in their business administration or information and library science curricula.

Professional associations such as the Association of Records Managers & Administrators (ARMA), the Association of Information and Image Management (AIIM), the Nuclear Information and Records Management Association (NIRMA), and the International Information Management Congress (IMC), all sponsor annual conferences and seminars on automated document management. Multi-day seminars are also available from professional training organizations such as the American Management Association (AMA).

(Source: "Records Automation" by Bonnie Canning, Administrative Management (November 1987)).

## PART II

### FINDINGS AND RECOMMENDATIONS

#### A. STRENGTHS

As a result of in-depth interviews with former Archivists, staff of the Records Center, and the survey of the Departmental Records Officers, there seems to be a consensus of opinion in identifying the strengths of the present Records Management Program.

##### 1. Administration of the Program

Upper level Administrators such as the Comptroller, the Deputy Comptroller, and the State Archivist are perceived as very capable, flexible, and open to new ideas. The fact that all are relatively new to DAGS and the State Archives Records Center was seen as an advantage. It was believed that they would be less attached to past practices of records management which were in need of up-dating, change, and general staff reorganization and training.

##### 2. Qualified Technicians

The technicians in the areas of microphotography and records storage & disposal were identified as strong points in the Records Management Program. However, it should also be pointed out that a consensus of the respondents also recommended additional training and noted that although many of the technicians are qualified to do their job, they lacked proper supervision.

### 3. The Placement of Departmental Records Officers

Many respondents felt that a strength of the existing program is that there are Departmental Records Officers presently assigned in each of the 20 state departments. The fact that most of these DROs recognize the need for training and greater knowledge of the records management program is a strength in itself. Also, the fact that the DROs realize they need more direction from the Records Center is a strength. The fact that presently these DROs are not getting the direction is a problem that is addressed in the recommendation section of this chapter.

### 4. Service-orientation and Co-operation Among the Records Technicians

The consensus of the respondents, particularly the former State Archivists, was that the technicians at the Records Center were particularly service-oriented and "doing a good job". Moreover, the respondents felt that these same technicians seem to work well together and had a general spirit of co-operation. While specialized training was seen as important and needed for the technicians' professional development, the general consensus was the major problem with service existed at the first-line supervisor level at the Records Center.

### 5. Placement of the State Archives in DAGS

The overwhelming consensus of respondents,



particularly every former Archivist, was that a definite strength of the Records Management Program was its placement in DAGS.

DAGS was seen as a good place for Administrative placement of the State Archives, because it is a service-oriented department. While some states have placed their state records management program in the Lt. Governor's office, this was not seen as a positive alternative for Hawaii, and the consensus was that the program should definitely not be placed in the Public Library System.

#### B. WEAKNESSES

Some of the weaknesses of the program which are presently undermining present and potential strengths of the state records management program have already been alluded to above. Chapters II, III, and IV of the Final Report provides an outline and detailed narrative regarding the general and specific weaknesses of the program. In some cases, the weakness can be addressed with only a slight committment of resources and several policy changes, while in other cases, the weakness will require an on-going and greater committment of resources for staff development (i.e. training) and additional staff in managerial and specialized fields of records management.

The following section on recommendations addresses a wide range of weaknesses with specific recommendations to turn weaknesses into strengths.

## C. RECOMMENDATIONS

### 1. RECOGNIZATION OF THE VALUE OF RECORDS MANAGEMENT BY DEPARTMENT HEADS

The State's Records management program will not get very far in any department without the official mandate of the Director. Employees of the State must also receive a mandate from the Governor which identifies records management as an important responsibility for every employee.

The publication of the Records Management Manual for the State of Hawaii will provide an important guide for Departmental Records Officers to follow standard procedures and should generate renewed interest in the various aspects of records management, beyond mere storage.

### 2. ROLE OF DEPARTMENTAL RECORDS OFFICERS

Given the large size of the state departments and the small size of the archives staff, the Departmental Records Officers will continue to play a pivotal role in the state's records management program. The consultant's survey indicated that what little time the Records Officers are spending on records management is being spent on the mechanics of preparing records or paperwork

for the transfer of records to the SRC. This emphasis is most likely due to the records branch's focus on the physical plant--the Storage Center--rather than the whole range of records management services. These services should encompass records inventory, appraisal, files management, etc. The archivists at the records branch are not fulfilling their responsibilities in bringing these services to the departments. If Departmental Records Officers were educated in other aspects of records management and were allowed to spend more time on records management duties by their department heads, much more could be accomplished in records management in every department.

### 3. PLACEMENT OF THE RECORDS OFFICER IN EACH DEPARTMENT

The consultants' survey of Departmental Records Officers (DROs) showed that each department assigned records management responsibilities to persons in different positions. Ideally, the Records Officer should be in a staff position reporting directly to the Director. This placement would give the program the level of responsibility, visibility, and credibility it needs. The Records Officer must be knowledgeable about the entire department's functions, not only about one or two divisions.

At least 50% of the Records Officer's time should be devoted to records programs. In some departments such as

the University of Hawaii, Department of Health, and Department of Education, the Departmental Records Officer should be a full time position. These responsibilities should be specified in that person's position description so that there is no question that records management will take up more than half of that position's time.

The Records Officer must be available to help any division or branch employee, whether secretary or engineer, in any records management functions such as identifying methods for filing so that when records are boxed for storage, there is a minimum amount of reorganization of files, weeding, or purging. The specific technical expertise in developing the filing scheme or other needs should come from the Archivists assigned in records management services.

Other assistance the Archivist should be able to provide is information about storage equipment, and determining which kind would be best for the department's needs.

The Departmental Records Officer would be critical in bringing the specific records management problem to the attention of the Archivist and providing the necessary information and assistance that the Archivist would need to best solve the problem. An analogy could be drawn to the role of the EDP staff of the Department of Budget and Finance (B&F) when assisting a department's division or

branch develop computerized procedures and systems.

#### 4. TRAINING FOR DEPARTMENTAL RECORDS OFFICERS

In order for Departmental Records Officers to be most effective in their liaison roles between the department and the State Archives, they must be trained in basic records management principles. After the introductory sessions coordinated by MPAC, future training sessions for Records Officers should be implemented over the next biennium in these areas:

- 1) A review of the state's records storage system, including a tour of the Records Center. There should be a review of the forms which must be filled out and submitted to the Comptroller before records can be disposed. It should be emphasized that forms for records disposal are required whether the records are stored in the department, at the SRC, or have been microfilmed.

- 2) Filing systems for general correspondence and directors' correspondence. If necessary, the Archivist should make an on-site visit to the department and give hands-on training.

- 3) Filing methods for records series which are retained by closed dates, such as attorney general case files or social services's cases. This training session should be geared to the goal of eliminating the need to rearrange or weed files before boxing records which are destined for the SRC.

4) How to use the General Records Schedule (GRS) in each branch, division, and department level to reduce the amount of records currently in active storage files. The completion of the revision of the GRS is essential. Departments have been informed that the revision is far from complete. Even if only the 1966 GRS is used, it would still help departments if they understand the function of a GRS and can begin some disposal efforts.

5) How to inventory records unique to the department (or division, branch, etc.) so that more records can be scheduled in the departments. The consultants' survey clearly showed that many departments are floundering and realize they could gain some control over their records if they knew how to inventory and schedule these records for disposition. Encouragement, instructions, and guidance, from the Archivists in the records branch would give the Records Officer more confidence in doing this kind of work. Besides training in how to do an inventory, the Archivist must see that the appraisal process include a determination of whether the records series is of historical value, and see that the right kind of questions are asked to determine retention periods.

6) Department heads should require training of the assigned Departmental Records Officer in the first year of their assignment to their records management duties.

7) The Records Center should make training available based on specific needs of the Departmental Records Officers. Records Center Archivists III personnel assigned to specific departments should develop a survey form which would be sent out on a regular basis (i.e. quarterly) to Departmental Records Officers to determine the consensus among this group regarding the extent and type of training requirements as well as other records management needs.

8) All new Records Center Supervisors at the Archivist IV level should be able to provide training in specialized areas to their subordinates and other personnel at the Records Center and to Departmental Records Officers as needed. For the in-house training concept to be successful, training should be provided by all Archivist II (SR-15) positions and above.

5. RECORDS OFFICER MUST GET COMMITMENT FROM DEPARTMENT HEAD

Commitment from department heads and specific allocation of time to the Records Officer to work on records management matters (anywhere from 50-100% of a workday) would move the State departments forward even while the State Archives seeks new positions in the records management area.

Successful records management will result from a two-pronged effort. On one hand, departments must support

their Records Officer so that the records management "message" filters to all levels in the department. On the other hand, the State Archives must move towards increasing staff, hiring persons who can sell the program and be knowledgeable about technical aspects of the program. Together the Records Officer and the Archivists in the Records Management Branch can bring a team approach to handling any records problem that develops in a department.

#### 6. TRAINING FOR RECORDS MANAGEMENT BRANCH ARCHIVISTS AND SUPERVISORS

The State Archives could benefit by immediately sending the archivists and supervisors of the Records Management Branch to training sessions in:

- 1) Interpersonal communication.
- 2) Development of writing skills, report writing, letter writing, etc.
- 3) Basic supervision: how to give instructions, the value of following-up, how to correct and improve subordinates' work.
- 4) Basic management skills: developing goals, objectives, and priorities, work plans, meeting deadlines, etc.

This recommendation came from the consultants' survey of SRC staff and former archivists. Improvement in the above areas could lead to benefits throughout the Records



Management Branch and better relations with Departmental Records Officers. Courses may be available through the University of Hawaii, the Department of Personnel Services, or community colleges.

#### 7. DATA COLLECTION AND REPORTING BY RECORDS MANAGEMENT BRANCH

The State Archives Records Management Branch can immediately implement a few improvements to its data collection and reporting efforts:

1) Every chart or table should have a title and the date of collection.

2) If percentage figures are calculated, then the base upon which percentages were calculated should be indicated: "N=000".

3) If a series of monthly data have been collected, it is more useful to have monthly figures cumulated annually and have these annual figures arranged by fiscal year over a period of time, say five to ten years, so that trends can be identified. The consultants have cumulated monthly data into annual figures for 1980-1987 for the microfilming section and records storage section.

4) When departmental data are collected and displayed, names of departments should be the most recent name, such as Department of Business and Economic Development for Department of Planning and Economic Development. Every list should show a consistent

arrangement, beginning with the Governor's Office, Lt. Governor, and then alphabetical by department.

5) Data and narrative reports about the SRC might be arranged according to its three functions: Storage, Microfilming, and Records Management Services. However, merely collecting workload statistics is not enough. There should be more effort in developing long range management goals and objectives in records management development of technical expertise in specific records management techniques, and a service orientation that brings the program to the departments.

6) Organizations such as the National Association of Government Archives & Records Administration (NAGARA) and American Records Management Association (ARMA) publish guidelines for collecting and reporting statistical data. In particular, the State Archives Records Management Branch might want to investigate NAGARA's: "Program Reporting Guidelines for Government Records Programs," September, 1987 for help in determining standard work measurements and terms.

#### 8. REGULAR INTERACTION WITH NEIGHBOR ISLAND STATE OFFICES

Neighbor Island records problems could be better addressed through regular quarterly visits for Maui, Hawaii, and Kauai. These site visits should be scheduled and should involve regular meeting times with the Records

Center personnel specifically assigned to the appropriate State Departments.

For example, the Records Management Analyst (Archivist III, SR-18) assigned to the State Department group which includes the Department of Human Services (DHS) and the Department of Labor and Industrial Relations (DLIR) on Oahu would also be responsible for these departments on the neighbor islands as well.

#### 9. REORGANIZATION AND EXPANSION OF RECORDS CENTER

1) Reorganize and expand the records management section with either two new sections (see Option B) or three new sections (see Option A).

2) Reorganize and expand the records disposition (i.e. Records Management Analysis) section and assign the three (two new and one existing) Archivist III positions to specific State Department groups.

3) Organize and expand the micrographics section to include a Technology Applications Technician and records automation capability.

4) Expand and reassign specific records management duties to new Archivist IV positions which would include responsibility for training in specific technical areas (i.e. forms and files management, inventory retention, etc.).

#### 10. IMPROVED COMMUNICATION AND INTERACTION BETWEEN RECORDS ENTER STAFF AND DEPARTMENTAL RECORDS OFFICERS

It is recommended that better communication be

established between the Departmental Records Officers and the Records Center staff by establishing a network and a directory of names, addresses, departments, and phone numbers of the Departmental Records Officers and the Records Center staff assigned to the departments. On the side of the Records Center this would include the specific Archivist III assigned to the department as well as the other Records Center staff and the specific records management services they provide and/or are responsible for. This directory should also be made available to neighbor island offices.

11. THE PHYSICAL PLANT: Records Center Facility

The State Archivist has already developed plans for space relocation at the Records Center which includes enlarging storage capacity, the Records Center staff, and the addition of a much needed microfilm vault (see Appendix for floor plan). In addition to these improvements to the Records Center facility, MPAC consultants would recommend the following:

- 1) There is a sign on the building but there should be a prominent sign on the outside of the building as well as the one on the fence.

- 2) Upon entering the building there should be an attractive Wall Directory (i.e. large white movable letters on black background), indicating the names of the Comptroller, the Deputy Comptroller, the State Archivist,

the Branch Chief, and Records Center staff by functional responsibility (i.e. Records Disposition, Microphotography, Preparation, Storage, etc.).

3) There should be a sign over, on, or in front of each partitioned functional area indicating the function or service which each area performs (i.e. Records Disposition, Storage, Microphotography, etc.).

## 12. PROCESSING OF GUESTS AND CLIENTS

There should be request forms at the counter where I.D.s are checked or registered to give some semblance of the importance of security with regards to state records and to keep a record of who comes and goes and for what purpose. There is a sign-in procedure now but there should be stricter adherence to the sign-in rule. Also, the sign-in process could be a cross-check for client requests for services and provide a number of visits per month record. There should also be a revision of the forms used at the Records Center. There should be a request form for all requests designating the person and/or department which made the request (i.e. by phone, mail, in person, etc.) and the nature of the request and a place for follow-up comments with dates of each interaction and service provided by the Records Center staff.

Additional Consultant Activities: Records Management Manual

In accordance with the contract the consultants also produced under separate cover a looseleaf Records Management Manual for the State of Hawaii. This Manual will be published by the Department of Accounting and General Services, Archives Division. There are ten separate chapters covering the range of records management services to be offered by the State Archives.

The purpose of the Manual was to provide Departmental Records Officers with a one-source guide to effectively administer their department's records management program. Statutes, forms, Comptroller's directives, procedures and instructions for inventorying, scheduling, storing, and disposing of records are included. Micrographics guidelines, filing guidelines, archival records, and glossary, will also have separate sections. Chapters are reserved for Forms management and Vital records which will be completed when these programs have been implemented by the State Archives staff.

The Manual is being prepared on a diskette that can be updated, revised, and edited on the State Archives' IBM computer. This will facilitate any future changes to the Manual. The looseleaf format is another way to make updates simple and quick.

The consultants' survey of Departmental Records Officers indicated that a Manual was greatly needed to

answer some of the day-to-day questions which arise in departments about records management. This Manual will be distributed by the State Archivist in September 1988 at a general meeting with Departmental Records Officers.

Additional Consultant Activities: Training Sessions

In addition to the preparation of the Records Management Manual, the consultants coordinated, planned, and presented three training sessions for records management personnel. The consultants' surveys for the preparation of the Final Report indicated that State Archives staff and Departmental Records Officers felt they needed training in the following basic areas of records management: (1) A general introduction, (2) Inventorying, (3) Scheduling, (4) Filing, and (5) Micrographics. The surveys also indicated that there was some interest in vital records planning, and active interest in learning more about new technologies in the records storage field.

In response to these needs the consultants brought a speaker, Mr. Martin Richelsoph, from the Division of Records Management in Arizona state government, to speak to approximately 125 Departmental Records Officers and other interested employees of the Executive Departments for two half-day sessions at the State Capitol Auditorium, July 28 and 29, 1988. Mr. Richelsoph covered all five areas of records management concerns and vital

records. Early responses have been very positive. Because every Departmental Records Officer has a different background and level of knowledge about records management, these training sessions provided the groundwork to bring all Executive departments to the same basic level. In future dealings with the State Records Center and the State Archives all of the individuals concerned with records management in the State will have the basic vocabulary and appreciation for the importance of practicing good records management techniques.

As an additional service, the consultants had each of Mr. Richelsoph's presentations taped on Beta and VHS videotapes. These tapes will be made available by the State Archivist to interested departments for future training sessions.

The third training session was presented at the East West Center's Imin Hall on August 5, 1988. This session allowed about 60 participants from State departments to listen and learn from four vendors about Computer Output Microfilm (COM), Computer Assisted Retrieval (CAR), Optical Disks (OD), and Image Processing. The four vendors were: Bell & Howell, Canon, Kodak, and Wang. In some instances the vendors used this opportunity to show some of their most sophisticated and newest products in this field. This session lasted a full day and included continental breakfast and lunch.



Evaluation forms were prepared and collected from each training session conducted by MPAC. The results of these evaluations are presented in the Appendices.

