
DOI SURVEY

Name:
Bureau:
Department:
Location:
Telephone:
Email:
Date of Interview:

Defining Requirements for an Electronic Records Management Solution

A series of fact finding questions will be presented to the DOI Agency and it's departments to help define requirements for an electronic RM solution. The responses to these questions will provide a clear understanding of DOI's organizational activities and the documents and records management requirements that surround those activities.

| Demographics | QUESTIONS | COMMENTS |
|---------------------|---|-----------------|
| A.01 | Please describe your bureau's role and industry sector | |
| A.02 | What is your position within your organization? | |
| A.03 | Who is the person responsible for managing the records of this office? Are they a records Officer or do they act as a liaison on these matters? | |
| A.04 | Do you have any relevant DOI policy and procedure manuals? | |
| A.05 | Total number of employees in your organization? | |

| Records Management | QUESTIONS | COMMENTS |
|--------------------|--|----------|
| B.01 | How would you rate the effectiveness of your current records management program? | |
| B.02 | When was the last time the File Plan and Records Schedules were updated? | |
| B.03 | Do your records management policies and procedures address electronic records? | |
| B.04 | Do you have a File Plan, Retention Schedule and Records Procedure Manual addressing records management issues in a comprehensive way? Are there supplemental guidance memos on records management issues? | |
| B.05 | Is there a clear connection between the records management program and the overall mission of the agency? | |
| B.06 | Is there a regular forum for records management, legal, IT and other stakeholders to collaborate and cooperate on records management initiatives? | |
| B.07 | Does your organization have existing off-site file storage facilities or does it use NARA? | |
| B.08 | Roughly how much is kept in off-site storage? How many different vendors involved? | |
| B.09 | Do all sites meet NARA requirements? | |
| B.10 | Currently, How do you do existing record transfers to NARA? | |

| Records Retention Schedules | QUESTIONS | COMMENTS |
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| C.01 | Does your organization have comprehensive records retention schedules which includes electronic records? And are all electronic records included in your organization's record management program? | |
| C.02 | Does your organization follow its retention schedules? | |

| Management of Electronic Records | QUESTIONS | COMMENTS |
|----------------------------------|--|----------|
| D.01 | Who currently has primary responsibility for the day-to-day management of electronic records in your organization? And who is the IT resource on records issues? | |

| Filing of Documents Electronically | QUESTIONS | COMMENTS |
|------------------------------------|---|----------|
| E.01 | Does your organization currently have a document management or records management system for sharing, distributing, filing, and the application of retention schedules for electronic documents internally? | |
| E.02 | Do you have specific suggestions for addressing the following potential complications associated with an electronic filing system? A) Protection of confidential material B) Verification of data authenticity C) Verification of data source D) Management of system failures E) Maintaining internal processing quality while changing over to an electronic filing system F) Other concerns and proposed solutions | |

| Record Series | QUESTIONS | COMMENTS |
|---------------|--|----------|
| F.01 | How are records maintained? (Paper, Electronic, Mix) | |
| F.02 | Are paper records copied to another medium (Digital, Microfilm, etc.)? | |
| F.03 | Where are records filed (filing cabinets)? How? | |
| F.04 | How many linear feet of records are there with in your organization? | |
| F.05 | How are the records organized? (Filed by Series Number, by Calendar year?) | |

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| F.06 | Are there any existing indexes, lists or other cross-reference sources? | |
| F.07 | How often are records retrieved or requested? | |
| F.08 | Do you have confidential or sensitive material? | |
| F.09 | Please identify your file plan elements <ul style="list-style-type: none"> • Classification Number / Series Number • Titles of Records • Description of Records • Location of Records | |
| F.10 | What is your current storage of electronic files on a network share area (Volume, Number of files, file types, GB in storage, Annual Accumulation)? | |
| F.11 | What is your organization of those files (by file folder, subject area, date range, cutoff period)? | |
| F.12 | What documents do you generate (titles, types, content, reports from databases, etc.)? | |
| F.13 | Who are they distributed to (internal or external)? | |
| F.14 | How are they generated (physical or electronic)? | |
| F.15 | Do you retain copies (and how are they retained)? | |
| F.16 | What documents do you receive (titles, types, content)? | |
| F.17 | Who do they come from (internal or external sources)? | |
| F.18 | How are they received (physical or electronic)? | |
| F.19 | What are they used for (what purpose do they serve)? | |
| F.20 | What do you generally do with them (scan, file discard)? | |
| F.21 | Of the documents to be scanned, what are their physical sizes? (8.5x11, 11x17, etc.) | |
| F.22 | What are the characteristics of the documents you scan? (double-sided, multi-page, bound, handwritten, printed text, maps, color) | |
| F.23 | Are there photographs that need to be scanned? | |
| F.24 | What is the volume of documents that require scanning in your organization? | |
| F.25 | What file format do you save your scanned documents in? (TIFF, Searchable PDF) | |
| F.26 | What method do you use to index your scanned documents? | |
| F.27 | Do you collect metadata on what you scan? | |
| F.28 | How do you process your hard copy documents? | |

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| F.29 | Where do you store your hard copy documents? | |
| F.30 | What method do you use to index your hardcopy documents? | |
| F.31 | What types of media are used to store your scanned documents (CD/DVD, System Disk)? | |
| F.32 | How many documents or how much information (MB) is stored on these media? | |

| Legal | QUESTIONS | COMMENTS |
|--------------|---|-----------------|
| G.01 | Does your organization have a formal plan (policies and procedures) to respond to discovery requests for records? | |
| G.02 | Does your organization have a hold order record system which includes electronic records? | |
| G.03 | Are department's compliance with records management program policies and procedures? | |
| G.04 | Are the records needed for legislative or regulatory reasons? | |
| G.05 | Are the records needed for accountability purposes? | |
| G.06 | How important do you believe that the process by which records are managed will be important in future litigation? | |
| G.07 | If legally challenged, how confident are you that your department could successfully demonstrate that its records are accurate, reliable, and trustworthy – many years after they were created? | |
| G.08 | Assess your organization's ability to find and retrieve information from archival storage media in response to legal discovery requests? | |
| G.09 | Assess your organization's ability to find and retrieve information from backup storage media in response to legal discovery requests? | |

| IT Related | QUESTIONS | COMMENTS |
|------------|---|----------|
| H.01 | What storage devices does your organization use to back up its computer systems? | |
| H.02 | What storage devices does your organization use to archive data? | |
| H.03 | Does your organization use backup media for archival purposes and therefore retain certain "backups" (such as backups of e-mail servers) for longer periods of time to meet legal and regulatory requirements or to satisfy long-term business needs? | |
| H.04 | Does your organization have and apply retention rules to its archive and long term backup media? | |

| Scanning | QUESTIONS | COMMENTS |
|----------|--|----------|
| I.01 | Does your organization scan documents as part of your daily operations? | |
| I.02 | What imaging solution does your organization use? (software program, scanning equipment) | |
| I.03 | Can you explain how you track and retrieve scanned documents? | |
| I.04 | Are quality checks performed for your scanned documents? (If yes, please describe the steps) | |
| I.05 | What happens to your hard-copy documents after they are scanned? | |
| I.06 | What documents do you produce in carrying out your operational responsibilities that may be potential candidates for scanning? | |
| I.07 | Do you have departments that collaborate with regards to document imaging and management? (If yes, which departments or organizations) | |
| I.08 | What policies and procedures are used to guide your work? (If any, please provide them) | |
| I.09 | Are there documents off-site that will need to be imaged? | |
| I.10 | Is there a general file format your electronic documents are delivered in? | |

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| I.11 | Do you have documents to be scanned that are time sensitive for storage and retrieval? | |
| I.12 | What policies and practice does your organization use regarding access to your various documents (Security, Access Control)? | |

| Database | QUESTIONS | COMMENTS |
|-----------------|--|-----------------|
| J.01 | Identify each database or system by its official title, then acronym (Tracking, Case, Action Item) | |
| J.02 | Is this a National/Regional or Local office database? | |
| J.03 | Provide a brief summary that describes the type of information in the database system and primary use. | |

| COOP | QUESTIONS | COMMENTS |
|-------------|--|-----------------|
| K.01 | Is there a disaster recovery plan for vital records? | |
| K.02 | Does your department have a backup/recovery plan for all documents and images? | |

| Other Issues | QUESTIONS | COMMENTS |
|---------------------|--|-----------------|
| L.01 | Are you aware of the records management policy of How to file emails? | |
| L.02 | What role does the National Business Center have with your organization? | |
| L.03 | What ECM/DM system are you currently using or planning for? | |

| Closing Questions | QUESTIONS | COMMENTS |
|--------------------------|--|-----------------|
| M.01 | What suggestions do you have for the next steps in this information gathering process? | |
| M.02 | Please share any comments or additional questions you might have for the review team. | |

