

## DEPOSITOR SURVEY – ELECTRONIC RECORDS STATUS

Organization:

Person(s) Interviewed:

Interviewed by:

Date:

### **Generating E-mail**

1. Does your organization have a Records Management Policy?  
If so, please provide name, title, and contact information for the Records Manager.
  
2. Tell me how your organization uses e-mail to document your decisions and activities. [i.e., decisions re grants via e-mail? substantive content in body of e-mail? In attachments only? E-mail replace any paper records that would normally come to us? Does everyone have e-mail?]
  
3. What types of substantive information does your office receive via e-mail? [e.g. grant proposals?]
  
4. Who maintains info@yourorganization.org e-mail incoming and responses?
  
5. Who has access to alter e-mails after they have been sent?

**Retaining E-mail**

6. How are your saved e-mails organized (e.g., standardized subjects and folders)?
  
7. Where are e-mails saved (in e-mail Inbox, IMAP folders, on desktop folders, attached to database, etc.)
  
8. If saved in databases, please identify the programs.
  
9. Does the database include notes and other information such as grant files or is it only a search vehicle?
  
10. What is the organization's policy regarding retention of e-mail (length of time kept, on desktop versus server, etc.)?
  
11. If you are responsible for retaining your own e-mail, please indicate:  
Type media stored on (i.e. hard drive, CD, magnetic tape, server, paper copy, etc.)

Where and how long is it stored (e.g. off-site forever, on-site 6 months)?

12. What is the oldest date of e-mail you created here that you still have?

13. What happens to e-mail attachments regardless of whether you sent or received the mail (i.e. retain as separate file on your hard drive)?
  
14. If you have e-mail and attachments that were generated in e-mail clients and software programs no longer used, what were those clients and programs?
  
15. What happens to a person's e-mail when they leave or change job areas?
  
16. If you want to locate an e-mail not currently on your desktop, how would you do that?
  
17. What government or organizational (legal, SEC, human resources, etc.) guidelines are you required to follow for retaining and making accessible certain e-mail?
  
18. How do you segregate that type e-mail?
  
19. How are grant or other applications received (and decisions sent regarding those) via e-mail retained – in format received, in Inbox, in database, etc.?

**Other Electronic Records**

20. What types of electronic data are generated or used by personnel in your office/unit?

Databases \_\_\_ Spreadsheets \_\_\_ GIS \_\_\_ CAD \_\_\_ Publications \_\_\_  
Images, still \_\_\_ Images, dynamic \_\_\_ Graphics \_\_\_ Webpages \_\_\_  
E-conferencing \_\_\_ Blogs \_\_\_ Surveys \_\_\_ Instant/text messaging \_\_\_  
Digital photos \_\_\_ Web/Podcasts \_\_\_ Audio \_\_\_ Video/DVD recording \_\_\_  
Board meeting or other meeting recordings \_\_\_  
Proceedings of Lectures, workshops, symposia, conferences, retreats \_\_\_  
Other (please specify)  
\_\_\_\_\_

21. What types of electronic data does your office receive other than those listed above, including grant products?

22. What software programs and versions, e.g. Word, Excel, Power Point, Access, Publisher, Quark, does your office use?

Other, including proprietary (please specify)

23. What programs were used that are no longer in use?
24. What changes do you anticipate in the format of each type of information, i.e. will certain paper documents be digitized?
25. What other documents exist now in electronic form only?
26. What is expected to be electronic only within the foreseeable future?

**Website**

www.\_\_\_\_\_

27. What do you receive online – grant applications, employment applications, survey responses, etc.?
28. Where, in what format, and for how long are those retained?
29. Who manages your website content?
30. Who provides content for the website and where is the source information kept other than the website?

31. Is the website periodically captured? By whom? Where is it retained? How long?

32. Press releases – How long on web? Kept in what form afterward? For how long?

33. Newsletters – How long on web? Kept in what form afterward? For how long?

34. Speeches – How long on web? Kept in what form afterward? For how long?

35. Other web content – How long on web? Kept in what form afterward? How long?

36. What information about your organization exists only on your website?

### **Organization Specific Information**

37. Do your officers continue to maintain written diaries? If not, what substitutes for those and where are the records kept?

### **Comments**

Please indicate any additional information you believe would be beneficial to our understanding Electronic Records in your office.

## Information Technology

38. Name and contact information of Information Technology Manager
  
39. When did your office begin using computers?
  
40. What type server(s) do you use and where is it located?
  
41. What operating system and version does your office use?
  
42. What other systems have been used?
  
43. What generation of computer hardware does your office currently use (if multiple, please include all)?
  
44. If anyone in your organization uses laptops, home computers for work, devices such as flash drives, how and when are those integrated into your server?
  
45. How often and when are desktop hard drives backed up on the server?
  
46. If data is retained, please indicate:
  - Length of time stored
  
  - Location
  
  - Type media (i.e. hard drive, floppy disk, server, paper copy, etc.)
  
  - Format (hardware generation(s))

47. How is e-mail retained and for how long?
48. What e-mail applications do you use? What others have been used in the past?
49. How is it organized? Filed by subject?
50. If a lawsuit required production of all e-mails on 'x' subject between dates 'y' and 'z', how would you retrieve those?
51. Are the messages stored in a tamper-evident manner?
52. Are they stored in an appropriate preservation format? What format are they stored in?
53. Are they parsed into database fields?
54. Are they stored as BLOBs (binary large objects)?
55. Can the e-mails be deleted and/or destroyed? Are they really gone?
56. Is there an encrypted audit trail or destruction certification mechanism?

57. Does the system dedupe messages, i.e., when staff try to attach an e-mail that has already been attached how does the system respond?

58. How are SPAM and personal/confidential messages handled?

59. Is the subject truncated or otherwise modified (e.g. punctuation modified)? How?

60. How much of the e-mail is attached to a database (e.g. GIFTS or TimeMatters)? Complete e-mail with full header (all the transmission data) and attachments (in their native format)? If less, how much less?

61. How is the e-mail technically embedded in the database system? Is it really linked rather than embedded in the system database? (For example, the TimeMatters system splits out the attachments and places them on a network file server to which all office staff have edit and delete privileges.)

62. Who designs and maintains your website? Please provide contact information.

63. Who in your office (please include retired or no longer employed) might be familiar with electronic records produced, maintained, stored and how could they be contacted?

### **Comments**

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