

# 3.3 ARCHIVAL INQUIRIES

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## 1. OVERVIEW

1.1 An **Archival Inquiry** is a request from a **Researcher** to the Archives for:

- Access to archival holdings; or
- Information based on archival holdings; or
- Information about the Archives program.

Use the Inquiry table in the Archives Module to register and track these requests.

The screenshot displays the 'INQUIRY' form in a web browser. The form is for an inquiry with ID '2017-057' by 'Richard Dancy'. The status is 'In progress: waiting'. The form includes fields for Inquiry identifier, Title / descriptor, Researchers, Purpose, Type of access, Start date, and End date. A status dropdown menu is open, showing options: 'In progress: action required', 'In progress: waiting' (selected), and 'Closed'.

1.2 Inquiries vary in complexity. An inquiry may be:

- A short, one-time interaction in which an archivist provides information to an anonymous researcher (e.g. in a telephone call); or
- An extended research project involving multiple researchers making multiple visits to the Archives' reading room to consult the Archives' holdings over the course of months.

1.3 Use the Inquiry table to:

- Register an inquiry.
- Update its status (in progress or closed).
- Flag inquiries that require action by the Archives.
- Register one or more researchers (or leave anonymous).
- Record multiple interactions with researchers over time.
- Track archival materials retrieved and consulted.
- Process digitization requests arising from the Inquiry.

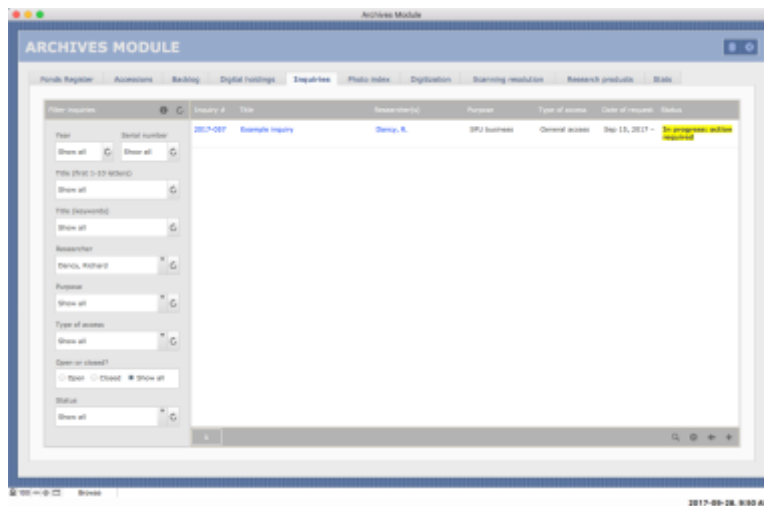
- Document agreements and notifications that have accountability implications.
- Log research products associated with the Inquiry.
- Generate reports and statistics about archival reference service.

1.4 Inquiries are assigned unique identifiers in the form YYYY-NNN.

- E.g. 2017-044 = the 44th inquiry of 2017.
- The identifier can be edited (but you will be warned if a number has already been assigned to a different Inquiry).
- Behind the scenes, AIS also assigned a unique ID in the form INQ-x; this ID cannot be edited and is used to link the Inquiry to other records throughout the system.

## 2. VIEW / BROWSE INQUIRIES

2.1 Browse existing inquiries on the **Home > Inquiries** screen.

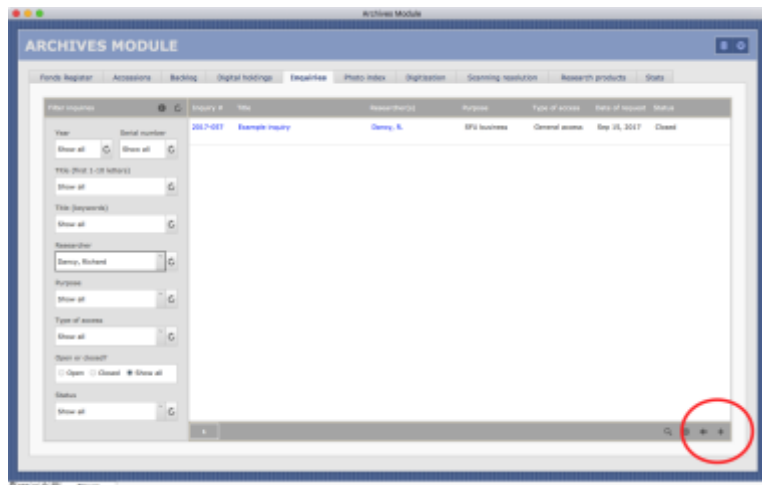


2.2 The display list shows inquiries that match the filter criteria selected on the left.

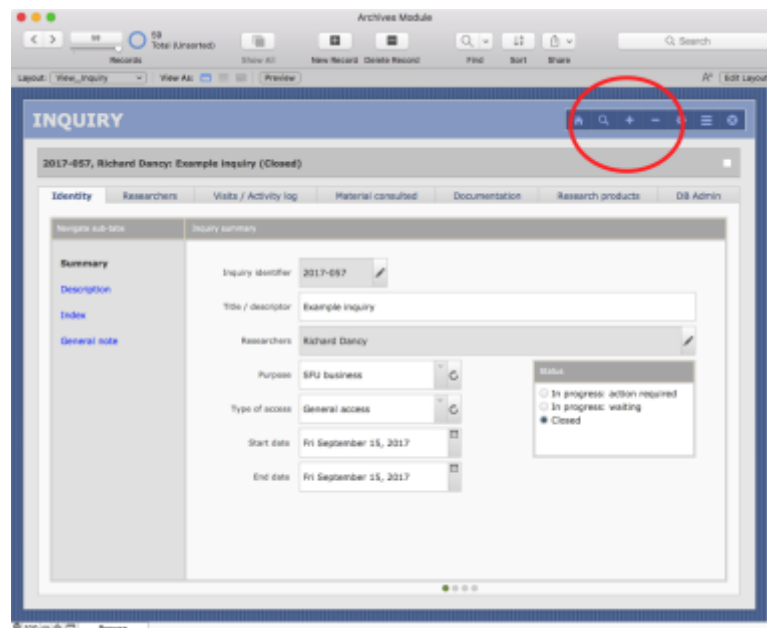
- Filters by default are set to "Show all".
- The list is sorted by *Inquiry status* so that any inquiries that require action by Archives appear at the top, with the status field highlighted.
- Click the *Inquiry number* or *Inquiry title* links to navigate to the full inquiry record.
- Click the *Researcher(s)* link to navigate to the agent authority records of the researcher(s).
- Click the GET ALL button (arrow icon below the display list) to get all displayed inquiries on the **List View** screen.
- The example illustrated here shows a list of only one entry (to avoid showing here actual researchers' information).

### 3. CREATE A NEW INQUIRY

- 3.1 Create a new inquiry from either the **Home** screen or from the Inquiry table on any **Record View** or **List View** screen.
- 3.2 From the **Home** screen:
  - Click the NEW RECORD button (+ icon) in the lower right section of the screen below the display list.



- 3.3 From the **Record View** or **List View** screens:
  - Click the NEW RECORD (+) icon in the Navigation Bar in the upper right area of the screen.



- 3.4 By either method, AIS will create a new inquiry record and route you to the **Data Entry** screen in a new window.

## 4. DATA ENTRY SCREEN

4.1 Click the HELP button (top right) to download (pdf) the Data Dictionary for the Inquiry table.

4.2 The **Data Entry** screen is organized into three areas:

- All the fields in Section A are mandatory.
- Sections B (Description) and C (Primary researcher) are optional.
- For quick, one-off inquiries Section A is sufficient.
- For inquiries that are likely to result in multiple interactions or required substantial research by the reference archivist, you should complete Sections B and C as well.

4.3 For quick, one-off inquiries, you do not need to enter / register the researcher's name and contact details.

- **But do enter the researcher's department or affiliated organization whenever possible as this supports statistical analysis.**
- If you leave both the person and department blank, the Inquiry researcher will appear as "Anonymous".
- Record the researcher's name and full details if the inquiry is likely to result in multiple interactions over time.

4.4 If the researcher's name or the name of the department / affiliated organization do not appear in the respective drop-down list, click the + button next to the field to add a new agent record.

- For details, see [AIS4 User Manual, 5.2 Add a New Agent from a Pick List](#).
- 4.5 If you do register the researcher (i.e. select an agent in the *Person* field), note the UPDATE button that may appear at the bottom of this section.
- The UPDATE button will appear when the researcher's contact details on the current screen are different than the data on the agent authority file.
  - **Click the UPDATE button if you want to overwrite the details on the agent record with the information as entered on the current Data Entry screen.**
  - The researcher's agent record should always have the most current information.

## 5. VIEW / EDIT AN INQUIRY

- 5.1 To subsequently view or edit an inquiry record, navigate to it (e.g. from the **Home** screen).
- 5.2 The **Record View** screen shows a complete individual record.
- The fields are organized into tabs and sub-tabs.
  - Click the List button (horizontal lines icon) in the Navigation buttons bar in the upper right section of the screen to get a list view of all records in your current set.
  - For more information on the general feature of any **Record View** screen, see [AIS4 User Manual, 1.1 Common Screens / Layouts](#).

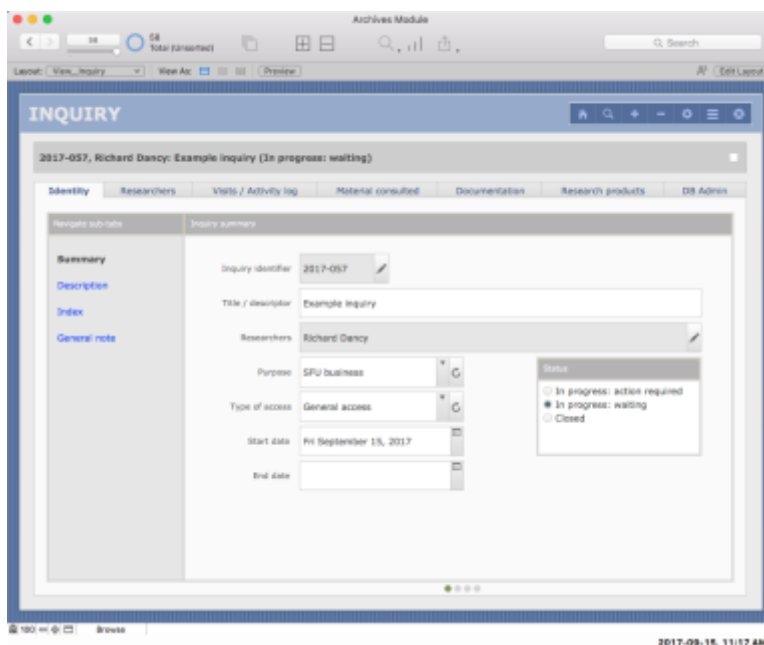
- For detailed descriptions of each field, see [AIS4 Data Dictionary > Archives Module > Inquiry](#).

## 5.1 Identity tab

5.1.1 The **Identity** tab gives an overview / summary of the inquiry.

5.1.2 The *Status* field should be updated as required.

- "In progress: action required" = the inquiry is waiting on the Archives to complete an action.



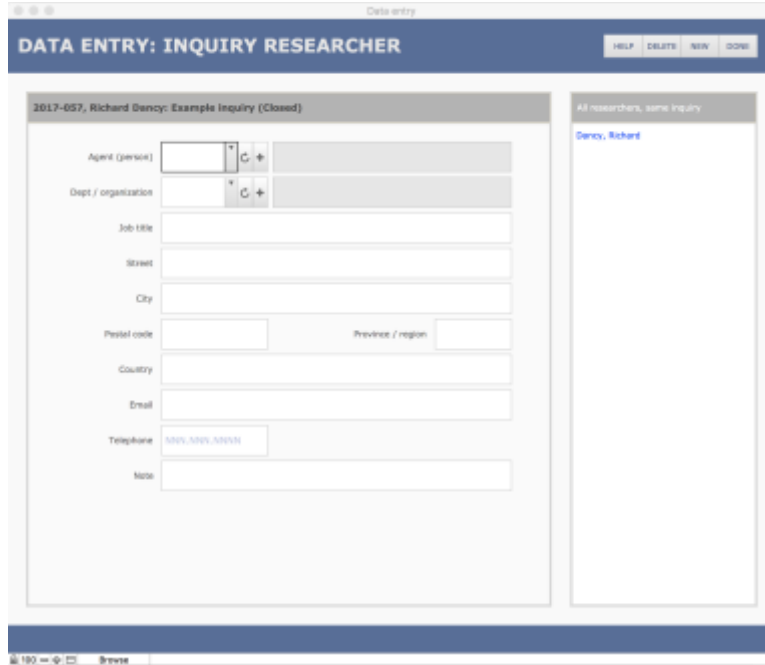
## 5.2 Researchers tab

5.2.1 The **Researchers** tab displays a portal showing researchers associated with an Inquiry.

- The researcher's name is a link; click to go the researcher's Agent authority record.
- 0 entries = anonymous inquiry.
- If researchers are registered, you must always select one as the "primary researcher" (even if there is only one researcher).
- Click the check box in the person's entry to select as the primary researcher.
- The primary researcher's entry will be shaded.

5.2.2 Add a researcher by clicking the Add button (+ icon) in the bar below the display portal.

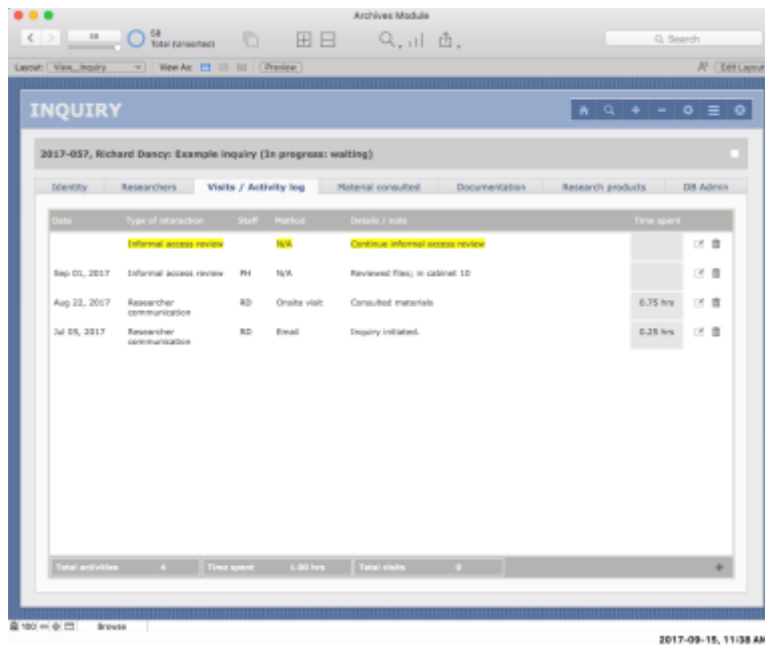
- The AIS routes you to **Data Entry: Researchers** screen in a new window.
- See remarks above (4.4, 4.5) on data entry for researcher information.



### 5.3 Visits / Activity log tab

5.3.1 The **Visits / Activity log** tab displays a portal showing communications relating to the inquiry and interactions with its researchers.

- You can directly edit the *Time spent* field (enter the number of hours).
- To edit the other fields, click the EDIT button (pencil icon); the AIS will route you to that entry on the **Data Entry** screen in a new window.





5.3.2 You can add entries for actions that have not yet been done in order to flag tasks that the Archives must still complete.

- By leaving both the *Date* and *Staff* fields blank, an entry is flagged as outstanding.
- Outstanding actions are highlighted yellow in the portal display list.
- When the action is completed, edit the entry to complete the *Date* and *Staff* fields.

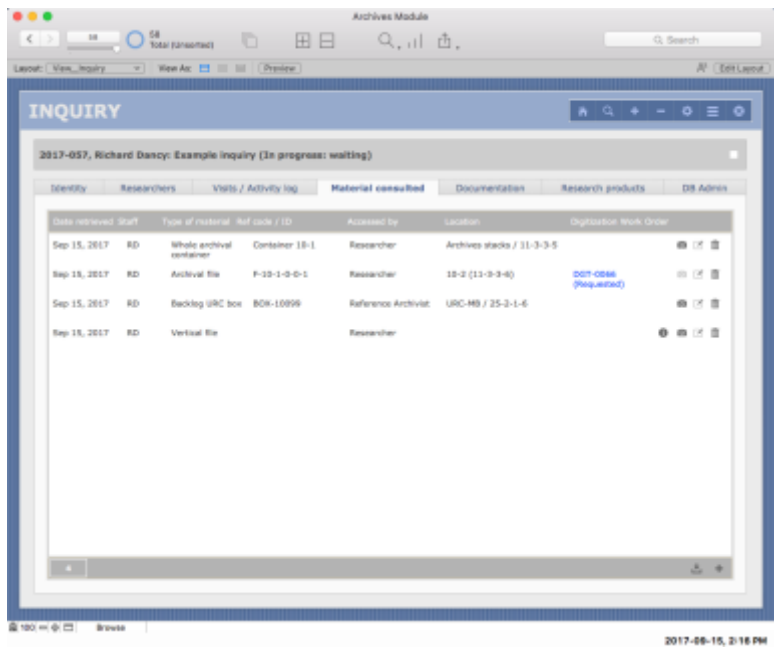
5.3.3 Add a new entry by clicking the Add button (+ icon) in the bar below the display portal.

- The AIS routes you to the **Data Entry: Activity Log** screen in a new window.
- The *Update inquiry status* field (greyed out) refers to the inquiry as a whole, not this particular action; click the Edit button (pencil icon) to update the inquiry status.

## 5.4 Materials consulted tab

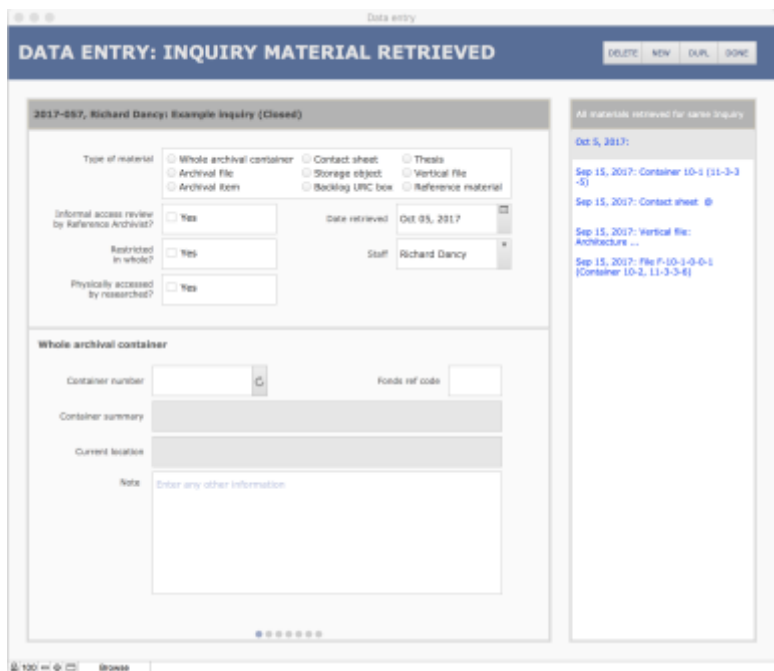
5.4.1 The **Material consulted** tab displays a portal showing archival materials that have been retrieved for purposes of answering the inquiry.

- An INFORMATION ICON ⓘ will appear if the entry includes a *Note* (not displayed in the list); to view / edit the *Note* field, click the icon.
- The DIGITIZATION icon (camera) is used to add material to a digitization Work Order (see [section 5.5](#) below).
- If the material has already been added to a Work Order, the camera icon in its entry will be greyed out and the *Digitization work order* field will function as a link to the full Work Order record (e.g. DGT-0046).
- If the Work Order has been completed, the text will be presented as strike-through (e.g. ~~DGT-0046~~).



5.4.2 Add new materials by clicking the ADD button (+ icon) in the bar below the display portal.

- The AIS routes you to **Data Entry: Inquiry Material Retrieved** screen in a new window.
- The fields available in the lower data entry area will vary according to the *Type of material* selected.
- The **DUPLICATE** button (upper right area of the screen) will add another retrieval record using most of the same data (type of material, date, staff) as the current entry; the full identifier will not be duplicated.



## 5.5 Digitization Work Orders

5.5.1 Before you can add material to a Digitization Work Order, you must first have registered the file / item to be digitized as material consulted as described in [section 5.4 above](#).

5.5.2 Note that there can be multiple Work Orders for one Inquiry.

- **Once a Work Order has been logged as "Completed" you should not add to it; create separate Work Orders as needed.**

- For example, a researcher requests a reproduction, it is completed and delivered; the researcher then subsequently requests other material for reproduction.
- In this example, the second request should be registered as a separate Work Order.

5.5.3 Add material to a Work Order by clicking the DIGITIZATION (camera) icon in its entry.

- The AIS routes you to **Data Entry: Digitized Material** screen in a new window.

5.5.4 Add the material to an existing Work Order or create a new one.

- The drop-down list shows all Work Orders associated with the inquiry that are still in progress.
- If there are no such Work Orders, the field will be shaded; you must click the NEW (+) button to create a new Work Order (see note 5.5.7 below).
- The CANCEL buttons (in the upper navigation bar) and the CLRFLDS (clear fields) button (in top of the data entry area) have the same effect – they clear all fields, removing the material from any Work Order.
- But whereas the CANCEL button also closes the **Data Entry** window, the CLRFLDS button leaves it open.

5.5.6 You can add other material to a Work Order from the same **Data Entry** screen:

- Click an entry in the sidebar to the right to navigate to that record while remaining on the same screen.
- Enter any other pertinent information relating to the digitization of the unit.
- A camera icon will appear next to entries that have already been added to a Work Order.
- Note that you can later navigate to a digitization Work Order to view / enter more detailed information, e.g. special instructions, notes about the Work Order as a whole.

5.5.7 If you create a new Work Order (see 5.5.4), the AIS will open a new (smaller) window with a new **Data Entry** screen.

- Complete fields and click the Done button to create the new Work Order.

## 5.6 Documentation tab

5.6.1 The **Documentation** tab displays a portal showing documentation associated with the inquiry; it allows you to upload digital files and view, edit and add documentation metadata.

5.6.2 **Upload only documentation that is needed by the Archives for long-term accountability purposes.**

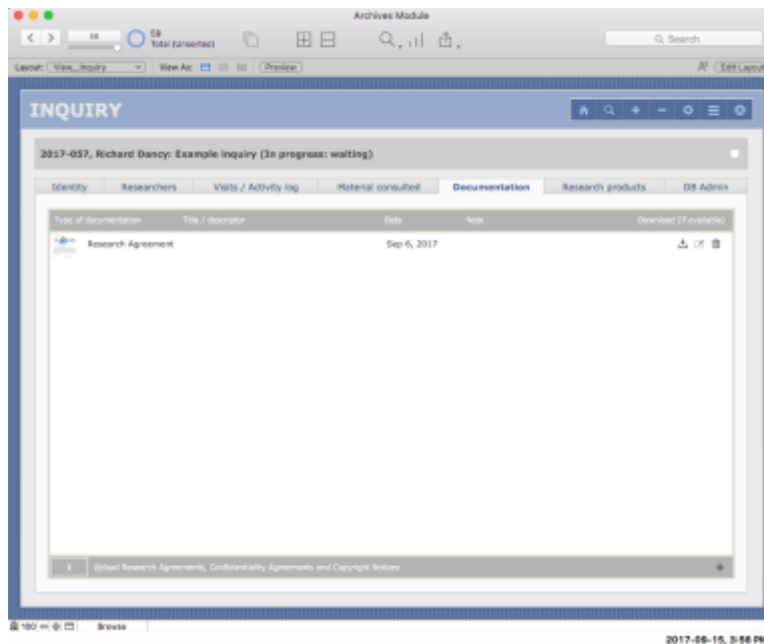
5.6.3 **Do not upload here:**

- Copies of routine email correspondence (keep this in the Inquiry's email case file in SFU Connect, retained for CY Inquiry closes + 2 years).
- Working and transitory documents, e.g. AtoM search results (keep these on the Inquiry's desktop case file, retained for CY Inquiry closes + 2 years).
- Digitized output (retain a copy on the Inquiry's desktop case file and upload one copy to Virtual Stacks).

- Copies of research products (use the [Research Products](#) tab for this purpose).

#### 5.6.4 **Do upload here:**

- Scanned copy of a signed Research Agreement and any addendums.
- Scanned copy of a signed Confidentiality Agreement.
- Copyright Notices sent by SFU Archives to the researcher(s).



- 5.6.5 You can download the digital file directly from the portal by clicking the DOWNLOAD icon in its portal entry.
- 5.6.6 Add new documentation by clicking the ADD button (+ icon) in the bar below the display portal.
- The AIS routes you to **Data Entry: Documentation** screen in a new window.
- 5.6.7 To upload a digital copy of the documentation, on the **Data Entry** screen click the appropriate UPLOAD button (Image, PDF, Other type) and navigate to the file.
- Click the CLEAR button to clear the field.
  - Signed Research and Confidentiality agreements should be scanned as PDFs for upload.
  - Copyright notices should be uploaded as PDFs rather than Word or LibreOffice documents.
- 5.6.8 The *Title / descriptor* field can be left blank if you selected one of the standard values in the *Type of documentation* field (Research agreement, Confidentiality agreement, Copyright notice).
- If you choose "Other" as the *Type of documentation*, enter a title or descriptor.
- 5.6.9 The *Text content* field returns the text of the document but only if the file is a .txt file; it does not work with PDF or Word documents.

- This field is generally not relevant for inquiries as the documents uploaded will typically be PDFs.

5.6.10 There are a number of fields (*File name, Specs* etc.) that returns data from the digital object itself.

## 5.7 Research products tab

5.7.1 The **Research products** tab shows a portal displaying works created by researchers associated with the inquiry.

- You can upload a digital copy of the work if available; or just provide a citation to the work.
- If a digital copy has been uploaded, you can download it directly from the portal by clicking the **DOWNLOAD** icon.

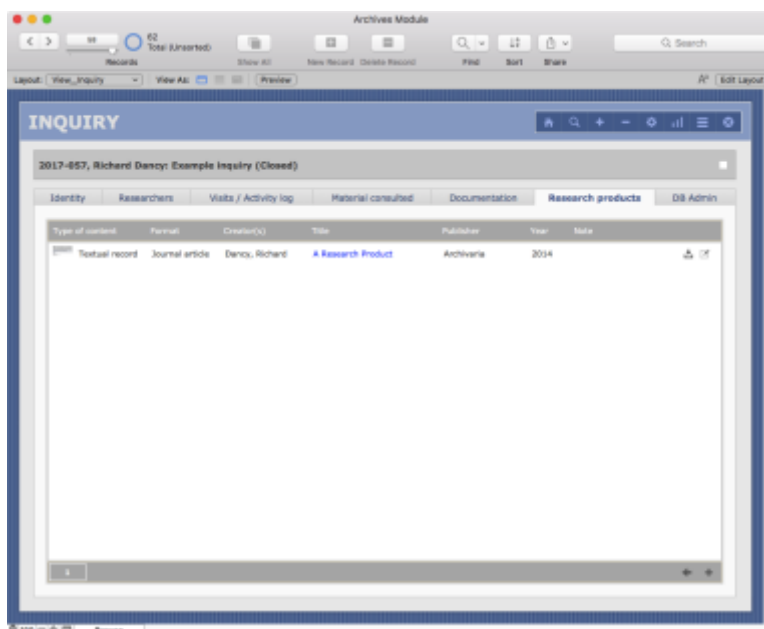
5.7.2 Add new documentation by clicking the Add button (+ icon) in the bar below the display portal.

- The AIS routes you to **Data Entry: Documentation** screen in a new window.

5.7.3 Note that you can register research products that are unrelated to any specific inquiry by creating a new record from the **Home > Research products** tab.

- This will also route you to the same **Data Entry** screen.

- 5.7.4 For more information on research product records, including field descriptions, see *AIS4 User Manual, 3.6 Research Products*.



## 5.8 DB Admin tab

- 5.8.1 The **DB Admin** tab is primarily intended for the AIS System Administrator to facilitate system trouble-shooting.

- It displays calculation fields and other data needed "behind the scenes."
- Most users should not need to access this tab, and fields cannot be directly edited here.
- For more information on the **DB Admin** tab, see [AIS4 User Manual, 1.1 Common Screens / Layouts](#).

## 5.9 List view

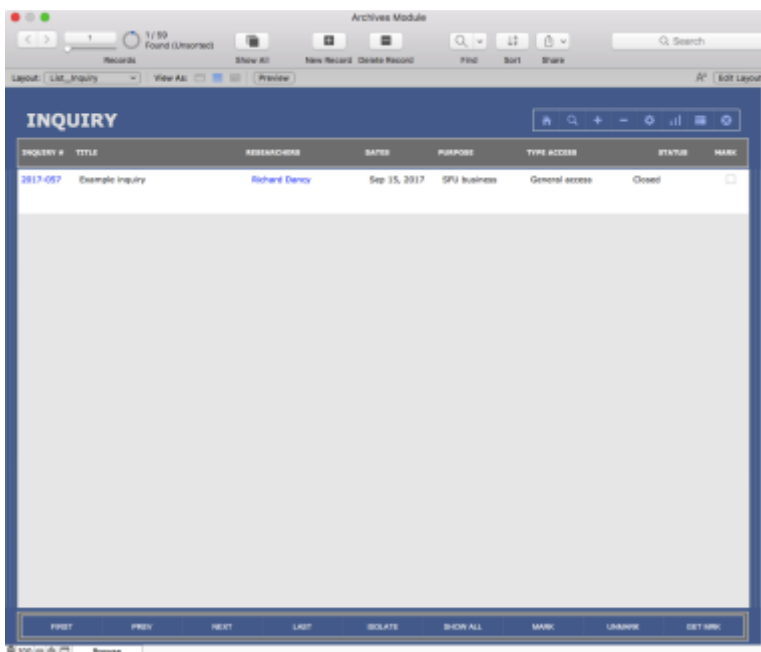
- 5.9.1 The **List View** screen shows an abbreviated entry for each record in your current set.

- Access the **List View** by clicking on the LIST VIEW icon in the NAVIGATION BUTTONS in the upper right section of the screen.

- 5.9.2 The current record on **List View** is highlighted white.

- Sort the records by clicking on a header column; click the same header again to reverse sort by the same field.
- To return to the full **Record View** screen for an entry, click its *Inquiry identifier* (blue link) or select it in the list and click the FULL VIEW icon in the Navigation Buttons in the upper right section of the screen.
- *Name(s) of the researcher(s)* functions as a link (blue text); click to navigate to the researchers' Agent authority records.

- 5.9.3 Note that in the example given below, there is only one record in the current set (to avoid showing actual researcher names and data).
- 5.9.4 For more information on the buttons and general features of the List View screen, see the description [AIS4 User Manual, 1.1 Common Screens / Layouts](#).



## 6. REPORTS AND ACTIONS

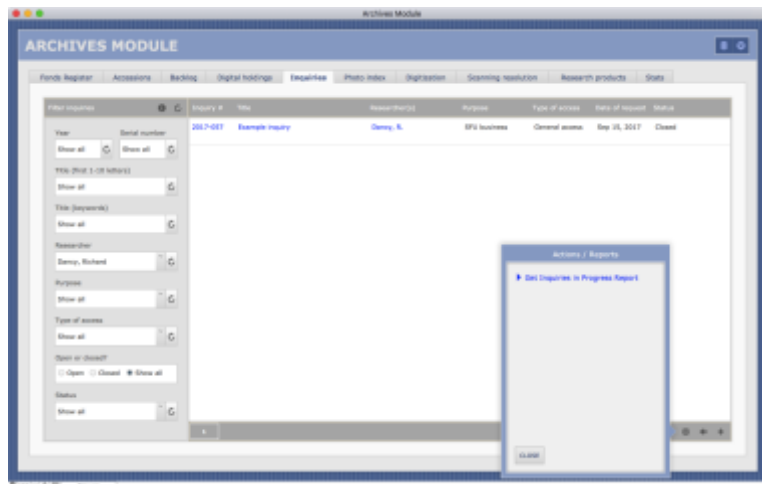
- 6.1 You can run reports and pre-programmed actions on inquiry records from the **Home** screen or any inquiry **Record View** or **List View** screen.
- **Home** screen reports and actions operate on all records in the Inquiry table.
  - **Record View** / **List View** reports and actions operate on the current record or the current set of records.
- 6.2 For more information on generating reports, see *AIS4 User Manual 1.3, Reports, Actions, Statistics*. The following paragraphs describe the reports available in the Inquiry table.

### 6.1 Home screen reports and actions

- 6.1.1 On the **Home > Inquiries** screen, click the **ACTIONS** button (gear icon) to open **Reports / Actions** menu. The following reports / actions are currently available.
- 6.1.2 *Get Inquiries in Progress Report*
- Finds all inquiries currently in progress (*Status* = "In progress: waiting" or "In progress: action required").
  - Sorts inquiries alphabetically by primary researcher.

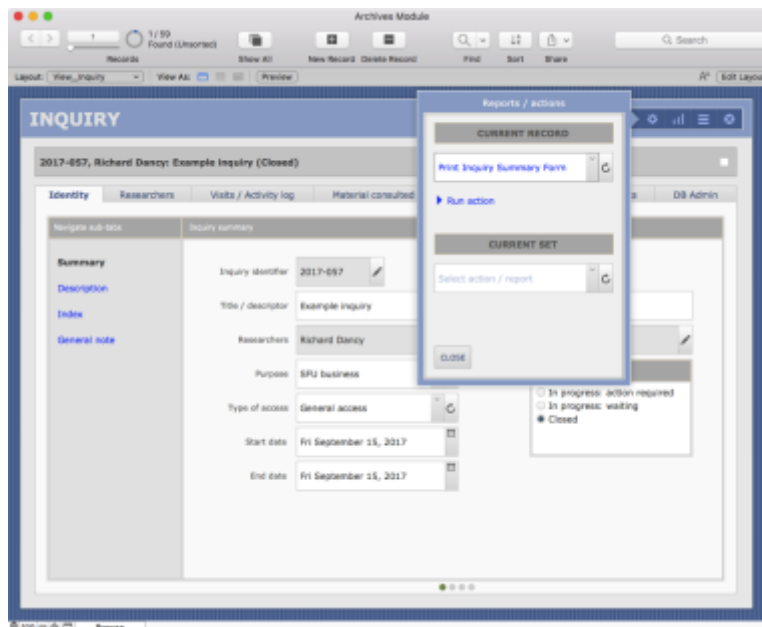


- Report displays researcher(s) and latest five communications.
- Inquiries requiring Archives' action highlighted.
- This report can be printed e.g. at the start of the week or on Reference Archivist handover from one staff to another.



## 6.2 Current record

- 6.2.1 On the **Record** or **List View** screen, click the **ACTIONS** button (gear icon) to open **Reports / Actions** menu. The following reports / actions are available for the current record.



### 6.2.2 *Print Inquiry Summary Form*

- Creates a printer-ready summary form for the current inquiry.
- Includes a list of researcher communications / actions sorted chronologically from earliest to latest (displays up to 200 entries).

- Includes a list of materials consulted / retrieved sorted by type of material and reference code (displays up to 400 entries).

## 6.3 Current set

6.3.1 On the **Record** or **List View** screen, click the **ACTIONS** button (gear icon) to open **Reports / Actions** menu. The following reports / actions are available for the current set of records.

### 6.3.2 *Basic list*

- Creates a printer-ready list of the inquiries in the current set.
- Prompts to supply a report title.
- Report shows inquiry ID, title, researcher(s), dates, purpose, type of access and status.
- Default sort order sorts by inquiry ID, but can be sorted by other column headers or manually by any field in the Inquiry table.

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## Document Control

<b>Version history</b>			
<b><u>Version</u></b>	<b><u>Date</u></b>	<b><u>Finalized by</u></b>	<b><u>Version notes</u></b>
v1.0	Nov 16, 2017	Richard Dancy	First iteration