

Taking Records Inventories into the 21st Century



Transformation
through Partnerships

Lorrie A. Robb, CRM
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It's scientifically proven that an afternoon nap improves productivity, so I've scheduled a records management PowerPoint presentation for 2:25pm today.

Agenda

- Importance of Partnerships
- Down to Basics – The What and the Why of Inventories
- Functions and Components of Records Inventories
- A Case Study

Importance of Partnerships

- Are you driving efficiencies?
- How effectively are you handling your inventories?
- Are you partnering with the right people?



Down to Basics of Records Management

- Records Inventories
 - What do they entail?
 - Why do we do them?



Down to Basics of Records Management (cont'd)

- CFR Requirements
 - 36 CFR 1220.32(c) – Records are available when needed, where needed, and in a usable format to conduct agency business
 - 36 CFR 1222.28 (c) – Identification of the location of the records and the staff responsible for maintaining the records
 - 36 CFR 1225.12(b) – Prepare an inventory for each function or activity to identify records series, systems, and nonrecord materials.
 - 36 CFR 1238.22(c) – To facilitate inspection, the agency must maintain an inventory that lists each microfilm series...

Down to Basics of Records Management (cont'd)

- DOE O 243.1A – 4.b and CRD 1.c
- Maintain up-to-date inventories, file plans, or electronic information systems that provide for the identification, location, and retrieval of all categories of records created and received in the course of official business.

U.S. Department of Energy
Washington, D.C.

ORDER
DOE O 243.1A

Approved: 11-7-2011

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. **PURPOSE** To set forth requirements and responsibilities for making and preserving records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the [Department of Energy (DOE)] and designed to furnish the information necessary to protect the legal and financial rights of the Government and persons directly affected by [DOE] activities. 44 United States Code (U.S.C.) 3101.

a. To establish and sustain a central federated enterprise wide methodology for promoting the lifecycle management of records and information content.

b. To provide for:

- (1) Awareness that records creation and management are the responsibility of every DOE employee.
- (2) Adequate and proper documentation of DOE activities, organizations, functions, policies, business processes, decisions and essential transactions.
- (3) Effective privacy protections and controls over all records and non-record materials in the Department's custody.
- (4) Technical capability to capture, preserve, access and appropriately dispose of electronic records.
- (5) Identification and transfer of permanent records to the National Archives, transfer of inactive temporary records to compliant records storage facilities, and disposal of temporary records when retention periods have expired.
- (6) Lifecycle management that ensures the authenticity, reliability, usability and integrity of DOE records.
- (7) A coordinated approach for records and information management activities across the Department.

c. To comply with the Federal Records Act [Public Law (Pub.L.) 81-574], as amended, the E-Government Act of 2002, and other legislation as referenced in paragraph 7 of this Order.

d. To protect the legal and financial rights of the Government and individuals directly affected by Government activities.

AVAILABLE ON LINE AT
<http://www.directives.doe.gov>

INITIATED BY:
Office of the Chief Information Officer

Records Inventories

- How are you going to do them more efficiently, effectively, and strategically?
- Start your partnership!
- Think outside the box!



Records Inventories - What is it you need?

- Where are the records stored?
- What record types are at each of those locations
- Who is responsible for them at each location
- Once we know this information, how do we keep it up-to-date?



Where are your records?

- Initial Inventories
- Provide Training
 - What to look for?
 - Who to talk to?
 - How to identify records vs. nonrecords
- Categorizing Records and Nonrecords
 - Have a listing of all available record types to choose from
 - Allow the ability for users to select from this listing
 - Have this information available in a site-wide system



Who is responsible for them at each location?

- Responsibility for each record locations needs to be established
- Only trained personnel or custodians?
- How will you communicate their roles and responsibilities?
- Policies and procedures in place and up-to-date to implement?



Once you know this information, how to keep it up-to-date?

- Do people move around frequently at your site?
- How will you track when areas need to be reassigned?
- How will changes to the schedules affect your inventory?



Case Study – What we did at the Idaho National Laboratory

- Key – Knowing where to start
 - Policies and Procedures
 - Requirements Rolldown
 - Our document hierarchy
 - Program Description Document
 - Laboratory Wide Procedure
 - Templates and Forms



What was next?

Development of the INL Records Schedule Matrix

- Oracle database of all the records schedules the INL uses. Includes:
 - A Uniform Filing Number
 - Descriptions, Disposition Authorities, Retention Periods, Citations
 - Destruction Moratoriums (if any)
 - Quality Assurance Scope/Type (if any)

UFC	Description	Disposition Authority	Retention Period	Retention (Requirement/Citation)	<u>Destruct</u> Moratoriums	Quality Assurance (Scope/Type)
6105	Spill Prevention Control and Counter-Measures (SPCC) Records	ENV2-b-5	Cutoff annually. Destroy 3 years after cutoff.	40 CFR 112.7	EPI (Epidemiological)	Sitewide / QA NonPermanent

• Record Types Lists

- Easily generated
- Easily updated
- Allows specific titles and alternate descriptions
- Comment fields
- Automatic changes

Plan Number: PLN-970								
Records Coordinator: Sundberg, Julie								
Location: UB1 1NA102								
UFC	Record Description	Categories	Disposition Authority	Destruct Moratorium(s)	Retention Period	Retention (Requirement/Citation)	Quality Assurance	Media Form
1151	Request for proposal (FP)/Purchase Orders/ Subcontract - Procurement files including contract, statement of work, Requisitions, purchase orders, lease, bond, surety records, and related correspondence and papers pertaining to award administration, receipt, receiving acceptance inspection for payment for equipment, services, exceeding \$100,000 and construction contracts exceeding \$2,000. <i>Alternate Description:</i> <i>PO/Subcontract</i> <i>Comments:</i> <i>This is for purchase orders or subcontracts over \$100K. They are kept for 1 year and then sent to IRSC.</i>		A3-3-a-1-a		Cut off after final payment. Destroy 6 years and 3 months after final payment.			Paper
1151	Request for proposal (RFP)/Purchase Orders/Subcontract FOR QUALITY SIGNIFICANT PROCUREMENTS Facility/equipment procurement packages exceeding \$100,000 and construction exceeding \$2,000. Vendor trip reports/review meeting minutes, bid package/abstract evaluation, design review package/comments/resolutions for quality systems, structures, and components. <i>Alternate Description:</i> <i>QA Procurements</i> <i>Comments:</i> <i>This is to be used for QA Procurements which are maintained on a server while being worked. They will reside on the server until which time they are placed on EDMS. This is to be done in a timely manner.</i>		A18-35-b	EPI (Epidemiologic al)	Destroy upon permanent removal of item from service or upon permanent termination of items use, unless the document will be applicable to a replacement item.		Sitewide / QA Lifetime	Electronic Paper

Creating Records Management Plans

- Fill-in-the-blank template
- Standard text
- Specifics for that organization
- Table
 - Where all the organizations records are located
 - Who is responsible for them
 - Name of list the identifies the types of records at that location

Form 41209 (Rev. 10)

Idaho National Laboratory		Identifier: PLN-[XXXX]
RECORDS MANAGEMENT PLAN FOR [NAME OF MANAGEMENT SYSTEM, FUNCTION, FACILITY, ORGANIZATION, PROGRAM, OR PROJECT]		Revision: [X] (DRAFT) Effective Date: _____
		Page: 1 of 6

1. INTRODUCTION

1.1 Purpose and Scope

Together with [LWP-1202, "Records Management"](#) this records management plan (RMP) describes the *records management* (see def.) activities of the [add name of management system, function, facility, organization, program, or project] at INL. It defines the unique responsibilities, authorities, and interfaces required of the [add name of management system, function, facility, organization, program, or project] to ensure the consistent care of information in all *media forms* (see def.) throughout its life cycle [creation/receipt, use, maintenance, storage, and *disposition* (see def.)].

[Add requirements or other applicable descriptive or exclusionary information specific to this facility, organization, program, or project. Include any litigation support exclusions, interface agreements, and other relevant contingencies. If none, delete this paragraph.]

1.2 Description

1.2.1 Applicability

This plan is applicable to [add name of management system, function, facility, organization, program, or project] whose main function is to [enter main function of management system, function, facility, organization, program or project covered by the plan]. Records that document the execution of the function are listed in the appropriate record types list(s) created in 1.2.3 and their location identified in the table in 1.2.2.

1.2.2 Records Coordinator(s), Document and Records Service Centers, and Satellite File Locations

The following table lists the *Records Coordinator(s)* (see def.) with their assigned *Document and Records Service Center* (DRSC; see def.) or *satellite file location(s)* (SFL; see def.) and the name of the record types list used at each location. *Records custodians* (see def.) who are allowed because of job requirements to maintain *records* (see def.) in their offices will also be included. Custodians will work with a trained records coordinator prior to carrying out any disposition actions. Records Coordinators are assigned and trained in accordance with [LWP-1202](#).

Name of Records Coordinator/ Custodian*	Approved File Location	Name of Record Types List
[List name of each Records Coordinator/Custodian who manages records applicable to this plan.]	[Enter the location of the DRSC or SFL for each person named in the left column.]	[Enter the name of the record types list for this location.]
[Pressing the Tab key in the last table cell will add more rows.]		

* Names are subject to change and will be updated on next revision.

- Plans are reviewed annually
- RM Review and approval
- Quarterly metrics
- Transfer/Termination notifications
- Suggestion System

Idaho National Laboratory	Identifier: PLN-11006
RECORDS-MANAGEMENT-PLAN-FOR SAFEGUARDS-AND-SECURITY	Revision: 1
	Effective Date: 02/15/2010
	Page: 1 of 6

1. → INTRODUCTION

1.1 → Purpose and Scope

Together with LWP-1202, "Records Management" this records management plan (RMP) describes the records management (see def.) activities of the Safeguards and Security Division at INL. It defines the unique responsibilities, authorities, and interfaces required of the Safeguards and Security Division to ensure the consistent care of information in all media forms (see def.) throughout its life cycle [creation/receipt, use, maintenance, storage, and disposition (see def.)].

1.2 → Description

1.2.1 → Applicability

This plan is applicable to Safeguards and Security Division whose main function is to provide protection of employees, facilities, and assets at the INL. Records that document the execution of the function are listed in the appropriate record types list(s) created in 1.2.3 and their location identified in the table in 1.2.2.

1.2.2 → Records Coordinator(s), Document and Records Service Centers, and Satellite File Locations

The following table lists the Records Coordinator(s) (see def.) with their assigned Document and Records Service Center (DRSC; see def.) or satellite file location(s) (SFL; see def.) and the name of the record types list used at each location. Records custodians (see def.) who are allowed because of job requirements to maintain records (see def.) in their offices will also be included. Custodians will work with a trained records coordinator prior to carrying out any disposition actions. Records Coordinators are assigned and trained in accordance with LWP-1202.

Name of Records Coordinator/Custodian	Approved File Location	Name of Record Types List
Shelly Todd (Coordinator)	WCB-1, IEJ501	PERSONNEL SECURITY
	WCB-1, ISB102/103	FOREIGN VISITS
	Fswcb1/projects/883	OPSEC
	PROSECURE	INVESTIGATORS
Linda Sorenson (Coordinator)	CFA 609, RM-12	PROFORCE

Names are subject to change and will be updated on next revision.

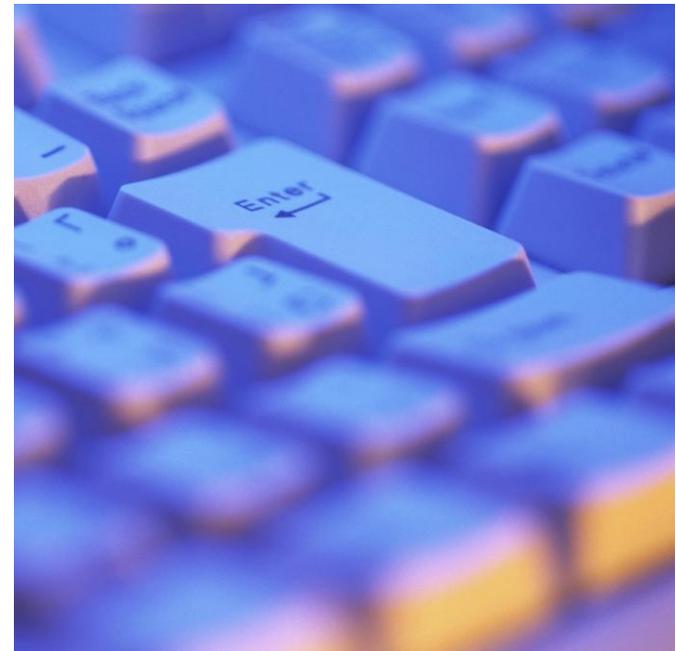
1.2.3 → Record Types List

The assigned records coordinators develop and keep current, a list of records created, received or maintained Safeguards and Security Division using the automated "Records Schedule Matrix" as directed in LWP-1202. The list describes each record type, and specifies its uniform file code, description, record category, disposition authority, retention period, and any destruction moratoriums. The record types list for this plan is identified by the plan number and found at the Records Schedule Matrix URL identified above. This list is developed and approved at the same time as this plan. The name of the record types

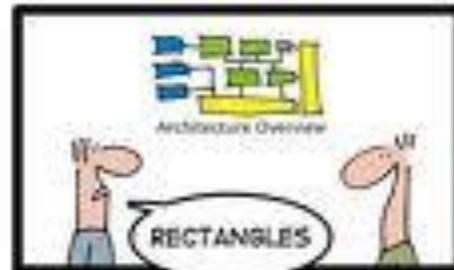
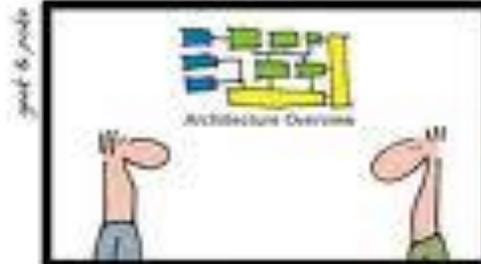
INL	<u>PLN-11006</u>	RECORDS MANAGEMENT PLAN FOR SAFEGUARDS AND SECURITY SERVICES			
		Personnel Security	<u>PERSONNELSECURITY</u>	Todd, Shelley A	STC 616-WCB 1EJ501 19-NOV-07
		Technical Security	<u>TECHSEC</u>	Mathews, Allyson	WCB, 1SE310 04-FEB-10
		Protective Force Services	<u>PROFORCE</u>	Sorensen, Linda L	CFA 609 04-FEB-10
		Foreign Visits and Assignments	<u>FOREIGNVISITSASSIGNMENTS</u>	Todd, Shelley A	WCB 1SB102 and 1SB103 19-NOV-07
		Operations Security	<u>OPSEC</u>	Todd, Shelley A	WCB 1SB104 04-FEB-10
		INL Investigators	<u>INVESTIGATORS</u>	Todd, Shelley A	WCB 126A-3 19-NOV-07
		Safeguards	<u>SAFEGUARDS1</u>	Howe, Penny C	INTEC CPP1686 ROOM 114 04-FEB-10
INL	<u>PLN-1257</u>	RECORDS MANAGEMENT PLAN FOR BUSINESS MANAGEMENT			
		Business Management	<u>PAYROLL</u>	Gormley, Terry A	IAB E-6, IAB E-5, IAB Room 68 20-FEB-09
		CostAccounting	<u>COSTACCOUNTING</u>	Gormley, Terry A	IAB E-6, IAB E-5, IAB Room 68 20-FEB-09
		Records Management Plan for General Accounting	<u>GENACCT</u>	Gormley, Terry A	IAB E-6, IAB E-5, IAB Room 68 26-MAR-08
INL	<u>PLN-1270</u>	RECORDS MANAGEMENT PLAN FOR THE RADIOLOGICAL CONTROL DIVISION			
		Records Management Plan for the Radiological Control Directorate	<u>RADCON</u>	Thompson, Anita	26-OCT-09
INL	<u>PLN-1288</u>	RECORDS MANAGEMENT PLAN FOR FACILITIES AND SITE SERVICES DIRECTORATE-LEVEL AND FACILITY MANAGEMENT DIVISION			
		Records Management Plan for Engineering Services Division	<u>ESD</u>	Hanny, Peggy M	WCB W2 E1 28-JUL-09
		FSS Directorate and Facility Management Division	<u>FM</u>	Mickelsen, Sharla R	FSS Directorate and Facility Mgmt Division SFLs 28-JUL-09
		INL Construction Projects	<u>CONST</u>	Mount, Judy L	18-NOV-08

Enterprise Architecture – Records Analysis

- All applications identified in our Enterprise Architecture database
- Each application is required to perform a records analysis to determine the record elements maintained within the application
- Record Data is assigned a UFC/Disposition Authority from the RSM
- Data transfers are reviewed



ENTREPRISE ARCHITECTURE MADE EASY



PART 1: DON'T MESS WITH THE GORY DETAILS

What benefits have we realized?

- Easily search and find who has specific records
- Records Coordinators more comfortable and less overwhelmed
- “Systems” with record data identified



We have three great tools

- The Records Management Plans
- The Records Schedule Matrix/Record Types
- Enterprise Architecture Records Analysis



Where do we go from here

- More seamless consolidation of our inventory information
- Working on dynamic table replacement in plan

Questions?

Lorrie A. Robb, CRM
Records Officer
Battelle Energy Alliance
Idaho National Laboratory
(208) 526-8161
lorrie.rob主@inl.gov

