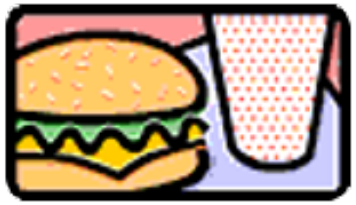
Knowledge Area 2

Creating and Maintaining Agency Business Information

Administrative Items

- Emergency procedures
- Emergency exits
- Restrooms
- Break facilities
- Lunch facilities
- Cancellation policy
- Course attendance policy
- Please turn off mobile devices



Getting to Know You: People Bingo

- Starting with the people at your table and moving out to participants throughout the room, introduce yourselves and find people who match the categories on the worksheet. Add the person's first name to the square or have him/her initial the square.

- When we return to the larger group, please introduce yourself (name, organization, city) and share one fact you learned about one of your classmates.

Your Records Management Experience

How much records management experience do you have?

- Less than one year
- 1–4 years
- 5 or more years

How much time do you spend on records management tasks every month?

- 80%–100% of my time
- 50%–79% of my time
- 25%–49% of my time
- 10%–24% of my time
- Less than 10% of my time

About NARA

National Archives and Records Administration (NARA) is an independent agency that enables citizens to access records documenting:

- The rights of American citizens
- The actions of Federal officials or agencies
- The national experience

NARA and Recordkeeping Requirements

- Issues records management guidance to agencies through the Records Management Policy Team
- Oversees the government's security classification program, the Information Security Oversight Office (ISOO)
- Serves as the Federal Freedom of Information Act (FOIA) Ombudsman through the Office of Government Information Services (OGIS)
- Publishes the *Federal Register*, *Statutes at Large*, and other public documents

Knowledge Area 2

Course Outline

NARA's Knowledge Areas (KAs) and Certificate of Federal Records Management Training

- KA 1: Records Management Overview
- **KA 2: Creating and Maintaining Agency Business Information**
- KA 3: Records Scheduling
- KA 4: Records Schedule Implementation
- KA 5: Asset and Risk Management
- KA 6: Records Management Program Development

Course Objectives

At the completion of this course, you will be able to:

- Identify Federal records and how they are used to document and support the business process
- Determine the recordkeeping requirements that ensure adequate and proper documentation of agency business operations
- Identify the information to gather about records as a basis for efficient filing and storage solutions
- Identify the strategies and challenges for maintaining records, including those created by email, word processing, and imaging systems

Course Agenda

Day 1

- Welcome
- Course Outline
- Module 1: Creating and Identifying Federal Records
- Module 2: The 3 R's: Requirements, Roles, and Responsibilities
- Module 3: Records Inventory
- Day 1 Wrap-Up

Course Agenda (cont'd.)

Day 2

- Day 2 Welcome Back
- Module 4: Information Maintenance and Organization
- Module 5: Maintenance for Electronic, Social Media, and Special Media Records
- Course Wrap-Up

Course Materials

Knowledge Area 2: Creating and Maintaining Agency Business Information Participant Guide (PG)

- KA 2 Modules 1 through 5
- KA 2 Handouts
- KA 2 References

Course Outline

Applying What You Learned

Action Items Worksheets

- At the end of each module you will be given the opportunity to complete an Action Items Worksheet
- Use this worksheet to record what you have learned in the module and how you will apply it to your job

Course Outline

Why Are We Here?

Why Are We Here?

- In KA 2, our focus is to answer the question "How do I best create and maintain records?"
- This course will provide you with a framework for understanding:
  - What information you need to maintain a Federal record
  - What requirements are associated with the information
  - Where information resides within your agency
  - What is the best way to maintain your information

Review Activity

Records Familiarity

Module 1: Creating and Identifying Federal Records

Module 1 Learning Objectives

At the conclusion of this module, you will be able to:

- Define Federal records and review and apply Federal records terms
- Identify categories of records
- Determine the significant differences among records, nonrecord materials, and personal papers

Module 1: Creating and Identifying Federal Records

Lesson 1: What Are Federal Records?

Creating Records

What records do you create?

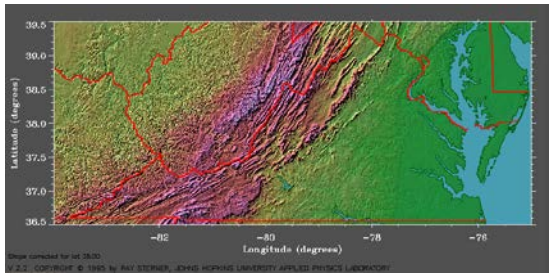
What information do you handle?

What is a Record?

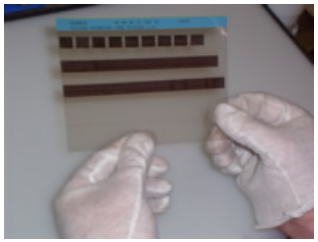
…all **recorded information**, regardless of **form or characteristics, made** or **received** by a Federal agency under Federal law or in connection with the transaction of public business and **preserved** or **appropriate for preservation** by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them." (44 U.S.C. 3301, Definition of Records)

Media Formats of Records

Electronic and Scanned Records



Cartographic Records



Microform Records

Printed

Architectural Records

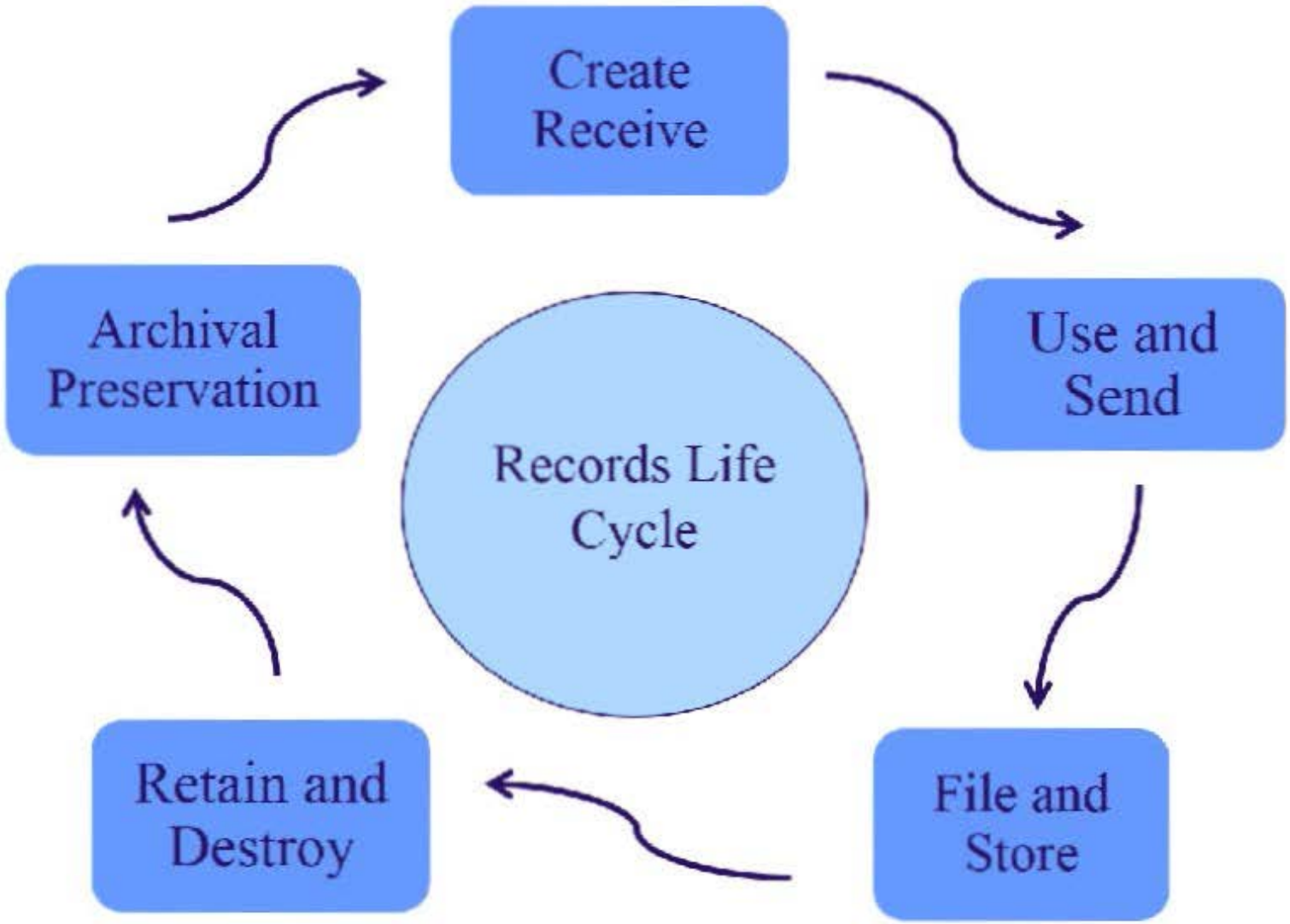
Photographic Records

Cards

Audiovisual Records

Record Categories

- **Program records** are records documenting the agency's unique, mission-related activities
- **Administrative records** are records documenting the agency's routine housekeeping support activities


Create
Receive
Use and
Send
File and
Store
Retain and
Destroy
Archival
Preservation
Records Life
Cycle

Temporary vs. Permanent

- **Temporary records** are records approved by NARA for destruction after a specified retention period
- **Permanent records** are records determined to have sufficient value to be preserved by NARA
- **Unscheduled records** are records whose disposition has yet to be established or approved by NARA

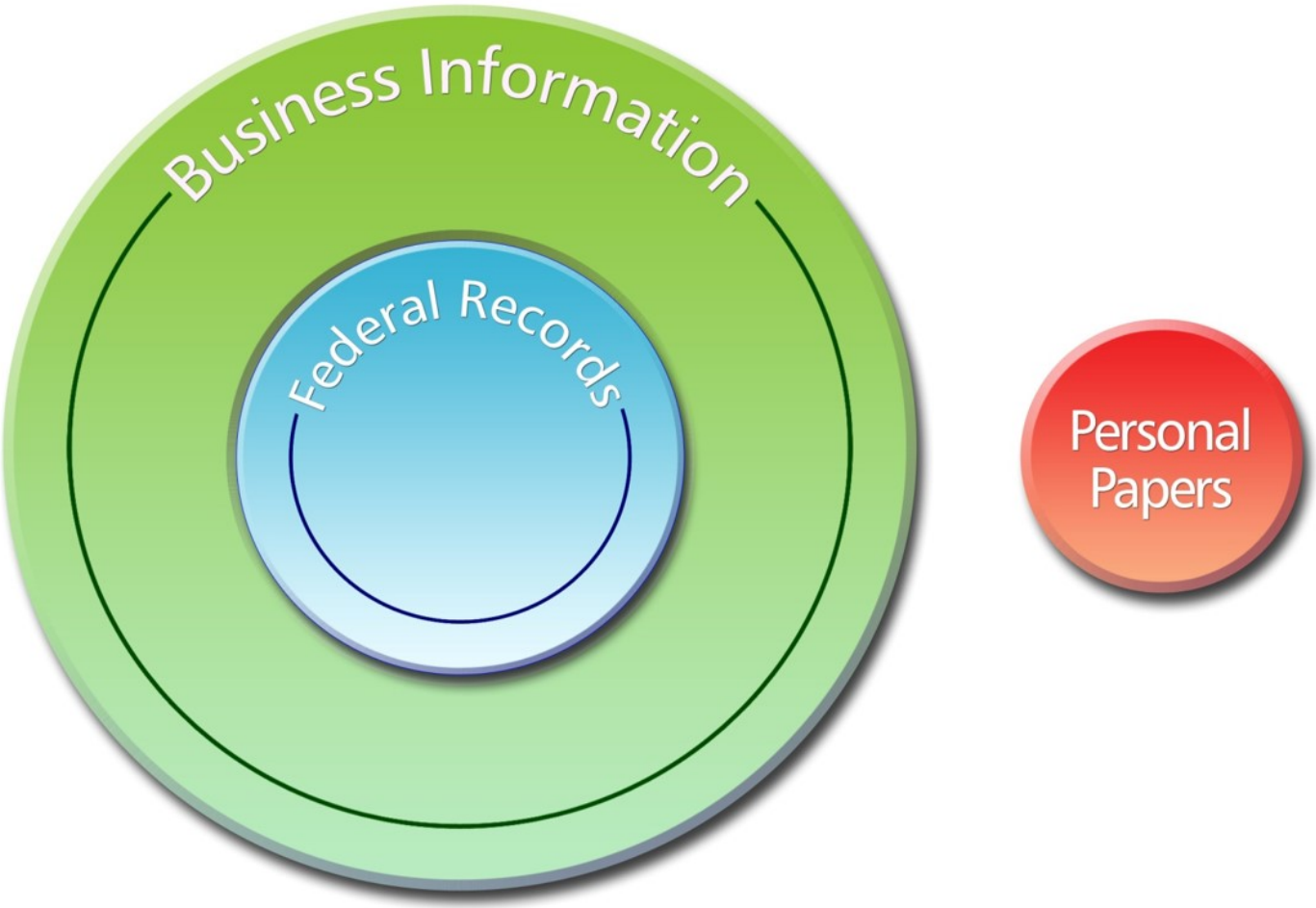
Record Values

Record value is based on the agency's business need and NARA's judgment of historical value.

Module 1: Creating and Identifying Federal Records

Lesson 2: Records, Nonrecord Materials, Personal Papers, and Tough Calls

Is Everything a Record?



Records

Some common examples of Federal records include:

- Time and attendance records
- Contracts
- Original drawings and specifications
- Project files
- Internal and external directives
- Personnel files

Nonrecord Materials

Nonrecord materials are excluded from the legal definition of records by failing to meet record status as determined by the Federal Records Act (FRA), or by falling into one of three categories:

1. Extra copies of documents
2. Stocks of publications
3. Library and museum materials

Nonrecord Materials (cont'd.)

Nonrecord materials include:

- Information copies
- Documents received that provide information but are not connected to the transaction of agency business
- Routing slips
- Tickler, follow-up, or suspense copies
- Duplicate and extra copies
- Catalogs, trade journals, and other publications
- Physical exhibits, artifacts, and other material objects

Nonrecord Materials (cont'd.)

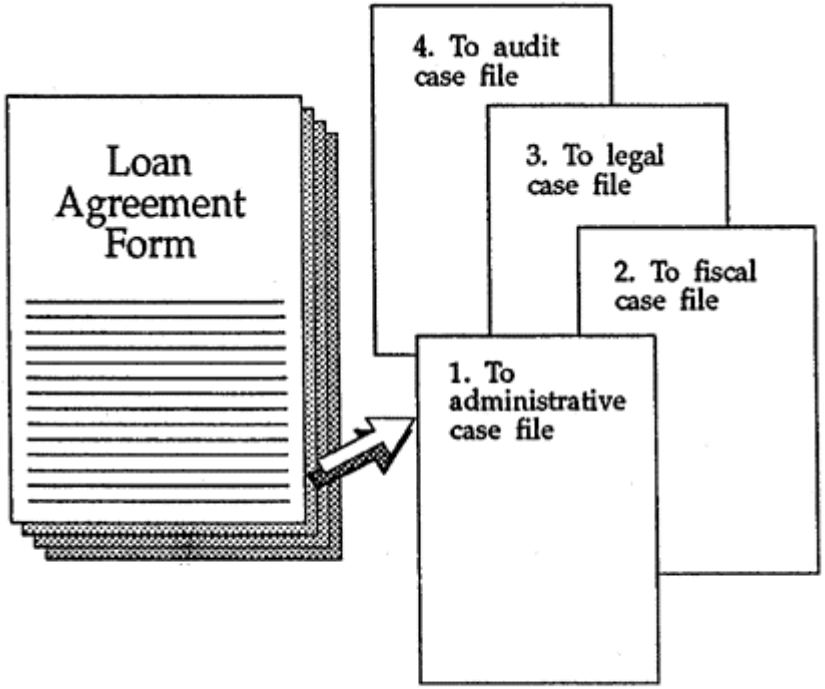


Figure 2-1. Multiple Record Copies of a Single Form

Is It a Record?

- "The current draft of a report you prepared on a program-related project; the draft is being sent around to others for comment."
- "A full set of *Sport Fishery* abstracts published by the U.S. Fish and Wildlife Service, dating from 1941 to 1975, maintained by a regional office's reference library."

Personal Papers

- **Personal papers** are documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business
- Examples include:
  - Materials accumulated by an official before joining government service that are not used subsequently in the transaction of government business
  - Materials relating solely to an individual's private affairs
  - Diaries, journals, personal correspondence, or other personal notes

Personal Papers (cont'd.)

- Calendars are not considered personal papers
- Personal papers must be clearly designated and maintained separately from records
- If information about private matters and agency business appears in the same document, the document should be copied, the personal information deleted, and the document treated as a Federal record

Is It a Record?

"A file maintained by a typical Federal employee containing copies of 'Notification of Personnel Action' Standard Form 50, and counseling and award letters from management."

Managing Information: Records, Nonrecord Materials, and Personal Papers

SIGNIFICANT DISTINCTION BETWEEN
RECORDS AND NONRECORD MATERIALS

Records may be destroyed only with the written approval of the Archivist of the United States.

Nonrecord materials may be destroyed at agency discretion.

What are Records?

Problem Areas

- Working files
- Voicemail
- Email
- Instant messaging (IM)
- Text messaging
- Cloud computing
- Contractor records

Working Files

- Active **working files** are records because they document the work being done by the action officer during the course of the agency activity
- In many cases, the “working” copy may be destroyed when the finalized document is published
- Preliminary drafts, rough notes, and other similar materials must be maintained for purposes of adequate and proper documentation

Voicemail

- Create transcripts of substantive voicemail messages
- File with related records
- If voicemail is digital, save into a records management application

Email

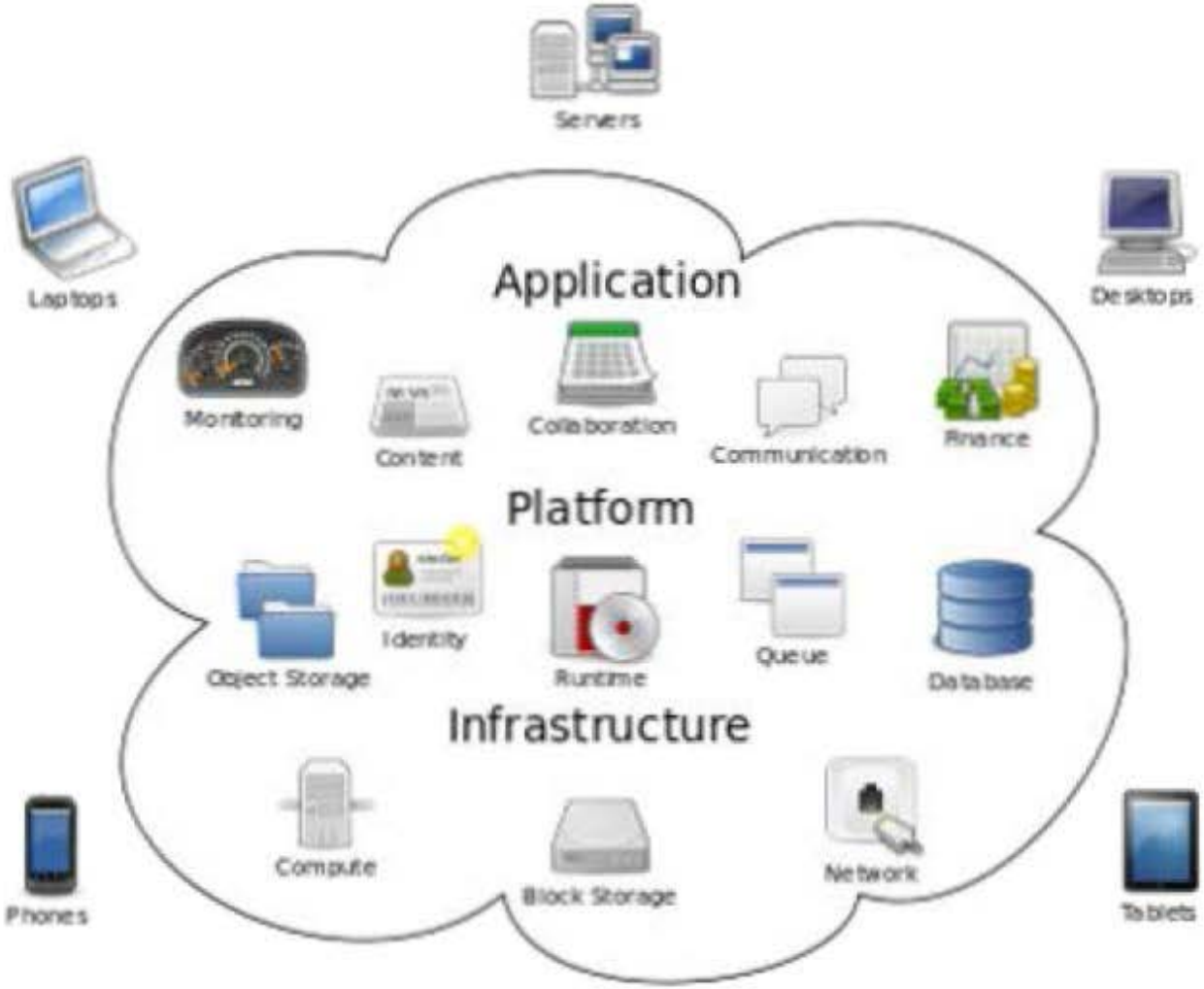
- An email message can be a Federal record
- Personal emails must be kept separate from official emails
- Email records must be maintained in a recordkeeping system – either printed out and filed, or saved in an electronic records management application
- Capstone is a new records management approach for electronically managing Federal record emails

Instant Messaging

- IM involves text messages sent to connected parties in real time, possibly with attached images, audio, video, and documents
- Agencies must implement policies on how to store and manage the content

Text Messaging

- Referred to as short message service (SMS)
- Service component of phone, web, or mobile communication using standardized communications protocols to exchange short messages



Cloud Computing

Contractor Records

- Ensure that contracts spell out recordkeeping requirements
- Specify delivery of records and background data
- Contractors may be required to provide other business documentation to the government

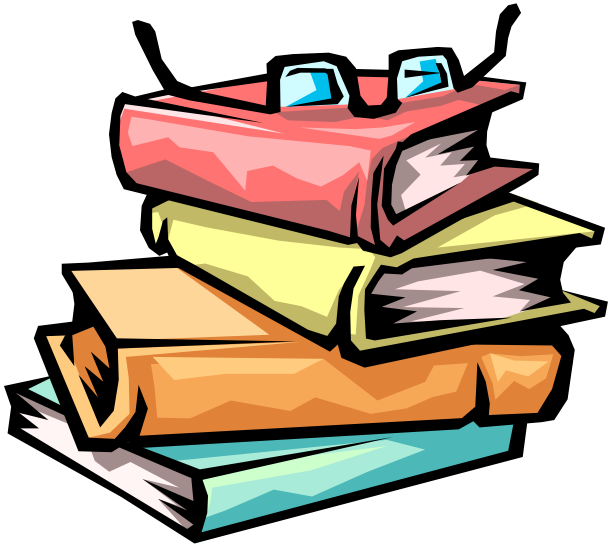
Activity

Tough Calls

Module 1: Creating and Identifying Federal Records

Review and Wrap-Up

Module Review



Applying What You Learned

Module 1 – Action Items Worksheet

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Module 2 Learning Objectives

At the conclusion of this module, you will be able to:

- Identify recordkeeping requirements
- Determine the agency, program, series, and system recordkeeping requirements
- Determine the use of 36 CFR, ISO 15489-1 Information and Documentation – Records Management, Part 1: General, and the DoD Standard 5015.2
- Identify the various records statutes and issuances associated with maintaining agency business information
- Identify recordkeeping roles and responsibilities

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Lesson 1: What Are Recordkeeping Requirements?

Recordkeeping Requirements

Recordkeeping requirements are statements in statutes, regulations, agency directives, or other issuances that specify which records are to be created or received and maintained by agency personnel.

Recordkeeping Requirements and Your Business Process

Scenario:

You work for the Bureau of Public Recreation (BPR) in Washington, DC, and are in charge of an investigation of the impact of hazardous waste and water conditions at various sites around the country. Staff members from Washington, Seattle, Ft. Worth, and Miami are working together and individually on certain aspects of the investigation.

Adequate and Proper Documentation

- The head of each Federal agency shall make and preserve records containing **adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions** of the agency. These records must be designed to furnish the **information necessary to protect the legal and financial rights** of the government and of persons directly affected by the agency's activities
- The Office of Management and Budget (OMB) also mandates that recordkeeping requirements be built into information systems (Circular A-130)

The 5 C's

- Complete: Is the entire transaction documented?
- Consistent: Are all offices handling the record the same way?
- Concise: Is only the necessary documentation included in the record?
- Compliant: Does this meet all legal and business needs?
- Cost-effective: Is this the most efficient way to handle the records?

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Lesson 2: Agency, Program, Series, and System Recordkeeping Requirements

General Recordkeeping Requirements

1. Identify and prescribe specific categories of records to be systematically created
2. Specify the use of materials and recording techniques
3. Specify the manner in which these materials are maintained
4. Propose how long records must be maintained
5. Distinguish records from nonrecord materials
6. Ensure that departing employees do not remove Federal records
7. Define the recordkeeping responsibilities of all employees

Levels of Recordkeeping Requirements

- Agency requirements
- Program requirements
- Record series and system requirements

Agency Requirements

- Define records and nonrecord materials
- Outline program responsibilities
- Oversee records creation and disposition
- Maintain the management and preservation of records
- Making records management a senior leadership priority
- Reporting to NARA and OMB plans for improving agency records management programs

Agency Requirements (cont'd.)

Specific agency guidance may be needed for some areas of concern:

- Organizationally sensitive and political decision-making
- Actions taken at formal meetings
- Working files
- Electronic systems
- Contractor records
- Vital records

Program Requirements

- Which records need to be created?
- Which unit is the office of record?
- How are the records related?
- How long should records be kept?

Superfund Documentation Strategy

The following are among the principal types of records necessary for documenting the Superfund program:

- Administrative records
- Cost recovery records
- Site file records
- Contract, grant and interagency agreement records
- Records related to CERCLIS, and other electronic systems (data and documentation)
- Enforcement records
- Litigation support records
- Laboratory analytical records
- Research records in the Office of Research and Development
- Policies, directives, procedures, and guidance documents
- Publications developed in Superfund
- Program planning documents
- Oversight documents

Records falling under each of these types may be found in all Agency offices at Headquarters, in the Regions, and at EPA Laboratories. They will include paper, microform, electronic information systems, maps, geographic information systems, computer models, as well as paper files.

Record Series and System Requirements

- A **record series** is a collection of records that relate to the same subject matter, result from the same activity, or document a specific kind of transaction
- An **information system** is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, either automated (electronic) or manual

What Would Happen If…

…you did not have good series and system recordkeeping requirements?

General Requirements for Records

Whether paper or electronic, records need to have:

- Content
- Context
- Structure

Content

Content refers to what a record says; it is the data and information contained in the record.

Content Example

RECORDS TRANSMITTAL AND RECEIPT	Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse	PAGE 1	OF PAGES

1. TO *(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)*			5. FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)*
2. AGENCY TRANSFER AUTHOR-IZATION	TRANSFERRING AGENCY OFFICIAL *(Signature and title)*	DATE	
3. AGENCY CONTACT	TRANSFERRING AGENCY LIASON OFFICIAL *(Name, office and telephone No.)*		
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY *(Signature and title)*	DATE	

Content Example (cont'd.)

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse

PAGE 1 OF PAGES

1. TO *(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)*

Federal Records Center
Address
City, State, Zip Code

2. AGENCY TRANSFER AUTHOR-IZATION

TRANSFERRING AGENCY OFFICIAL *(Signature and title)*
Frank Farkel,
Division Chief

DATE
10/1/2005

3. AGENCY CONTACT

TRANSFERRING AGENCY LIASON OFFICIAL *(Name, office and telephone No.)*
Annie Rightway, Records Clerk

4. RECORDS CENTER RECEIPT

RECORDS RECEIVED BY *(Signature and title)*

DATE

5. FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)*

Bureau of Public Recreation
Office of Administration
P. O. Box 666
City, ST 66666-XXXX

Context

- **Context** refers to what makes the record meaningful. It tells why a record was created and describes its relationship to other records, such as approval, agreement, etc.
- The context of a record includes its placement (arrangement) in a file, either paper or electronic

Context Example

"I thought about that. My plan was just to leave that as the last action until it was signed. Or, maybe we should add 'sent for signature' to the taxonomy. What's your thought?"

Context Example (cont'd.)

RE: Report - Message

File Edit View Insert Format Tools Table Window MathType Help

Type a question for help

Attach as Adobe PDF

Send Options... HTML

To... Mary

Cc...

Subject: RE: Report

Arial 11

I thought about that. My plan was just to leave that as the last action until it was signed. Or, maybe we should add 'sent for signature' to the taxonomy. What's your thought?

--Steve

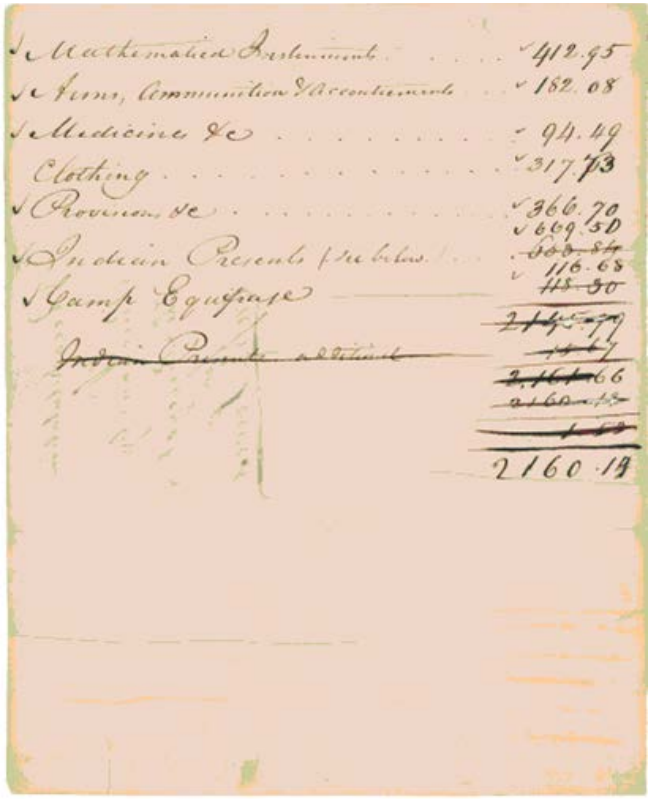
From: Mary
Sent: Monday, November 05, 2007 1:10 PM
To: Steve
Subject: Report

Any idea how we are going to show in the monthly report that the appraiser sent the memo forward for approval but it has not been signed by the Archivist?

-- Mary

Draw AutoShapes

What is this document?


Mathematical Instruments 412.95
Arms, Ammunition & Accoutrements . . 182.08
Medicine &c 94.49
Clothing 317.73
Provisions &c 366.70
669.30
Indian Presents (see below) . . . 116.68
Camp Equipage
2160.13

Structure

Structure refers to how information is organized, which greatly affects our ability to understand it.

Unstructured Spreadsheet

dreportsden1914-44eng095-52d0077cor9sb20256sb202064yggenfl19021948timber095-52e0077cor1002186
2300218623yggenfl19071936range095-52f0077cor1600053596yggrnfl19041917range095-53a0111cor8sb20
3080sb203087ygengfl19041950eng095-53c0111cor200348405ygengfl19041950eng095-54a0104cor1500049
forestservicerecordsrgafysubacnosubvolbloelodaulistdcseriesvbdateedatecontents095-52a0052cor120009083
0009094yggenfl19371940eng095-a0077cor60004874400048749ygroadlogs19371945eng095-52a0052cor100743841
ygenfl1denfy13-22095-52b0077cor2002097240020975ygannrptdenfy36-45eng095c0077cor4sb1533010ygroa
dreportsden1914-44eng095-52d0077cor9sb20256sb202064yggenfl19021948timber095-52e0077cor1002186
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3080sb203087ygengfl19041950eng095-53c0111cor200348405ygengfl19041950eng095-54a0104cor1500049
forestservicerecordsrgafysubacnosubvolbloelodaulistdcseriesvbdateedatecontents095-52a0052cor120009083
0009094yggenfl19371940eng095-a0077cor60004874400048749ygroadlogs19371945eng095-52a0052cor100743841
ygenfl1denfy13-22095-52b0077cor2002097240020975ygannrptdenfy36-45eng095c0077cor4sb1533010ygroa
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forestservicerecordsrgafysubacnosubvolbloelodaulistdcseriesvbdateedatecontents095-52a0052cor120009083
0009094yggenfl19371940eng095-a0077cor60004874400048749ygroadlogs19371945eng095-52a0052cor100743841
ygenfl1denfy13-22095-52b0077cor2002097240020975ygannrptdenfy36-45eng095c0077cor4sb1533010ygroa
dreportsden1914-44eng095-52d0077cor9sb20256sb202064yggenfl19021948timber095-52e0077cor1002186
2300218623yggenfl19071936range095-52f0077cor1600053596yggrnfl19041917range095-53a0111cor8sb20
3080sb203087ygengfl19041950eng095-53c0111cor200348405ygengfl19041950eng095-54a0104cor1500049

Structured Spreadsheet

BUREAU OF PUBLIC RECREATION															
RG		AFY	SUB	ACNO	SUB	Vol	BLO	E LO	DAU	LIST	DC	Series	Bdate	Edate	Contents
095	-	52	A	0052	COR	12	00009083	00009094		Y	G	GEN FL 1-12 DEN1937-40	1937	1940	Eng.
095	-	52	A	0077	COR	6	00048744	00048749		Y	G	ROAD LOGS 12-17 DEN1937-45	1937	1945	Eng.
095	-	52	B	0052	COR	1	00743841	00743841		Y	G	GEN FL 1 DENFY13-22			
095	-	52	B	0077	COR	2	00209724	00209725		Y	G	ANN REPT DENFY36-45			Eng.
095	-	52	C	0077	COR	4	SB153007	SB153010		Y	G	ROAD REPORTS DEN 1914-47			Eng.
095	-	52	D	0077	COR	9	SB202056	SB202064		Y	G	GEN FL 18-26 DEN FY01-51	1902	1948	Timber Mgt
095	-	52	E	0077	COR	1	00218623	00218623		Y	G	GEN FL 28 DEN FY01-51	1907	1936	Range/WL
095	-	52	F	0077	COR	16	00053581	00053596		Y	G	GEN FL 35-44,48-50 DEN FY01-51	1904	1949	Range/WL
095	-	53	A	0111	COR	1	SB202698	SB202698		Y	G	ENG FL DEN1904-17	1904	1917	Eng.
095	-	53	B	0111	COR	8	SB203080	SB203087		Y	G	ENG FL 1-8 DEN1904-50	1904	1950	Eng.
095	-	53	C	0111	COR	2	00348404	00348405		Y	G	ENG FL 9-10 DEN 1904-50	1904	1950	Eng.
095	-	54	A	0104	COR	15	00049012	00049026		Y	G	BLDG&ROAD RPTS 1-15 DEN 1910-47	1912	1947	Eng.
095	-	54	A	0133	COR	18	SB200303	SB200320		Y	G	ALPHA GEN FL 1-18 DEN 1920-47	1920	1947	water power
095	-	54	A	0187	COR	1	SB200796	SB200796		Y	G	ALPHA GEN FL 1 DEN 1903-28	1903	1928	Plant/Seed
095	-	54	A	0210	COR	8	00742599	00742606		Y	G	ALPHA GEN FL 1-8 DEN 1906-50	1906	1950	improvements
095	-	54	B	0104	COR	4	00049030	00049033		Y	G	ROAD RPTS 19-22 DEN 1937-47	1922	1947	Eng.
095	-	54	B	0133	COR	6	SB200321	SB200326		Y	G	ALPHA GEN FL 19-24 DEN 1907-47	1907	1947	water power
095	-	54	B	0187	COR	2	SB200802	SB200803		Y	G	ALPHA GEN FL 21-22 DEN 1902-50	1902	1950	Plans
095	-	54	B	0210	COR	6	00742939	00742944		Y	G	ALPHA GEN FL 14-19 DEN 1908-53	1908	1953	Fire control
095	-	54	C	0104	COR	4	00004035	00004038		Y	G	ALPHA GEN FL DEN 11/53			Maps
095	-	55	A	0075	COR	5	00060328	00060332		Y	G	ALPHA GEN FL 1-4,9 DEN 1905-51	1905	1950	adj/plants
095	-	55	A	0090	COR	1	SB202559	SB202559		Y	G	ALPHA GEN FL 5 DEN 1945-51	1945	1951	plans
095	-	55	A	0103	NMR	9	SB202581	SB202589		Y	G	HWY,POWER DIST 1-9 ALBQ CY08-53	1908	1953	AZ
095	-	55	A	0137	UTR	1	00744020	00744020			G	OFL DIAR OGDN CY48			
095	-	55	B	0090	COR	1	SB202560	SB202560		Y	G	ALPHA GEN FL 7 DEN 1937-53	1937	1953	exp. Rpts
095	-	56	A	0070	COR	2	00742952	00742953		Y	G	ALPHA GEN FL 1-2 DEN 1909-49	1909	1949	Reg. Forstr
095	-	56	A	0076	COE	23	SB200355	SB200377			G	ALPHA GEN FL 1-23 FT CLLNS 1909-46			

Records Retention Requirements

- Questions to ask to set up these requirements:
  - How long are the records needed to meet the business need of the agency?
  - What is the total retention?
  - What is the administrative, fiscal, legal, or historical and research value of the record?

The DoD Standard 5015.2

Set design criteria standards for records management application (RMA)

- Mandatory baseline requirements
- Minimum records management requirements
- Consistent guidelines for software products

DoD Standard 5015.2 (cont'd.)

- Covers more detailed requirements such as:
  - Accommodating dates and date logic
  - Implementing standard metadata
  - Backward compatibility
  - Accessibility
- Freedom of Information Act (FOIA) and Privacy Act (PA)
  - Additional metadata
  - Workflow and alerts
- Interoperability
  - Data discovery standards
  - Import and export standards
  - Transfer of permanent records to NARA

DoD Standard 5015.2 (cont'd.)

Nonmandatory features of the DoD 5015.2

- Imaging
- Workflow and document management features

Requirements Gathering Beyond DoD Standard 5015.2

- **National Archives Guidance**:
  - Electronic Records Management Guidance on Methodology for Determining Agency-Unique Requirements

Records Lifecycle Requirements

The following four requirements are essential to the existence of your recordkeeping system:

- Creation requirements
- Metadata requirements
- Maintenance and use requirements
- Disposition requirements

Creation Requirements

- Indicate when an electronic document is a Federal record
- Link supporting and related records
- Store and view files in their native formats
- Define records identification and filing codes
- Prevent subsequent changes to documents designated as records

Metadata Requirements

- Assign or capture required metadata for each record
- Allow it to be viewed with the related record
- Include metadata attributes
- Combine email messages with their metadata and save as a single record
- Incorporate automatic date-stamping
- Allow a record to be assigned to more than one file category

Maintenance and Use Requirements

- Enable the agency to determine and control the level of access to the recordkeeping system
- Maintain electronic records to ensure their integrity
- Distinguish between the final version of a record and a working version
- Support multiple-use access
- Provide an index of all records
- Create backup or redundant copies of the records
- Maintain system documentation and audits

Disposition Requirements

- Enable the agency to implement authorized disposition schedules
- Require an authorized individual to review and validate record destruction and transfer
- Enable the ARO or designated official to review, update, and change disposition
- Identify unscheduled records and initiate the scheduling process
- Provide an audit trail of disposition actions

Activity

Determine Requirements

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Lesson 3: Ensuring Trustworthiness Using ISO 15489-1 and 36 CFR

Trustworthiness

The **trustworthiness** of a record is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it.

Trustworthiness According to 36 CFR 1236.10

- Electronic records may be admitted as evidence in Federal courts for use in court proceedings if trustworthiness is established
- Agencies should implement the procedures to enhance the legal admissibility of electronic records

Trustworthiness According to 36 CFR 1236.10 (cont'd.)

- Trustworthy or authoritative records must have the following characteristics
  - Reliability
  - Authenticity
  - Integrity
  - Usability
- The characteristics need to be considered when implementing an electronic records system

What Would Happen If…

…you did not have trustworthy records?

- If you work in an agency where technical specifications are created, how do you know that you are working from the most recent specification?

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Lesson 4: Other Requirements

Government Statutes and Issuances That Apply to Records

Statutes and issuances:

- Presidential Memo on Records Management
- Managing Government Records Directive – OMB NARA M-12-18
- Federal Records Act (FRA)
- Government Paperwork Elimination Act (GPEA)
- Freedom of Information Act (FOIA)
- Privacy Act (PA)
- Federal Rules of Evidence (FRE)
- Office of Management and Budget (OMB) Circular A-130
- Clinger-Cohen Act
- E-Government Act of 2002
- Health Insurance Portability and Accountability Act (HIPAA)

Managing Government Records

- Presidential memorandum:
  - Executive branch agencies make records management a senior leadership priority and identify proper storage facilities
  - Devote sufficient resources to support records management

- Managing Government Records Directive
  - Creates a robust records management framework that complies with status and regulations to achieve the benefits outlined in the Presidential Memorandum

Presidential and Federal Records Act (44 U.S.C. 3101)

- Strengthening the Federal Records Act by expanding the definition of Federal records
- Federal electronic records will be transferred to the National Archives
- Granting the Archivist of the United States final determination as to what constitutes a Federal record
- Early transfer of permanent electronic Federal and Presidential records to the National Archives
- Clarifying the responsibilities of Federal government officials when using non-governmental email systems

Government Paperwork Elimination Act (P.L. 105-277)

- The GPEA addresses making government information more readily available electronically
- When **practicable**, agencies are to use electronic forms, electronic filing, and electronic signatures to conduct official business with the public

Freedom of Information Act (5 U.S.C. 552)

- The FOIA generally provides that any person has a right to obtain access to executive branch agency records
- The definition of a record under the FOIA is broader than under the FRA. Under the FOIA, agency records are:
  - Created or obtained by an agency
  - Under agency control at the time of the FOIA request

Privacy Act (5 U.S.C. 552a)

- The PA seeks to ensure that when the government collects personal information about people, it manages and protects that information properly
- Under the PA, a record is:
  - Any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history
  - Contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph
- Such records need to be maintained in a secure environment

Federal Rules of Evidence (FRE)

- These rules govern Federal litigation
- For these purposes, all information is essentially a record
- If it exists, it is “subpoenable,” even if it is a duplicate, even if it has been taken home, and even if the original record has been destroyed on schedule

Office of Management and Budget (OMB) Circular A-130

- OMB Circular A-130 establishes policy for managing Federal information resources:
  - Manage information throughout its lifecycle
  - Incorporate records management and archival functions into the design, development, and implementation of information systems

Clinger-Cohen Act (40 U.S.C. 1401)

This Act requires that agency information technology (IT) investments be based on cost-benefit analysis of business needs.

E-Government Act of 2002 (44 U.S.C. 3601)

This Act identifies several government-wide initiatives to integrate agency operations and information technology investments.

Health Insurance Portability and Accountability Act (P.L. 104-191)

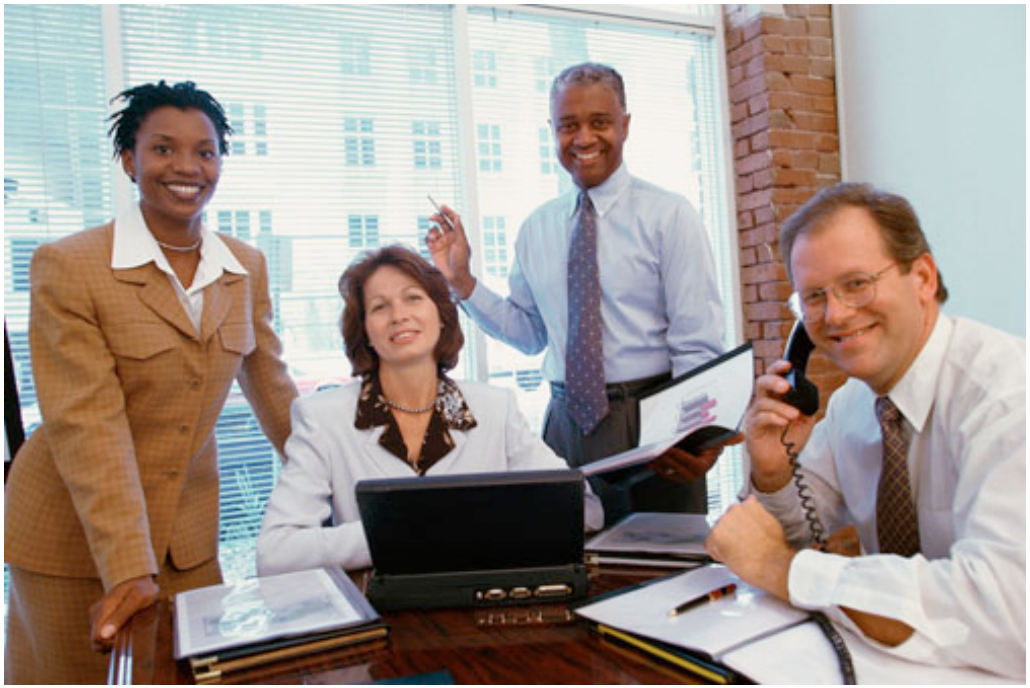
This legislation addresses the protection of private medical information.

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Lesson 5: Recordkeeping Roles and Responsibilities

Who Is Responsible?

When developing requirements and an overall records management program, it is necessary to work with staff outside of your unit.



IT and Records Management Working Together

IT and records management staff need to understand that records management requires a level of technology comprehension beyond document tracking, which requires the expertise of both staffs.

Activity

Watch Your Lingo

Module 2: The 3 R's: Requirements, Roles, and Responsibilities

Review and Wrap-Up

Activity

Review

Activity: Review

Scenarios:

1. The *Office of the Administrator* has decided it needs to upgrade its system to track agency correspondence between its office and the Secretary of the Environment, manage the Director's calendar, manage policy, etc. The Office wants this system to be internal and not available on the web.

Activity: Review (cont'd.)

2. The *Office of Public Affairs*, in its usual zeal to get word to the public, developed a new web-based system. This system posts all its informational products and responses to congressional inquiries based on constituent letters. It also receives and tracks comments from the public on virtually every subject area concerning BPR. You found out about it by looking for something else on Public Affairs' webpage.

Activity: Review (cont'd.)

3. One of your friends in the *Assistant Administrator for Resources Evaluation, Research, and Policy Resources, Research Staff* drops by to show you his "really neat" new BlackBerry. He can now download and upload files and work on them while commuting on the train. He can also send and receive documents from others in his office. He can store information on the variety of contractors they work with, all his phone numbers, kids' birthdays, etc. He's really excited because all the researchers in the department now have BlackBerry smartphones, and they can all communicate with each other, agency partners, contractors, private research firms, etc.

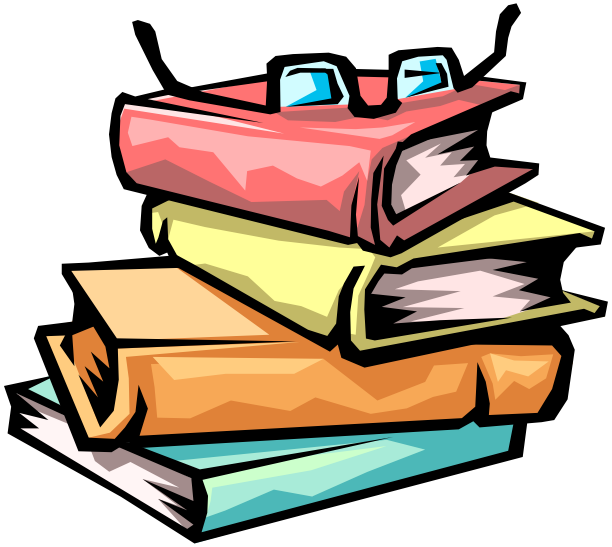
Activity: Review (cont'd.)

4. The *Assistant Administrator for Administration and Chief Information Officer (CIO)* asked you to develop a system where the Bureau can put its records. He suggested just scanning them all and then getting rid of the paper. He would like you to come up with a proposal by the end of the week. And oh, by the way, he said to "keep it simple."

Activity: Review (cont'd.)

5. A congressional committee decided that the number of BPR field offices in the West should mirror the number in the East. The East (east of the Mississippi) has five offices, the West, 10. Therefore, regional boundaries are redrawn and offices must relocate, merge, and/or close. This will affect the *Assistant Administrator for Recreation* and the two sub-offices most drastically.

Module Review



Applying What You Learned

Module 2 – Action Items Worksheet

Module 3: Records Inventory and File Plan

Module 3 Learning Objectives

At the conclusion of this module, you will be able to:

- Define how an inventory fits into the overall records management program
- Define the key factors in establishing an inventory
- Identify the key elements of information to be captured
- Determine how to collect the information
- Establish a process for inventory verification and analysis of inventory results

Module 3 Learning Objectives (cont'd.)

- Define a file plan and its basic purpose
- Identify the six steps in developing a file plan

Module 3: Records Inventory and File Plan

Inventory Introduction

XEROX
BUSINESS
MULTIPURPOSE PAPER
DO NOT WRITE ON THIS END
INSTRUCTIONS (1 OF 2)
1. DO NOT OBSCURE BOX NUMBER OR ACCESSION NUMBER WITH TAPE.
2. USE BLACK FELT WIDE-TIP MARKER.
3. MAKE NUMBERS 1.8 cm (1-1/2 INCHES) HIGH.
4. PACK BOXES WITH RECORDS ONLY.
5. LETTER-SIZE FILES MUST BE PLACED IN ORDER BY NAME, NUMBER, OR DATE, FACING THE FRONT OF THE BOX.
6. LEGAL-SIZE FILES MUST BE IN ORDER AND FACE THE LEFT SIDE OF THE BOX.
7. LABELS ON MAGNETIC TAPE REELS MUST FACE THE FRONT OF THE MAGNETIC TAPE BOX.

Module 3: Records Inventory and File Plan

Lesson 1: What is an Inventory?

What is a Records Inventory?

A records inventory is a complete and accurate survey of an agency's business information that documents the function, flow, and description of records.

SERIES INVENTORY FORM

1. DATE PREPARED

2. OFFICE MAINTAINING THE FILES *(Name and symbol)*

3. INVENTORY PERSONNEL *(Name, office, phone number)*

4. SERIES LOCATION

5. SERIES TITLE

6. INCLUSIVE DATES

7. SERIES DESCRIPTION

8. MEDIUM *(check all that apply)*

☐ Paper
☐ Microform
☐ Electronic *(use information system form)*
☐ Audiovisual *(use audiovisual form)*

9. ARRANGEMENT

☐ Subject file classification system
☐ Alphabetical by name
☐ Alphabetical by subject
☐ Geographical by *(specify)*
☐ Numerical by *(specify)*
☐ Chronological
☐ Other*(specify)*

10. VOLUME *(in cubic feet)*

11. ANNUAL ACCUMULATION *(in cubic feet or inches)*

12. CUT-OFF *(e.g., end of FY)*

13. REFERENCE ACTIVITY *(after cutoff)*

☐ Current *(at least once a month per file unit)*
For how long after cutoff?
☐ Semicurrent *(Less than once a month per file unit)*
☐ Noncurrent *(Not used for current agency business)*

14. VITAL RECORDS STATUS ☐ Yes ☐ No

(If yes, indicate type here; use entry 15 to show any duplication.)

___ Emergency-operating ___ Rights-and-interest ___ Both

15. DUPLICATION Are documents in this series available in another place or medium? ☐ Yes ☐ No

(If yes, explain where and in what medium)

16. FINDING AIDS *(if any)*

17. RESTRICTIONS ON ACCESS AND USE

18. CONDITION OF PERMANENT RECORDS

☐ Good ☐ Fair ☐ Poor

Comments

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority? ☐ Yes *(List the schedule and item number, give the current disposition instructions, and justify any proposed changes.)* ☐ No *(Propose an appropriate retention period.)*

Purpose of a Records Inventory

- The main purpose of a records inventory is to provide the information needed to schedule records
- A records inventory tells you:
  - What records an agency creates
  - Who within the agency “owns” the records
  - Where the records are located
  - The volume and arrangement of the records

Why Conduct a Records Inventory?

- To identify the record series or systems you maintain
- To identify the quantities and dates of your records
- To identify the location of your records
- To identify problem areas and places for improvement

Benefits of a Records Inventory

- The records inventory becomes the working document for preparing:
  - A files management program
  - A file plan
  - A records retention schedule
  - A vital records program
- Collection of statistical data helps determine the most efficient and cost-effective maintenance of the records
- A records inventory can point to potential records management problems

Legal and Regulatory Sources

- Law
  - Establishment of a program (44 U.S.C. 3102)
  - Records disposal, procedures, and standards for reproduction (44 U.S.C. 3302)
- Regulations
  - Identify, develop, issue, and review recordkeeping requirements for all operations and records (36 CFR 1222 Subpart B)
  - Records maintenance program to identify and preserve complete records (36 CFR 1222.34)

NARA Information About Inventorying

Module 3: Records Inventory and File Plan

Lesson 2: Key Steps in Planning an Inventory

Key Factors

- Goals
- Scope
- Approval

Goals

Why are you conducting an inventory?

- Establish key components of a records management program
- Help in cost-benefit analysis and point to records management problems

Scope

How far-reaching is your inventory?

- An agency
- An organization
- A department
- An office
- A program
- A function
- Current records
- Noncurrent records

Management Approval

- Senior management needs to understand scope, purpose, and use of inventory
- Develop a plan for collecting the information
- Ask for written commitment

Focus of Inventory

- Focus should be on answering five basic questions:
  - **Who** is currently creating, receiving, and maintaining business information?
  - **What** is currently being kept to support these processes?
  - **Where** are the records stored and maintained?
  - **How** are the records stored and maintained?
  - **Why** are certain records stored and maintained?
- One way to answer these five questions is to review agency business functions and recordkeeping requirements

Module 3: Records Inventory and File Plan

Lesson 3: The Steps in Inventorying Records

Steps in Inventorying Records

1. Decide on the information to be collected
2. Decide how the information will be collected
3. Identify and prepare appropriate inventory form(s)
4. Decide who will conduct the inventory, and train them if necessary
5. Learn where the agency's files are located, both physically and organizationally
6. Conduct the inventory
7. Verify and analyze the results

Decide How the Information Will Be Collected

- Questionnaire
- Interview
- Physical site survey

Prepare an Inventory Form

The following are some tools that can be used to capture inventory information:

- Series Inventory Form
- Audiovisual Records Form
- Information System Description Form

Inventory Database

Microsoft Access - [frmRecordsInventory]

File Edit View Insert Format Records Tools Window Help

Inventory Date 7/23/2002

RECORDS INVENTORY

Office

Location

AuthorityTitle

Alternate Title

Liaison/Interviewer

Contact

Series Information | Other Records Issues | Records Access Issues | Active Records Series | Inactive Records Series

Alternate Title

Series Content

This series is used for?

Series Secondary Purpose

Relevant Statutes/Regs

Is this Series still created?

Are the records already Scheduled?

Records Series Format

Paper

Electronic

Microform

Audiovisual

Other

Disposal Authority

Record: 1 of 1

Date inventory prepared

NUM

Decide Who Will Conduct the Inventory

- Normally, Agency Records Officers or experienced staff members perform the records inventory
- Should additional personnel be needed, they will need to be trained
- In many cases, the agency has existing descriptions and collections of information

Learn Where the Agency's Records Are Located

- Review the agency's business functions
- Review the agency's recordkeeping requirements

Verify and Analyze the Results

Spot-check questionnaires for obvious errors:

- Failing to indicate location
- Exaggerating volume
- No electronic records?
- Intermixing record series under one title

Activity

Verifying and Analyzing
Inventory Results

Now What?

- After the inventory is verified, the next steps are to determine the best way to maintain and arrange the records and to develop a file plan
- Once you have seen flaws in your agency's recordkeeping, you should conduct a risk assessment
- The results of the inventory can also be used to determine mismanagement of your records

Module 3: Records Inventory and File Plan

Lesson 4: File Plan

What is a File Plan?

- A **file plan** is a listing in outline form of the main file headings and subdivision headings for each record series
- A file plan can be as comprehensive or streamlined as necessary to meet your business needs
- File plans can address all of your office information

Why Have a File Plan?

- A file plan is used as an organizing tool
- A file plan offers many benefits:
  - Consistent filing practices
  - Quick reference to dispositions
  - Essential for implementing electronic records management

Sample File Plan

FILE PLAN
FY 20___
FISCAL MANAGEMENT STAFF (FMS)

700	Title and Description	Disposition	Vital Record
701	**Budget and Finance Policy Files** Correspondence and subject files accumulated in BPR HQ Budget Office which document agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	PERMANENT: Cut off at the end of the target budget year. Transfer to RC when 10 years old. Transfer to the NARA in 10-year blocks when 20 years old.	
702	**Accounting Files** Financial reports, request for office supplies and equipment, payroll binders, purchase orders, contracts, vendors, obligation reports, forms, monthly accounting reports, and receipts and vouchers.	TEMPORARY: Cut off at end of FY. Destroy 6 years and 3 months after cutoff.	yes
703	**Budget Estimates and Justifications** Copies of budget estimates and justifications prepared or consolidated in BPR HQ Budget Office. Included are appropriation language sheets, narrative statements, transcripts of hearing, backup justification for hearings, and related records. (All policy and procedures documents should be filed under 701).	TEMPORARY: Cut off at the end of the target budget year. Destroy when 5 years old.	

Steps in Developing a File Plan

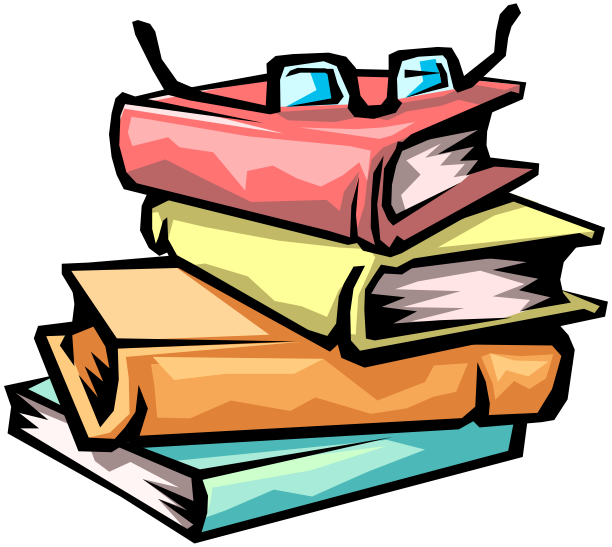
Equipment

- Now that media have evolved, so have the tools and equipment required to hold files and store information
- Equipment needs to be selected based on compatibility with records, ease of access, room for growth, cost, space requirements, simultaneous use, security, and long-range planning

Module 3: Records Inventory and File Plan

Review and Wrap-Up

Module Review



Applying What You Learned

Module 3 – Action Items Worksheet

Module 4: Information Maintenance and Organization

Module 4 Learning Objectives

At the conclusion of this module, you will be able to:

- Define a recordkeeping system
- Determine basic principles of files management
- Identify criteria for maintaining records in all formats
- Identify the benefits and issues related to paper and electronic records systems
- Explain the tools used to maintain records

Module 4: Information Maintenance and Organization

Lesson 1: What is a Recordkeeping System?

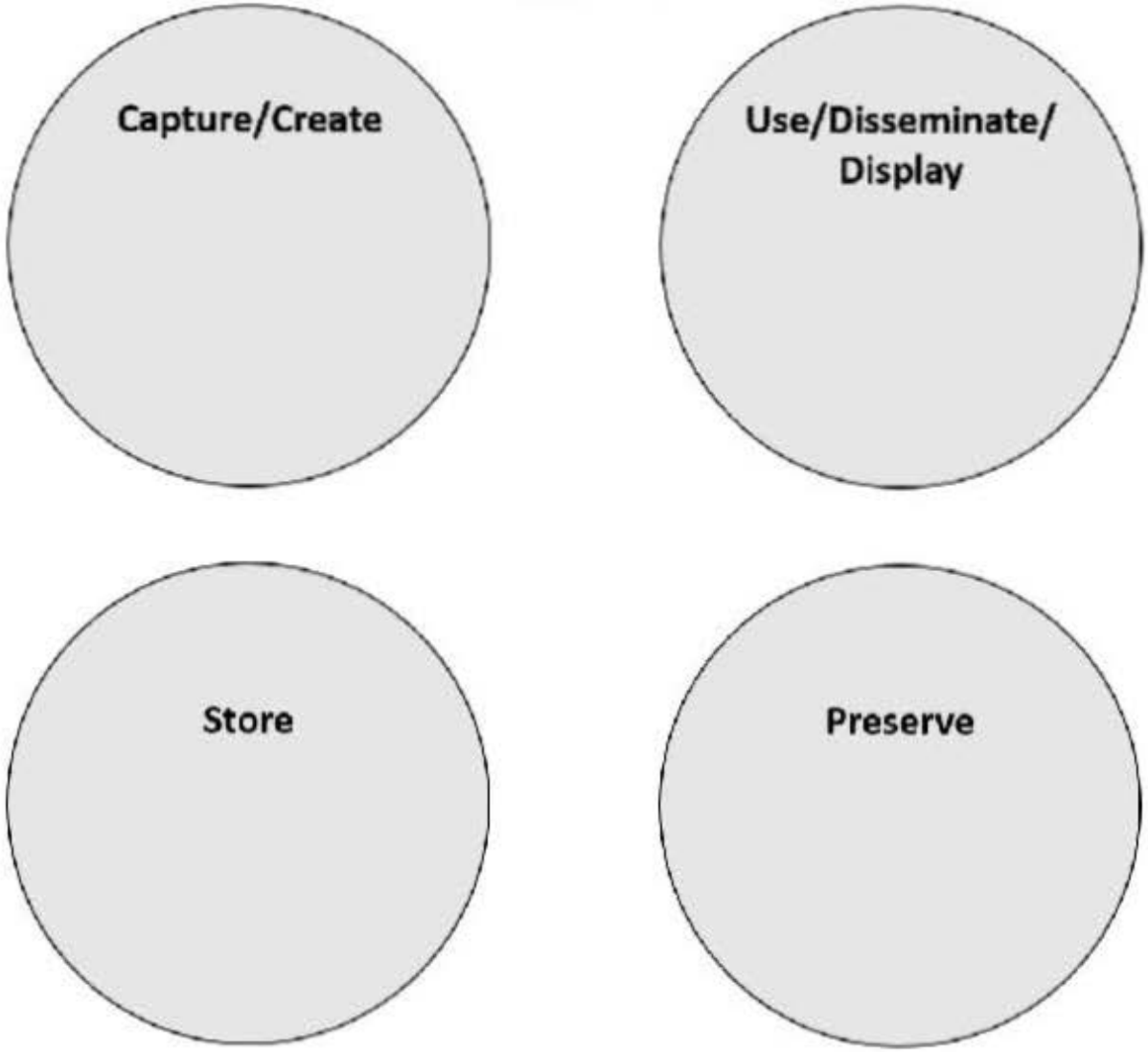
What is a Recordkeeping System?

A **recordkeeping system** is a manual or electronic system that **captures, organizes, and categorizes records** to facilitate their **preservation, retrieval, use, and disposition** (36 CFR 1220.18).

Elements of Recordkeeping

Maintaining records consists of the following elements in a recordkeeping system:

- Capture or create
- Use, disseminate, or display
- Store
- Preserve



Information Process

Why We Manage Records

- **Records management** is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records
- The primary purpose of records management is to allow people to find and use information

Records Maintenance

Records maintenance is any action involving the **storage, retrieval, and handling** of records kept in offices by or for a Federal agency.

XEROX
BUSINESS
MULTIPURPOSE PAPER
JANUARY
DO NOT WRITE ON THIS END
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Activity

Benefits and Potential Problems of Records Maintenance

Activity: Benefits and Potential Problems of Records Maintenance

- What are the benefits associated with good records maintenance?
- What are the problems associated with poor records maintenance?

Benefits of Good Records Maintenance

- Records are trustworthy
- Records can be found when needed
- Permanent records are easy to identify and retain
- Permanent, temporary, personal papers, and nonrecord materials are separated
- Continuity is provided in the event of a disaster
- Records systems support business processes
- Saves cost, space, and resources

Benefits of Good Records Maintenance (cont'd.)

- Records are stored in proper media
- Records are available long enough to protect rights, ensure accountability, and document the national experience
- Temporary records are properly destroyed
- Agency reputation and credibility are enhanced
- Customer service and satisfaction are enhanced
- Productivity is enhanced

Potential Problems of Poor Records Maintenance

- Failure to perform an agency's most basic functions
- Failure to respond to special requests, such as Freedom of Information Act (FOIA), litigation, discovery, and Congressional inquiries
- Inability to recover, or delay in recovery, from a disaster due to the destruction of important records

Potential Problems of Records Poor Maintenance (cont'd.)

- Exposure to legal and administrative penalties for improper destruction
- Suffering consequences of disclosure of confidential records to unauthorized individuals
- Loss of historical and program information
- Ineffective operation at various program levels

Requirements for Information and Records Maintenance Programs

- Furnish accurate, timely, and complete information
- Process information as efficiently as possible
- Provide information at the lowest possible cost
- Provide maximum service to the user
- Dispose of records when no longer needed

Records Maintenance – Next Steps

- The first step in records maintenance is to get your files organized
- The records should be organized into file types, series, and systems for ease of maintenance and disposition

Managing Categories of Records

In most offices:

- 25 percent of records are active program records
- 75 percent of records are:
  - Administrative records
  - Inactive program records
  - Working files
  - Reference materials

Where are you spending all your effort?

Maintenance Questions

- Have agency standards and procedures for classifying, indexing, filing, and retrieving records in all media been established?
- Is access to all records, regardless of media, limited to authorized personnel?
- Are cutoffs clearly defined and implemented for each record series, systems, and electronic files?
- Are permanent series and systems of records identified and maintained separately from temporary records?

Maintenance Questions (cont'd.)

- Has the agency established and implemented regulations or procedures for the storage of security classified, Privacy Act, and other restricted records?
- Does everyone in the agency know the maintenance procedures?
- If there is a records schedule in place, does it still meet the office's business needs?
- When was the last time this information was updated?

Module 4: Information Maintenance and Organization

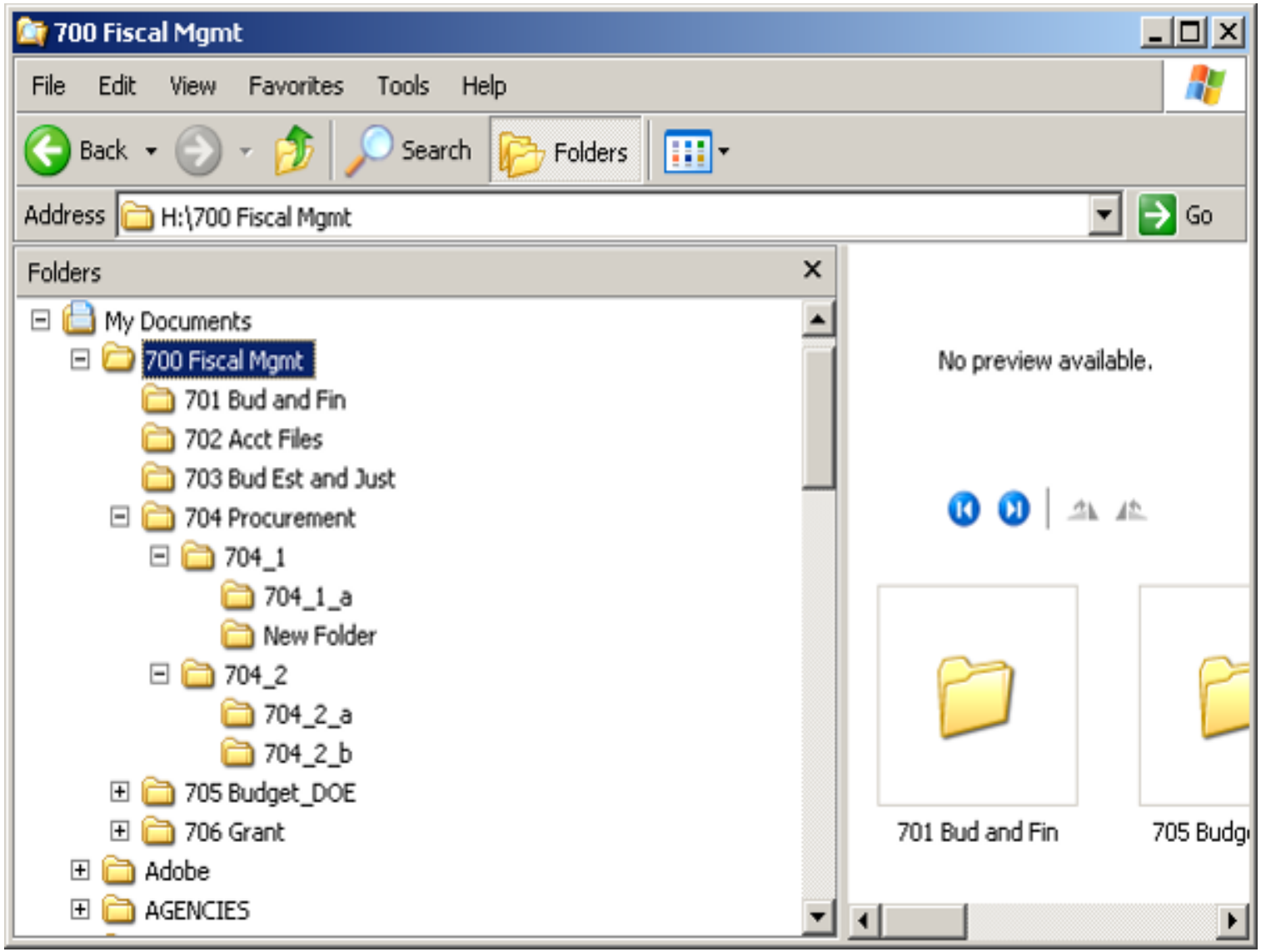
Lesson 2: Organizing Information

Integrity of Official Files

- The integrity of official files must be ensured at all times
- It is important to have all information relating to a subject in one location
- Fragmented documentation underscores the need for a coordinated network of file stations

Paper and Electronic File Stations and Repositories

- Records (paper and electronic) need to be organized into file stations
- **File stations** are designated areas in which to keep records
- These file stations are used to:
  - Provide control and supervision over records
  - Facilitate coordination between and among official file stations
  - Ensure uniformity in filing and retrieval of records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Back
Search
Folders
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Go
Folders
My Documents
700 Fiscal Mgmt
701 Bud and Fin
702 Acct Files
703 Bud Est and Just
704 Procurement
704_1
704_1_a
New Folder
704_2
704_2_a
704_2_b
705 Budget_DOE
706 Grant
Adobe
AGENCIES
No preview available.
701 Bud and Fin

Electronic Filing Structure

Drive = Programs

Directory = Specific Program Name

Subdirectory = Project Name

Subdirectory = Project Phase/Stage
(e.g., Planning)

Folder = Aspect of Phase/Stage
(e.g., Cultural Resources Site Survey)

File = Electronic Files Relating to the
Site Survey

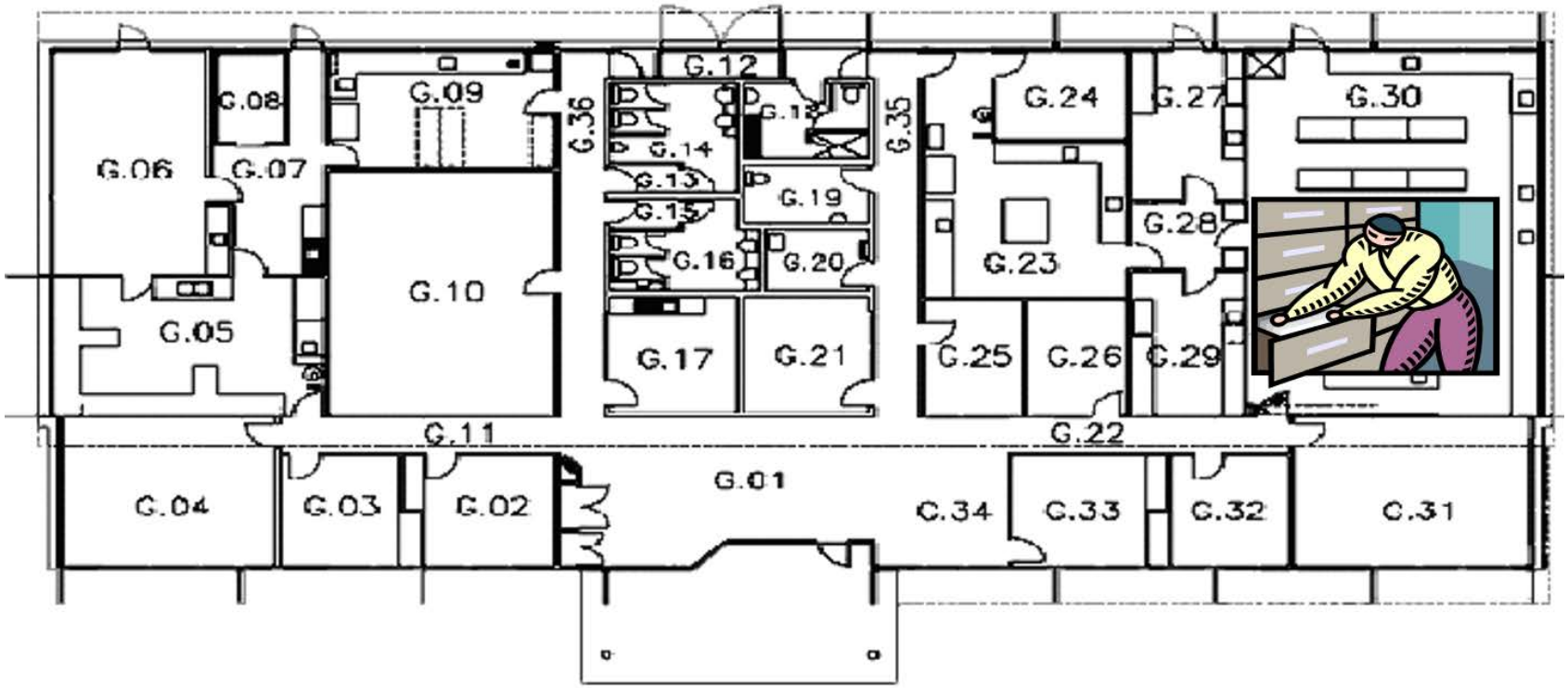
Strategies and Best Practices

- Develop and maintain policies and procedures that govern the use of shared drives
- Establish points of contact responsible for shared drive management
- Perform a risk analysis
- Identify personal materials and non-records
- Identify the record copy and maintain it in an designated area
- Establish and enforce naming conventions
- Folder, sub-folder and file level
- Structure folder and sub-folders to associate records
- Use metadata, file plans, to link to related files

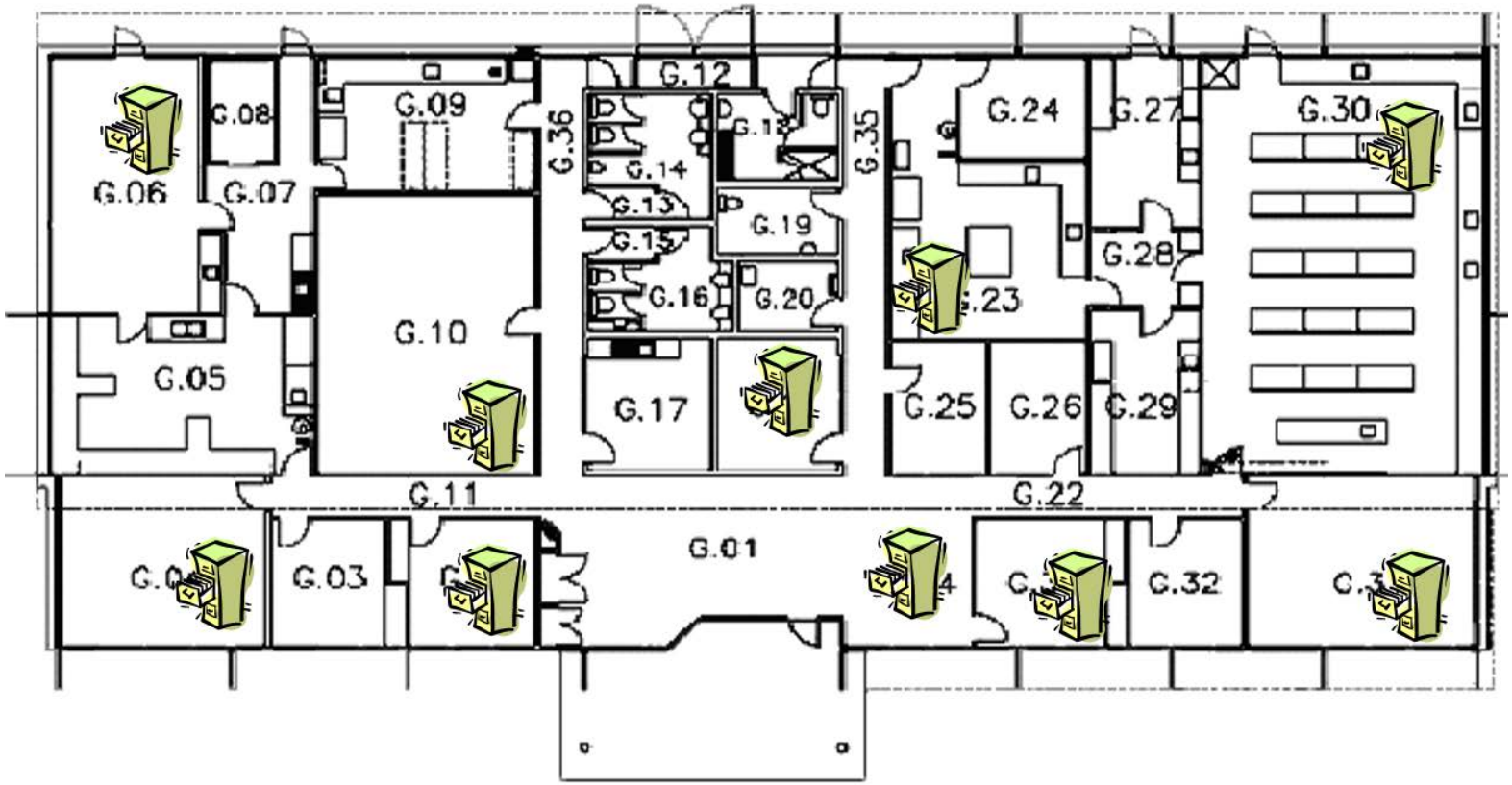
File Station Issues

- Identifying the office of record
- Managing multiple copies of the same document and managing documents containing duplicative information
- Determining centralized, decentralized, or a combination system

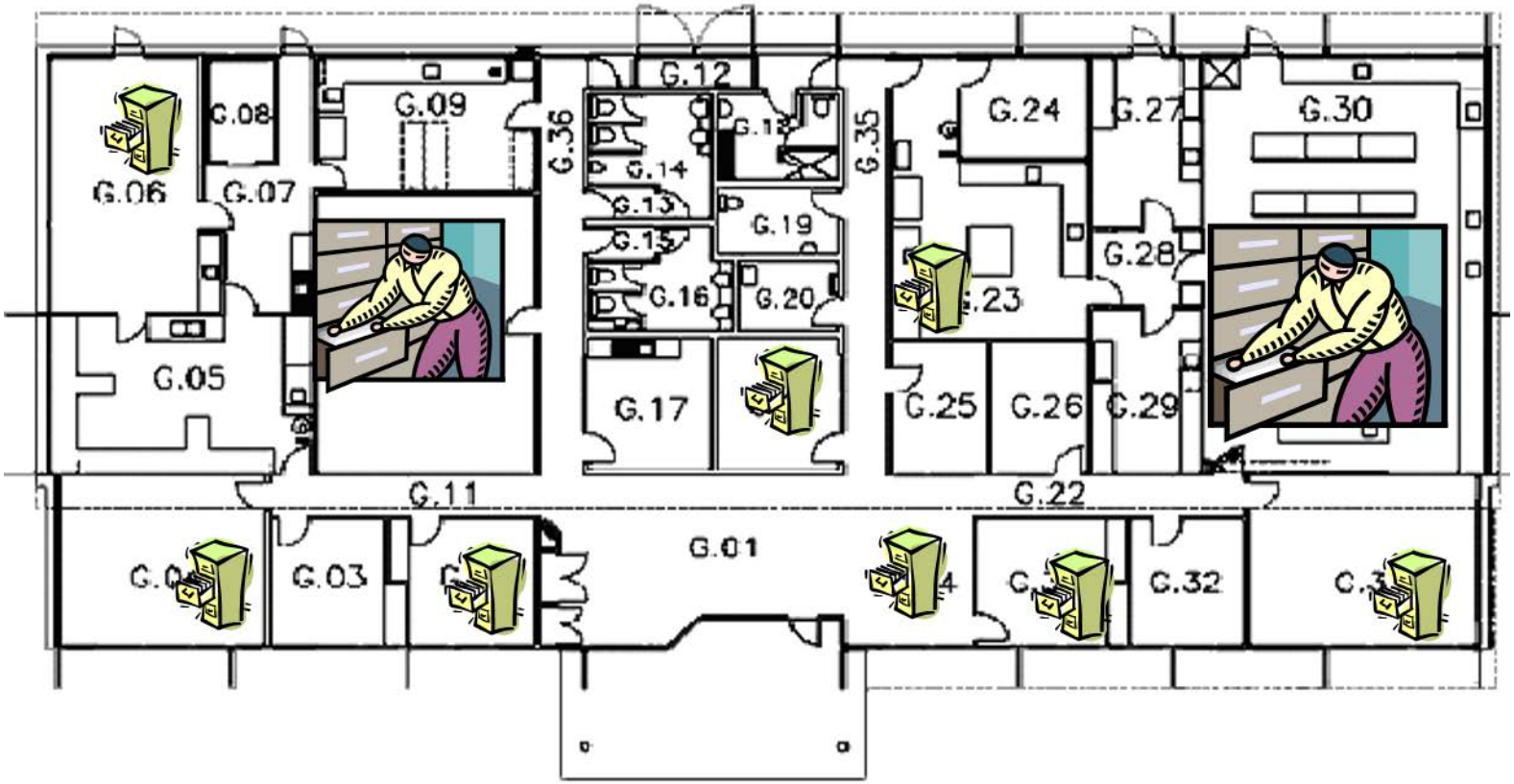
Centralized Filing System



Decentralized Filing System



Combination System



Textual and Electronic File Types

- Case
- Case and project working
- Subject
- Technical reference
- Convenience
- Transitory
- Suspense

Module 4: Information Maintenance and Organization

Lesson 3: Tools for Maintaining Your Records

Electronic Recordkeeping Systems

- An electronic recordkeeping system (ERKS) is an electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition
- ERKS may be either a distinct system designed specifically to provide recordkeeping functionality, or a module within, or a part of, another system

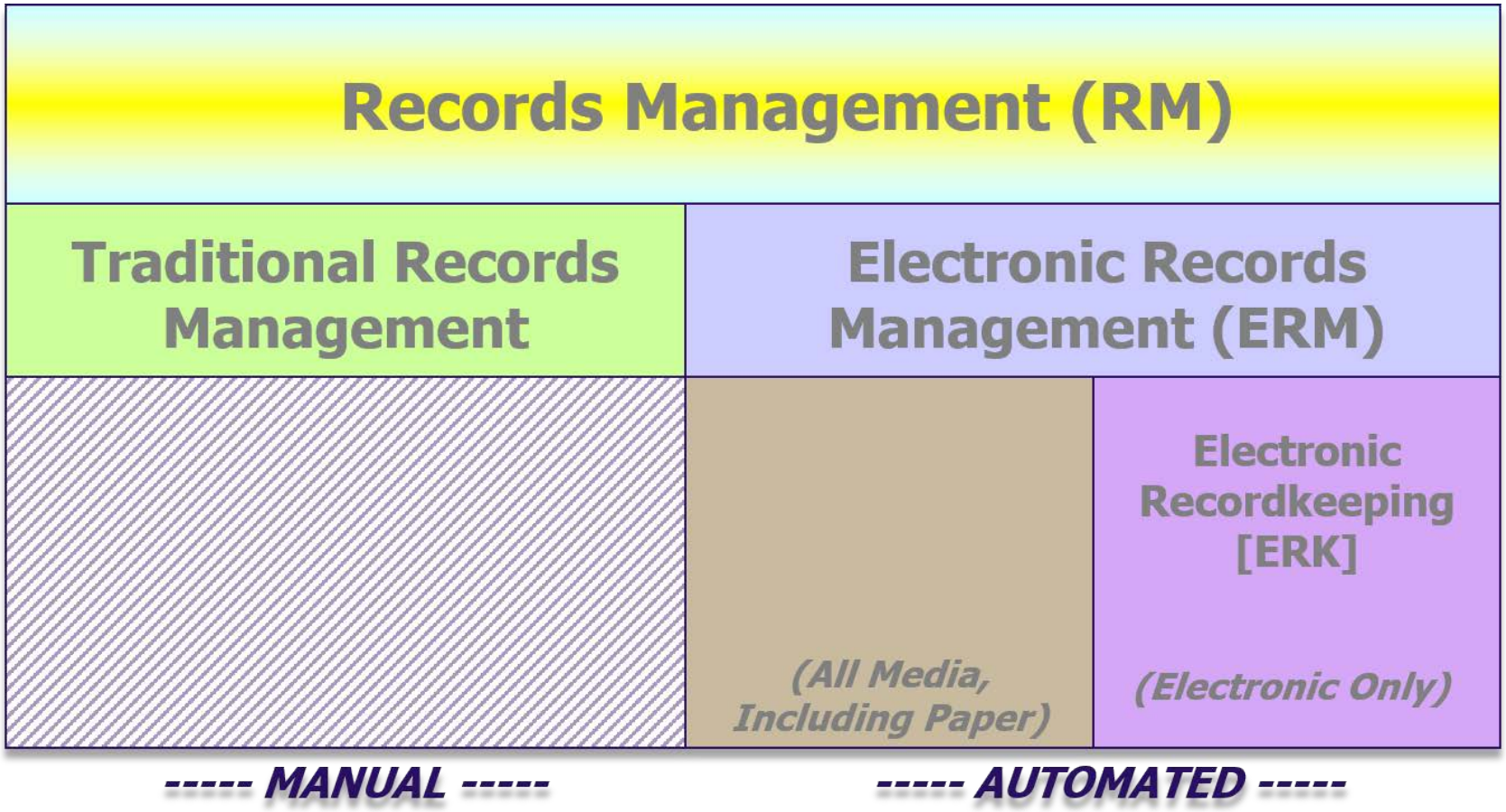
Electronic Recordkeeping Systems vs. Electronic Information Systems

- An electronic information system (EIS) is an information system that contains and provides access to computerized Federal records and other information
- It captures (creates) information, but, unlike an electronic recordkeeping system, it does not manage information throughout the lifecycle

Electronic Records Management Systems

- An electronic records management system (ERMS) is an electronic management system in which any agency records, regardless of format, are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition
- An ERMS:
  - Provides document content, context, and structure
  - Ensures authenticity, integrity, and reliability
  - Contains unchanged, redundant information (does not allow records to be updated)
  - Provides for compliance and disposition (meets regulations and complies with your records schedules)

The Big Picture: Records Management, ERK, and ERM



Benefits of ERMS

- ERMS has several beneficial features:
  - Tracks and manages documents in their “native system”
  - Manages records by having programmed retention schedules
  - Addresses the entire lifecycle of records
  - Works well with mixed electronic record formats

Additional Benefits of ERMS or RMA

- Authenticity and reliability
- Business dispute resolution
- Improved efficiency and productivity
- Long-term cost savings

Potential Drawbacks of ERMS

- Retention schedules must be entered and maintained with ERMS
- ERMS does not handle documents in progress very well

ERMS vs. ERKS vs. EIS

- Electronic Information Systems do not have records management built in
- Electronic Recordkeeping Systems deal only with electronic records
- Electronic Records Management Systems deal with all formats of records

Electronic Case Filing

- Electronic case filing occurs when the documents themselves are filed electronically by scanning paper or through the maintenance of documents borne and transmitted electronically
- The case file containing the stream of documents accumulated about a particular transaction or project is the primary repository of all information about that transaction

Electronic Case Filing (cont'd.)

What does an electronic case filing system do?

- Provides fast and inexpensive document retrieval and copying from remote locations
- Moves documents quickly, less expensively, and with greater security
- Copies information easily and rapidly
- Maintains all records in one medium
- Creates a streamlined process that requires fewer records staff to manage

Electronic Document Management Systems

An **electronic document management system** (EDMS) is a set of software and hardware applications that provides for the management of documents. Among its capabilities:

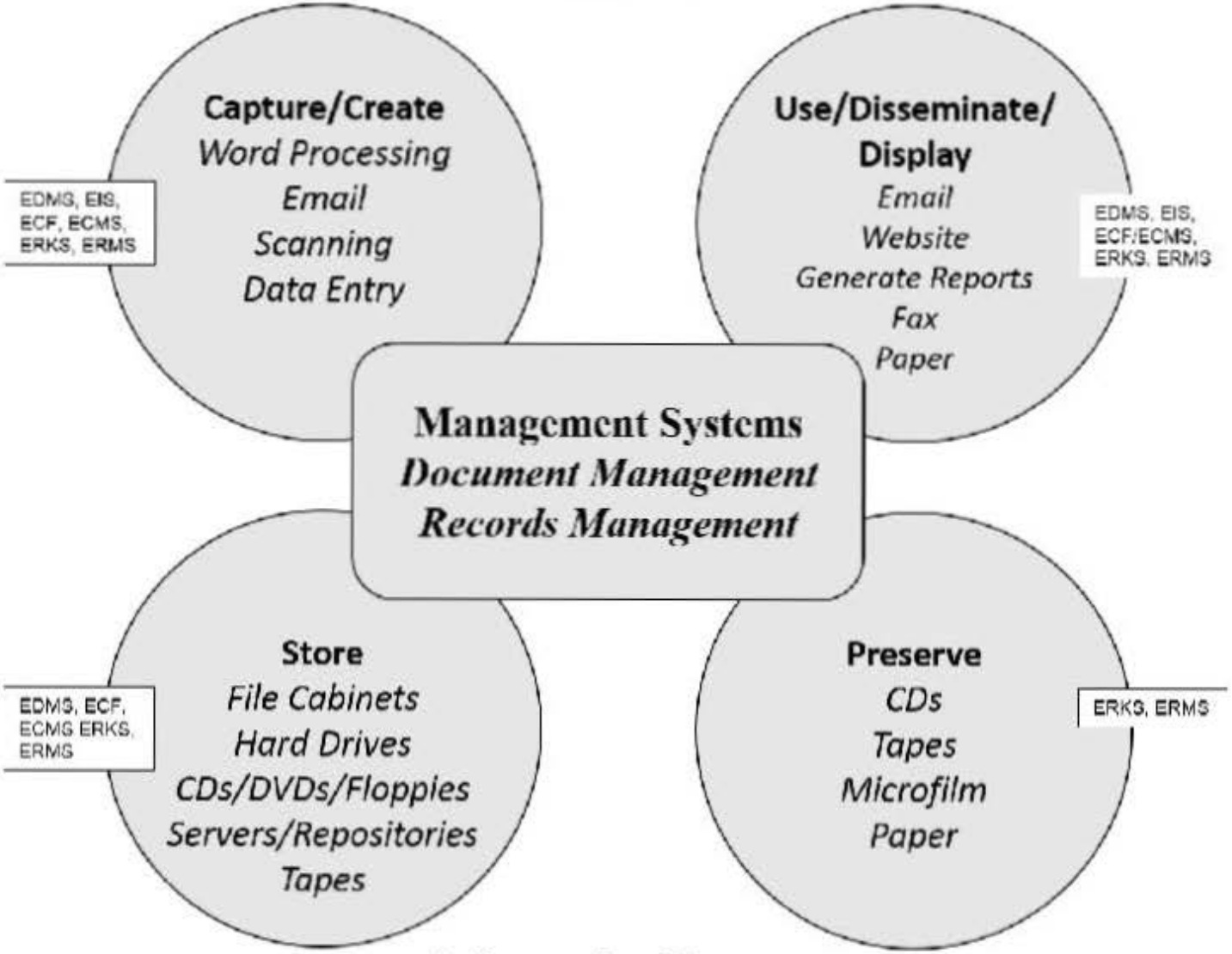
- Supports creating, editing, and reviewing work in progress
- Manages creation, storage, and control of documents during daily use
- Works well with mixed electronic record formats
- Provides for sharing files and information

Electronic Document Management Systems (cont'd.)

EDMS solutions have limitations. They:

- Do not effectively handle inactive information
- Do not support the preservation of the business context of an individual record
- Are not equipped with retention management components
- Usually do not address hardcopy or other nonelectronic media

EDMS is NOT an electronic records management system.



Information Process

Integrating Electronic Document Management Systems and Electronic Records Management Systems

True integration of ERMS and EDMS can be achieved only when both of the following conditions are met:

- The ERMS and EDMS share common functionality
- The ERMS and EDMS share common metadata

Integrating EDMS and ERMS (cont'd.)

There are currently three main types of integration:

- A standalone system, where separate EDMS/DMAs and ERMS/RMAs are purchased
- DMAs with records management capability or RMAs with document management capability
- Embedded e-records modules and metadata servers

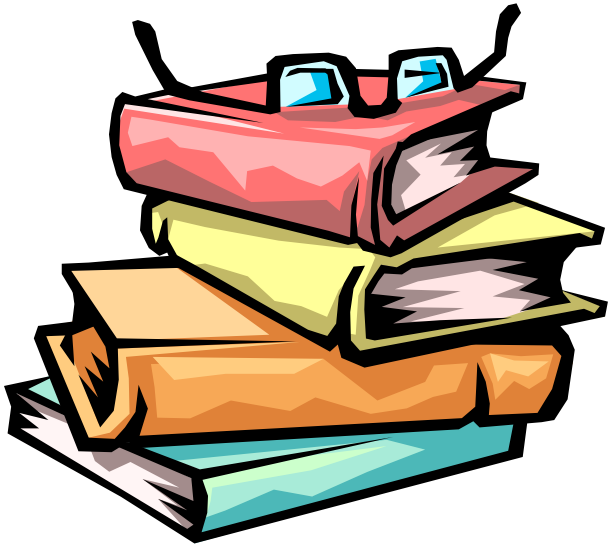
Module 4: Information Maintenance and Organization

Review and Wrap-Up

Activity

Review of Records Maintenance

Module Review



Applying What You Learned

Module 4 – Action Items Worksheet

Module 5: Maintenance for Electronic, Social Media, and Special Media Records

Module 5 Learning Objectives

At the conclusion of this module, you will be able to:

- Identify criteria for maintaining records in all formats
- Identify the benefits and issues related to paper and electronic records systems
- Explain the tools used to maintain electronic records
- Identify challenges associated with the use of social media

Module 5: Maintenance for Electronic, Social Media, and Special Media Records

Lesson 1: Considerations for Electronic, Social, and Special Media

Activity

Maintaining Electronic Records

Today's Environment

- Our documents have become increasingly digital – and will become still more so
- This increase in digital documents has created a new environment with new challenges for records management, including:
  - Media life limitations
  - Software dependency
  - Sustainability and preservation
  - Sharing and distribution
  - Security

Media Life Limitations

Medium	Practical Physical Lifetime	Avg. Time Until Obsolete*
Optical (CD)	10-30 years	5 years
Magnetic Disk	5-10 years	5 years
Digital Tape	1-50 years**	5 years
Analog Videotape	1-10 years**	5 years

**** For a particular format of the given type***

***** Tape lifetime is highly variable, depending on storage conditions***

Source: Jeff Rothenberg, RAND Corporation

The Solution

- ***Documents must be copied to new media while they are still readable***
- However, keep in mind:
  - The obsolescence and the physical lifetime of the new media
  - That copying may change data format, compress, encrypt, etc.
  - That copy cycles may have to be quite short to be safe, requiring a firm, funded commitment

Software Dependency

- Software-dependent documents are documents that can be seen only by running a specific program
- Examples include:
  - Word processors or spreadsheets
  - Database Management Systems (DBMS)
  - Geographic Information Systems (GIS)
  - Hypertext and hypermedia programs

When is a Document Really Software-Dependent?

- Is the document meaningful only to its original software?
- Are the document's structure and content understood only by the program that created it?
- Is the only way to make sense of the document to run the software?

"Yes" = software dependency

Problems with Software Dependency

- The information is unusable – and in some cases, may not even really exist – without the software
- Software-dependent information is also system-dependent
- There is no single solution for software dependency

Sustainability of Electronic Records (Preservation)

- Many of the guidelines for caring for permanent records relate to efforts to preserve the records forever
- While the records are maintained in agency space, it is up to the agency to start the preservation process
- The same can be said of caring for long-term temporary records

Sustainable Formats

- The term “sustainable” means the ability to access an electronic record throughout its lifecycle, regardless of the technology used when it was originally created
- A sustainable format is one that increases the likelihood of a record being accessible in the future

Characteristics of Sustainable Formats

- Published documentation and open disclosure
- Widespread adoption and use
- Self-describing formats

Enhancing Sustainability

- Technical protection mechanisms
- Maintain integrity of source data

Quality and Functionality Factors

- Characteristics that make information useful and valuable
- Vary by type of record and the needs of users

Strategies for Digital Preservation

- Replication
- Emulation
- Migration

Data Migration

- Electronic records of continuing value need to be migrated through successive upgrades of hardware and software
- The preservation of record integrity requires that the record be authentic, reliable, complete, and possess sufficient context

Challenges of a Data Migration

- Existing in a single medium or as a multimedia record
- Comprising a number of elements
- Relying on metadata embedded in computer software and hardware to link content and structure to context
- Preserving intellectual-level connections and control mechanisms among the various elements
- Upgrading hardware and software every 18 months to three years

Sharing and Distribution

The ease of electronic records brings problems:

- Version control
- Accumulation of nonrecords
- Multiple copies of records

Security

There are two types of security:

- System-level
- User-level

General Guidelines for Maintaining Electronic Records

Several maintenance requirements that apply to all electronic information systems containing Federal records:

- Make sure records are readily identifiable
- Provide indexing or text search capabilities
- Require user identification codes or passwords
- Back up records regularly
- Avoid the use of unstable media for exclusive long-term storage

General Guidelines for Maintaining Electronic Records (cont'd.)

- Provide a standard interchange format
- Maintain complete and up-to-date technical documentation
- Safeguard and maintain all required software and hardware
- Make sure procedural controls are in place

General Guidelines for Caring for Permanent Electronic Records

- They require special care and storage
- Storage and test areas for electronic records storage media containing permanent and unscheduled records must stay within specific temperature and relative humidity ranges
- Contact NARA to arrange for transfer if the agency cannot provide proper care and handling

Magnetic Media

- Implement a standard procedure for external labeling of the contents of diskettes, disks, magnetic tape reels, or cartridges
- Test tapes used for permanent and unscheduled records within six months prior to use

Magnetic Media (cont'd.)

- Review a statistical sample of permanent and unscheduled records tapes to identify loss of data
- Copy tapes used for permanent and unscheduled records before they are 10 years old
- Store magnetic media containing permanent or unscheduled records under recommended temperature and humidity conditions, and protect from magnetic fields

Image Files

- Imaging is a process by which a document is converted from a human-readable format to a computer-readable digital image file
- These imaged pictures of documents can be stored on a variety of media
- When combined with effective indexing, imaging files can shorten information retrieval time and allow access to documents for multiple users at various locations

Optical Imaging Systems

- An optical imaging system consists of hardware and software that allow one to scan and digitize source documents
- Evaluating compliance must meet NARA transfer requirements and must conform to NARA policy requiring disposition of original records

Email

Email is only a vehicle for transmitting information:

- An email system carries both records and nonrecord materials
- Establish guidance and policies on the identification and preservation of electronic records, including email

Email Archiving

Email archiving refers to applications that remove email from the mail server and manage it in a central location.

- Agencies are responsible for addressing areas where the applications do not meet the requirements of the Federal Records Act and NARA regulations

Email Key Points

- Emails that are not Federal records may be deleted
- Emails must be filed with related records
- The retention schedule dictates the retention period for email
- GRS 3.2 dictates the disposal schedule for backup tapes
- GRS 4.2 dictates the disposal schedule for transitory emails

Word Processing Files

Word processing applications capture recorded information.

- The creator of the word processing record should:
  - Identify the record status of drafts and other background materials, and file them in the appropriate recordkeeping system
  - Ensure that the support staff generates appropriate file copies
  - Ensure that the final documents and official file copies show the date, approval of the signer, and the file classification
  - Ensure that any necessary drafts and related materials are attached to the official file copy

Social Media

- Facebook
- Wiki
- Blog
- Social networks
- Photo libraries
- Virtual worlds
- Many more

Social Media Challenges

- Recordkeeping in a collaborative environment
- Content located in multiple places
- Ownership and control of data that resides with a third party
- Identification of records
- Implementation of records schedules
- Capture of complete records

The Web

There are three categories of web records:

- Records relating to website development and administration
- Records relating to technical operation of the website
- Records relating to website content

Apply What You Know About Electronic Records to Web Records

- Information found on your website must be managed as records
- Identify web-related records needed to ensure trustworthiness for your website
- Use the concepts of reliability, authenticity, integrity, and usability to establish criteria to identify web-related records needed to document agency programs

Management and Disposition of Web Records

- Manage web records by preserving their content, context, and structure
- Include websites and website-generated records in your retention schedules
- Assess
  - Business needs
  - Risk
- Consider
  - Whether web content is available elsewhere
  - Government accountability
  - Legal rights

Geographic Information Systems and Computer-Aided Design

- GIS and CAD products are electronic records that are extraordinarily complex and difficult to manage
- They consist of different components
- They must be maintained within the systems that created them and that make them available for use

Databases

- Contain records
- Build recordkeeping functionality into the design
- Ensure that preservation is built into operating procedures

Portable Document Format

- Adobe PDF was created primarily for organizations to distribute and exchange documents
- It has been adopted by organizations as a way to exchange documents quickly and also reduce reliance on paper
- Agencies need to facilitate long-term preservation and future access to these records

Audiovisual Records

- The original and reference copies of audiovisual records should be maintained separately from each other
- Maintain cross-references
- Ensure that information on permanent or unscheduled magnetic sound or video media is not erased
- Retain original photographic images
- Maintain original scanned photographs
- Store permanent records in environmentally controlled space

Cartographic and Architectural Records

- Maps and drawings must be stored flat in shallow-drawer map cases
- Permanent maps and drawings must be stored in acid-free folders
- Large, heavy atlases and other bound volumes of maps or drawings must be stored flat
- Adequate finding aids, such as indexes, must exist
- Cross-references to closely related textual records must be maintained

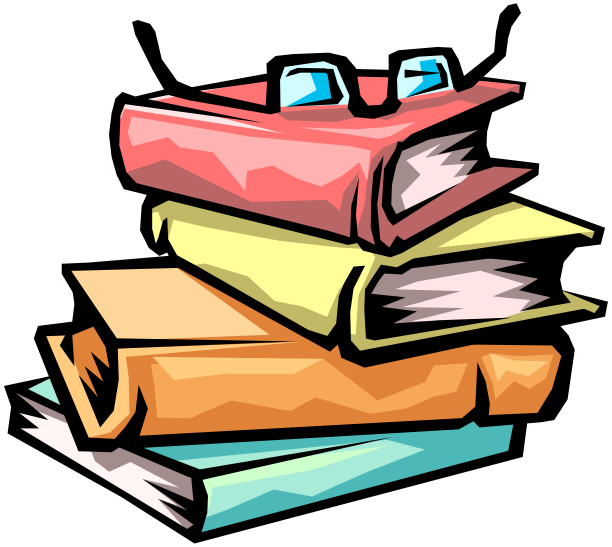
Micrographic Records

- Records on microform must be arranged and indexed
- Microforms need to contain a title header for identification
- Boxes containing microforms must be individually labeled with the record series title and date span
- Permanent and temporary records must be filed separately
- Silver and nonsilver microforms must be filed separately
- Silver master microforms of permanent and unscheduled records must be inspected every two years while in storage

Module 5: Maintenance for Electronic, Social Media, and Special Media Records

Review and Wrap-Up

Module Review



Applying What You Learned

Module 5 – Action Items Worksheet