









- 1  **Let's Get Organized**  
**Setting Up Your Electronic Files**  
National Archives & Records Administration  
Records Management Program  
March 2014
- 2  **Let's Get Organized!**
  - ▶ A Mess - a situation or state of affairs that is confused or full of difficulties
  - ▶
  - ▶
  - ▶
  - ▶
  - ▶
- 3  **Organized – Neat**
  - ▶ To Organize - to put together into an orderly, functional, structured whole
- 4  **Why Do We Care?**
  - ▶ Operational Efficiency

To get the job done we need the ability to deliver products and services in a cost effective manner.

  - ▶ The Law - 44 U.S.C. 3101 states that agencies “must maintain an active, continuing program for the economical and efficient management of the records of the agency”.
- 5  **The Cost To Find Information**
  - ▶ Average employee wastes \$5,251 a year in time searching for information
  - ▶ Employees spend 3.5 hours a week searching for information they cannot find
- 6  **Does It Matter If You Keep Everything?**
  - ▶ In 2009 the Sedona Conference assumed review costs of \$200/hr for attorneys, estimated cost to review 1 GB of data was \$32,000.
  - ▶ If it exists you have to produce it for litigation or a FOIA request.
  - ▶ The larger the digital landfill, the more difficult to locate the right information.
- 7  **How Would You Feel If.....**
  - ▶ Your Social Security files were lost (misfiled)
  - ▶ All of your personal identification documents were destroyed e.g. birth certificates, family photos, property records, etc. (think Katrina)
  - ▶ Your medical records could not be located
  - ▶ Maps and floor plans were not available to help rescue workers looking for you
  - ▶
- 8  **The Way It Used To Be**
  - ▶ Information was easier to control

- ▶ Gatekeepers (secretaries) knew about file plans and how to create and use them
- ▶ Only “special” people could create business information/records
- ▶ Volume was limited and controlled

9 **Not Always Perfect Though**

- ▶ If no one took responsibility, records got misfiled, neglected, or worse.

10 **Then The 80's Came Along**

11 **The Old Way was Replaced With Electronic Chaos**

- ▶ Information has distributed ownership
- ▶ Gatekeepers are a thing of the past
- ▶ Everyone with access to a computer or mobile device can create business information and records
- ▶ Volume is out of control, unlimited, and growing exponentially

12 **Statistics**

- ▶ World's information doubling every 2 years
- ▶ Over the next 10 years the number of servers in the world will increase 10-fold
- ▶ Amount of data managed by data centers will increase by 50-fold
- ▶ 7.9 zettabytes (ZB) will be created in 2015  
*(in decimals = seventh power of 1000 – 1 ZB = 1 billion terabytes)*  
*Library of Congress estimated to equal 10 terebytes*



13 **Where Did We Go Wrong?**

14 **We Forgot To Equate**

This

With This

15

16 **Electronic Files Should Be Structured Like Filing Cabinets**

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20 **Naming Conventions**

- ▶ Agreed upon formats and use of terms to name documents, files, and folders
- ▶ Year/Day/Month or Month/Day/Year or Day/Month/Year – whatever - everyone needs to be on the same page
- ▶ Subject lines for email – FYI – Urgent – Action

- ▶ Are pre-existing numbering systems used?

- ▶ Alpha or numeric identifiers included?

- ▶

- ▶

21  **Examples**

- ▶ Reference = REF

- ▶ Correspondence = COR

- ▶ Product = PRO

PRO Inventory Template 2012\_09\_28

REF SharePoint Governance 2012\_09\_27

COR NARA Feedback 2012\_09\_25

- ▶

22  **More Examples**

- ▶ If circulating a document for comment put the word "Draft" and the version number in the file name:

Example: Training Template Draft v1 2012\_09\_21

- ▶ No naming of documents with just alpha/numeric codes:

For example: AC 26.2012 does not give enough information to be able to find it later

- ▶

23  **So where do you get the file folder structure from?**

- ▶ Your File Plan is your decoder ring

- ▶

- ▶

- ▶

- ▶ A File Plan....what's that?

*A subset of your retention schedule that covers only your area of responsibility.*

24  **For Example**

- ▶ The GRS (General Records Schedule) indicates some of the following records series:

1. Civilian Personnel Records
3. Procurement, Supply, and Grant Records
9. Travel and Transportation Records
13. Printing, Binding, Duplication Records
14. Information Services Records
21. Audiovisual Records
24. Information Technology Operations

25  **GRS 14 Information Services Records includes FOIA Records**

- ▶ 14.1 Acknowledgment Files – 3 mns

- ▶ 14.2 Information Request Files – 3 mns

- ▶ 14.3 Press Service Files – 3 mns

- ▶ 14.4 Information Project File – 1 yr


- ▶ 14.11 FOIA Request Files – Multiple Retentions

- ▶ 14.12 FOIA Appeals Files – Multiple Retentions

*14.12.a Correspondence Supporting Docs – 6 yrs*

*14.12.b Records under Appeal – see retention*

- ▶

26  **Partial GRS 14 File Structure**27  **How You Do Business Determines How You Set Up Your Files**

- ▶ Use your organizational chart to determine functional areas of responsibility.

- ▶ If the records/documents are managed by the calendar year then you can set up high level files by the year.

- ▶ If the records/documents are managed by the FY, then set up by the FY.

▶

28  **Let Your Business Be The Driver**

- ▶ How you do business should determine the level of granularity that is required

- ▶ If your office gets 7000 FOIA requests in a year you need the granularity of individual folders (*down to the folder level being an individual case name or number*)

- ▶ If your office gets 8 FOIA requests in 3 years then you need less granularity of the folder structure



29  **What If You Have Software Tools In Place Already?**

- ▶ No software is plug and play

- ▶ You still have to have a file structure determined first

- ▶ The software needs a map of where to place the data


▶

30  **So You Use SharePoint – You Really Need Governance**31  **Cleaning Out The Files**

- ▶ Copy the file folder structure for the new FY or CY, or new case files

- ▶ Change the case name or put the new date on the folder

- ▶ When a specific folder whose contents has for example a 3 year retention, has met it retention, delete the entire folder and contents

32  **Summary**

- ▶ Why it matters to manage your records and information

- ▶ There are costs associated with improper management of records and information

- ▶ You have to be proactive in managing electronic data

- ▶ Put filing structures in place

- ▶ Have naming conventions for both manual management of e-records and use of systems

- ▶ Clean out those files

▶



33  *Questions?*  
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