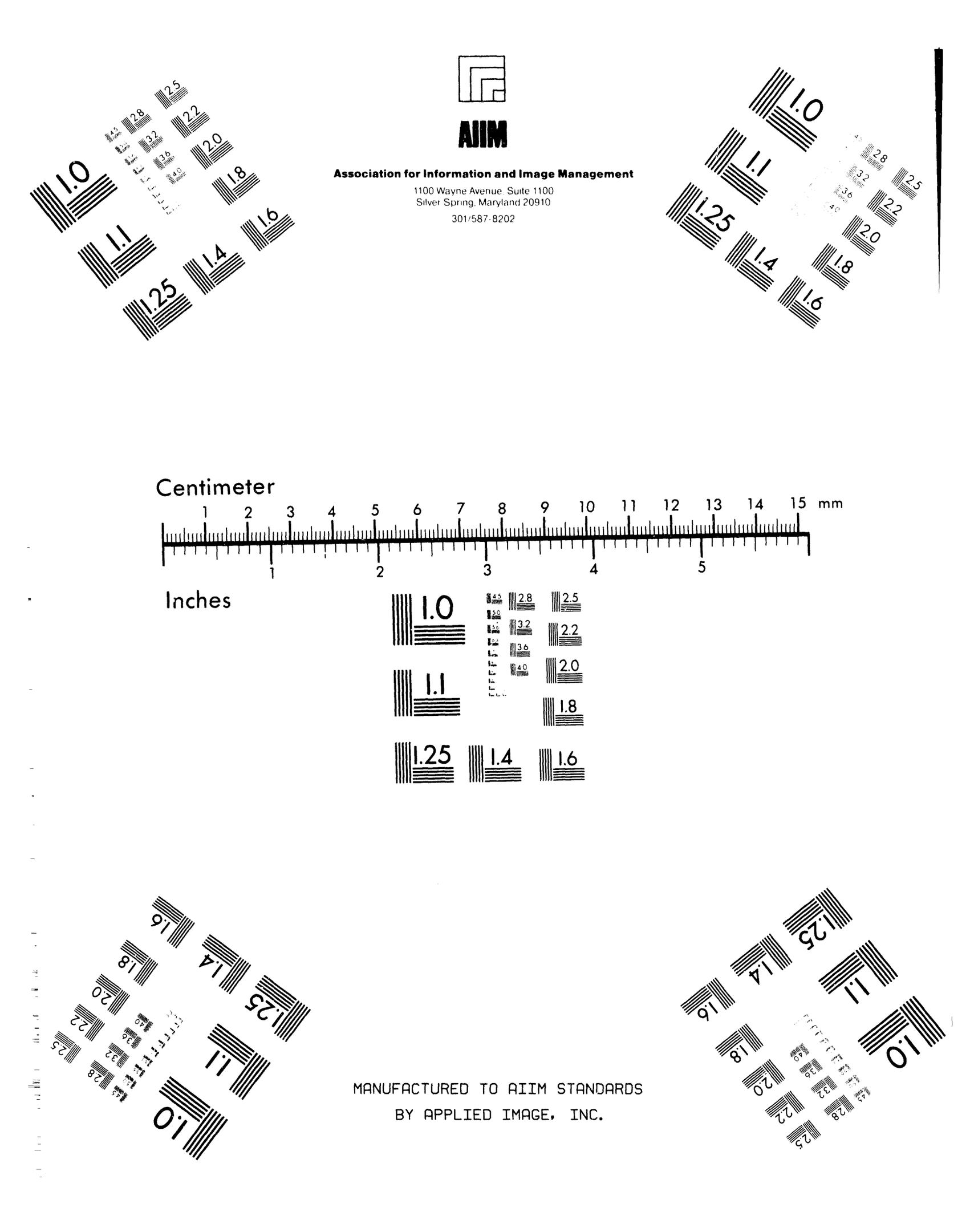
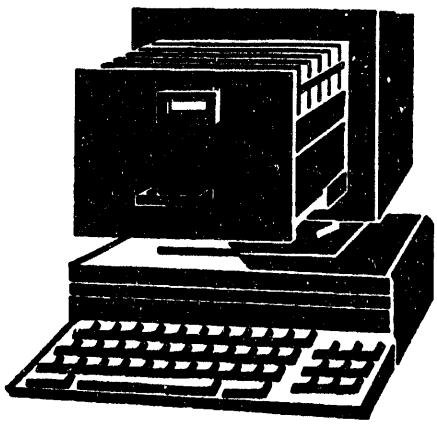

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CONF-9406129



1994
Department
of Energy

# Records Management Conference

June 19-24, 1994
Charlotte, North Carolina

MASTER

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DOE Records Management Conference Steering Committee
U. S. Department of Energy, Office of Information Management

CONF-9406129

## U.S. DOE RECORDS MANAGEMENT CONFERENCE
## STEERING COMMITTEE NOMINATION FORM -- JUNE 1994

I place in nomination _____ for the office of *(check one):*
Print Name

[ ] Steering Committee Member, DOE Federal Community
[ ] Steering Committee Member, Contractor Community

**SHORT** Biographical Summary (1 to 2 sentences maximum) must be provided so it can be included in the printed ballot. Please provide title, organization, and a **brief** description of the person's or organization's duties (e.g., "manages records activities for the XYZ multi-program laboratory" or "individual contributor in the records and document control branch at the XYZ DOE Field Office"):_____

_____

_____

_____

Placed in nomination by _____
Print Name

---


## U.S. DOE RECORDS MANAGEMENT CONFERENCE
## STEERING COMMITTEE NOMINATION FORM -- JUNE 1994

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Print Name

[ ] Steering Committee Member, DOE Federal Community
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**SHORT** Biographical Summary (1 to 2 sentences maximum) must be provided so it can be included in the printed ballot. Please provide title, organization, and a **brief** description of the person's or organization's duties (e.g., "manages records activities for the XYZ multi-program laboratory" or "individual contributor in the records and document control branch at the XYZ DOE Field Office"):_____

_____

_____

_____

Placed in nomination by _____
Print Name

## ELECTION PROCESS
## U.S. DOE RECORDS MANAGEMENT CONFERENCE STEERING COMMITTEE

To save time during the conference sessions and to ensure that those nominated are approached in advance, this year's election process will be held as follows:

1. Any attendee may nominate candidates. Be sure to check with the nominee BEFORE you nominate them to confirm that, if elected, they will serve and have the appropriate support of their organization. Use the attached form to nominate an individual. One person may nominate several candidates. (Additional copies of the Nomination Form will be available at the registration desk.)

2. Nomination forms must be deposited in a box at the registration desk anytime from 7:30 A.M. until 2:45 P.M., TUESDAY, June 21.

3. The Steering Committee will prepare a ballot Tuesday evening and distribute the ballot to the attendees on WEDNESDAY, June 22, during the morning announcement period.

4. Attendees will mark his or her ballot and place it in a collection box at the registration desk anytime thereafter UNTIL 2:45 P.M., WEDNESDAY, June 22.

5. The Steering Committee will count the ballots Wednesday evening and announce the results THURSDAY, June 23, during the conference wrap-up session.

According to our Charter, at this year's conference we will elect the following to one year terms:

- Four Steering Committee Members from the DOE Federal Community.
- Four Steering Committee Members from the DOE Contractor Community.

The current Vice Chair will automatically succeed the Chair. One Steering Committee Member from the DOE Federal Community and one Steering Committee Member from the DOE Contractor Community (selected by the Steering Committee) will stay on for a second year.

The current Officers are as follows:

**CHAIR**

Jan Statler, Science Applications Inter. Corp.

**VICE CHAIR**

Margarita Sexson, DOE Albuquerque Operations Ofc.

**HQ REPRESENTATIVE**

Mary Ann Wallace, DOE-HQ

**EX-OFFICIO MEMBER**

Erik Anderson, Pacific Northwest Laboratory

**DOE MEMBERS**

Lowell Langford, DOE OSTI

Judy Krumm, DOE Rocky Flats Office

Toni Love, DOE Idaho Operations Office

Dan Ogden, Savannah River Operations Office

Dave Warriner, DOE Yucca Mountain Project Office

**CONTRACTOR MEMBERS**

Anna Nusbaum, Sandia National National Labs

Lori Hefner, Lawrence Berkeley Laboratory

Tom Anderson, Kaiser Engineers Hanford

Barbara Compton, Protection Technology - INEL

Pat Schuette, Battelle - PNL

**Department of Energy**
**Records Management Group**

Charter

Purpose

The Department of Energy (DOE) Records Management Group (RMG) provides a forum for DOE and its contractor personnel to review and discuss subjects, issues, and concerns of common interest. This forum will include the exchange of information, and interpretation of requirements, and a dialog to aid in cost-effective management of the DOE Records Management program.

Initiatives

Issues addressed by the RMG may result in recommendations for DOE-wide initiatives. Proposed DOE-wide initiatives shall be provided in writing by the RMG Steering Committee to the DOE Records Management Committee and to DOE's Office of IRM Policy, Records, and Reports Management for appropriate action.

Membership

The membership of the RMG is composed of personnel engaged in Records Management from DOE Headquarters, Field sites, contractors, and other organizations, as appropriate.

Steering Committee, Chair and Vice Chair

It is the responsibility of the Committee to schedule meetings, solicit issues, establish agendas, and address common needs in support of the conference. It is also their responsibility to forward, to the appropriate committee or office, recommendations resulting from the conference. Additional duties or projects proposed by the RMG or the DOE Records Management Committee, and deemed acceptable by the Committee, may be assumed.

A Chair and Vice Chair shall preside over the Steering Committee. The Chair shall preside over the meetings and coordinate committee efforts. The Vice Chair will assume these responsibilities in the Chair's absence. The Vice Chair shall be elected by the Steering Committee and automatically succeed the Chair after a term of one year. (Refer to Articles IV and VI for details).

Conference

When deemed appropriate by the DOE Director of Administration and approved by the Secretary or his designee (in accordance with DOE 1130.7B, DEPARTMENTAL CONFERENCE ACTIVITY), a conference shall be held at a location near or in a DOE site community. Members of the Steering Committee shall select a Program Chair and a Host Chair for each conference to ensure no one is unduly burdened.

Administrative and organizational support will be provided by DOE Headquarters and the Steering Committee.

**Department of Energy Records Management Group**

# BYLAWS

## ARTICLE I

### Name

The name of this organization shall be the Department of Energy - Records Management Group, hereinafter referred to as DOE RMG.

## ARTICLE II

### Purpose

Section 1. The purpose of the DOE RMG is to provide a forum for DOE and its contractor personnel to review and discuss subjects, issues, and concerns of common interest. This forum will include the exchange of technical information, an interpretation of requirements, and a dialog to aid in cost-effective management of the DOE Records Management Program.

Section 2. Not-for-Profit. DOE RMG is a nonprofit organization, no part of whose funds shall inure to the benefit of any member.

## ARTICLE III

### Membership

Membership of the DOE RMG is composed of Records Management personnel from the various DOE organizations of Headquarters, Field sites, contractors, and others, as appropriate.

## ARTICLE IV

### Steering Committee

Section 1. Powers. The affairs of DOE RMG shall be managed by the Steering Committee, except as otherwise provided in these bylaws.

Section 2. Membership. The RMG Steering Committee will consist of a Chair, Vice Chair, ten Committee members representing the DOE and contractor community, and an ex officio representative of the HQ Office of IRM Policy who will participate as a non-voting member.

Section 3. Officers. The officers of the Committee shall consist of the Chair and Vice Chair.

Section 4. Nominations. Nominations for Vice Chair shall be solicited from the Steering Committee prior to each conference. Nominations for eight Steering Committee members shall be solicited by a call prior to or at each conference. In the event fewer than eight nominations are submitted for committee members, the Steering Committee shall nominate candidates.

Section 5. Election and Appointment. Eight Steering Committee members shall be elected by majority vote of the RMG, four members each from the DOE Federal and the contractor communities. These eight members shall serve a one-year term. The Chair and Vice Chair shall each serve one-year terms.

The Steering Committee shall elect, by majority vote, two members (one DOE, one contractor) to remain on the committee for another year. The Steering Committee shall also elect, by majority vote, the Vice Chair. By retaining two committee members, the newly elected Vice Chair and the previous Vice Chair (serving as Chair), continuity of issues and recommendations is assured.

Section 6. Vacancies. When the position of Chair becomes vacant, the Vice Chair shall immediately assume the position. The Steering Committee shall then elect, by majority vote, a Vice Chair from among the current Committee members.

Vacancies of the Steering Committee occurring at any time during a term of office shall be filled for the remainder of the unexpired term by a person designated by the majority vote of the Steering Committee.

Section 7. Meetings. The Steering Committee shall meet to facilitate planning and execution of the Records Management Conference. The Committee shall meet at least once prior to the conference to plan and organize the program. The Committee shall meet again following the conference for evaluation purposes and suggestions for the next conference. The Chair shall preside at meetings of the Committee. The Vice Chair shall assist the Chair and exercise all powers of the Chair in the Chair's absence.

## ARTICLE V

## Conferences

Following approval, a conference will be held at or near a DOE site as determined by the RMG Steering Committee. Approval will be sought in accordance with the DOE 1130.7B, DEPARTMENTAL CONFERENCE ACTIVITY.

## ARTICLE VI

### Management

Section 1. Administrative Staff Support. Administrative support for the Steering Committee shall be managed by the Chair and the HQ ex officio representative. Support, as required, shall be provided by Committee members.

Section 2. Accountability of Funds. The Chair of the Steering Committee shall be responsible for accounting for any funds received and disbursed in connection with DOE RMG activities and for meeting all regulations as may be required by statute or Government policy.

Section 3. Duties of the Steering Committee. The members of the Steering Committee shall be responsible for the performance of the following duties.

Chair

1. Calls all meetings of the Steering Committee;
2. Presides over meetings of the Steering Committee;
3. Presides over RMG Conference proceedings;
4. Responsible for final coordination of Conference agenda; and
5. Responsible for any funds received or disbursed.

Vice Chair

1. Assists Chair in the conduct of meetings and conferences, and chairs meetings and conferences in his absence;
2. Assumes Chair upon the departure of the incumbent Chair;
3. Summarizes agenda topics and program status at any Plenary Session(s) of the RMG Conference;
4. Receives and forwards to the RMG and Steering Committee proposed and adopted amendments to the Charter; and
5. Provides proposed initiatives, in writing, to the DOE Records Management Committee at the direction of the RMG Steering Committee.

Headquarters Representative

1. Provides administrative and organizational support for the conference, as required and within budget constraints;
2. Prepares conference justification packages as required for approval;
3. Ensures the RMG activities and conferences are consistent with the needs and concerns of the Department.

Program Chair

1. Solicits topics of interest from the RMG and develops a proposed agenda for the conference for Steering Committee review;
2. Arranges speakers and panel discussion leaders, and/or designates the responsibility to other Committee members;
3. Arranges for publication of the Conference proceedings.

Host Chair

Provides administrative support, as required, during the Conference.

At-Large Members

1. Assist with Conference planning and execution as directed by the Chair.
2. Participate in other Committee activities, as needed.

## ARTICLE VII

## Nondiscrimination

Section 1. Nondiscrimination. DOE RMG shall not discriminate in any manner against any person by reason of race, color, sex, national origin, handicap, religion, or political affiliation.

## ARTICLE VIII

## Amendments

Section 1. Procedure. These bylaws may be amended at any regular meeting of the RMG Steering Committee, on a temporary basis until approved by the RMG, or by majority vote of the RMG. The proposed amendment(s) shall be made in writing to the Vice Chair. Copies of the proposed amendment shall be distributed to the members at least 30 days prior to the date of the meeting at which they will be considered.

Section 2. Effective Date. All amendments to the bylaws shall become effective when adopted or as specified in the amendment resolution. Copies of adopted amendments shall be provided to members within 15 days of adoption.

## ARTICLE IX

### Vendor Participation

If requested, Vendors may provide exhibits of their products or services, with the approval of the RMG Steering Committee, at records management conference when the following conditions are met.

1. The product or service must be relevant to Records Management in DOE.
2. The complete demonstration or exhibit is to be made available for review by the Steering Committee at least two months prior to the conference.

Speeches or presentations by Vendors regarding their products or services will not be permitted as part of proceedings at DOE Records Management conferences.

# 1994 DOE RECORDS MANAGEMENT CONFERENCE
# AGENDA

## Monday, June 20, 1994

**Springboard Program**

| | | |
|---|---|---|
| 7:30 - 8:00 | Registration | |
| 8:00 - 8:15 | Welcome to Springboard Program and Announcements | Barbara Compton |
| 8:15 - 9:30 | Federal Records Management Overview | Mary Ann Wallace |
| 9:00 - 10:00 | NIRMA, ARMA, CRM OVERVIEW | Lowell Langford & Judy Ferguson |
| 10:00 - 10:15 | Break | |
| 10:15 - 11:45 | Shining a Light through Mud | Lorrie Mitchell<br>Myrna Wirth |
| 11:45 - 1:00 | LUNCH | |
| 1:00 - 1:45 | Now that I'm here what language do I Speak? | Scott Ward |
| 1:45 - 2:30 | Where did you say those files are? | Tami McCray |
| 2:30 - 2:45 | BREAK | |
| 2:45 - 4:30 | Appraisal Tales of the Crypt | Lynn Pavelka-Zarkesh |
| 5:00 - 6:30 | RECEPTION | |

| **Working Groups** | **A** | **B** |
|---|---|---|
| 8:00 - 10:00 | REINVENTING INVENTORYING<br>Margarita Sexon | TECHNOLOGY TRANSFER<br>RECORDS SCHEDULING<br>Cathy Marcianti |
| 10:00 - 10:15 | BREAK | |
| 10:15 - 11:45 | Continued | NATIONAL LABS<br>M. A. Wallace |
| 11:45 - 1:00 | LUNCH | |
| 1:00 - 4:30 | ADMINISTRATIVE RECORDS SCHEDULING | WEAPONS RECORDS SCHEDULING |
| | Cheryl Arrington | Margarita Sexon |
| 5:00 - 6:30 | RECEPTION | |

# 1994 DOE RECORDS MANAGEMENT CONFERENCE
# AGENDA

## Tuesday, June 21, 1994

| | | |
|---|---|---|
| 7:30 - 8:00 | Registration | |
| 8:00 - 8:15 | Welcome and Overview | Jan Statler |
| 8:15 - 8:45 | DOE Savannah River Welcome | Joel Cote, Assistant Manager for Administration, Savannah River |
| | DOE Headquarters Welcome | Gerald F. Chappell, Associate Deputy Assistant Secretary for Information Management |
| 8:45 - 9:30 | Records Management Issues | Mary Ann Wallace, Director Records Management Division |
| 9:30 - 9:45 | BREAK | |
| 9:45 - 11:00 | Epidemiology, Human Experimentation and other Records Mgmt. Issues | Elly Melamed, Records Management Division, HQ |
| 11:00 - 11:45 | Partnerships between the DOE and Contractors | Lori Hefner, Lawrence Berkeley<br>Dan Ogden, Savannah River |
| 11:45 - 1:00 | LUNCH | |
| | **Track A** | **Track B** |
| 1:00 - 1:45 | Strategic Planning Partnerships at INEL?<br>*Barbara Compton* | Managing Training Records<br>*James Byrd* |
| 1:45 - 2:30 | Records Management and Environmental Experts, Side by Side.<br>*Mary Campau* | Records Management Training at Pantex Plant<br>*Donna Heard Rose* |
| 2:30 - 2:45 | BREAK | |
| 2:45 - 3:30 | The value of Historical Records and Corporate Memory in Environmental Restoration Work.<br>*Barbara Swenson* | Inventorying and Scheduling Records you can't see.<br>*Catherine Pasterczyk & Laurie Cady* |
| 3:30 - 4:30 | OCRWM Records Awareness Program<br>*Jean Waterson & Hans Ebner* | Records Center Relocation: A Moving Experience<br>*Peggy Warner* |

# 1994 DOE RECORDS MANAGEMENT CONFERENCE
# AGENDA

## Wednesday, June 22, 1994

| | | |
|---|---|---|
| 8:00 - 8:15 | Announcements | Jan Statler |
| 8:15 - 9:00 | The New DOE | Dr. Steve Galson, |
| 9:00 - 9:45 | Proposed E-Mail Rule and its Implications | Tom Dercola, Records Management Division, HQ |
| 9:45 - 10:00 | BREAK | |
| 10:00 - 10:45 | Through the Looking Glass: Information, Internet and the Information Highway | Kate Polesovsky<br>Mary Ellen Winter |
| 10:45 - 11:45 | FOIA and the Privacy Act | Jane Greenwalt, Oak Ridge |
| 11:45 - 1:00 | LUNCH | |
| | **Track A** | **Track B** |
| 1:00 - 1:45 | Behavioral Considerations: Converting RM to Electronic Imaging Environment<br>*JoAnn Constantini* | Document Control and Records Management Issues in Configuration Management<br>*Robert Vacchiarello* |
| 1:45 - 2:30 | Electronic Exchange - Roadmap to the Year 2000.<br>*Robert Donohue* | Configuration Information Management: Quality and Cost Savings.<br>*Michael Morris* |
| 2:30 - 2:45 | BREAK | |
| 2:45 - 3:30 | Records Managers are now Info. Managers; Ensuring Quality of Info. in data bases.<br>*Jeff C. Worthington* | WIPP Records Scheduling: LESSONS LEARNED<br>*Bill Fellers* |
| 3:30 - 4:30 | Managing Potentially Contaminated Records: Hanford and Fernald<br>*B. S. Sprouse &*<br>*Carol Willis* | OCRWM RIDS: Lessons Learned<br>*Angela Tayfun &*<br>*Margie Shepherd* |

# 1994 DOE RECORDS MANAGEMENT CONFERENCE
# AGENDA

## Thursday, June 23, 1994

| | | |
|---|---|---|
| 8:00 - 8:15 | Announcements | Jan Statler |
| 8:15 - 9:45 | Covey's 7 Habits: An Overview | Carol Rehkop & Sandra Foster |
| 9:45 - 10:00 | BREAK | |
| 10:00 - 11:45 | What do these 22 Historians want with the DOE Anyway? | Dr. Page Putnam Miller, Dr. Stanley Goldberg, James David, Betsy Scroger, Joe Sinisgalli |
| 11:45 - 1:00 | LUNCH | |
| 1:00 - 2:00 | Its not over till the paperworks Done! *A Panel Discussing Records Issues and Concerns when a Site is Closed or Transferred.* | Orville Pratt, Cathy Marcianti, Sharon Evelin, Susan Law, Bonney Ramsey, David Keller, Cheryl Kirkwood, Barbara Compton |
| 2:00 - 3:00 | Working Group Progress Reports | Margarita Sexon, Cheryl Arrington, Caty Marcianti, Mary Ann Wallace |
| 3:00 - 3:30 | The Far Side of Records Management | Anna Nusbaum |
| 3:30 - 4:00 | WRAP UP | Jan Statler & Margarita Sexon |

# 1994 DOE RECORDS MANAGEMENT CONFERENCE
# AGENDA

## Friday, June 24, 1994

| | | |
|---|---|---|
| 8:00 - 8:15 | Announcements | Mary Wilson Haider, Group Facilitator |
| 8:15 - 8:30 | VIDEO: LIFE CYCLE OF AN R & D RECORD FROM THE RESEARCHER'S PROSPECTIVE (The video will provide a take-off point fordiscussions on the other topis for the day.) | |
| 8:30 - 10:00 | Definition of R & D Records | |
| 10:00 - 10:15 | BREAK | |
| 10:15 - 11:30 | Creation of R & D Records | |
| 11:30 - 1:00 | LUNCH | |
| 1:00 - 1:45 | Maintenance of R & D Records | |
| 1:45 - 3:00 | Retention/Disposition of R&D Records | |
| 3:00 - 3:15 | WRAP UP & REVIEW | |

PROPOSED REVISIONS TO

THE DEPARTMENT OF ENERGY RECORDS MANAGEMENT GROUP

CHARTER and BYLAWS

1. **Revise the Charter, Initiatives, as follows:**

   Change "DOE's Office of IRM Policy, Records, and Reports Management" to "DOE's Office of Information Resources Management Policy, Plans and Oversight".

2. **Revise ARTICLE IV, "Steering Committee", Section 2. Membership., to read as follows:**

   "The RMG Steering Committee will consist of a Chair, Vice Chair, ten Committee members representing the DOE and contractor community, and a representative of the HQ Office of IRM Policy, Plans and Oversight, as well as the immediate ex-Chair who will participate as an ex officio non-voting member."

3. **Revise ARTICLE VI, "Management", Section 1. Administrative Staff Support., as follows:**

   Delete the words "ex officio".

4. **Revise ARTICLE VIII, "Amendments", Section 1. Procedure., to read as follows:**

   "These Bylaws may be amended by majority vote of the RMG, or on a temporary basis by majority vote of the RMG Steering Committee until approved by the RMG. The proposed amendments shall be made in writing to the Vice Chair, and shall be distributed to the members of the RMG prior to the date on which they will be considered."

5. **Add the following NEW ARTICLE X:**

ARTICLE X

Special Interest Groups

Section 1. Establishment. To further enhance the DOE RMG's objectives as set forth in Article II, a Special Interest Group (SIG) may be formed to provide focused attention and/or action on a specific topic, need, issue, or area of common interest among the DOE Records Management community. Any member of the DOE RMG may request establishment of a SIG at any time, by providing a proposed SIG workscope in writing to the RMG

Steering Committee. A majority vote by the Steering Committee shall constitute approval for the formation of the SIG.

Section 2. Activities. In pursuing its defined workscope, the SIG may conduct its activities at such time(s) and location(s) as it determines is necessary, however as a minimum it shall meet at least once in conjunction with the Conference. Minutes shall be kept of SIG meetings, and shall be distributed to SIG and RMG Steering Committee members. Recommendations, interpretations, studies, reports, or other products resulting from SIG activities that are intended for DOE-wide application shall be forwarded to the RMG Steering Committee as provided for in this Charter and Bylaws, for submittal to the DOE Records Management Committee and to DOE's Office of IRM Policy for appropriate action.

# DOE RECORDS MANAGEMENT OVERVIEW

**Mary Ann Wallace**
**DOE-HQ IM**

Mary Ann Wallace

Mary Ann is the Director, of the Department of Energy's Records Management Division; Office of Information Resources Management Policy, Plans, and Oversight. As the Director, she is the principle DOE records management official.

Prior to her current position, she was responsible for developing, integrating, and managing all nuclear safety information systems, including the identification, acquisition, and implementation of technology in support of those systems. Before joining the Office of Nuclear Safety, Mary Ann was the records manager for the Office of New Production Reactors.

DEPARTMENT OF ENERGY
RECORDS MANAGEMENT CONFERENCE
Charlotte, North Carolina
June 1994

Springboard Program Presentation by Tom Dercola
Records Management Division
Office of IRM Policy, Plans, and Oversight
Headquarters, Department of Energy

## BACKDROP TO THE DOE RECORDS MANAGEMENT PROGRAM

- DOE formed out of diverse organizations, cultures, RM policies, procedures, systems

- Reorganization of Federal energy programs

- Example: DOE's records holdings include those of the:

  - Bureau of Mines
  - National Science Foundation
  - Office of Coal Research
  - Atomic Energy Commission
  - Environmental Protection Agency
  - Energy Research and Development Administration
  - Federal Energy Administration
  - Five Power Marketing Administrations

- Genesis of the Department had a lot to do with the difficulties in establishing and maintaining a uniform program for the entire Department which was formed in the late 1970's

- Because there were no early standards and no effective administrative control over powerful program offices which were carrying out the diverse DOE missions, the various DOE organizations had a great deal of flexibility in designing and implementing their own information and RM programs, policies, procedures, and systems

- Another impediment to getting a good DOE-wide program up and running was the contractual relationships DOE had

  - Management and Operating (M&O) contractors, by and large, were doing the DOE mission work. Many contractors had been on the Federal energy scene for decades

  - M&Os had a great deal of autonomy

    -- Had more personnel than the Feds
    -- More technical expertise
    -- More dollars and equipment

- No effective oversight program from DOE Federal administrative personnel

- My general sense when I came aboard in 1980 was that "the tail (i.e., M&Os) was wagging the dog (Feds)"

- M&Os created and maintained 80 - 85% of DOE's documentation

- M&Os had the bulk of DOE's permanent or potentially permanent records

EARLY DOE RECORDS MANAGEMENT PROGRAM INITIATIVES

o Focus was on writing core program directives covering various RM program elements

o RM was split at Headquarters

  - RM organization had responsibility for

    -- Files Management Program
    -- Records Disposition Program
    -- Forms and Reports Management Program
       --- included "Public Use Reports" Program (OMB Circular A-83, with exception of Energy Information Reports (managed by Energy Information Administration)
    -- Micrographics Management Program
    -- Vital Records Program

  - Other "traditional" RM program elements, many of which were commonly associated with life-cycle RM programs and which were mostly grouped together in Federal regulations, were spread out among other Headquarters branches, divisions, and offices

    -- Directives Management
    -- Correspondence Management
    -- Mail Management
    -- Printing and Publications Management
    -- Audiovisual Records Management
    -- RM Training
    -- File Equipment and Supplies Management
    -- Classified Records Management
    -- Public Access to Records/Information (Freedom of Information Act and Privacy Act)

o Important, missing piece of the program: RM reviews/evaluations

- Some being done at Field Office level, by Field Office personnel, where contractor programs were periodically reviewed

  -- Not very effective, particularly from a Departmentwide perspective

  -- Local Records Officers had no clout, support, to foster major improvements, compliance

o 1980 - 1990: I cannot recall Headquarters RM ever doing a formal review. A few "reconnaissance" or assistance visits were permitted, but no actions were required based on recommendations made

o 1982 Records Vulnerability Study

  - Prompted by speculation that DOE would be disestablished by the Reagan administration

  - Study to determine how vulnerable the DOE's records were if disestablishment was mandated

  - I and a few ad hoc team members conducted on-site reviews of major Headquarters Elements which were subject to various degrees of program disillusionment

  - Questionnaires provided to Field organizations for their self-evaluation of potential vulnerability

  - Dozens of findings of vulnerability; over 30 recommendations made to Headquarters management

  - Only 2 or 3 selected by management for short-term follow-up action of any kind.

  - Many, if not most, of these vulnerabilities still exist today

o General Accounting Office Report: "Records Management in the Federal Government: Forty Years of Neglect" affirmed long-held beliefs by professional Federal records managers

o National Archives and Records Administration (NARA) evaluation report on the Department of Energy's Records Management Program (1988)

  - Dozens of findings (major flaws: no inventory of records; inadequate schedules; unscheduled records)

  - Nearly 40 recommendations

- Root cause of problems: Management didn't care about RM

- In 1988 1/2 FTE devoted to the program in the HQs branch responsible for Departmentwide program policies and oversight

- 1988 - 91 years of frustration trying to do something with the NARA recommendations

o GAO Report: Found that DOE was not responsive to the NARA Evaluation Report

REORGANIZATION OF RECORDS MANAGEMENT INTO THE IRM PROGRAM -- A NEW BEGINNING

o 1991 reorganization of Records Management into the DOE IRM organization

o Finally began to see some movement; management showed more interest in the program

o 1991 inventorying/scheduling initiative mandated by the Under Secretary

- Inventory and schedule active and inactive records, Federal and contractor

- Site-specific scheduling

- Site plans required, but strategy left mostly to them

  -- Early successes depended on resources available at a particular site; and

  -- On the talents of individuals on the scene.

- To gain some impetus for the slow starting effort, the focus later changed to doing the inventorying, and leaving scheduling until later

- Status of the effort to date will be reported doing this conference

o The current organizational set at Headquarters is as follows:

- Office of IRM Policy, Plans and Oversight (R. Barrow)(HR-42) reports to the Dep. Assistant Secretary for Info. Management (Woody Hall)

- The Records Management Division reports to HR-42. Division consists of the following:

- Director (M. Wallace)

- Professional Staff: T. Dercola; S. Evelin; E. Melamed; J. Martus; J. Davenport

- Secretarial Staff: T. Ray

- Contractor Support: R. Carpenter

- The Division deals with organizations and contractors mostly through Operations Office Records Management Program Coordinators, including the Headquarters Records Officer.

- Field organizations not reporting to an Operations Office are dealt with directly.

- A major reorganization of HR-42 is pending, but we don't see any major impact on the records management program.

RECENT INITIATIVES

o Human Radiation Experimentation Records Search

- Joint ES&H and HR endeavor

- Background (Secretarial initiative; White House involvement; other agencies; President's Commission set up

- DOE Records Inventory and Retrieval Committee

  - Subcommittee on Info. Mgt. (headed by Dir., RM Division)

  - Records Retrieval Teams headed up by Records Management Division personnel sent out to the Field.

  - Ongoing efforts

o Contaminated Records

- Found throughout DOE (especially Hanford, Fernald, OR, RF; some were found at Federal Records Center; artifacts at Truman Presidential Library)

- Unknown quantity - believe there is over 2,000 cubic feet

- Working group of contractors/Feds to come up with

-- Testing standards

-- What to do when found

-- Procedures to prevent recurrence

-- How to handle records with continuing or long-term value

o Nonnuclear Reconfiguration

- Realignment of the nonnuclear weapons design and production complex

  -- Sites: Pantex Plant (Amarillo); Savannah River Operations Office; Kansas City Division, Allied Signal; Albuquerque Operations Office; Mound Facility (Ohio); Oak Ridge Operations Office (Y-12 Plant); Rocky Flats Office; Pinellas Plant (Florida).

- Records Management Activity Transfer Group met for 1 year to design plan to be followed to accomplish transferring documentation which was associated with the technologies being transferred.

- Status: Reconfiguration was put on a fast track; faster than the plan contemplated. Successes/barriers to success have not been revisited by the RMATG.

o Declassification Initiative

- Secretarial initiative; Governmentwide initiative

- Stakeholders involved (NARA; public; researchers)

- Partnerships within DOE: Office of Declassification and the Office of Human Resources and Administration (OPENNET system)

  - Secretary's news conference will announce OPENNET.

o Records Storage

- Inadequate facilities throughout DOE

- Special DOE needs: classified; x-rays; electronic records; contaminated

- FRC system essentially closed to anything but unclassified records for DOE purposes

--- Adequate storage capability and facility standards
--- Electronic records and E-mail
--- Alternative technologies
--- Personal papers and the prevention of the removal or destruction of records
--- Files management practices and equipment
--- Disaster prevention and recovery program
--- Document control program
--- Program evaluation process

- Records Management Technical Elements

--- Declassification initiative
--- Epidemiological records
--- Contaminated records
--- Contract language and Government ownership of records
--- Records management for nonnuclear reconfiguration
--- Plant closings
--- Environmental Administrative Record
--- Litigation documents
--- Working papers
--- Research and Development records
--- Privacy Act, Freedom of Information Act, and proprietary records issues
--- Technology transfer (CRADAs)
--- Vital records
--- Audiovisual records
--- Cartographic records
--- Engineering drawings
--- X-rays and radiograph records
--- Quality Assurance (QA) records

o This complex, eye-opening world of records management is replete with problems which need solving; resources which need bolstering, and management which needs commitment. But most of all it is replete with opportunities for innovative people --- perhaps people like you --- who can apply their unique talents to improving the management of DOE information and records.

- Special Interest Group met at Savannah River and come up with a wish list:

  -- prefer "intelligent storage facility(ies)

  -- FRC/NARA offered to set it up and run it on a reimbursable basis

- Issue needs revisiting soon as more and more records have been frozen

o Electronic Records and E-mail

- Growing percentage of records creation and maintenance is done in electronic media

- NARA has proposed standards on E-mail, primarily as a reaction to court decisions in the Scott Armstrong v. Exec. Office of the President case, which is still ongoing.

o Other Records Management Programs Activities

- Roadmap to the Year 2000: A Tactical Plan for Records Management Improvement.

- Background

  -- Seattle 9 concern about single focus of the existing program

  -- QIT formed; met; worked for a year; produced the Roadmap and a timetable and milestones for action.

- Future expansion of the program's focus

  -- Building Blocks of the Program

    --- Credibility
    --- Education and Awareness
    --- Training
    --- Communication
    --- Resources

  -- Records Management Program Elements

    --- Recordkeeping requirements
    --- Creation
    --- Adequate and proper documentation
    --- Inventory process
    --- Scheduling and disposition process
    --- Information access

# NIRMA, ARMA, CRM OVERVIEW

Lowell Langford, CRM
OFFICE OF SCIENTIFIC & TECHNICAL INFORMATION,
OAK RIDGE
Judy Ferguson

Lowell Langford

Lowell became the Records and Forms Officer at the Office of Scientific and Technical Information (OSTI), U.S. Department of Energy, September 9, 1991. He was previously the Site Records Manager at Oak Ridge National Laboratory (ORNL), managed by Martin Marietta Energy Systems. Lowell also served as the Technical Information Officer for both ORNL and Energy Systems. He is a Certified Records Manager (CRM) and is actively involved in the Association of Records Managers and Administrators, Inc. (ARMA), both locally and internationally. He has 36 years experience in Records Management relate areas.

# ARMA/ICRM MEMBERSHIP: CERTIFIED RECORDS MANAGER (CRM) DESIGNATION

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## Abstract

This session will give a brief overview on membership in the Association of Records Managers and Administrators, Inc. (ARMA). ARMA is the premier records and information management association and has a membership of more than eleven thousand. This session will also describe the examination process for professional certification as a Certified Records Manager (CRM) through the Institute of Certified Records Managers (ICRM). The Institute administers the program for professional certification of records managers, including the certification examination and a certification maintenance program. The ICRM serves as the official certifying body for both ARMA and the Nuclear Information and Records Management Association (NIRMA). To supplement this presentation, permission has been granted to reprint the following three articles from the 38th ARMA International Conference Proceedings, *Information Management Linking the Past to the Future*, in the proceedings of the DOE Records Management Conference:

- "Overview of the Institute of Certified Records Managers: An Introduction to the CRM Examination"
- "CRM Exam Review Workshop—Parts I–V"
- "CRM Exam Review Workshop—Part VI"

Also reprinted in the proceedings are copies of Information Sheets 1 through 7 about certification and maintenance of certification issued by the Institute.

## Biosketch

Lowell Langford became the Records and Forms Officer at the Office of Scientific and Technical Information (OSTI), U.S. Department of Energy, September 9, 1991. He was previously the Site Records Manager at Oak Ridge National Laboratory (ORNL), managed by Martin Marietta Energy Systems. Lowell also served as the Technical Information Officer for both ORNL and Energy Systems. He is a Certified Records Manager (CRM) and is actively involved in the Association of Records Managers and Administrators, Inc. (ARMA), both locally and internationally. He has 36 years experience in Records Management related areas.

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*The submitted manuscript has been authored by a U.S. Government employee acting within his official capacity. On advice from counsel, a transfer of copyright form cannot be executed.

# INFORMATION SHEET #1

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### INTRODUCTION TO CERTIFICATION

The Institute of Certified Records Managers (ICRM) is an international certifying organization of and for professional records and information managers. The ICRM was incorporated in 1975 to meet the requirement to have a standard by which persons involved in records and information management could be measured, accredited and recognized according to criteria of experience and capability established by their peers.

The ICRM is an independent non-profit organization administered by a Board of Regents (the Board) in accordance with the Constitution and By-laws of the Institute.

*Objectives*

The primary objective of the ICRM is to develop and administer the program for professional certification of records managers, including certification examinations and a certification maintenance program. The ICRM serves as the official certifying body for both the Association of Records Managers and Administrators (ARMA) and the Nuclear Information Records Management Association (NIRMA).

## MEMBERSHIP

Certified Records Managers (CRMs) are professional records and information managers from a growing number of countries including the United States, Canada, New Zealand, Australia and Japan. Each individual is experienced in active and inactive records systems, and related disciplines such as archives, computerization, micrographics, and optical disk technology. CRMs receive the CRM designation by meeting both educational and work experience certification requirements established by the ICRM and by passing the required examinations.

*Responsibilities of Certification*

To remain a CRM in good standing and thereby be authorized to use the personal designation of 'CRM', a person must conform to requirements set by the Board. This includes fulfilling the requirements of the ICRM CERTIFICATION MAINTENANCE PROGRAM as outlined in a separate Information Sheet. CRMs are expected to conform to the ICRM Code of Ethics and participate in activities to improve the records management profession. The Board may revoke the Certification of any CRM it determines is not in good standing.

## BENEFITS OF CERTIFICATION

Research has shown that CRMs and CRM candidates believe that attaining certification status result in enhanced professionalism and personal growth. The records and information management knowledge gained through the certification process and the improved attitude of self-esteem and confidence can result in CRMs obtaining increased job responsibility with commensurate salary benefits.

CRMs receive a **Newsletter** and a **Directory**. Each CRM is also entitled to attend the ICRM Annual Meeting and the ICRM Reception held at the Annual ARMA conference. Individuals who have qualified as examination candidates, but who have not yet completed the process also receive the Newsletter and may attend both the Annual Meeting and Reception. The ICRM is a volunteer organization. CRMs assist in the development of professionalism in records and information management and the promotion of the value of certification for records managers. They share their experience and knowledge by participating in ICRM committees and through writing, teaching, and speaking.

*Annual Fee*

The annual membership fee is currently $100 (U.S.) for regular members and $10 (U.S.) for retired members.

## THE CERTIFICATION PROCESS

Attaining the CRM designation is based on educational background, work experience and the passing of a six part examination.

The six part examination is divided into:

| | |
|---|---|
| Part 1 | Management Principles & the Records Management Program |
| Part 2 | Records Creation and Use |
| Part 3 | Records Systems, Storage & Retrieval |
| Part 4 | Records Appraisal, Retention, Protection & Disposition |
| Part 5 | Equipment, Supplies & Technology |
| Part 6 | Case Studies |

Parts 1 to 5 each consist of 100 multiple choice questions. Part 6 consists of case studies which require essay responses.

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### Applying for the Examination

Persons wishing to become a CRM must complete and submit an application form with supporting documentation indicating acceptable work experience and education. These credentials are reviewed and evaluated by the ICRM's Certification Standards Committee to determine if the certification requirements have been met.

### Application Fees

Prospective candidates pay a non-refundable $60 (U.S.) fee for processing of their original application and evaluation of credentials. Applicants who fail to meet mandatory qualifications will be required to resubmit a new application form (including a new $60 (U.S.) processing fee) if they wish to request reconsideration more than one year after the date of the original application. A fee of $40 (U.S.) per examination is charged for Parts 1 to 5. The fee for Part 6 is $60. These fees are only refundable if an applicant cancels his/her registration *more than one month* prior to the examination date.

### Professional Work Experience

The ICRM has determined that a professional records and information manager must have acceptable work experience in three or more of the following categories:

- Management of a Records Management Program
- Records Creation and Use
- Active Records Systems
- Inactive Records Systems
- Records Appraisal, Retention and Disposition
- Records Protection
- Records and Information Management Technology

Acceptable work experience may have been acquired if a person has: conducted studies and surveys or developed, designed, and implemented records management systems; has direct managerial or operational responsibility for programs; or has taught in an accredited college/ university on a full-time basis courses in records management.

### Education

The optimum combination of experience and educational requirements are a baccalaureate degree from a four-year accredited college and three years of full time or equivalent professional experience in records management.

The Certification Standards Committee of the Board may, at its discretion, accept two years of additional experience as a substitute for one year of education.

Applicants may not sit for the examination until their credentials (the application form with supporting documentation) have been approved by the Certification Standards Committee. Applicants who, in the judgement of that Committee, do not furnish adequate written documentation of acceptable education and experience will be notified and offered the opportunity to provide additional supporting material. If acceptable documentation is still not received by the appropriate date, their files will be closed. They may apply again (as a "Resubmission") at such time as they can provide the proper documentation.

An applicant whose application has not been accepted may appeal in writing to the Certification Standards Appeal Committee. Decisions of this Committee are final.

### Taking the Examination

The first five examination parts may be taken in any sequence the candidate desires or a candidate may sit for Parts 1 to 5 of the examination at one time. Part 6 may be taken only after the candidate has passed the first five parts. Candidates may retake any part of the examination as often as necessary, within a five year period.

The examinations are offered twice each year, normally in mid-May and mid-November. Examinations are administered at any location at which a qualified proctor can be identified.

Examinees are allowed 80 minutes for each part when taking parts 1-5 of the examination. Part 6 (Case Studies) has a four hour time period, exclusive of time needed for administrative purposes.

### Grades

The passing score for each part of the examination is 70%.

### Completion Time Required

*All parts of the examination must be passed within a period of five consecutive years.* A candidate must take at least one part of the examination within a year of having received approval as a candidate by the Certification Standards Committee. If an applicant fails to do so, the part(s) taken and passed initially must be repeated so that the passing of all parts occurs within a five-consecutive-year period. This period will be five years from the date that the first examination has been passed.

## INSTITUTE INFORMATION


Write to: **ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**
(available in Canada and the United States)



ICRM Information Sheet #01 11/93
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# INFORMATION SHEET #2

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### THE EXAMINATION PROCESS

Attaining the CRM designation is based on educational background, professional work experience and successful completion of a six part examination consisting of:

| | |
|---|---|
| Part 1 | Management Principles & the Records Management Program |
| Part 2 | Records Creation and Use |
| Part 3 | Records Systems, Storage & Retrieval |
| Part 4 | Records Appraisal, Retention, Protection & Disposition |
| Part 5 | Equipment, Supplies & Technology |
| Part 6 | Case Studies |

Parts 1 to 5 each consist of 100 multiple choice questions. Part 6 consists of case study problems. All examination questions are in English. The answers to Part 6 must be written in the English language. The multiple choice questions for Parts 1-5 are chosen as equally as possible from all parts of the subject matter outline.

The questions in each part are based on fundamental records management practices. Questions are NOT allowed in the test bank if they refer solely to the practices of a specific country, vendor or company.

### TAKING THE EXAMINATION

A candidate must begin taking examinations within one year after being approved by the Certification Standards Committee. A candidate may sit for all of Parts 1 to 5 of the examination at the same time, or the first five parts may be taken in any sequence the candidate desires. Part 6 may be taken only after the candidate has passed the first five parts.

Candidates may retake any Part of the examination as often as necessary. See 'Completion Time Required'.

The examinations are offered twice each year, normally in mid-May and mid-November. Examinations are administered at any location at which a qualified proctor can be identified.

### COMPLETION TIME REQUIRED

*All parts of the examination must be passed within a period of five consecutive years.* If a candidate fails to do so, the part(s) taken and passed initially must be repeated so that the passing of all parts occurs consecutively within a five year period

### GRADES

The passing score for each part of the examination is 70%. A test mark of 63% to 70% for Part 6 is *automatically regraded* by a different grader for possible adjustment prior to the candidate receiving the grade.

### EXAMINATION SCHEDULE

Examinees are allowed 80 minutes for each part when taking parts 1-5 of the examination. Part 6 (Case Studies) has a four hour time period, exclusive of time needed for administrative purposes.

The examination schedule is:

| | | | | |
|---|---|---|---|---|
| Day 1 | 8:30 | - | 12:40 | Part 6 |
| | 12:40 | - | 1:30 | Lunch |
| | 1:30 | - | 3:00 | Part 1 |
| | 3:00 | - | 3:15 | Break |
| | 3:15 | - | 4:45 | Part 2 |
| Day 2 | 9:00 | - | 10:30 | Part 3 |
| | 10:30 | - | 10:45 | Break |
| | 10:45 | - | 12:15 | Part 4 |
| | 12:15 | - | 1:15 | Lunch |
| | 1:15 | - | 2:45 | Part 5 |

### REGRADES AND APPEALS

A candidate who does not pass part 6 examination and who has a legitimate reason to believe that there was a grading error, may make a written request to appeal the failing grade. Appeal requests must be postmarked within 30 days following the receipt of notification of the failing grade.

The review shall be performed by the Examination Appeals Committee and shall be processed within 60 days following receipt of the appeal by that Committee. Decisions of the Examination Appeals Committee are final. The Appeals Committee does not provide feedback on appeals.

### FEEDBACK

Feedback is provided to candidates who are unsuccessful in passing an examination part. The feedback for Parts 1-5 will show how all candidates for each examination part performed by outline code to the secondary level. Feedback for Part 6 will be individualized and unsuccessful candidates will be provided information to tell them how they performed in areas of technical knowledge, writing ability, problem analysis and appropriateness of answer.

### EXAMINATION DATES

Examination dates are:

May 19-20, 1994
November 17-18, 1994
May 18-19, 1995
November 16-17, 1995

For each May examination original applications are due January 1 and supplemental applications are due March 1 of that year. For each November examination original applications are due July 1 and supplemental applications September 1 of that year.

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# EXAMINATION PARTS 1 TO 5 - MAJOR SUBJECTS

## PART 1
## MANAGEMENT PRINCIPLES AND THE RECORDS MANAGEMENT PROGRAM

A. Principles of Management
B. Development of Records Management
C. Planning a Records Management Program
D. Organizing a Records Management Program
E. Directing a Records Management Program
F. Controlling a Records Management Program
G. Program Implementation Cycle
H. Legal and Ethical Responsibilities
I. Outside Resources

## PART 2
## RECORDS CREATION AND USE

A. Records Creation
B. Correspondence Management
C. Directives Management
D. Forms Management
E. Mail Management
F. Reports Management
G. Reproduction Management
H. Special Media Management

## PART 3
## RECORDS SYSTEMS, STORAGE, AND RETRIEVAL

A. Basic Concepts
B. Filing Systems
C. Information Retrieval Systems
D. Active File Systems
E. Active Files Operations
F. Inactive Files Operations (Records Centers)
G. Special Storage Requirements
H. Converting Files to New Systems
I. Automated Paper and Film Systems

## PART 4
## RECORDS APPRAISAL, RETENTION, PROTECTION, AND DISPOSITION

A. Basic Concepts
B. Records Inventory
C. Retention Schedules
D. Implementing and Administering Schedules
E. Archives Program
F. Vital Records Program
G. Disaster Recovery Program

## PART 5
## EQUIPMENT, SUPPLIES, AND TECHNOLOGY

A. Office Filing Equipment and Supplies
B. Records Center Facilities
C. Micrographics
D. Telecommunications
E. Word Processing
F. Computers
G. Reprographics
H. Optical Disks/Image Systems
I. Standardizing Equipment and Technology
J. Ergonomics
K. Media Preservation

## INSTITUTE INFORMATION

Write to:

**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**
**(available in Canada and the United States)**

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# INFORMATION SHEET #3

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### QUALIFYING FOR THE CRM EXAMINATION

## INTRODUCTION

Attaining the CRM designation is based on educational background, professional work experience and successful completion of a six part examination.

Persons wishing to become a CRM must complete and submit an application form with supporting documentation indicating relevant work experience and education. These credentials are then evaluated by the Certification Standards Committee to determine that the eligibility requirements have been met.

*Application Fees*

Prospective candidates pay a non-refundable $60 (U.S.) fee for processing their original application and evaluating credentials. Applicants who fail to meet mandatory qualifications are required to resubmit a new application form (including a new $60 processing fee) if they request reconsideration more than one year after the date of the original application.

A fee of $40 (U.S.) per examination is charged for each of Parts 1 through 5. The fee for Part 6 is $60 (U.S.). These fees are only refundable if an applicant cancels his/her registration *more than one month* prior to the examination date.

Applications and fees must be submitted to the ICRM by the deadline established for each examination. All payments must be in U.S. currency.

## QUALIFICATIONS

*Education*

The optimum combination of experience and educational requirements are a baccalaureate degree from a four-year accredited college and three years of full time or equivalent professional experience in records management.

The Certification Standards Committee of the Board may, at its discretion, accept two years of additional experience as a substitute for one year of education. Experience is calculated to the application due date.

To assist candidates in determining educational/work experience requirements, the number of years of education needed with respect to work experience are shown below:

| Education | Professional Experience |
|---|---|
| Four years (Baccalaureate Degree) | 3 years |
| Three years | 5 years |
| Two years | 7 years |
| One year | 9 years |
| High School Graduate | 11 years |

An official transcript or a photocopy of the degree certificate should be submitted with the original application.

*Professional Work Experience*

The ICRM has determined an examination candidate must have acceptable professional work experience in three or more of the following categories:

- Management of a Records Management Program
- Records Creation and Use
- Active Records Systems
- Inactive Records Systems
- Records Appraisal, Retention and Disposition
- Records Protection
- Records and Information Management Technology

Appropriate work experience may have been acquired if a person has:

a. Conducted studies and surveys or developed, designed, and implemented records management systems;
   or
b. Had direct managerial or operational responsibility for programs;
   or
c. Taught in an accredited college/university on a full-time basis courses in records management. Teaching either in accredited junior colleges, community colleges, or four-year institutions is acceptable.

In three of the categories shown above the work experience claimed should be supported by copies of detailed job descriptions identifying the employer, employee and the appropriate dates. If adequate job descriptions are not available, letters from employers outlining in detail work positions, duties, and experience relative to the above three categories may be considered.

Consultants and sales (vendor) personnel must supply two or more of their clients' letters specifying the nature and scope of their work. These letters must be in sufficient detail to thoroughly describe the work performed and provide evidence that services have been rendered in the categories in which the applicant claims experience.

Teachers are required to submit the syllabi of courses taught and a letter from the appropriate school official substantiating the applicant's position and activities within the educational institution.

Some additional guidelines on experience are :

*Operation of Equipment*

The operation of specialized equipment without being involved in the creation and development of related records management applications will not be considered as qualifying experience.

*Librarianship*

The traditional work of librarians dealing with published materials is not considered qualifying records management experience.

*Medical Records Experience*

Applicants who are medical specialists or technicians must explain thoroughly the relationship of their activities to the organization's overall records management program.

Applicants may not sit for the examination until their credentials (the application form with supporting documentation) have been approved by the Certification Standards Committee. Applicants who, in the judgement of that Committee, do not furnish adequate written documentation of acceptable education and experience will be notified and offered the opportunity to provide additional supporting material. If acceptable documentation is still not received by the appropriate date, their files will be closed. They may apply again (as a "Resubmission") at such time as they can provide the proper documentation.

An applicant whose application has not been accepted may appeal in writing to the Certification Standards Appeals Committee. Decisions of this Committee are final.

## INSTITUTE INFORMATION

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**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

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# INFORMATION SHEET #4

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### DOCUMENTATION OF EDUCATION AND EXPERIENCE

The Board of Regents of the Institute of Certified Records Managers (ICRM) has determined that persons interested in becoming a Certified Records Manager (CRM) need to sign and submit an application form and furnish evidence of approved education and work experience. That submission is evaluated to determine the applicant's eligibility to sit for the six part CRM examination.

### 1. PURPOSE OF THE APPLICATION REVIEW.

The members of the Certification Standards Committee (CSC) evaluate the application, and the accompanying documentation. The CSC is responsible for evaluating the evidence of the applicant's education and experience. The CSC does not evaluate factors such as the person's effectiveness as a records manager nor as a community minded citizen. Neither does the CSC evaluate the applicant's records management knowledge or their capability to pass the six part exam. The exams will test the level of knowledge and writing skills.

Since the CSC makes its judgment solely on the paperwork submitted, and collected in the applicant's file folder, appropriate documentation should be provided. Experience has shown that submission of complete and accurate documentation with the application form will significantly increase an applicant's opportunity to become a candidate.

If the applicant is not approved with the first submission, and the committee determines that additional documentation might produce a more favorable response, the Committee may offer him or her the opportunity to provide additional material. An applicant is not considered an "CRM candidate" and will not be scheduled for the exam until the Committee approves the application.

### 2. APPLICANT'S RESPONSIBILITY FOR DOCUMENTATION.

Applicants bear the full burden of providing written confirmation of their qualifications. Each applicant is responsible for providing all the documentary evidence that the CSC may require to make a determination of eligibility. The CSC members are not obligated to follow up on references or other documentation - although they may do so if they determine that only minor clarification is required. The applicant needs to complete and sign the current version of the official application form - in full. Using statements on the form such as "See attached resume" are not acceptable.

The official language of the form is English. If needed documentation is not available in English, the applicant may be asked to provide a satisfactory translation.

### 3. EDUCATION REQUIREMENTS

**A. Minimum**

The minimum acceptable education is graduation from high school (completion of 12 grades) or equivalent (e.g. GED Certificate).

**B. Preferred**

The preferred education is a baccalaureate (4 year) degree from a four-year accredited institution of higher learning (college or university). The academic major (course of study) need not have been in a records related field. Partial credit (in half-year increments) may be given for acceptable credit hours short of a 4-year degree. No additional credit is given for graduate degrees or any other training or education beyond the 4-year degree.

**C. Substitution of Additional Experience**
The Committee may, at its discretion, allow substitution of one year of professional experience for each semester (half year) of missing education. The following table shows the relationship of alternative combinations:

| Education Level Attained | | Professional Records Management Experience Required |
|---|---|---|
| Four-year Degree | Plus | Three years (Minimum Experience) |
| Three years of College | Plus | Five Years |
| Two Years of College (Associate Degree) | Plus | Seven Years |
| One Year of College | Plus | Nine Years |
| High School Only | Plus | Eleven Years |

Education time is rounded down to the completed half-year - experience time to the full year.

**D. Acceptable Education.**
Since the preferred education is a 4-year degree, the only course work or other education which is acceptable is that which would be creditable toward a four-year degree at a typical accredited institution (e.g. the State University). So, professional seminars, conferences, workshops, ARMA correspondence courses, etc., that are not eligible for college credits, are not acceptable - even when CEUs are granted.

**E. Documenting Education**
All claimed education must be documented. Official transcripts received directly from the institution are preferred.

1. Academic degrees may be documented by either official transcripts or a photocopy of the diploma.
2. Partial education (credit hours short of a degree) must be documented by official transcripts. Items such as grade reports or training certificates are not acceptable.
3. If the status of the educational institution is not known to the Committee, the applicant may be asked to provide evidence of its accreditation.
4. If academic credits are not expressed in typical US college semester hours, the applicant may be asked to provide evidence for conversion to the equivalent of such units.

## 4. PROFESSIONAL EXPERIENCE REQUIREMENTS

**A. Minimum**
The minimum professional experience required is three years (with a baccalaureate degree). Additional education or training beyond a four-year degree cannot be credited towards experience. Additional time requirements are listed in III.C above.

**B. Cutoff Date**
Experience time is rounded to the nearest completed month. It is calculated to the deadline of initial applications (January 1 and July 1 of each year). It is not calculated to the date of the exam.

**C. Acceptable Professional Level of the Experience**
Experience must be full time (or calculated equivalent) and be professional records management work. In general, that means developing and implementing policy and procedure rather than following or complying. For example, the person who prepares the retention schedule is probably performing "professional" work; the person who takes care of the records in accordance with that schedule is probably not. The Board of Regents has determined that a person with professional experience is one who:

1. Conducts studies and surveys or develops, designs, and implements records management systems in three or more of the seven identified categories (shown in D. below), or
2. Has direct managerial or operational responsibility for programs in three or more of the identified categories, or
3. Teaches in an accredited college/university (junior college, community college, or four-year institution), on a full-time basis, courses in records management that include three or more of the identified categories.

**D. Scope of Work and Identified Categories**
The professional experience needs to be broad enough to cover at least three of the following seven categories. Each category is followed by examples (not necessarily requirements) of professional activity in that category (not including teaching). Size and scope are relative, but responsibility for forms in an organization of 5,000 office personnel would probably qualify, while total records responsibility in a one-attorney, law office would probably not qualify.

1. Management of a Records Management Program. a. Full responsibility for an organization's records management program, b. Supervision of a records management staff, or c. Development and issuance of all directives for an organization's records management program.
2. Records Creation and Use. a. Design and implementation of a forms management program, b. Responsibility for a directives programs in a large organization, or c. Management of a large word processing center.
3. Active Records Systems. a. Design and implementation of a standardized file system for an organization or a major unit thereof, b. Full responsibility for management of a large central files system, or c. Development of large scale retrieval systems.
4. Inactive Records Systems. a. Management of a large records center (in-house or commercial), b. Studies and surveys leading to the implementation of major records center system, or c. Design and implementation of a records center facility.
5. Records Appraisal, Retention and Disposition. a. Planning and supervising a major records inventory, b. Full responsibility for developing and issuing an organization's records schedules, c. Managing a large organization's disposition program.
6. Records Protection. a. Conduct studies, surveys, or audits of vital records programs, b. Full responsibility for protection and preservation or archival collections, or c. Preparation and monitoring major disaster recovery plans.
7. Records and Information Management Technology. a. Studies, design, and implementation of a conversion from a manual to an automated system, b. management of an organization's imaging program (either film or electronic), or c. development of software for records management applications.

**E. Unacceptable Technical, Secretarial, Library or Clerical Work.**

Technicians, secretaries, librarians, and clerks are not automatically excluded because of their job titles. They can be eligible for the exam, if they can show the proper work experience. However, people in these jobs do not normally perform the duties determined to be professional records management. For example, "handling" the records "in full compliance with company standards" is not considered professional activity. Generally, the work is considered clerical if it is following procedures and professional if it is developing, implementing and monitoring procedures. Examples of such work which would not qualify are as follows:

1. Operation of specialized equipment (e.g. microfilm cameras, film processors, copiers, shredders, data entry terminals, word processors, etc.) without involvement in the development of records management applications.
2. Filing, retrieving, and refiling (even in large and complex environments).
3. Purging, boxing, and transfering records to a records center or destroying them in accordance with existing guidelines.
4. Traditional work of librarians dealing with published materials.
5. Medical records work that is not related to the overall records management program.
6. Data processing work not in direct support of the overall records management program.
7. Traditional secretarial work involving correspondence, scheduling, filing, answering phones, organizing meetings, keyboarding, etc.
8. General office administration involving time keeping, budgeting, payroll, bookkeeping, purchasing, contract monitoring, distributing supplies, etc.

**F. Documenting Experience**

All claimed experience must be documented; so the Committee requires external, written confirmation containing sufficient detail to determine if the work meets the standards shown above. If feasible, the documentation should come directly from the employer, but can be considered if submitted by the applicant.

1. Formal, detailed job descriptions are preferred. An acceptable job description contains the job title; the position, scope, and duties in detail; the organization name; the employee's (incumbent's) name; the effective date(s); and is dated and signed by both the employee and an appropriate organization official.
2. If job descriptions meeting the above criteria are not available, letters from employers can be considered - if they contain the needed information.
3. Positions involving some acceptable duties and responsibilities can be considered partially qualifying. The Committee will determine percentage of time to be credited. For example, if a position occupied for four years is determined to be 75% acceptable, the applicant will be given credit for three years of professional experience.

4. Teachers should provide the syllabi of courses taught and a letter from the department head (or equivalent) substantiating the applicant's position and activities within the institution. Specific information on the amount of teaching time is needed for the Committee to convert to full-time equivalent.
5. Consultants and sales (vendor) personnel require additional documentation for the Committee to differentiate acceptable experience from regular sales work. For example, significant system design and implementation for a major client by a full-time consultant might be fully qualifying. Conversely, system advice to a customer in support of a hardware sale, would not. Job descriptions are helpful, but at least two (and preferably more) letters from clients are needed. These letters must be in sufficient detail to describe thoroughly the work performed for the clients and provide evidence the services have been rendered in the identified categories required. Information is also needed on time involved to calculate the full-time equivalent.
6. Job experience information prepared by the applicant (e.g. a detailed resume) may be helpful to the Committee in following career chronology. However, it can be considered acceptable only when certified in writing by an appropriate employer or client.

## 5. ADDITIONAL GUIDELINES

**A. Unnecessary (and unwanted) Material.**
Many applications are approved with only the application form and two pieces of paper in the folder (a copy of the diploma and a certified job description). Voluminous submissions (even with fancy binders and tabbed sections) are neither desired nor helpful. Specific items not to include are:

1. Resumes and other personally prepared items. Personally prepared material cannot be considered unless it is validated by an appropriate third party.
2. Evidence of conferences, seminars or other (non-college) training attended or presented. Copies of publications, speeches, awards, plaques, etc.
3. Award and congratulatory letters (unless they are the *only* evidence of work experience).
4. Evidence of ARMA (or other professional) loyalties and accomplishments. Being president of the local chapter is not qualifying job experience.
5. General letters of recommendation or endorsement from any source that are primarily personal and which do not contain needed details of job performance. Applicants are not approved on their personality or the personal endorsement of colleagues - they are approved on the basis of documented education and job performance.
6. Copies of certifications, licenses, or credentials from other professions. A certification for tax preparation or financial planning is not creditable.

**B. Fees**
Since the $60 (U.S.) application fee is charged for reviewing the applicant's file, it is non-refundable. If the applicant is not approved, the $60 (U.S.) is not refunded, but any fees submitted for individual exams may be refunded or held for possible future exams, as the applicant chooses.

**C. Time Limits**
An applicant who was not approved with an initial review may be offered the opportunity to provide the CSC with additional material. If satisfactory documentation is not received within one year after the original application date, the file is considered closed. If the applicant then wishes to be reconsidered ( a resubmission) another $60 (US.) application fee will be charged.

**D. Limits of Committee Responsibility**
In the event the CSC cannot or does not render a decision on an application in time for the scheduled exam, the CSCs liability is limited to providing an extension of time for the applicant to submit acceptable material. Such an extension shall be at no additional charge to the applicant.

**E. Appeals**
A decision by the CSC is final unless formal written appeal procedures are followed. An appeal can be filed by any unapproved applicant by addressing a letter requesting such an appeal to the Appellate Process Committee of the ICRM.

## INSTITUTE INFORMATION

Write to:

**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**

ICRM Information Sheet #04 09/93
(May be reproduced locally)

**'TESTING FOR THE BEST'**

# INFORMATION SHEET #5

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### CERTIFICATION MAINTENANCE

The Institute of Certified Records Managers (ICRM) believes it is vital that Certified Records Managers (CRMs) remain current in the dynamic field of records and information management. The Certification Maintenance Program has been established by the ICRM to ensure members:

1. maintain professional competence;
2. update existing knowledge and skills; and
3. attain new or additional knowledge and skills.

## REQUIREMENTS

Active CRMs are required to maintain certification. "Fully retired" CRMs do not maintain certification. The five-year certification maintenance cycle for each CRM begins on January 1, following each person's certification date. However, credit may be earned for approval from the date of certification.

To maintain certification, 100 "contact" hours of approved educational activity are required during each five-year period following initial certification. A "contact" hour is defined as not less than 50 minutes of a clock hour of active involvement in a qualifying educational activity. One credit will be awarded for each contact hour of educational activity. No credit will be awarded for any educational activity of less than one contact hour. Any activity whose total time is in excess of a contact hour by more than 15 minutes in increments of a half hour should be rounded up to the nearest half hour. Lunch, coffee breaks, business meetings, vendor exhibit viewing, social activities, and award presentations do not qualify in calculating 'contact' hours.

Qualifying educational activities are grouped into 10 categories. No more than 30 credits will be granted for any single activity within a category. A single activity is defined as one event, such as one course, one seminar, one conference, etc.

This does not preclude the accumulation of all 100 contact hours through participation in activities in only one category. For example, taking four university courses is likely to qualify for 100 contact hours, as is attending 40 dinner meetings plus five 2-day seminars.

Certification maintenance credits accumulated during the last year of the five-year cycle, which exceed the required 100 total necessary to maintain certification, can be carried over into the next five-year cycle for credit.

## PROCEDURES

Requests for certification maintenance credits are made using the ICRM Certification Maintenance Program Credit Request form, along with the necessary documentation and evidence of completion. Filing for contact hour credit should be done as hours are accumulated.

CRMs who meet certification maintenance requirements will receive formal notice from the ICRM. CRMs failing to meet these requirements will receive formal notice indicating that they are no longer eligible to use the CRM designation and will be dropped from the ICRM rolls. Restoration of certification lost can be achieved only by successfully passing the CRM examination.

### *Appeals*

CRMs will be advised of denied credit requests. Rejections must be appealed within 30 days after notification has been received. Appeals should be made in writing to the ICRM Board of Regents. No CRM shall be dropped from the rolls until such time as the appeal has been reviewed and decided upon by the ICRM Board of Regents.

## CATEGORIES OF APPROVED EDUCATIONAL ACTIVITIES

CRMs should update their knowledge and skills in any of the areas covered by the CRM examination. Activities which qualify for certification maintenance credit fall within the following categories:

1. **College/University Courses** (Credit and Audit) - Courses which are presented by accredited colleges and universities. Course content should encompass the areas covered on the CRM examination or general management theory and its applications. Coursework on business tools, (i.e. software training) does qualify. A Continuing Education Unit (C.E.U.) hour is not equivalent to a "contact" hour. Required Documentation: Copy of transcript and course outline or description. Evidence of completion may be a certificate, grade report, transcript or other documentation from the sponsor, or, where, applicable, the signature of the CRM's supervisor. General university courses required of all undergraduates to obtain a degree do not qualify for credit.

2. **Seminar/Conference** - A formal, structured program of qualifying educational material conducted in a classroom mode and sponsored by any recognized agency, institution or constituent body of a professional society/ association. Required Documentation: Program description and proof of attendance in the form of a canceled check, registration receipt, completion certificate or sponsor's or supervisor's signature.
3. **Vendor Course** - A structured program of qualifying educational material presented to a "live audience" by a firm, or individual, specializing in educational presentations, which is not sponsored by any other organization. [Tours and routine sales presentations and demos do not qualify for credit.] Required Documentation: Same as number 2 above.
4. **Meeting with Education Content** - Any meeting which offers qualifying educational activity (i.e. professional society meetings and conferences, etc.). Required Documentation: Same as number 2 above.
5. **Company-Sponsored Education Courses** - Courses sponsored or conducted by employers of qualifying educational material. [Training on company operations or personnel policies do not qualify for credit.] Required Documentation: Same as number 2 above (when applicable).
6. **Professional Society/Association Educational Activities** - Participation in the development of "workshop " programs, video tapes and audio cassette presentations, curriculum development program, research studies, etc. [Administrative and logistical planning or operational activities (e.g. program planning, selecting speakers, etc.) do not qualify for credit.] Required Documentation: Copy of work product or documentation of activity.
7. **Teaching, Lecturing, Presentations, In-house records management training and/or Management presentations** - "Live audience" instruction and/or presentations. Credit for preparation of material will be awarded once at three times the number of the contact hours needed to present the material. Presentation credit will be awarded on a one-for-one contact hour basis for the initial and any subsequent presentations. Joint presentations will have credit awarded by dividing the total presentation time by the number of presenters. Published proceedings of a presentation will be the same as development credit. Required Documentation: Copy of announcement, presentation outline or course catalog entry.
8. **Correspondence Courses** - Approved correspondence courses or video or other film material. Personal reading does not qualify for credit. Required Documentation: Proof of completion in form of certificate, diploma or transcript, along with course outline.
9. **Publication of Articles and Books** - Credit for this activity will be three hours per full published (i.e. typeset) page. Partial pages will be calculated accordingly. Photographs and accompanying graphics do not qualify. Published articles must appear in a formal publication of regional or national distribution. Reprints of published materials do not qualify for credit. Required Documentation: Copy of article, or, for a book, a copy of the title page and table of contents.

10. **Other** - Other activities, including on-the-job and other miscellaneous activities, regardless of remuneration, may qualify for credit if the activity results in: 1. a work product; or 2. the development of knowledge for the individual or the records management field. To gain credit from these activities, a CRM must be able to identify "What records management related knowledge was gained?"

All qualifying activities in this category will be judged on a case by case basis. This category includes activities such as:

a. **Manuals written** (e.g. procedures, training). Documentation Required: Description of activity plus table of contents and copy of the title page.
b. **Records management software programs written or developed.** Documentation Required: Description of activity plus sample reports and/or testimonial from user department (if possible).
c. **Records retention schedule development.** Documentation Required: Description of activity plus sample schedules.
d. **File plans / disaster plans.** Documentation Required: Description of activity plus table of contents and copy of title page (if appropriate).
e. **Systems developed or implemented.** Documentation Required: Description of activity plus testimonial from user department (if possible).
f. **Reviews of professional books.** Book reviews of professional books, of a minimum of 100 pages, with any publication date, are acceptable. Professional books are eligible if the subject matter is covered by the CRM examination outline. If necessary, contact the Vice President of Certification Maintenance to clarify the appropriateness of the proposed reading. Documentation Required: a review of the book which includes:
   i. a copy of the title page and table of contents;
   ii. a complete and accurate bibliographic citation;
   iii. an introduction to the topic covered by the book, including mention of other pertinent works;
   iv. a summary of the text; and
   v. an evaluation of the text.

   The review should be between 1,000 - 2,000 words in length (2-4 typewritten pages) and either typewritten or computer-produced. The components of each review need not be in the above order, nor strictly separated. Stylistic creativity is encouraged, literary competence is required. Evaluation: Reviews will be forwarded to evaluators on an anonymous basis. The Vice President of Certification Maintenance will return the review, marked either accepted of rejected, to the CRM within sixty days. Rejections will include a brief justification. Revisions will not be considered. Credit: Five credits will be awarded for each acceptable review.

g. **Other activities.** Other records management activities may be appropriate for Certification Maintenance credits. Contact the Vice President of Certification Maintenance if unsure if an activity is appropriate, or of the documentation required.

**INSTITUTE INFORMATION**

Write to:
**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**

ICRM Information Sheet #05 09/93
(May be reproduced locally)

# INFORMATION SHEET #6

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### ICRM OFFICERS & COMMITTEE CHAIRPERSONS (effective 1/1/94)
(accurate as of 9/93)

President
Patricia Acton, B.L.S., CRM
Acton Info. Res. Mgmt. Ltd.
2271 Estevan Avenue
Victoria, B.C. V8R 2S2
FAX: 604/370-5088
604/370-5155

Vice President
Examination Development
Jan Hart, CRM, CA
City Secretary's Office
P.O. Box 152288
Irving, TX 75015-2288
FAX: 214/721-2384
214/721-2494

Vice President
Administration
Anne Gearhart, CRM
203 Pinch
Charlotte, MI 48813
517/543-4528

Vice President
Certification Maintenance
Mona Warren, CRM
11936 West Temple Drive
Morrison, CO 80465
303/972-3821

Treasurer
Betsy M. Waters, CRM
1127 Baseline Road
Grand Island, NY 14072-2513
716/773-1647

Secretary
Isabelle Peterson, CRM
#406 - 19th Ave. N.E.
St. Petersburg, FL 33704
813/821-9234

Regent
Marti Fischer, CRM
47 Etna Court
San Ramon, CA 94583
415/765-3491
Fax:415/765-3121

Regent
Blaine Hardesty, CRM
3893 Paseo del Prado
Boulder, CO 80301
303/442-0252

Regent
Arlene Motz, CRM
5110 North Fruit #110
Fresno, CA 93711
209/227-0121

Regent
Gail Pennix, CRM
40 Joy Street, No. 3
Boston, MA 02114-4027
FAX: 617/723-0846
617/723-7765

Regent
Dr. Donald Schewe, CRM
Jimmy Carter Library
One Copenhill
Atlanta, GA 30307
404/331-3942
Fax: 404/730-2215

Regent
Eric Tanner, CRM
547 Contour Drive
Granite Shoals TX 78654-3001
210/598-6994

Archives
Kathleen Dedig, CRM
Nations Bank
901 W. Trade St., 6th Flr.
Charlotte, NC 28255-0320
704/386-4252

"TESTING FOR THE BEST"

ARMA/ICRM Joint Committee
Eric Tanner, CRM
(address above)

Certification Maintenance
Mona Warren, CRM
(address above)

Conference Coordinator
Jenny Barker, CRM
Barker Consulting
P.O. Box 2109
Wimberley, TX 78676
512/847-6103
Fax: 512/847-6901

Ethics
(Ad Hoc)

Examination Proctoring Coordinator
Dorothy L. Miller, CRM
11 Oxford Ct.
Pittsburg, CA 94565
510/427-4382

Long Range Planning
(yearly appointment)

Nominations
(yearly appointment)

**INSTITUTE INFORMATION**

Write to:
**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**

ICRM Information Sheet #06 11/93
(May be reproduced locally)

# INFORMATION SHEET #7

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

### CODE OF ETHICS

*Certified Records Managers should maintain high professional standards of conduct in the performance of their duties. This Code of Ethics is provided as a guide to professional conduct.*

I. Certified Records Managers have a professional responsibility to conduct themselves so that their good faith and integrity shall not be open to question. They will promote the highest possible records management standards.

II. Certified Records Managers shall conform to existing laws and regulations covering the creation, maintenance, and disposition of recorded information, and shall never knowingly be parties to any illegal or improper activities relative thereto.

III. Certified Records Managers shall be prudent in the use of information acquired in the course of their duties. They shall not use information, confidential or otherwise, for any personal gain or in a manner which would be detrimental to the welfare of others.

IV. Certified Records Managers shall not accept gifts or gratuities from clients, business associates, or suppliers as inducements to influence any procurements or decisions they may make.

V. Certified Records Managers shall use all reasonable care to obtain factual evidence to support their opinion.

VI. Certified Records Managers shall strive for continuing proficiency and effectiveness in their profession and shall contribute to further research, development, and education. It is their professional responsibility to encourage those interested in records management and offer assistance whenever possible to those who enter the profession and to those already in the profession.

"TESTING FOR THE BEST"

## ETHICS REVIEW PROCEDURE

If it is felt that a Certified Records Manager (CRM) has violated the Code of Ethics of the Institute of Certified Records Managers (ICRM), a letter stating such must be sent to the President of the ICRM, P.O. Box 8188, Prairie Village, KS 66208. This letter must identify the CRM, state the nature of the ethics violation charge and request that the ICRM investigate the matter. The person(s) making the charge must identify themselves. The ICRM will keep the identification of the person(s) making the change confidential.

Upon receipt of this letter, the President of the ICRM will establish an ad hoc Ethics Committee and identify three individuals to serve on it, subject to the approval of the Board of Regents. No current member of the Board may serve on this ad hoc committee.

This Committee will be provided the letter requesting the review. The Committee will contact the person(s) making the accusation and obtain from them all available information on the issue. The Committee will also contact all involved parties, including the accused CRM to obtain any additional facts.

The Committee will consider the information gathered and reach a ruling for the Board. The ruling must reflect a unanimous vote of the Ethics Committee, repudiating or substantiating the ethics violation charge(s).

If a CRM has been cleared of the charges, a letter stating such shall be sent to all people contacted during the investigation.

If the Committee is unable to reach a unanimous decision concerning the charges, a second committee consisting of three non-Board CRMs will be formed to consider the case. They will operate in the same manner as the first committee. If the second committee cannot reach a decision, then all charges will be dropped against the CRM. A letter stating such will be sent to all people contacted during the investigation.

If the CRM has been found to be in violation of the Code of Ethics of the ICRM, then that individual shall be notified by the Secretary of the ICRM that they can no longer use the CRM designation. The CRM will not be eligible to apply for membership in the ICRM for a minimum of 5 years, at which time they must submit an application, be accepted to sit for the exam based on the qualifications in force at that time, take and pass all parts of the examination prior to regaining the status of CRM.

All Ethics Committee proceedings are confidential. No information on the case, either factual or non-factual, will be presented to the Board. The ruling of the Ethics Committee will be final. The Committee will seal the file after all business has been completed. The sealed file will be placed in the archives of the ICRM and confidentially destroyed after 10 years.

## INSTITUTE INFORMATION

Write to:

**ICRM Secretary**
**Post Office Box 8188**
**Prairie Village, KS, 66208**
**United States of America**

**Information Line (toll-free)**
**1-800-825-4276**
(available in Canada and the United States)

ICRM Information Sheet #07 09/93
(May be reproduced locally)

# CERTIFICATION MAINTENANCE PROGRAM CREDIT REQUEST

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

**1. PERSONAL INFORMATION** Ms. ☐ Mr. ☐

Name: Last | First | Middle Initial

Residence Address (All mail will be sent to home address)

City | State/Province | Country | Zip/Postal Code

**2. CATEGORIES REQUESTED**

Certification maintenance credits are requested for an activity(ies) from: (check only one for each form submitted)

☐ **Categories Number 1 to 9 (complete section 4 of this form)**

1. College/University Courses
2. Seminar/Conference
3. Vendor Course
4. Meeting with Educational Content
5. Company-Sponsored Education Courses
6. Professional Society/Association Educational Activities
7. Teaching/Lecturing/Presentations/In-house records management training/Management presentations.
8. Correspondence Courses
9. Publication of Articles and Books

**OR**

☐ **Category number 10 (complete section 5 of this form)**

10. Other activities
    - manuals
    - records management software
    - records retention schedules
    - file plans/disaster plans
    - systems developed or implemented
    - books reviewed

**NOTE: Credits requested for activities from categories numbered 1 to 9 should be submitted *on a separate form* from those activites from category number 10.**

**3. ADDITIONAL INFORMATION**

- is available in Information Sheet Number 5, Certification Maintenance. Contact the ICRM at the address given below.
- is available from the ICRM Information Line 1-800-825-ICRM.
- may be obtained by contacting the Vice President, Certification Maintenance at the address below.

**4. CERTIFICATION MAINTENANCE CREDITS REQUESTED FROM CATEGORIES NUMBERED 1 TO 9**

| Category Code (Choose one category from 1 to 9) | Activity Description<br>Activity Title | Date of activity or date activity completed (eg. university course)<br>/ /<br>month/day/year<br>ICRM USE ONLY |
|---|---|---|
| Contact Hours Requested | Sponsor | Requested / Approved / Denied |
| Evidence of Completion Signature (required if other documentation does not exist)<br>Print / Signature / Date | | Approval |

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## 5. CERTIFICATION MAINTENANCE CREDITS REQUESTED FROM CATEGORY NUMBER 10

| | Activity Description | Date of activity or date activity completed (eg. system implemented) / / month/day/year |
|---|---|---|
| Category Code 10 | Activity Title | |
| Contact Hours Requested | Sponsor | ICRM USE ONLY: Requested / Approved / Denied |
| Evidence of Completion Signature (required if other documentation does not exist) | | Approval |
| Print | Signature | Date |

Review Information Sheet #5 to determine support documentation required when requesting credits from this category.
In order for credit requests to be granted for Category 10, the questions below must be completed, and appropriate supporting documentation attached.
In order to help determine the applicable credits for this activity, it is important for the Certification Maintenance Committee to understand the background. Please attach to this form a one to two paragraph summary of the activity including:
(1) a description of the situation, (2) the steps taken to solve the situation, and (3) a summary of the time involved.

What did you learn from performing this activity? _____

_____

_____

_____

Why do you feel credit should be granted for this activity? _____

_____

_____

## 6. CHECKLIST: Before submitting this request have you:

- ☐ Completed each section of this form, dated, and signed it in ink?
- ☐ Enclosed necessary documentation (transcripts, descriptions of activities, presentation outlines, etc.)?
- ☐ Enclosed a written summary of the activity?

## 7. REQUESTER'S CERTIFICATION:

1. I have read and understood the requirements governing the ICRM certification maintenance process in force at the time of the completion of this request;
2. I certify that the statements made by me in this request and the contents of the supporting documentation are complete and true;
3. I have provided written documentation to prove that I meet the required criteria for educational activities;
4. I grant the members of the Certification Maintenance Committee permission to contact current and former employers or clients and educational institutions for verification and/or clarification for on-the-job activities if required;
5. I understand and agree that the CRM designation may be terminated by the Board of Regents in the event of my violation of the Code of Ethics or other just cause, and further, that the decision of the Board is final.

REQUESTER'S SIGNATURE _____ DATE _____

Credit request forms may be submitted to the ICRM Certification Maintenance Committee at any time during the year. You are encouraged to apply for credits as you earn them.

**Send To:** Institute of Certified Records Managers
P.O. Box 8188
Prairie Village, KS 66208
U.S.A.

ICRM Form #03 09/93
(Previous edition obsolete)

- This form may be reproduced locally -

# EXAMINATION APPLICATION
## INSTITUTE OF CERTIFIED RECORDS MANAGERS

**1. PERSONAL INFORMATION** Mr. ☐ Ms. ☐

Name: Last | First | Middle Initial

Residence Address (All mail will be sent to home address) ☐ Check if a change of address

City | State/Province | Country | Zip/Postal Code

Telephone | Day/Business ( ) | Evening/Home ( )

**ICRM USE ONLY**
Examination Control No.
Date application fees received
Applicant eligible for examination?
☐ Yes ☐ No

**2. APPLICATION STATUS**

☐ Original Application (Complete entire form, attach supporting documents, and submit with application processing fee plus $40 for each examination part requested - see checklist.)

☐ Supplementary Application for Additional (or Repeat) Examination Parts. (Complete parts 1 - 4 of this application form and sign Part 7. Include fee(s) for each examination part requested.)

☐ Resubmission of Original Application (Add all new or revised data since original application and include fees as for original application.)

**3. EXAMINATION SITE REQUESTED** (Preferably Nearest ARMA Chapter and/or Major City) _____
(ARMA is the Association of Records Managers and Administrators, Inc.)

**4. EXAMINATION PARTS AND EXAMINATION DATES REQUESTED**

| | | Exam Date Requested | | Fee Enclosed |
|---|---|---|---|---|
| | Original Application Processing Fee (non-refundable) | N/A | $60 (U.S.) | _____ |
| PART 1 | Management Principles and the Records Management Program | _____ | $40 (U.S.) | _____ |
| PART 2 | Records Creation and Use | _____ | $40 (U.S.) | _____ |
| PART 3 | Filing Systems, Storage, and Retrieval | _____ | $40 (U.S.) | _____ |
| PART 4 | Records Appraisal, Retention, Protection, and Disposition | _____ | $40 (U.S.) | _____ |
| PART 5 | Equipment, Supplies, and Technology | _____ | $40 (U.S.) | _____ |
| **Applicant must pass PARTS 1-5 before applying for PART 6** | | | | |
| PART 6 | Case Studies | _____ | $60 (U.S.) | _____ |
| | **TOTAL FEES SUBMITTED** | | | _____ (U.S) |

(Personal checks drawn on U.S. banks, postal or international bank money orders should be payable to the Institute of Certified Records Managers. Checks from countries other than the U.S.A. marked "payable in U.S. funds" are NOT ACCEPTABLE and will be returned.)

**5. RECORDS MANAGEMENT EXPERIENCE AND EDUCATION**

**5.1. PROFESSIONAL WORK EXPERIENCE:** (Check at least three categories in which you have qualifying experience)

- ☐ Management of a Records Management Program
- ☐ Records Creation and Use
- ☐ Active Records Systems
- ☐ Records and Information Management Technology
- ☐ Records Protection
- ☐ Inactive Records Systems
- ☐ Records Appraisal, Retention, and Disposition

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5.2. EDUCATION Do you have a high school diploma or equivalent? ☐ Yes ☐ No

| Name and location (City, State/Province) of College or University | Dates Attended | | No. of Years Completed | No. of Credits Completed | | Type of Degree (B.A. etc.) | Year of Degree |
|---|---|---|---|---|---|---|---|
| | From | To | | Quarter Hours | Semester Hours | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

5.3. PRESENT EMPLOYMENT

Name of Company

Present Position Title — Position Held Since (Time will be calculated to application deadline date)

Street Address — Phone Number

City — State/Province — Country — Zip/Postal Code

5.4. Previous Employment (Complete address not required. If more space is needed, use an additional sheet of paper.)

| DATES (MONTH/YEAR) FROM | TO | TOTAL YEARS AND MONTHS | POSITION HELD | NAME OF EMPLOYER AND CITY/STATE |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |

6. CHECKLIST FOR ORIGINAL APPLICATION: Before submitting this application have you:

☐ Completed each section of this form, dated, and signed the form in ink?

☐ Enclosed (or otherwise provided) complete documentation of education and professional experience (should include transcripts, job descriptions, client letters, employers letters, etc.)?

☐ Indicated on a separate page any special needs (e.g. handicap) which may affect the examination process?

7. APPLICANT'S CERTIFICATION:

I, _____ (please print name)

1. have read and understood the requirements governing the CRM examination process in force at the time of the completion of this application;
2. certify that the statements made by me in this application and the contents of the supporting documentation are complete and true;
3. understand that I must provide written documenation to prove that I meet the required education and work experience criteria;
4. grant the members of the Certification Standards Committee permission to contact current and former employers or clients and educational institutions for verification and/or clarification;
5. support and pledge to conform to the standards of professional conduct and the Code of Ethics of the Institute of Certified Records Managers;
6. understand and agree that the CRM designation may be terminated by the Board of Regents in the event of my violation of the Code of Ethics or other just cause, and further, that the decision of the Board is final.

APPLICANT'S SIGNATURE _____ DATE _____

Send To: Institute of Certified Records Managers
P.O. Box 8188
Prairie Village, KS 66208
U.S.A.

September 1992 ICRM Form #01 12/92
(Previous edition obsolete)

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# Preparing for the CRM Examination : A Handbook

## INSTITUTE OF CERTIFIED RECORDS MANAGERS

## Ordering Information

This handbook provides information for persons preparing to take the examination to become Certified Records Managers (CRM). The book serves as a study guide to assist applicants to understand the examination process with suggestions on how to prepare for and take the examination. A sample examination, annotated outline with bibliography and information on the Institute of Certified Records Managers, are included.

(ISBN 0-933887-07-8 Softcover, English, 150 pages, 1993).

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'Testing For the Best'

# OVERVIEW OF THE INSTITUTE OF CERTIFIED RECORDS MANAGERS AN INTRODUCTION TO THE CRM EXAMINATION*

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INSTITUTE OF CERTIFIED RECORDS MANAGERS
VICTORIA, BC

## Introduction

The Institute of Certified Records Managers (ICRM) is an international certifying organization of and for professional records and information managers. The ICRM was incorporated in 1975 to meet the requirement to have a standard by which persons involved in records and information management could be measured, accredited and recognized according to experience and capabilities established by their peers.

The ICRM is an independent non-profit organization administered by a Board of Regents (the `Board') in accordance with the Constitution and By-laws.

## Objectives of the ICRM

The objectives of the ICRM are:

1. To develop and administer a program for professional certification of records managers, including the granting of appropriate recognition; and
2. To develop and administer certification examinations in records management with complete responsibility for the scope, complexity, and integrity of such examinations; and
3. To develop and maintain a program for the maintenance of certification for members of the Institute; and
4. To promote the value of certification of records managers to the private sector and the various national, state and local governments.

The ICRM serves as the official certifying body for both the Association of Records Managers and Administrators (ARMA) and the Nuclear Information Records Management Association (NIRMA). However, The ICRM is a separate organization and retains control of its examinations, elections, finances and eligibility criteria for taking the examinations.

Under a contract with ARMA International, the ICRM pays ARMA Headquarters staff to provide clerical support in the form of membership and mailing list updates, printing and distribution of the newsletter and mailing general information brochures about the CRM. That explains why Prairie Village is given as the `official' ICRM address. All administrative activity which deal with sensitive material such as personal information on applicants, development of the test bank, operation of the entire testing process, and the certification maintenance database is

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handled by volunteer CRMs, primarily those persons on the Board of Regents, and CRM membership through committee structure.

## Membership

ICRM members are professional records and information managers from more than six countries. Each individual is experienced in the lifecycle of records active and inactive records systems, and related disciplines such as archival management. They have shown competence in information technologies such as computerization, micrographics, and optical disk technology. Every member has received the Certified Records Manager ('CRM') designation which shows they have met the educational and work experience requirements established by the ICRM and have passed the required examinations.

## Responsibilities of Membership

To remain a member of the ICRM in good standing and thereby be authorized to use the personal designation of 'CRM', a person must confirm to requirements set by the Board. This includes fulfilling the requirements of the ICRM Certification Maintenance Program.

Members are expected to confirm to the ICRM Code of Ethics and participate in activities to improve the records management profession.

The Board may vote to revoke the Certification and membership of any member who/that the Board determines is not in good standing.

## Benefits of Membership

Research has shown that CRMs and CRM candidates profess that attaining certification status has resulted in enhanced professionalism and personal growth. The records and information management knowledge gained through the certification process and the improved attitude of self-esteem and confidence often result in CRMs obtaining increased job responsibility and commensurate salary benefits.

In addition ICRM members receive a **Newsletter** and a **Directory** of members. Each member is also entitled to attend the ICRM General Meeting and the ICRM Reception held at the Annual ARMA conference. Individuals who have qualified as examination candidates, but who have not yet completed the process also receive the Newsletter and may attend both the Annual Meeting and Reception.

The ICRM is a volunteer organization. CRMs assist in the development of professionalism in records and information management and the promotion of the value of certification for records managers. They share their experience and knowledge by participating in ICRM committees and through writing, teaching, and speaking.

## Membership Fee

The annual membership fee is $100 (U.S.) for regular members and $10 (U. S.) for retired members.

## The Certification Process

Attaining the CRM designation is based on educational background, work experience and passing a six part examination.

The required combination of work experience and education is described below. The six part examination is divided into:

| | |
|---|---|
| Part I | Management Principles & the Records Management Program |
| Part II | Records Creation and Use |
| Part III | Records Systems, Storage & Retrieval |
| Part IV | Records Appraisal, Retention, Protection & Disposition |
| Part V | Equipment, Supplies & Technology |
| Part VI | Case Studies |

Parts I to V each consist of 100 multiple choice questions. Part VI consists of essay questions. Candidates must pass Parts I-V before writing Part VI.

## Applying for the Examination

ICRM suggests that potential candidates review the criteria, decide the extent of their current readiness and if they choose to proceed, the sequence of examination parts to be taken. The examination is comprehensive, and preparation for it is strongly encouraged.

Persons wishing to become a CRM must complete and submit an **application form** indicating relevant work experience and education. These credentials are then evaluated by the Certification Standards Committee to determine that the eligibility requirements have been met.

## Application Fees

Prospective candidates pay a non-refundable $60 (U.S.) fee for processing their application and evaluating credentials. Applicants who fail to meet mandatory qualifications are required to resubmit a new application form (including a new $60 (U.S.) processing fee) if they request reconsideration more than one year after the date of the original application.

A fee of $40 (U.S.) per examination is charged for each of Parts I through V. The fee for Part VI is $60 (U.S.). These fees are only refundable if an applicant cancels his/her registration *more than one month* prior to the examination date.

Applications and fees must be submitted to the ICRM by the deadline established for each examination. All payments must be in U.S. currency (see Membership Fee above).

## Qualifications

The optimum combination of experience and educational requirements are a baccalaureate degree from a four-year accredited college and three years of full time or equivalent professional experience in records management. The Board may, **at its discretion**, substitute two years of experience for one year of education.

To assist candidates in determining educational/work experience requirements, the number of years of educati n needed with respect to work experience are shown below:

| Education | Work Experience |
|---|---|
| Four years (Baccalaureate Degree | 3 years |
| Three years | 5 years |
| Two years | 7 years |
| One year | 9 years |
| High School Graduate | 11 years |

An official transcript or a photocopy of the degree certificate must be submitted with the original application.

The ICRM has determined an examination candidate must have work experience in **three or more** of the following categories:

* Management of a Records Management Program
* Records Creation and Use
* Active Records Systems
* Inactive Records Systems
* Records Appraisal, Retention and Disposition
* Records Protection
* Records and Information Management Technology

Appropriate work experience may have been acquired if a person has:

a. Conducted studies and surveys or developed, designed, and implemented records management systems;

or

b. Had direct managerial or operational responsibility for programs;

or

c. Taught in an accredited college/university on a full-time basis courses in records management. Teaching either in accredited junior colleges, community colleges, or four-year institutions is acceptable.

The work experience claimed must be supported by copies of job descriptions. If job descriptions are not available, letters from employers outlining in detail work positions, duties, and experience relative to the above three categories are needed.

Consultants and sales (vendors) personnel must request two or more of their clients to submit letters specifying the nature and scope of their work. These letters must be in sufficient detail to describe thoroughly the work performed and provide evidence that services have been rendered in the categories in which the applicant claims experience.

Teachers are required to submit the syllabi of courses taught and a letter from the department head substantiating the applicant's position and activities within the educational institution.

Some additional guidelines on regard to experience are :

Operation of Equipment

The operation of specialized equipment without being involved in the creation and development of related records management applications **will not** be considered as qualifying experience.

Librarianship

The traditional work of librarians dealing with published materials **is not** considered qualifying records management experience.

Medical Records Experience

Applicants who are medical specialists or technicians must explain thoroughly in the relationship of their activities to the organization's overall records management program.

Candidates who, in the judgment of the Certification Standards Committee, do not meet the employment and educational requirements shall not be permitted to take the examination. They may apply again if work experience and/or education has changed to meet such requirements.

## Taking the Examination

A candidate may sit for all of Parts I to V of the examination at one time. The first five parts may be taken in any sequence the candidate desires. Part VI may be taken only after the candidate has passed the first five parts.

Candidates may retake any Part of the examination as often as necessary, within the five year period. See below: ('Completion Time Required'.)

The examinations are offered twice each year, normally in mid-May and mid-November. Examinations are administered at any location at which a qualified proctor can be identified.

Examinees are allowed 80 minutes for each part when taking parts I-V of the examination. Part VI (Case Studies) has a four hour time period, exclusive of time needed for administrative purposes.

## Grades

The passing score for each part of the examination is 70%. A test mark of 63% to 70% for Part VI is *automatically regraded* by a different grader for possible adjustment prior to the candidate receiving the grade.

Starting with the November 1992 Examination, the Institute is now able to provide feed back to unsuccessful candidates. The feedback for Parts 1-5 will show how **all** candidates for each examination part performed by outline code to the secondary level. For example, questions on physical security from theft in a vital records program (Outline code: Part 3 F2e) and reconstruction of operations under emergency conditions in a vital records program (Outline code: Part 3 F2a) would both be shown as Part 3 F2. An unsuccessful candidate **will not** know if

they passed or failed each individual question, but will know how **all** candidates taking that part performed (passed/failed) on each question. We would like eventually to work toward providing individual feedback for Parts 1 - 5, but at this time do not have the technology or manpower to do so.

## Regrades and Appeals

A candidate who receives a test score between 63% and 70%, and who has a legitimate reason to believe that there was a grading error, may make a written request to appeal the failing grade. Appeal requests must be postmarked within 30 days following the receipt of notification of the failing grade.

The review shall be performed by the Examination Appeals Committee and shall be processed within 60 days following receipt of the appeal by that Committee. Decisions of the Examination Appeals Committee are final.

## Completion Time Required

*All parts of the examination must be passed within a period of five consecutive years.* If an applicant fails to do so, the part(s) taken and passed initially must be repeated so that the passing of all parts occur consecutively within a five year period.

## Certification Maintenance

Because the environment in which the Certified Records Manager functions is so dynamic, it is vital that CRMs remain current in the field to ensure that new developments in records and information management may be appropriately applied. Consequently, through a clearly defined program for active professional involvement in continuing education efforts, the Institute hopes to assist its members in:

1. Maintaining professional competence;
2. Updating existing knowledge and skills; and
3. Attaining new or additional knowledge and skills.

## Certification Maintenance Requirements

The requirement for maintaining certification is the accumulation of 100 "contact" hours of approved educational activity during each five-year period following certification. A "contact" hour is defined as not less than 50 minutes of a clock hour of active involvement in a qualifying educational activity in any of the areas covered in the "Outline for the CRM examination".

Activities which will generally qualify for certification maintenance credit will fall within the following categories:

1. College/University Courses
2. Seminars/Conferences
3. Vendor Courses
4. Meetings with Educational Content
5. Company-Sponsored Education Courses
6. Professional Society/Association Education Activities

7. Teaching/Lecturing/Presentations
8. Correspondence Courses
9. Publication of Articles, Monographs, and Books
10. Other

In the spring of 1993, the `other' category was expanded to provide for the inclusion of on-the-job and other miscellaneous activities, regardless of remuneration, provided the activity results in:

- a work product; and/or
- new knowledge for the individual or the records management field.

Examples of these activities include book reviews, on the job training programming, development of retention schedules, software development and creation of corporate programs.

All active CRMs are required to maintain certification. Certification maintenance credits accumulated during the last year of the five-year cycle, which exceed the required 100 total necessary to maintain certification, will be carried over into the next five-year cycle for credit.

CRMs who do not meet certification maintenance requirements will receive formal notification from the Institute that they are no longer eligible to use the CRM designation and will be dropped from the ICRM rolls. No CRM shall be dropped from the rolls until such time as the appeal has been reviewed and decided upon by the ICRM Board of Regents. Restoration of certification lost in this manner can be achieved only by successfully passing the CRM examination.

**Publications**

The ICRM publishes material to assist candidates in preparing for the Examination. These publications include:

Introduction to Certification, Information Sheet #1
The Examination Process, Information Sheet #2 and
Qualifying for the Examination, Information Sheet #3.

Information sheets on other topics will be developed and distributed from time to time. The Information Sheets are available, at no charge from the ICRM Secretary at the address at the end of this article.

The ICRM also is currently revising a study guide entitled "Preparing for the CRM Examination: A Handbook". The projected publication date is October 1993.

For information about the ICRM and the CRM Examination contact:

ICRM Secretary
Post Office Box 8188
Prairie Village, KA 66208

or, use the toll free Information Line:
1-800-825-ICRM

## CRM EXAMINATION REVIEW WORKSHOP – PARTS 1-5

Tuesday, October 19, 2:00 P.M. - 5:15 P.M.

GAIL B. PENNIX, CRM. Vice President, Examination Administration, Institute of Certified Records Managers.

ANN BALOUGH, CRM. Balough Associates, Huntsville, AL.

Parts 1 through 5 of the Certified Records Managers examination represent the depth and breadth of records management. This session teaches a strategy for studying and taking the examination.

These proceedings cover the test-taking techniques that will contribute to your success in passing the examination.

The Institute of Certified Records Managers (ICRM) publishes a study guide, Preparing for the CRM Examination – A Handbook. This includes the official outline to the CRM examination in annotated format, sample test questions, and a bibliography of appropriate resources for study. Anyone seriously contemplating taking the exam should buy or have access to this guide. It is available for purchase through ARMA International.

### Overview of the CRM Examination

| | |
|---|---|
| Part 1 | Management Principles and the Records Management Program |
| Part 2 | Records Creation and Use |
| Part 3 | Records Systems, Storage and Retrieval |
| Part 4 | Records Appraisal, Retention, Protection and Disposition |
| Part 5 | Equipment, Supplies and Technology |

## Preparing for the CRM, Parts I-IV

# *MASTERING TEST-TAKING TECHNIQUES**

by
Ann Balough, CRM

### I. INTRODUCTION

Test-taking is a fact in our world. Some, like the CRM, are very important to our career and reaching our goals. So it makes sense that we spend some time learning how to deal with test anxiety and some specific techniques for taking tests.

The techniques that we will discuss can make the difference between passing and failing, *if you are familiar with the subject matter.* By understanding some of the psychology of test making and improving your analytical skills, you can reap the benefit of both your complete and incomplete knowledge of records management.

Additionally, by having a plan of action for your test, you gain control. This control allows you to channel your nervous energy and think more clearly.

Parts I-IV of the CRM have 100 questions each. Each question has five options. Statistically, you would get about a 20 by just guessing. You must answer at least 70 questions correctly in order to pass (there are no longer any regrades of tests). If you can answer 55 of the questions with great confidence, then statistically you can get 9 points purely by guessing (20% of 45) -- not enough to pass. However, if you use the techniques we will discuss today, coupled with your knowledge, to reduce the number of alternatives to three, you could increase your score by 15 points -- possibly enough to pass.

Skilled test takers can increase their scores on tests by 10 to 20%. That alone is certainly not enough to pass the test. But it can make the difference for a knowledgeable test taker.

It is important to remember that passing the CRM exam requires answering 70% of the questions correctly. No one will ever know if you make a 71 or a 91. There is no difference in the certificate given. Your goal is not to make a perfect score. It is to make at least 70%. Careful study and good test taking techniques can help you achieve this goal.

The best test-taking technique is to know the correct answer. However, since few of us know everything about records management, test-taking techniques and analytical skills will help make the most of our knowledge.

For the November 1992 CRM, 158 candidates wrote 337 exam parts. The results are:

| | I | II | III | IV | V | VI | Overall |
|---|---|---|---|---|---|---|---|
| #Candidates | 58 | 54 | 52 | 55 | 80 | 37 | 337 |
| #Who Passed | 36 | 27 | 43 | 25 | 27 | 26 | 184 |
| Passing % | 61% | 50% | 83% | 46% | 33% | 72% | 53.6% |

Part I: Management Principles and the Records Management Program.
Part II. Records Creation and Use.
Part III. Records Systems, Storage, and Retrieval
Part IV. Records Appraisal, Retention, Protection, and Disposition
Part V. Equipment, Supplies, and Technology
Part VI. Case Studies

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## II. PREPARING FOR THE TEST

### A. STUDY

This will be discussed by Gail Pennix, particularly, how to use study groups.

When studying, remember that the outline dictates the composition of the test. There will be some questions on every test about everything on the outline for that part of the test. The outline is the best study guide for the test.

Practice the techniques learned here today. Use the practice tests in your CRM Study guide. It helps internalize the strategies used. Test taking skills are like any other. Attending a short session is not enough to learn them. You must practice.

### B. PRE-TEST PREPARATION

1. Week Prior to the Test
   a) Be sure you know where the test is to be given. Drive by the site if you are unfamiliar with the area. Being late or lost is not good for your mental attitude on test day.
   b) You may want to round up some tools for the test. I suggest bringing:
      (1) A good supply of sharp #2 pencils. I also liked having a pencil holder for them.
      (2) A pencil sharpener. ( or call your proctor to see if one will be provided.)
      (3) Good eraser.
      (4) A watch or a clock. I prefer a digital clock.
      (5) Tape recorder with tape and fresh batteries. (We will talk about why later.)
      (6) CRM study guide and your study notes.
      (7) A sweater (in case the room is too cool).
      (8) A thermos of coffee, a jug of water, or soft drinks, especially if you are taking more than one test.
2. The day before the test is critical. Some suggestions are:
   a) Do NOT study. It is too late anyway.
   b) Pick a relaxing activity in the evening.
   c) You may wish to go to bed thirty minutes earlier. Do not go to bed considerably earlier or you will confuse your biological clock.
   d) Have your normal morning routine. Avoid a heavy breakfast.
   e) Arrive at the test site at least 15 minutes early.

## III. DAY OF THE TEST

### A. SEATING

Pick a seat where distractions are minimized. Be sure the lighting, the chair, and the ventilation are adequate. You may want to move a chair to your preferred location.

B. PRE-TEST ACTIVITIES

1. Ask for scratch paper. Write on the key ideas, acronyms, etc. that you have memorized for the test.
2. Then take a few moments to relax. Loosen constricting clothing. Do a relaxation exercise (if you don't know any get a book or tape that will help you and practice prior to the test).

## IV. BASIC TESTING PRINCIPLES

A. VOCABULARY

1. Question. The individual test item. It is made up of the stem and the alternatives.
2. Stem. An incomplete statement or questions to be answered.
3. Alternatives. There are five alternative choices for each test item on the CRM.
4. Distracters. The incorrect responses.
5. Keyed response. The answer the test-makers are looking for.

B. WAYS TO ANSWER QUESTIONS

1. Recall of knowledge (obviously the best)
2. Computation
3. Limited Association (associating elements of the alternatives with key words in the stem).
4. Process of Elimination
5. Test Construction Clues
6. Educated guess
7. Wild guess (no clue to the answer at all)

C. MOST CORRECT ANSWER

There may be more than one correct answer, but there is best answer. The correct answer will almost always contain some of the following characteristics: it will be the most encompassing and inclusive alternative and it is usually the most general and qualified choice available.

Test questions on the CRM exam are very carefully selected and prepared. Each question goes through rigorous examination by a committee. It is very important to remember that you are being tested on records management principles -- not on how you specifically apply records management to your situation. In questions that express opinion, remember the viewpoint is global. This test applies to all countries and types of organizations. You need to approach the questions from that viewpoint. Remember this test is a test of basic records management concepts and principles, not an evaluation of how well you do your current job.

D. GUESSING

Never leave a question unanswered. Your chances of getting the correct answer are zero. Even a wild guess gives you a 20% chance of the correct answer. There is no penalty for guessing on the CRM exam.

## V. TEST MANAGEMENT

### A. PLAN OF ATTACK

There is a very systematic method for taking tests. By using this method, or a modified version, you will be able to take the best advantage of your knowledge. Part of the effect comes from the systematic analysis of the test and part comes the psychological benefits of gaining control over the testing situation.

### B. TIME MANAGEMENT

Part I-IV of the CRM allows 1 hour and 20 minutes. That is 48 seconds per question. Each question will not need an equal amount of time. Your strategy is to make the best use of your time and achieve the highest score. If you work through the test and spend time agonizing over certain questions and do not finish the test, you rob yourself. Each question is worth only 1 point!. That is why you work through the test three to four times in a systematic manner.

When the test starts, write down the start time. Ask the proctor to tell you both when 30 minutes and one hour have elapsed. Your goal is to try and complete the test in about one hour. You will then have twenty minutes to finalize the test.

### C. DIRECTIONS

Always read, and follow, the directions carefully. Ask questions if you have them. If the proctor does not have the answers, she/he can call and get the answer. Be sure your test number and the number of the section are on the answer sheet. If not you may flunk simply because your Part III test was graded as a Part II test.

### D. SCANNING

Right after beginning the test, DO NOT start answering. Scan the entire test. Allot two to three minutes to do this. Flip through the entire test. Look at every page. Stop to read questions that catch your eye. This is casual, superficial look at the test.

The purpose is to provide you with key information on level of difficulty, scope, complexity, and area of coverage. Once you have finished, you know what to expect. You have a better idea of how to pace yourself.

### E. PASS 1

You will go through the test several times. In pass 1 through the test, read every question and every alternative carefully. You may want to underline key phrases in both the question and the alternatives.

Answer the easy questions. Mark through the question in your test booklet, so you can skip over it on the next pass through. Record the answers immediately on your answer sheet. Be sure you write the answer in the correct space.

If you cannot answer a question, place a mark beside it in the answer book. If an alternative is obviously wrong, eliminate it. Do this by crossing it out on your test book. If you think you know the answer but are unsure, put a question mark beside it and come back on the next pass through. You will go through the test again and reconsider the less obvious questions.

This first pass is very important. You ensure that get credit for all the easy questions. You will also have read all the questions, letting your unconscious mull them over. It is also possible that other questions will give clues to the answer for a "problem" question.

Be conscious of the time. You should be beyond question 50 by the end of the first thirty minutes. If you are not, pick up your pace slightly. After finishing this pass, make a note of the number of questions you answered in this pass.

F. PASS 2

On the second pass through the test, ignore the answered questions. Read the leftovers carefully, but consider only those alternatives you did not eliminate the first time through. Do not waste your time re-reading something you have already eliminated. If you still cannot get the answer, eliminate more alternatives if you can and go on.

G. PASS 3

If you have any questions left, you will make a final pass through the test. This is where you will make full use of clues offered by exam construction and educated guessing. Answer all the remaining questions on this pass, even if you have to guess.

H. FINISHING UP

Be sure to allot a minimum of 10 minutes for checking your test. Be sure all questions have an answer, Check for stray or incomplete marks. Reread the questions and be sure you marked the intended answer.

If you have enough time after doing this, analyze the test and your performance. You can estimate a rough score by taking the number of questions answered in the first pass (65 for example). Then divide the number of remaining questions by 5 (100-65/5=35/5=7). Add this to the original number (65+7=72) to get your rough score.

Then analyze the test composition. What material was covered on the test? How many questions were in each subject area? If you have to take the test again, what areas do you need to strengthen.

I. AFTER THE TEST

As soon as the test is over, get off by yourself. Immediately record (that is what the tape is for) your analysis of the test. Then using your study guide, record your impressions and notes of what to study in the event you re-take this test. This notes are for your own use. It is perfectly acceptable for you to do this for yourself. It is not acceptable to share this information, especially if it concerns specific information about certain questions.

## VI. TEST TAKING TECHNIQUES

### A. KEY WORD & PHRASES

Key terms are the meat of the question and the alternatives. They are the essence of the statement and cannot be ignored. Often they are the essential key to the correct answer.

1. Absolutes

Absolutes severely limit the statement they are used in. They are very restrictive. Failure to read them will often result in an incorrect answer. A few common absolutes are

always never
absolutely only
must all
constantly none
sole every
necessary invariably

1. All of the following benefits will result from a successful records management training program except
   a. boost in employee morale.
   b. decrease in employee mistakes.
   c. elimination of supervisory responsibility.
   d. increase in work output.
   e. increase in work quantity.

2. The term "disposition" as defined in records management:
   a. includes but is not synonymous with the term "disposal."
   b. means destruction
   c. is synonymous with "disposal"
   d. relates only to paper records.
   e. implies shredding

3. The most effective method for a public agency to use to prevent the retention of unused, obsolete forms is to
   a. limit the number of different forms that are authorized for use at one time.
   b. destroy the oldest forms at regular intervals.
   c. introduce revised forms only when the supply of forms they are to replace are exhausted.
   d. examine the forms in use at periodic intervals to determine their usefulness.
   e. discard all forms which have not been requisitioned during the past year.

4. When preparing material for an alphabetic file, the clerk should
   a. glance rapidly over the contents of each page.
   b. read every word on the paper to assure accurate identification.
   c. always file the material by the signature.
   d. all of the above
   e. none of the above

2. Qualifiers

Qualifiers define or modify the statement they are in. Statements containing these words are more likely to be true. A few common modifiers are:

| | | |
|---|---|---|
| after | frequently | more |
| average | general | most |
| best | greatest | often |
| but | highest | or |
| chiefly | in general | partly |
| coincide | last | perhaps |
| could | later | probably |
| during | least | rarely |
| easiest | lowest | seldom |
| eventually | mainly | smallest |
| exactly | maximum | sometimes |
| except | may | tallest |

first minimum usually

5. *Principles are*
   a. inflexible once they have been set forth in statement form.
   b. less permanent than company practices.
   c. of little significance in the decision-making process.
   d. generally accepted as fundamental truths.
   e. identical to policies

3. Determiners

Determines are phrases that give the statement or alternative a certain perspective. Use these as clues to look for a specific point of view or relationship.

as judged by you should
on the average most likely
most nearly the correct approach
was based on was responsible for
most important only part
compared with arising out of
probably because generally caused by
depended upon as the result of
caused by main advantage
grew out of consists of
decreased by probable cause

6. In comparison with low-usage forms, benefits from improving high usage forms will be
   a. far less.
   b. slightly less
   c. slightly greater
   d. far greater
   e. nil

7. Informality, brevity, and low cost are the basic requirements of the following internal written communication media
   a. report.
   b. inter-office memorandum.
   c. written procedure.
   d. business letter.
   e. office manual.

8. The performance evaluation technique whereby employees objectively evaluate the performance of their immediate supervisor is commonly called:
   a. horizontal evaluation.
   b. informal evaluation.
   c. circular evaluation.
   d. upward evaluation.
   e. exit evaluation.

9. In the field of records management, what supervisory position studies existing systems and procedures used in creating, processing, and distributing records?
   a. active records supervisor.
   b. forms analyst.
   c. records center supervisor.
   d. systems analyst.
   e. line supervisor.

**B. ANSWERING STRATEGIES**

1. Longest Answer

There may be more than one correct answer, but there is one best answer. The correct answer will almost always contain some of the following characteristics: it will be the most encompassing and inclusive alternative and it is usually the most general and qualified choice available. This often means the correct answer is the longest.

10. Records management as we now know it developed on the basis of
    a. an outgrowth of various associations.
    b. an outgrowth of the librarian organizations.
    c. the work of the Hoover Commissions (in the U.S. -- similar commissions in Canada).
    d. privacy of personal information laws.
    e. principle of free access to public records.

11. The term "disposition" as defined in records management:
    a. includes but is not synonymous with the term "disposal."
    b. means destruction
    c. is synonymous with "disposal"
    d. relates only to paper records.
    e. implies shredding

2. A/AN

Occasionally the test maker will overlook a grammatical error. You will be able to eliminate options due to this.

12. A graphic presentation of a procedure or system using symbols to represent detail operations is called a
    a. flip chart.
    b. flow chart.
    c. Gantt chart.
    d. operation order chart.
    e. symbolic logic chart.

**13. Many of the principles upon which modern records management systems are based originated in the**

- **a. Administrative Management Society.**
- **b. federal government.**
- **c. Systems and Procedures Association.**
- **d. universities.**
- **e. Association of Records Managers and Administrators.**

**3. Physical position**

**The physical position of an alternative can be important. The positions A, C, and E are used statistically less than B and D. Most guessers choose an extreme or the middle. Use this technique *only* if you are making an uneducated guess.**

**4. Negative questions**

**Watch wording on questions carefully. Negatively worded questions can be very confusing and misleading otherwise.**

**14. Which of the following is not a trend in the records management profession?**

- **a. More full-time records management positions are being established.**
- **b. Records centers for storage of inactive records are gaining wider acceptance.**
- **c. Small organizations are organizing formal programs at a faster rate than large organizations.**
- **d. Special methods for protecting vital records are being adopted.**
- **e. The Association of Records Managers and Administrators exclusively to all aspects of records management.**

**15. Which of the following is normally not the responsibility of a records center clerk?**

- **a. Check in records for inactive storage.**
- **b. Decide when records are no longer necessary and may be destroyed.**
- **c. Maintain reference and control forms.**
- **d. Prepare documents for microfilming.**
- **e. Operate shredding machine.**

**16. A person familiar with modern management principles should know that the one of the following requirements of an administrator which is least important is his/her ability to**

- **a. coordinate work.**
- **b. plan, organize, and direct the work under his/her control.**
- **c. cooperated with others.**
- **d. perform the duties of the employees under his jurisdiction.**
- **e. develop budgets.**

**5. Question & answer association**

**Sometimes it is impossible to word the stem of a question without giving away the correct answer. If you have developed your vocabulary, you will be able to pick out the synonym.**

17. Applying the exception principle in records management means that a manager has
    a. developed a satisfactory manner to perform special records work.
    b. succeeded in finding a new and frequently better manner to perform a given amount of work.
    c. concentrated his attention on non-recurring problems requiring managerial action.
    d. all of the above.
    e. none of the above.

18. The performance evaluation technique whereby employees objectively evaluate the performance of their immediate supervisor is commonly called:
    a. horizontal evaluation.
    b. informal evaluation.
    c. circular evaluation.
    d. upward evaluation.
    e. exit evaluation.

19. What is the purpose of the closing section of reports?
    a. to make its final meaning clear.
    b. to make it interesting to the reader.
    c. to state clearly the exact subject of the report and its overall purpose.
    d. to show the writer's purpose and viewpoint.
    e. none of the above.

6. *Related question*

   Each of the first five CRM exams test over specific information. It is hard to avoid having more than one question on the subject. You may then have the opportunity to use the information in one question to answer another.

20. Which of the following is characteristic of "Theory X" management thought?
    a. most employees want to avoid job responsibilities whenever possible.
    b. most employees do not inherently dislike work.
    c. most employees want to satisfy social, esteem, and self-actualization needs through work.
    d. a and c above.
    e. b and c above.

21. According to the Theory Y view of worker behavior, the average person
    a. prefers to avoid responsibility.
    b. likes work inherently.
    c. cares little about security, neither financial or personal.
    d. seeks responsibility under the proper conditions.
    e. has much ambition.

7. *All of the above*

   A question with an "all of the above" alternative turns the rest of the alternatives into true/false questions. If more than one is true the answer is "all of the above", if only one is false "all of the above" cannot be the answer.

22. Issues in records management include
    a. an outgrowth of safety and health regulations.
    b. product liability records.
    c. the right of privacy in personal information.
    d. the use of a universal identifying number.
    e. all of the above.

23. Office copiers may be leased or purchased which
    a. copy documents of any length.
    b. produce offset masters.
    c. copy on ordinary bond paper.
    d. use continuous roll paper.
    e. all of the above.

24. In a well-written report, the length of each paragraph should
    a. vary according to content.
    b. not be longer than 300 words.
    c. be pretty much the same length.
    d. should lengthen gradually as the report is developed.
    e. all of the above.

8. None of the above

   This is a variation of the "all of the above". It is testing your ability to find facts that do not fit the concept or principle mentioned in the stem. In order for it to be correct, all of the options must be false.

25. The life cycle concept of a record is best defined as
    a. controlling the reproduction of records.
    b. control over the creation, usage, maintenance, retention, preservation, or disposition of records.
    c. controlling creation.
    d. controlling disposition.
    e. none of the above.

26. Authority is
    a. is given only at top-management levels where commensurate responsibility can be delegated.
    b. the right to command and the power to make decisions.
    c. the obligation and accountability for properly performing work that has been assigned.
    d. delegated independently of responsibility.
    e. none of the above.

27. The main disadvantage of a task force method of forms evaluation is
    a. the user's department is not represented on the task force.
    b. the task force is not a continuing group.
    c. the task force considers forms piecemeal.
    d. all of the above
    e. none of the above

9. Relative position

When the options are in ascending or descending order, the relative position on the options can be a clue to the correct answer. The correct answer is rarely the lowest or the highest option.

28. A disturbing fact of inefficiency frequency is that ___ percent of the papers filed are never referred to.
    a. 20%
    b. 45%
    c. 50%
    d. 90%
    e. 95%

29. Generally, the actual floor space occupied by a standard letter-sized office file cabinet, when closed, is most nearly
    a. 1/2 square foot.
    b. 3 square foot.
    c. 7 square foot.
    d. 11 square foot.
    e. 12 square foot.

30. The optimum square foot/cubic foot ratio that a building selected should have for records storage is a ceiling height that would allow ____-foot shelving:
    a. 6
    b. 10
    c. 14
    d. 20
    e. none of the above.

10. Non-parallel

The alternative is a question should be equal or alike. They should express the same type of thought, quality or quantity. A non parallel question asks you to compare apples and oranges.

31. Many of the principles upon which modern records management systems are based originated in the
    a. Administrative Management Society.
    b. federal government.
    c. Systems and Procedures Association.
    d. universities.
    e. Association of Records Managers and Administrators.

32. All of the following benefits will result from a successful records management training program except
    a. boost in employee morale.
    b. decrease in employee mistakes.
    c. elimination of supervisory responsibility
    d. increase in work output.
    e. increase in work quality.

11. Judgment questions

    Judgement questions are not definite yes/no questions. You have to approach the answer from the point of view of the writer of the test. The CRM is no place to have philosophical differences. This is where it is especially important to remember the global, multi-organizational view of the CRM.

33. An advantage of using internal personnel in solving an organization's records management problems is
    a. it will be less expensive.
    b. it will take more time to develop a program.
    c. organization personnel will readily accept their suggestions.
    c. qualified people can be quickly found.
    d. none of the above

34. Organizationally, the responsibility for records management is most often
    a. in the accounting department.
    b. in the administrative services division.
    c. an autonomous staff function.
    d. in the systems and procedures department.
    e. none of the above

35. Which of the following is not normally the responsibility of a records center clerk?
    a. Check in records for inactive storage.
    b. Decide when records are no longer necessary and may be destroyed.
    c. Maintain reference and control forms.
    d. Prepare documents for microfilming.
    e. Operate shredding machine.

12. Similar choices.

In some questions, some of the options will be closely related or almost identical. The similar choices cannot both be right, if they are the same in completeness and scope, neither is correct.

However, one option may be more encompassing and inclusive. When this is true the answer is either the option of greater scope or the opposite choice.

36. The life cycle concept of a record is best defined as
    a. controlling the reproduction of records.
    b. control over the creation, usage, maintenance, retention, preservation, or disposition of records.
    c. controlling creation.
    d. controlling disposition.
    e. none of the above.

37. Reduction in dictation time and retention of the advantages of a personal letter is best achieved through the use of
    a. form letters.
    b. guide letter.
    c. guide paragraphs.
    d. machine dictation.
    e. guide forms.

13. Opposite Choices

A close relative of the similar choice question. The usual opposite-choice question will be two options with one view and two others with another. You have to decide which viewpoint is accurate and then select the more encompassing and complete option of the two. If they are the same in scope, and you don't know which is correct, guess. If the "none of the above" or "all of the above" are options they are distracters that cannot be true.

38. In comparison with low-usage forms, benefits from improving high usage forms will be
    a. far less.
    b. slightly less
    c. slightly greater
    d. far greater
    e. nil

39. In a well-written report, the length of each paragraph should
    a. vary according to content.
    b. not be longer than 300 words.
    c. be pretty much the same length.
    d. should lengthen gradually as the report is developed.
    e. all of the above.

14. *Overlapping Alternatives*

This is fundamental to choosing the most encompassing and comprehensive option.

40. The life cycle concept of a record is best defined as
    a. controlling the reproduction of records.
    b. control over the creation, usage, maintenance, retention, preservation, or disposition of records.
    c. controlling creation.
    d. controlling disposition.
    e. none of the above.

41. The term "disposition" as defined in records management:
    a. includes but is not synonymous with the term "disposal."
    b. means destruction
    c. is synonymous with "disposal"
    d. relates only to paper records.
    e. implies shredding

42. Writing records management manuals should be done by
    a. the organization's public relations department.
    b. the records management personnel.
    c. the executive of the organization.
    d. the records manager exclusively.
    e. the systems analysts from a consulting firm.

Recommended Resource: How to Master Test Taking, by Fred Anderson, Jr.,1981: Skills Improvement, P.O. Box 595, Aurora, CO 80040, Library Of Congress Card Number 81-90062

All sample questions were taken from the 1985 CRM Study Guide.

Answers:

| | | |
|---|---|---|
| 1. c | 15. b | 29. b |
| 2. a | 16. d | 30. c |
| 3. d | 17. c | 31. b |
| 4. a | 18. d | 32. c |
| 5. d | 19. a | 33. a |
| 6. d | 20. a | 34. b |
| 7. b | 21. d | 35. b |
| 8. d | 22. c | 36. b |
| 9. c | 23. e | 37. c |
| 10. c | 24. a | 38. d |
| 11 a | 25. b | 39. a |
| 12. b | 26. b | 40. b |
| 13. b | 27. b | 41. a |
| 14. c | 28. d | 42. b |

# CRM EXAM REVIEW WORKSHOP*
# PART VI

BY
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STATE OF MICHIGAN
DEPARTMENT OF MANAGEMENT AND BUDGET
STATE RECORDS MANAGEMENT SERVICES
(WITH CREDIT FOR INFORMATION PROVIDED
BY SUSAN BRONDER, MBA, CRM)

## INTRODUCTION

There are no multiple choice.
There are no short answers.
There is no guessing.

CRM Examination, Part VI-Case Studies is very different from Parts I-V. Studying theory, terminology, objectives, etc., will have greatly assisted you in passing the first five parts. For the most part, your studying is over. For now it is time to use your knowledge, experience, and writing skills to analyze, solve problems, and coordinate the elements in essay form.

This portion of the examination can only be taken after a candidate has successfully passed Parts I-V. This presentation specifically addresses Part VI.

## EXAM OVERVIEW

This part of the exam is concerned with how well you function in an actual work environment. It tests you on how well you are able to apply what you have learned in Parts I-V and in your own workplace. The case studies are fictitious "real life" problems that records managers or consultants specializing in records management would be likely to encounter in the course of their work.[1]

The examinee must read carefully the problems posed in the case studies, and develop a highly professional and learned written answer based on the action instruction provided in each case. It is important that candidates understand that some case problems in Part VI may be comprehensive in scope, and thus the solution may draw from several areas of records management. Therefore, the candidate's response must be based on his or her comprehension and ability to present the several aspects of the records management problems involved. Other cases may describe problems involving only one element of records management.[1]

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## BUDGET YOUR TIME

You will have four hours to complete this exam. You will receive three case studies, one worth 60 points in which you must answer. The others are worth 40 points each and you must choose one to answer.

Your answers should be proportionate in the amount of time you spend writing (i.e., you will write more and spend more time writing on the 60 point case study answer than you will on the 40 point). Be careful with your time! Many examinees get caught up in one element of their answer, then find they're out of time to complete their response. Writing seven pages on "how to conduct a records inventory" would put you in jeopardy, if you were to describe ten other elements of a proposed records management program.

**Case Study Activity Times.** Estimate the number of minutes you may need for each of the following: scanning the 40-point cases to decide which case answer to write; reading cases; jotting down notes; planning and organizing each answer; and writing each answer. Here's a ***sample*** allocation for the 240 minutes of the examination:[2]

**Sample Time Allocation**

| Task | | # Minutes | # Hours |
|---|---|---|---|
| Scanning 40-point cases | | 15 | 0.25 |
| 60-point case Activities | | | |
| Reading | 25 | | |
| Jotting notes | 15 | | |
| Planning and Organizing | 20 | | |
| Writing | 75 | | |
| Allotted Time | | 135 | 2.25 |
| 40-point case Activities | | | |
| Reading | 20 | | |
| Jotting notes | 5 | | |
| Planning and Organizing | 15 | | |
| Writing | 50 | | |
| Allotted Time | | 90 | 1.5 |
| **Total Allotted Time** | | **240** | **4 Hours[2]** |

Of course, these are sample times. You should adjust them to your own needs. These activities are not necessarily separate functions, either. For instance, you can jot down notes as you read the case. Do consider, however, the value of allotting some time to each of these activities. The better planned and organized your paper, the easier it is to write![2]

When you arrive at your examination location, jot down the times you need to be finished with the scanning and the answer to the first case study and other case study activities you think appropriate. Then place your watch where you can track the time throughout the examination.[2]

Time management is a very effective technique to use while writing your answers. By allotting minutes to each of the case study activities, then watching the time, you ensure yourself enough time to complete both exercises.[2]

## HOW TO WRITE

Solutions should be written in a complete, yet concise format. Complete sentences or a report format are expected instead of an outline. Be careful about using words or phrases that may be applicable, but without elaboration do not serve a purpose. "Implement an OD[3] system" would mean very little if one did not expound on the feasibility, benefits, etc., of using optical disk technology. The grader must feel you know what you're writing and that it's not just a page of words.

Your answer will also be judged on the following:

Professionalism:
Candidates's concepts of principles and practices of records management, management concepts of organization, technology, awareness of history, and literature sources.

Logic:
Construction of answer-follow through, continuity, facts, and required calculations.

Completeness:
Full response to all of the specific actions required in the question. Avoidance of too short an answer yet not too wordy.

Condition, Neatness, Format:
Presentable, readable. Acceptability of spelling, grammar, and punctuation. Arrangement of information.

Reader's Reception of Reply:
Persuasion, conviction, fact, managerial tone, reasonableness.

Miscellaneous Ability Indicators:
Cost consciousness, efficiency, resourcefulness.[1]

## INSTRUCTIONS

Following instructions also is crucial to successfully writing answers to the examination. You will find three types of instructions in the examination: Prefatory; Problem; and Action.[2]

**Prefatory Instructions.** Presented at the beginning of the examination, these preliminary instructions give such directions as placing your candidate number (but not your name) on each Blue Book page, and starting each case study on a new sheet of paper. These administrative directions are standard to each Part VI examination and are non-specific to any case study.[2]

**Problem Instructions.** As you read a case study problem, you, in your role of consultant or manager, may receive instructions from the person to whom you are reporting in the scenario. Such instructions may be to prepare a report that focuses on an individual issue (even though several issues are discussed in the problem), or to react first to those issues needed to be resolved quickly in the emergency that has just occurred.

These instructions are specific to the case study you are reading. Pay particular attention to these instructions. They tell you what your "boss" expects to see in your report. These instructions help direct you to the issues you need to cover in developing your answer.[2]

**Action Instructions.** These instructions come at the end of the case study problem in the **Action** section of the case study. Read this section carefully. In this section you are given the goal of the case and presented with routine and specific instructions. The routine instructions include requirements that are standard for each case study. For example, one such requirement is that you write a clear, well-organized, ***narrative*** report.[2]

The specific instructions include requirements that are specific to each case study. For example, one such requirement may be that you organize and arrange your answer according to certain categories listed in this section. Some sample categories might be:

Personnel and Training Issues

Equipment, Technology, and Space Issues

Methods and Procedures Issues

If instructed to do so, take note of the categories you should discuss and address them in your answer. ***You will lose points*** if you do not discuss each category that you are requested to address.[2]

## PROBLEM STATEMENT AND SUMMARY OF THE OVERALL FINDINGS

Each case study requires you to begin your answer with two elements: the Problem Statement and the Summary of the Overall Findings.

**Problem Statement.** The problem statement is your brief explanation of the situation that needs to be resolved. Looking beyond the symptoms described in the scenario, you state in one or two sentences what you believe to be the overall problem.

Suppose the turnaround time for files to be delivered to a department upon receipt of the request in central records is not acceptable for those departments to do business in a timely manner. Is the problem that the clerks aren't working fast enough? Maybe. More likely, however, is a possibility of the true problem being something else. Perhaps your company just bought the assets of an other company, as represented by those files, and the files are lost in transit to your building. Is that the true problem? You have to follow the thread of logic in the scenario to figure out what you think is the core problem. Then write a concise statement identifying the problem.

Why is the Problem Statement important? Because by writing it, you focus both you and the graders on the subject of your report.[2]

**Summary of the Overall Findings.** The summary of the overall findings is your brief description of the major factors involved in the situation. These are the points and concerns of the case study that you, in the role of consultant or manager, discover in your survey and learn through discussions with the person who hired you. In a few sentences you state what you believe to be the major problems and issues that you have already identified.

For instance, in a particular scenario you may determine that the major problems and issues appear to be threefold: low knowledge level of personnel, inadequate housing of records, and inadequate processes. In the summary, then, you would write a brief description of those three main problems. Note that these specific problems also fall into the categories you were requested to address in the **Action** section of the case study.[2]

**CautionII** A Problem Statement and the Summary of the Overall Findings are mandatory for each case study. Both elements carry a point value. ***You will lose these points*** if you do not include these elements in your answer.[2]

**Writing.** Construct and write your report as though you would present it to top management. Write a clear, well-organized, ***narrative*** report that addresses the points made in your problem statement and your summary of the overall findings. Outlines and lists are *NOT* acceptable formats. Present your answer in the broad categories you were asked to address in the **Action** part of the case study.[2]

## A GRADER'S PROSPECTIVE

Grading Part VI is not an easy task for the following reasons:

1) Knowing a candidate has passed Parts I-V, a grader must hope to give a passing grade;

2) Four hours is very little time to organize your thoughts and write two case studies. Ideas are sometimes scattered, penmanship is often illegible, answers are too short, etc., when writing in this time frames; and

3) Many lack managerial tone.

## CONCLUSION

Be prepared to take this test. Practice writing case studies found in many Records and Information Management textbooks. If you feel your writing skills are weak, take a writing class. These are just a few recommended preparation techniques.

Be mindful and confident of your experience in this field, because this is where it's used. CRM Exam Part VI allows you to express your knowledge and skills in a way that, hopefully, will result in a new Certified Records Manager being added to the profession.

NOTE:

Those individuals attending the conference workshop session will review and work through a sample case study.

FOOTNOTES

1. Institute of Certified Records Managers, "PREPARING FOR THE CRM EXAMINATION: A HANDBOOK", pp. 31 and 90

2. "PREPARING FOR THE CRM EXAMINATION: A HANDBOOK BY THE ICRM PART VI CASE STUDIES", by Susan Bronder, MBA, CRM, June 30, 1993

# SHINING A LIGHT THROUGH MUD

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Myrna Wirth

Myrna is the Records Manager for Babcock & Wilcox Idaho, Inc., Special Manufacturing Capability (SMC) Project. She has over 15 years experience in records management. Additionally, she provides support as part of a DOE-ID records team to write administrative record retention schedules for the DOE scheduling initiative. She is also a charter member and current Vice President of the Snake River Chapter of ARMA and a member of NIRMA.

Lorrie Mitchell

Lorrie has over 16 years of records management experience at the Idaho National Engineering Laboratory. In her capacity as both principal administrator and interim manager, she has had the responsibility for the continued development of records management programs, resolution of major problem areas, such as new records retention schedules, specialized records storage requirements, and other issues that require specialized knowledge.

# "SHINING THE LIGHT THROUGH MUD"

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# "SHINING THE LIGHT THROUGH MUD"

Records Management is a big job, and MUD is slung around a lot when you are trying to put your program together.

When we say MUD, we are referring to the Maintenance, Use, and the ultimate Disposition of records. To "muddy" the waters further...Here are some statistics.

Currently there are over 318 billion paper documents on file in the United States. There are enough file cabinets in the U.S. to immediately assign 5 of them to each man or woman who enters the work force.

And speaking of copies .... There are so many copies that if you were to lay them end to end, they would stretch 22 million miles, or the equivalent of about 47 trips to the moon. It is projected that the volume of copies will increase by 62 million file drawers annually.

To add insult to the ease of making copies and the necessity, consider this .... 130 billion of the 350 billion copies made each year are not even needed. They are either wasted, unnecessary, or are for personal use. The cost of processing these copies is about $2.6 billion and that doesn't include the time spent standing by the copier.

If you think these statistics are overwhelming, electronic records present us with even more mindboggling statistics. Knowing that all electronic data is stored in bytes makes it is easier to understand that:

1,000 bytes = 1 kilobyte (An average document requires 50KB of storage)
**1,000,000 bytes = 1,000 kilobytes = 1 Megabyte = 20 documents** (A typical PC will store 20-60 MB)
**1,000,000,000 bytes = 1,000 Megabyte = 1 Gigabyte = 20,000 documents**
(A 10 inch optical disk holds 2 GB or 40,000 8 1/2 x 11 document images)

When we get into large capacity electronic storage:

**1,000,000,000,000 bytes = 1,000 Gigabytes = 1 Terabyte = 20,000,000 documents**
(Optical disk jukeboxes can store 1 TB of data) If you were to print 1 TB of data it would consume 333 acres of trees, or if it was printed at 12 characters per inch, it would circle the Earth 56 times.

**1,000,000,000,000,000 bytes = 1,000 Terabytes = 1 Petabyte = 20,000,000,000 documents !!!!**

As you can see, your work is cut out for you to manage this information. You need to be involved with those people generating the information to maintain records properly. How can we clear up the MUD?

The National Archives and Records Administration (NARA) defines records maintenance and use as *"being any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency."*

How many times did you hear during the inventory process, "I don't know what they are or why I have them, they were just here when I took this position so I figured I should keep them."

People are storing all kinds of things in file cabinets, desks, and computers even though they don't know what it is. To ensure your company is maintaining the information they need (instead of personal collections), you need to do an inventory.

Record inventories provide multiple benefits. Not only does it provide an immediate tracking device to files, it gives us the ability to retrieve records quickly and efficiently and it helps us to reduce costs. How does it help to reduce costs? You will be able to alleviate the storage of unnecessary items, which reduces the need for expensive filing cabinets, and more than likely you will be utilizing more efficient storage and establishing faster retrieval methods.

Conducting an inventory at a DOE site is a lot like cleaning out an old attic or garage. Before you can set up any records program, you will have to know what you have. You will need to solicit help from others to sort through the collection and organize it into groups of similar items. This may require job assignments and training for records coordinators. Having coordinators or any inventory team has proven to be very helpful, not only to help get through the inventory, but it lightens the load for one person.

During the process, you will inventory records stored in file cabinets, desks, personal computers, and on microfilm, or imaging systems. You should identify the media and storage equipment on the inventory form.

If you have need to track records further, you may number the storage equipment. This can assist in the retrieval of records and also will be useful in other record programs.

You may want to think of the inventory as drawing a map to the record for the office or the company. It will give you direction to the exact building, room, cabinet and, if you prefer, to the exact drawer that contains the record.

As part of the inventory, you will review the files to get a good description that will help you organize them into record series. The description should tell a person the minimum function of the record. For example, instead of just listing a record as "financial record" you would want to list it as the 1994 budget justification files.

By the end of the inventory you and other employees would have a picture of what you have, where it is stored, and how it is maintained. You should be able to tell the function of the office by the types of records it keeps.

Inventories also provide the bases for establishing other key records management programs such as Emergency Operating and Rights and Interest protection programs, quality records program, storage and disposition programs, and possibly a company uniform filing system.

The next step to cleaning out an attic is to go through the individual piles and decide what is junk, what can be tossed, what can go to your favorite charity, what is a valuable family heirloom and should be protected and preserved, and what are the really good things you can't part with or you have found something you can use.

Records go through the same process, it's called analysis. You'll review the records you inventoried and decide what is a record. There are many types of **RECORDS** out there:

There is this type
- o **There is the WORLD RECORD**
- o **There is the AUDIO record**

Then there is the one we all know and love...the office record. The DOE Order 1324.2A defines **RECORD** as:

> *"Those classes of documentary materials which may be disposed of only after archival authority is obtained. The statutory definition of "records" (44 U.S.C. 3301) is "...books, papers, maps, photographs, machine form or characteristics, made or received by an agency of the United States Government 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 Government or because of the informational value of the data in them."*

Did you know that you are creating a record every time you put pencil to paper, fingers to a keyboard, or record your voice or capture an image on film? In fact everything we generate at work is a record. Records can have a short or **temporary** life. There's records like the telephone message you received and tossed as soon as you returned the call. Or there's the safe work permit which has a longer life span.

Another word for temporary is **non-permanent**. Those of you that are familiar with Nuclear standards such as NQA-1 may be familiar with this term. It means that these records have a definite start and stop time. The life for most records is guided by the General Record Schedules, which are managed by the National Archives and Records Administration (NARA) and are general to all agency offices, and the DOE Schedules, which are found as an attachment to DOE Order 1324.2A.

Some record series have been identified by NARA to have **permanent** value. Like the family heirloom you found in the attic that were unique in value, they need to be protected and cared for so they last for generations.

Permanent records such as environmental monitoring records will be offered to NARA no later than 25 years after generation, where our records will be nurtured and cared for all time.

The information that is analyzed to be **RECORD** will be the things you won't part with until you no longer have a use for them. Non-records will be the junk you can toss without getting approval.

DOE Order 1324.2A defines a **NON-RECORD** as *"those classes of documentary material or other material that may be disposed of without archival authority such as: Library or museum material, extra copies of documents preserved only for convenience, papers of a private or non-official nature."*

Non-records also include blank forms, periodicals, and books or reference manuals.

Some other material that are considered non-record are personal papers. They contain the files everyone has;

- Copies of every training you have had,
- Every award received,
- Old college books you have brought to work for reference,
- Personal resumes,
- Things that relate to a professional organization you belong to,
- A babysitter list you use when you have to work late.

Remember, if a book or reference material was purchased with DOE funds, it belongs to the government and cannot be removed when you terminate.

There may be some non-records or some records that have met their retention, your company may want to donate them to a library, museum, or university. Donated items generated on a DOE site need to be reviewed and approved for content, and permission must be granted by DOE and NARA before you donate them.

We have talked about records and non-records but how do we USE this information? What format would be best?

Records come in all sizes, shapes, and color. Throughout history a majority of records have been maintained in paper form, and for the most part, paper is still the most commonly found record. To control the tons of paper information in a more useable format, technology progressed and the world of micrographics has been born.

Microfilm has been in existence for over a hundred years. It is a proven medium that has been tested to stand up over a long period of time. There are several different types of microfilm.

One of the major microforms used today are **Roll Film**, which is the most economical. A 100 foot roll of 16mm film can contain approximately 2,800 images. It can be either used as an open spool or loaded on a cartridge for easier handling.

Large drawings or plans can be filmed on 35mm and kept in roll form if desired. A 100 ft roll can contain up to 300 images of 36" x 48" drawings.

Other widely used forms are **35mm Aperture Cards, microfiche, and microfilm jackets.**

**Aperture cards** are most frequently used for drawings. The 35mm film is adhered to the card which can then be coded with written and information keypunched along the top.

**Microfiche** is a piece of sheet film that contains as many as several hundred exposures, depending on the reduction used.

**Microfilm Jackets** are another type. The jacket consists of two very thin pieces of clear material sealed together to form channels for either 16 or 35mm film. Information can be typed on the mylar top of the jacket to facilitate retrieval.

NARA has approved microfilm as an archival medium because, through accelerated aging tests, they have found that **original Silver Halide** microfilm will hold up over a 500 year span. It offers economical, reliable long-term retention and use.

Silver halide film is recommended for archiving records. **DIAZO** film is what you will probably want to use for copying or viewing.

There are requirements that must be met when you consider microfilm storage. If you create your own microfilm, it must be thoroughly inspected and methylene blue tests must be performed. When you purchase file equipment for microfilm, remember that original silver halide film cannot be stored in the same cabinet with diazo film. Over time, the ammonia vapors from the diazo film will destroy the images.

How do you decide which microform is best for you? It depends on:

- how your paper records are arranged;
- how often you need to retrieve them; and
- which search criteria you use.

Microfiche is best used to replace file folder types of records that have a definite cutoff time. Each folder can be on its own fiche.

Computer output microfiche, or COM, is generated electronically and usually contains up to 280 images or graphs. At some sites, you can request these COM fiche instead of reams and reams of computer paper.

If you like the microfiche format, but need to be able to "delete or add" records as they are generated, microjackets may be more appropriate.

You can use these in combination with each other when you have document case files to film on microfiche that have drawings attached that could be filmed on 35mm and loaded in a jacket. This allows you to store them together in the same envelope.

For large projects, 16mm roll film or cartridges should be considered. Retrieval can be greatly enhanced by filming strategically placed index points with the records to allow the user to locate the needed information manually.

Sophisticated computer indexing can be used for retrieving very active records by correlating the frame number or blip with information concerning the record. This is referred to as computer assisted retrieval or CAR.

Film still has an economic advantage because it costs considerably less to create when you compare it to optical disk media. The equipment used to read the film is fairly inexpensive to procure and maintain. Microfilm readers have changed very little since their invention, therefore eliminating a need for expensive equipment updates.

Experts agree that microfilm has a continuing role to play in information management. For more specific information concerning microfilming at your site, contact your records officer.

There is a new breed of records lurking in the shadows. We have now entered the electronic age. Businesses are finding the USE of electronics gives them information faster, better, and more efficiently than the cumbersome paper files. BUT...

Thanks to the world of electronic records, information is now available to the user within seconds...a virtual banquet of data at your fingertips. But, what many people don't understand is that like paper records, electronic records go through the same life-cycle of creation, maintenance, use, and disposition.

THE 1993 FEDERAL RECORDS MANAGEMENT GLOSSARY SECOND EDITION defines electronic records as *"Records stored in a form that only a computer can process. Also called machine-readable records or ADP records."*

Electronic records require special care when it comes to preservation. Advanced planning needs to be completed to take records through the life-cycle concept in order to make an electronic system useful and efficient.

Records series and retention periods must be established before an office begins generating electronic records. The types of records that will be generated need to be defined, as well as,

- how long they should be kept on-line,
- how the records will be maintained and disposed of after they are taken off-line,
- what should be done with the paper reports generated by the systems,
- what backup procedures should be in place,
- and most importantly, how the information will be migrated as new technology comes available.

If you are going to maintain records only in electronic form, some preservation tips are needed. First off, the environment needs to be controlled. Extreme humidity and temperature fluctuations will distort electronic information or speed up the deterioration of the media. Diskettes after a period of time and use have a good chance of loosing information. Magnetic tape must be hung and periodically turned to keep the tape from getting lop sided. And, if you're maintaining long-term temporary or permanent records on magnetic tape, you have to transfer the information to a clean tape every ten to fifteen years. These are just some of the preservation items you need to consider.

Employees should routinely be made aware of the requirements governing electronic records. For years, people have been creating electronic data bases and various programs without any thought of the records that are created by these programs. Awareness training will enlighten those who are creating electronic systems and programs so they include records management in their project management plans before they go off and do their own thing.

One of the biggest problems facing technology is that it changes so rapidly that hardware and software soon become incompatible and obsolete. We cannot store records electronically without giving some thought to the portability issues.

There are many different types of electronic media available for use. Probably the newest media to come on board is the optical disk. Optical disk technology is potentially beneficial for agencies requiring the storage, retrieval, and manipulation of large amounts of data. Let's take a minute now to check out the good and the bad points of the optical disk.

Using a nut and bolt to demonstrate, let's say for conversation sake, the nut is optical system X which is NARA's system, then I send in a series of records on which my company elected to use the Y brand optical system (the bolt). The two will not fit together.

This problem arises when permanent records are sent for storage on one particular disk. A system purchased by the submitting organization may or may not be compatible to the one NARA is using.

It's like trying to get IBM software to work on a MacIntosh. If one system cannot interlink with another system, then it could require major costs to update one system to another as technology changes. With at least 50 different optical disk vendors out there you can well understand this problem.

Just as the nuts and bolts don't always fit together, the same goes for different optical disk systems.

Before you start to transfer your records to an imaging system you need to have the records reviewed by personnel who are knowledgeable of the records, including a records manager. Also, DOE's approval must be obtained if you plan on destroying the hard copy after they have been scanned. The records need to be reviewed to make sure their retention or significance hasn't changed before you destroy them.

We came upon one such record series a few years ago.

In the early history of the INEL, a reactor known as the Stationary Low-Power Reactor No. 1. (SL-1) had been designed and constructed for use by the military. Records that had been created during the construction and operation of the SL-1 were routinely scheduled as temporary records in accordance with the retention schedules in place at that time.

Then, on the early morning hours of January 3, 1960, an accident occurred in the SL-1 Reactor that took the lives of three military reactor operators. This was the first and only nuclear accident that resulted in loss of life in the United States. The accident changed the status of the records from temporary to permanent. The available SL-1 records included those that had not been destroyed prior to the incident, the accident investigation, the recovery, and the clean up processes. These records were collected and retained for historical purposes.

So, again my word of caution. If you have or plan to purchase an optical system, before proceeding with any destruction of your temporary records, a careful analysis should take place using your records experts to ensure that potentially permanent records are not being destroyed.

You must weigh the advantages carefully before purchasing a system to ensure the cost is worth the benefits it will provide. Undoubtedly, the biggest asset to an optical disk system is that it will allow multiple users simultaneous access to your records. This advantage comes to light when you have many users and records, which are in locations remote from one another.

NARA **MAY ACCEPT** optical disks as a records media for the retention of **PERMANENT** records once industry has standardized the systems and equipment.

As the industry becomes standardized, the cost of purchasing and installing optical systems will become economical. Still in its infant stages, optical disk equipment is similar to the VCR when it first came out. Optical disk is very costly now, but hopefully, like the VCR, but hopefully it will progress to something everyone can afford.

No matter what type of system you maintain your records in, you have to be able to use and retrieve them. Make sure the records have been indexed in an effective manner, and that they have been identified, protected, and scheduled, so locating and retrieving them can do done with ease.

Currently, DOE is involved in numerous searches for "old" records related to the Human Radiation Experiments and other epidemiological activities. It has been relatively easy to identify and locate these records because they have been stored on paper in records storage boxes under our control.

Now, it seems, everything is being stored and distributed electronically. What's going to happen in the year 2025 when someone needs to retrieve records from 1994? Will we be able to locate the records? Or will it be lost somewhere in an electronic sea of unindexed, unprotected, and unreliable data?

A situation which is going to effect all of us is the Secretary of Energy's, Hazel O'Leary, new policy regarding the openness of government.

> *"This Administration recognizes that public trust can only be achieved if American citizens believe that their government is open, truthful, and accountable."*
>
> *She continues to say, "We have developed an action plan to expedite the identification, retrieval, management, declassification, and dissemination of information regarding these human experiments. Department personnel have been instructed to cease routine and non-routine destruction of all pertinent records and information in the department's possession and in the possession of our laboratories and contractors."*

This policy will also effect records managers with the increased **"Freedom of Information"** requests.

This is another reason records managers need to initiate sound system to track and maintain our electronic and paper records. With the various freezes and increased requirements placed upon us, records management must work to optimum efficiency.

People sometimes feel if they give up records they will loose control over them and you may hear, "I haven't looked at these in years but they are MY records and I may need them. You can't tell me what I have to do with them. I will just take them home if you don't want me to have them around."

I've heard it all. "If I send it out to records storage it will be lost forever," or... "Records Storage is like the Black Hole, once records go there, they're gone."

The "Black Hole" theory could go away. With the implementation of a state-of-the-art records tracking data base and bar coding system, records storage facilities are truly moving to the 21st century. The records holding facility at the INEL houses over 17,000 boxes of records. With this kind of volume you would have fear that the "Black Hole" theory would apply here, but that theory is very far from reality.

To alleviate these fears, the INEL Record Storage personnel are using an electronic retrieval system. They can call up the location, go to the shelf, pull the requested box, pull the requested file in the box, and have it handed or mailed to the requestor in a remarkable 4 minutes or less. Therefore, the black hole does not exist at least with our inactive paper records stored on-site where limited access restrictions apply.

However, if you are accessing a particular records series frequently, say once a month, then the obvious place to maintain these records is in your office. Until the time comes to move these records from an active to an inactive status, secure means of storage should be evaluated.

Generally speaking, an "Active" record is, *"Records necessary to conduct the current business of an office and therefore generally maintained in office space and/or equipment."*

If you are referring to "**inactive**" records they are required sooooo seldom to conduct ongoing business that they should be transferred to a records holding area.

Sure, it **IS** up to you. You are the file custodian. Only you know what works best for you but, if you were to use this general rule, it will definitely free up that space that is so costly and hard to find.

You know when you talk of costly office space... I guess we are fortunate to work in government facilities where according to NARA, the average cost of office space to house records nationally is $23.04 per cubic foot. The national average of costs per cubic foot when you include private industry exceeds $78.00. The Federal Records Center can store the same records for a mere $1.62 per cubic foot. It doesn't take a mathematical genius to see the cost savings when you ship those inactive records to a records holding facility either at your location or the FRC.

To drive the point home just a little further, if and when your records are sent to a Federal Records Center, NARA pays for that space... **You pay nothing to store them!!** Although you do pay freight to ship the records to the FRC, and granted the costs for storing records in office space is usually a "hidden cost," I think you get my point.

After years of watching how people regard their files and wrestling with the fact that they have to eventually let go of them, either through transferring to storage or destruction, this is not a bad analogy.

This may not be you personally, but I see people creating, using, and maintaining volumes of duplicated reports, years of budget files, and cabinet upon cabinet of engineering files that they refuse to part with. They probably feel if they get rid of these files, it's as if their baby was moving to a far away island where they will never see or hear from them again. It's amazing how possessive one can get over nothing more than a file full of paper. They won't get rid of them, but they really don't want to deal with them either. They just want to know they are there.

Like scrounging through the attic and coming across a new found treasure you can't seem to part with, a lot of inventories have turned up records that were stuffed into filing cabinets left by past employees who couldn't part with them at the time, but no one has ever looked at since. Now that you have to get them out of active files and into inactive storage, you are left with the decision whether to keep them or to throw them away. No one likes to throw things away they are not sure of, or they don't want to take the responsibility for.

The records were left in the office for a purpose...**right?** You decide the information is important, so you box them up and store them until the final disposition has been met. Your inactive records are now organized, protected, and will gather dust, BUT...you can find them whenever you need to!

Shipping and storage procedures should be established so records are packaged and shipped in a consistent manner. In other words, you need some ground rules or you will be storing junk!

Here again, training is needed. You need to educate employees on certain guidelines for using records holding facilities for their inactive records. This training should be mandatory for anyone shipping records to storage. This ensures that ALL the shipments are done in a standardized manner therefore eliminating conflict. This standardization can prove to have multiple benefits for the retrieval and handling of records.

Let's look at some of the other benefits of continuous records training:

The 4 benefits of training are:

**First** - Training enables employees to make the decision to destroy records or transfer them to a low cost record storage facility.

**Second** - Training ensures records are grouped according to the disposition authority.

**Third** - Training enables the staff to work more efficiently to store and retrieve records.

**Fourth** - Therefore, training reduces costs by eliminating deviation from one shipment to another.

Because DOE utilizes the Federal Records Centers (FRC), you should comply with the procedures of the FRC. The procedural requirements eliminate any potential rework when the records are eventually shipped.

Remember, your **PERMANENT** records are wanted by the National Archives. Official records belong to the Government and shall in no sense be regarded as personal property. Historical or permanently scheduled records are transferred to the National Archives when they are 25 years old, or at a lesser age when the Department of Energy no longer needs the records for the purpose for which they were created.

In most cases the records do not physically leave the Federal Records Center, but legal control of the records is transferred to the National Archives. Therefore, DOE and its contractors continue to have the privilege of referencing the material. In case permanent records are not deemed archival, you can instruct the National Archives before hand, not to destroy the records without agency approval. Unless specified and justified, by the submitting agency, there are no restrictions on the National Archives for the use of these records.

If you visit the National Archives you may be able to view permanent records. You will see everything from the ORIGINAL Bill Of Rights to historical photographs. The National Archives provides for the tender loving care of these records and you no longer have to worry about them.

There is also other information provided in your handout on requirements for transferring PERMANENT electronic records to NARA. You should review this information with your information systems personnel to ensure that your permanent records can and will be stored on the acceptable formats.

If you have questions particular to your site or facility, you should contact your respective Records Officer.

Storage is where we send inactive records, and most people think, out of sight, out of mind. But there is another side to this beast. The actual destruction process, which causes the most anxiety attacks.

It seems as though NOBODY wants to be a part of, or sign a request to authorize the destruction of records.

Can YOU legitimately feel comfortable when you destroy or authorize destruction of Federal Records?

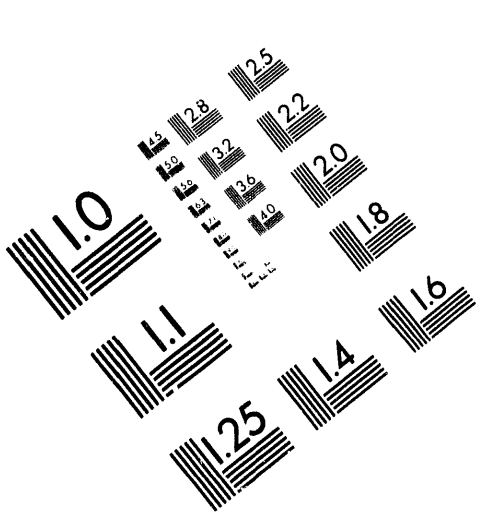
It is very important that your inventories and record storage receipts accurately describe the records and they correctly identify the retention schedules. People will gain confidence in records management and the destruction process if these two elements are fulfilled. In addition, the Federal Records Act of 1950 requires systematic disposal of records to reduce the cost of storing unnecessary paper. Whether we like it or not, we are obligated to have systematic disposal of our records that have met their legal retention.

How would you like to be the person who has to follow inappropriate records description and schedule information provided by his predecessor? If records are scheduled correctly and the schedules authorized the destruction of a particular file series, you can feel confident when you destroy them.

Records management has a lot of benefits, but the main benefits are:

- Preventing loss or accidental destruction of documentation;
- Minimizing storage of unnecessary documents;
- Maximizing the use of low cost storage space; and
- Creating records in accordance with regulatory and contractual standards.

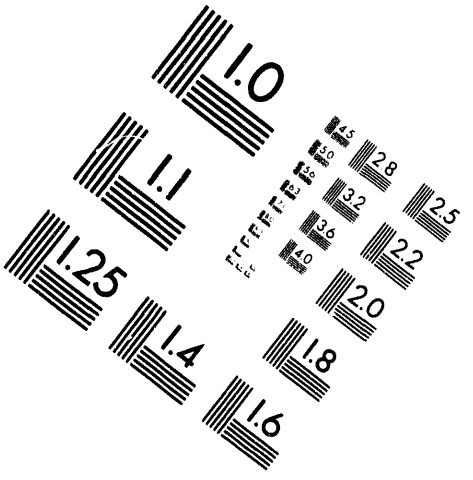
All the elements of Records Management will benefit your company to get the right information to the right people at the right time and at the least possible cost.

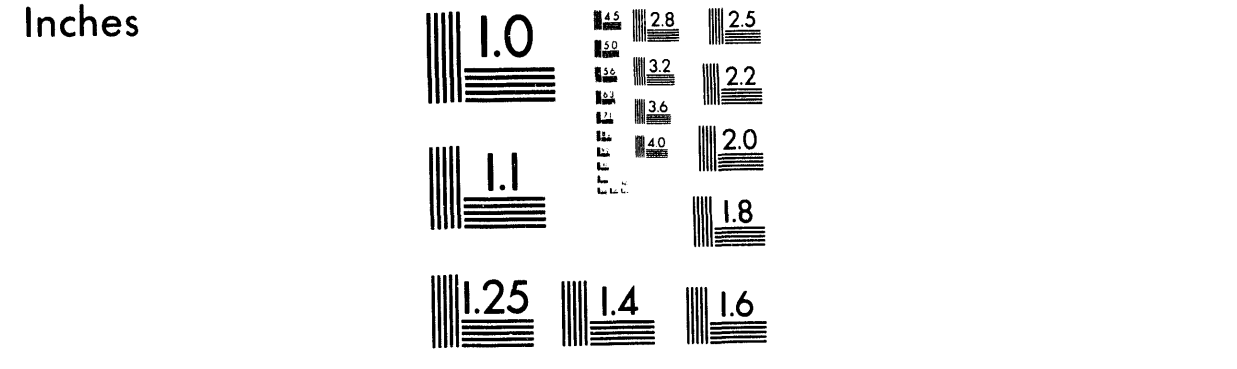




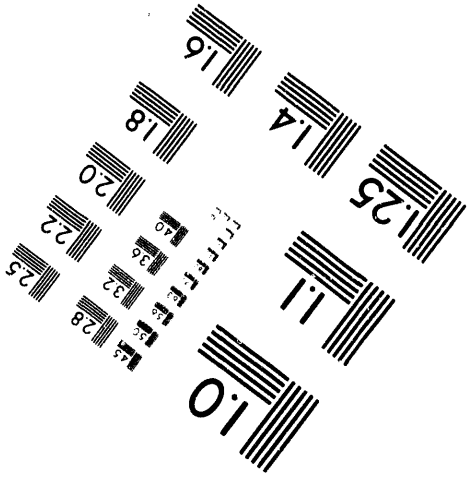
AIIM

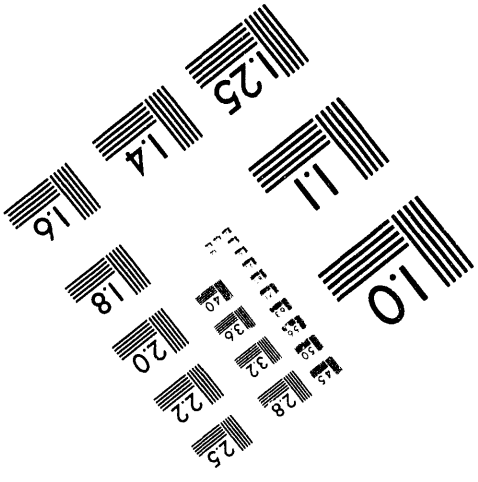
**Association for Information and Image Management**
1100 Wayne Avenue, Suite 1100
Silver Spring, Maryland 20910
301/587-8202









MANUFACTURED TO AIIM STANDARDS
BY APPLIED IMAGE, INC.

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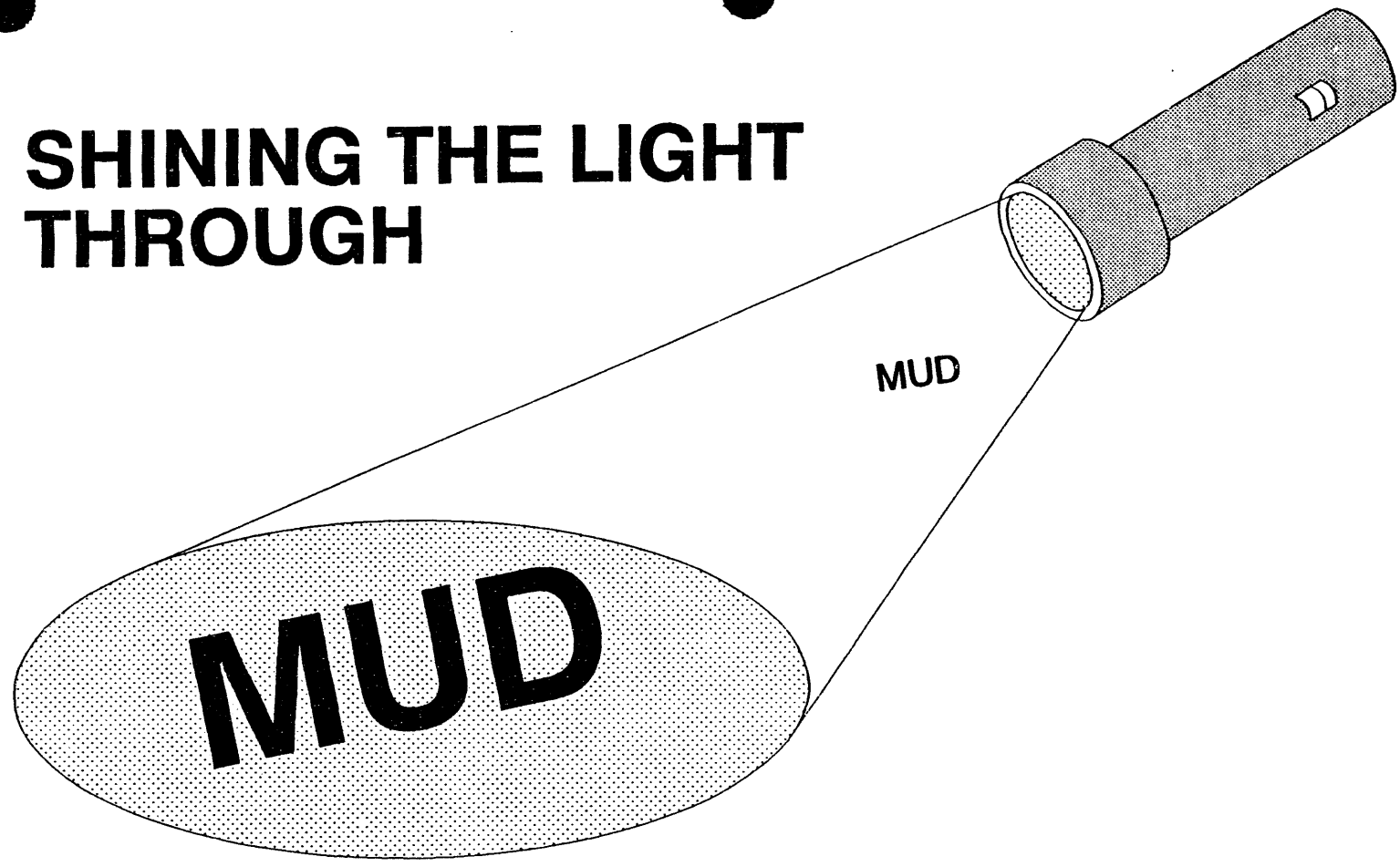
In summary -- records management is a sound program that reduces the time spent in filing and retrieving information, and it ensures that the information gets where it needs to go in a timely manner. A good program minimizes the amount of time spent looking for lost files, while reducing the chance of documents being improperly destroyed. It reduces the amount of costly office space and the equipment devoted to records storage. A viable records management program has proven to be an essential ingredient in deciding legal questions involving organizations by helping to establish the reliability of information that may be needed to support the rights and interests of the Federal government and the citizens it serves. Implementation of records management has been proven to be an invaluable necessity for responsible businesses. Simply put:

**IT'S A MATTER OF GOOD BUSINESS**

So, really what is MUD?

**M - Management needs to appreciate my time for all the**
**U - unbelievable issues I must face and solve in order to**
**D - decide how to implement an effective records management program.**

# SHINING THE LIGHT THROUGH




**BY:**
**Lorrie Mitchell**
**Myrna Wirth**

# What Is MUD?

- **Maintenance**
- **Use,** and the ultimate
- **Disposition** of records

# Paper Records Statistics

- Over 318 billion documents on file in the U.S.
- 5 file cabinets assigned to each worker.
- Copies laid end to end would be equivalent to 47 trips to the moon.
- 62 million volume increase annually.

# Paper Records Statistics

(cont.)

- 130 billion of 350 billion copies made annually are not necessary.

- $2.6 billion copying costs excluding time spent at the copier.

# Mega? Giga? Tera? Take a Byte

- 1,000 Bytes = 1 Kilobyte

- 1,000,000 Bytes = 1,000 Kilobytes = 1 Megabyte = 1 Gigabyte or 20 Documents

- 1,000,000,000 Bytes = 1,000 Megabytes = 1 Gigabyte or 20,000 Documents

# A Byte For Larger Appetites

- 1,000,000,000,000 Bytes = 1,000 Gigabytes = 1 Terabyte or 20,000,000 Documents

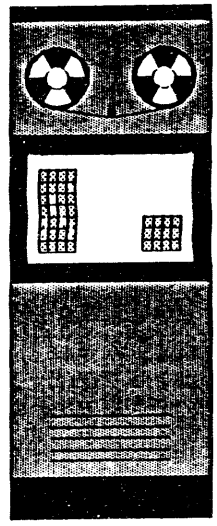
- 1,000,000,000,000,000 Bytes = 1,000 Terabytes = 1 Petabyte or 20,000,000,000 Documents

# Maintenance and Use

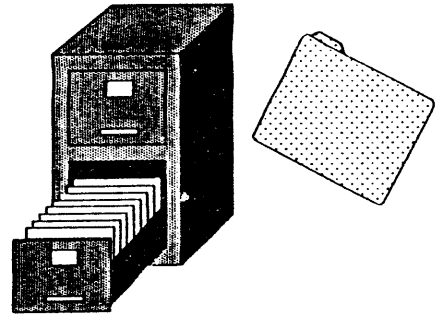
NARA's Definition:

Any action involving the storage, retrieval, and handling of records kept in by, or for, a Federal agency. This is the second stage of the records life cycle.

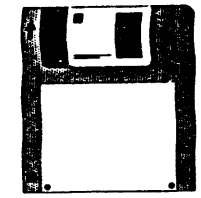
# The Office Record



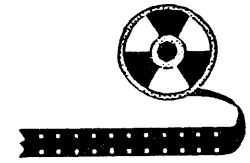
Mainframe



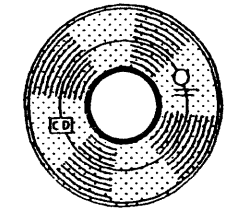
Paper Files



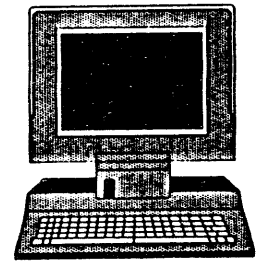
Floppy Disk



Microfilm



Optical Disk



Personal Computer

# Records Definition

"Those classes of documentary materials which may be disposed of only after archival authority is obtained."

"...books, papers, maps, photographs, machine form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved, or appropriate for preservation by that agency or it's legitimate successor as evidence of the organization, functions, policies decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them."

# Non-Record Definition

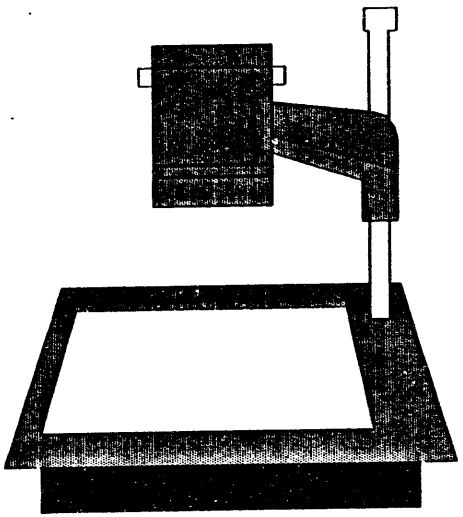
"Those classes of documentary material or other material that may be disposed of without archival authority."

Such as library or museum material, extra copies of documents preserved only for convenience, papers of a private or non-official nature

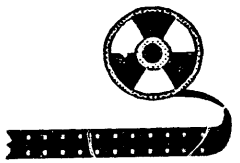
# Nonrecord Personal Papers

- Copies from every training you had
- Every award you received
- Your old college books you brought to work for reference
- Your resume
- Papers that relate to a professional organization you belong to
- Babysitter list you use when you have to work late

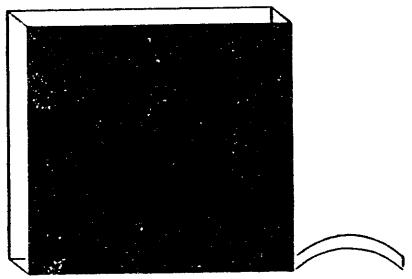
# Microfilm rolls and cartridges



Camera

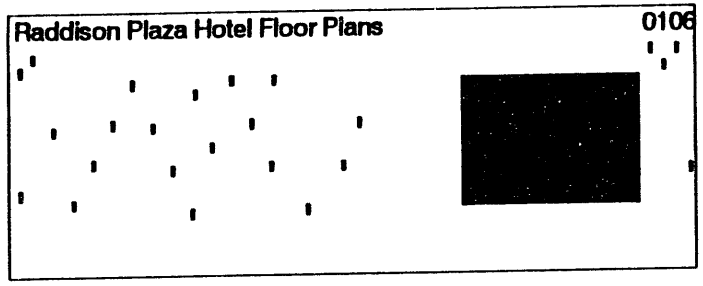


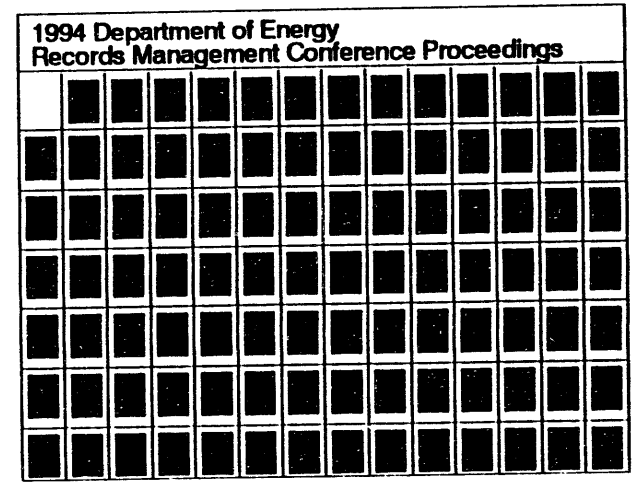
Microfilm

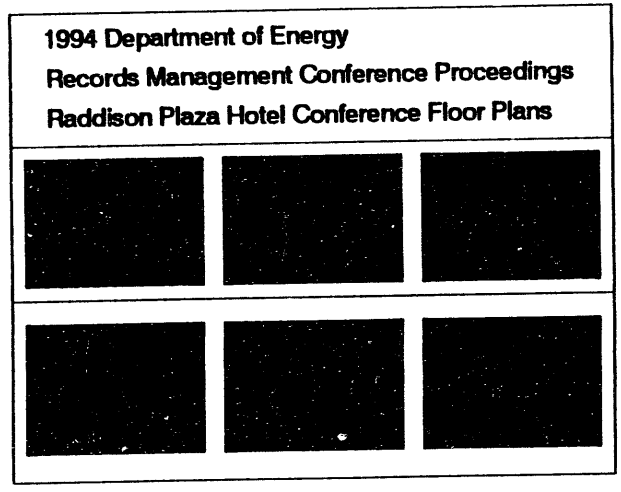


Cartridges

# Aperture Cards, Microfiche, and Jackets



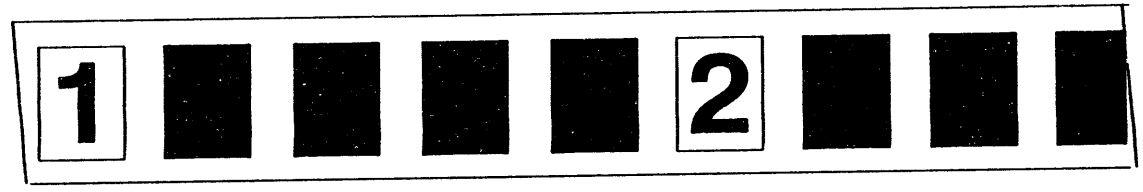



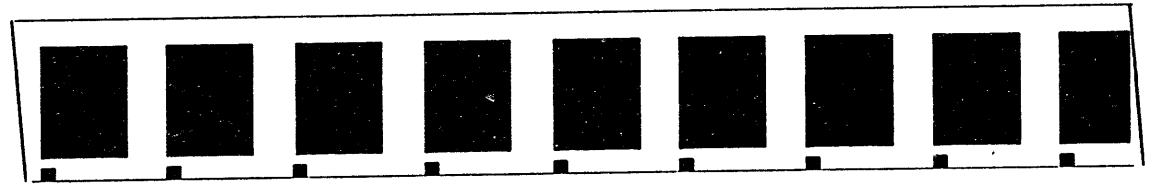
## Which Microform is best for you?

- How your paper records are arranged
- How often you need to retrieve them
- By which search criteria you use

# Index Points and "Blips"




Manually placed index points used as markers



"Blips" or counter points

# Electronic Records Definition

"Records stored in a form that only a computer can process"

"Machine-readable records or ADP records"

# Secretary O'Leary

"This administration recognizes that public trust can only be achieved if American citizens believe that their government is open, truthful, and accountable."

"We have developed an action plan to expedite the identification, retrieval, management, declassification, and dissemination of information regarding these human experiments. Department personnel have been instructed to cease routine and non-routine destruction of all pertinent records and information in the department's possession and and in the possession of our laboratories and contractors."

# Active vs Inactive

Active: Records necessary to conduct the current business of an office and therefore generally maintained in office space and/or equipment

Inactive: Records that are required so seldom to conduct on-going business that they should be moved to a records holding area

# Benefits of Training

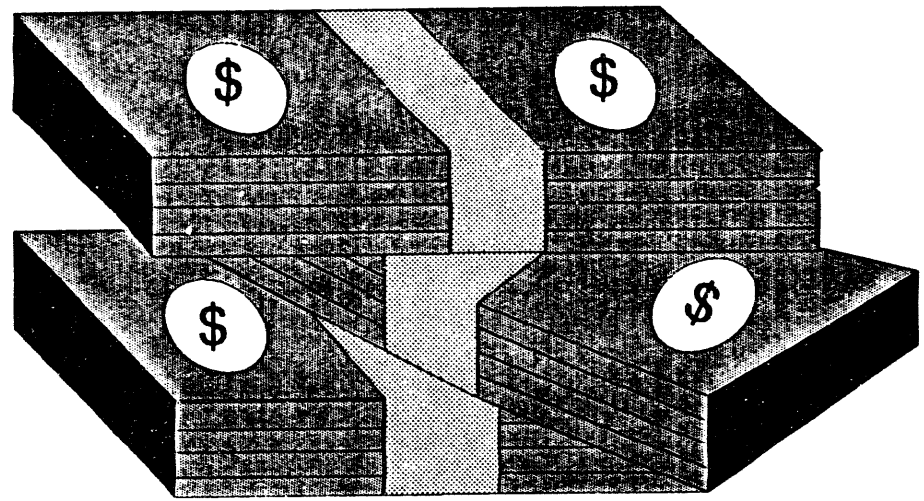
- Enables employees to destroy and transfer records appropriately
- Ensures records are grouped according to disposition authority
- Enables staff to efficiently store and retrieve records
- Reduces costs by eliminating deviation

# Benefits of Records Management

- Preventing loss or accidental destruction of documentation
- Minimizing storage of unnecessary documents
- Maximizing the use of low cost storage space
- Ensuring records are created in accordance with regulations

# EFFECTIVE RECORDS MANAGEMENT

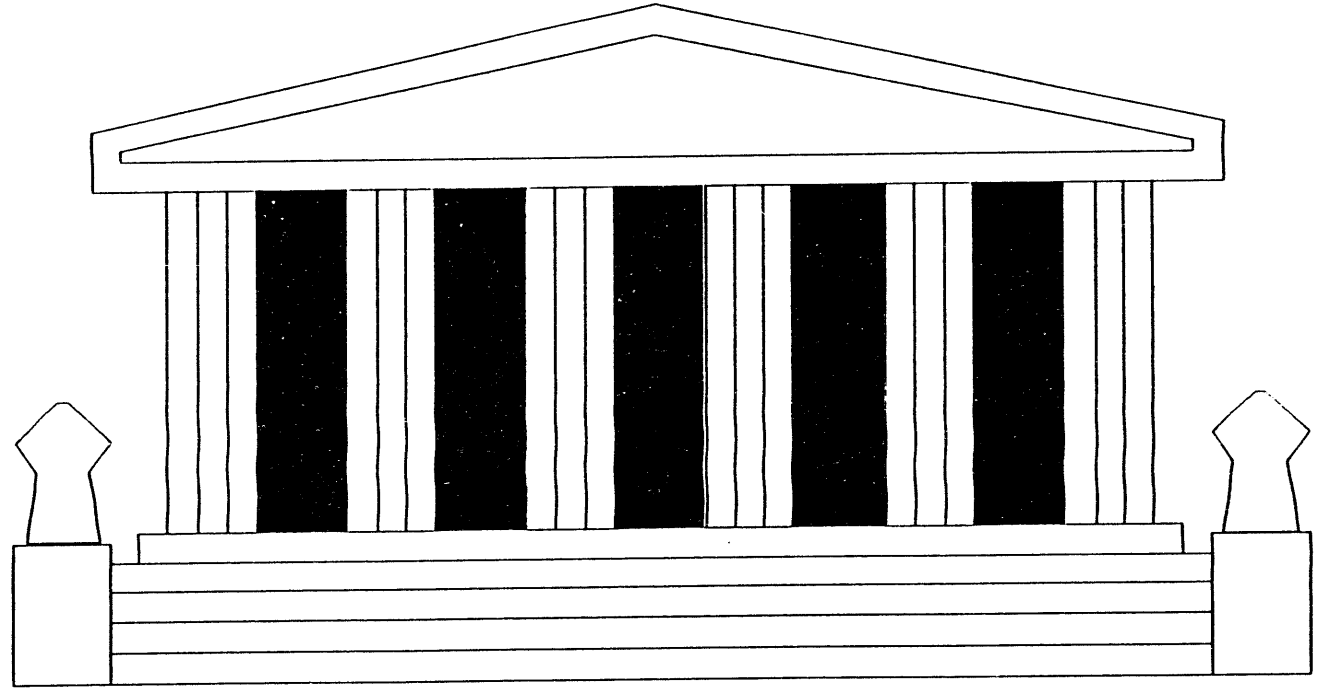
## = GOOD BUSINESS PRACTICE



# RECORDS MANAGEMENT

## It's a matter of

# GOOD BUSINESS!!!



# What Is MUD?

- **Management** needs to appreciate my time for all the
- **Unbelievable** issues that I must face and solve in order to
- **Decide** how to implement an effective records management program

# MUD QUIZ



## What is the National Archives and Records Administration.

A. That portion of Noah's ark used to house bees, then scorpions, and finally records documenting the pre-, mid-, and post-diluvian world.

B. The place where all unusable records go after DOE and Indiana Jones is through with them.

C. A governing agency that establishes record policy for all government agencies and stores and preserves historical records and other national treasures.

## What is a CAR.

A. The family vehicle or sometimes referred to as a slugbug, wagon, or wheels.

B. A computerized method of retrieving images from roll film or microfiche, Computer Aided Retrieval.

C. What children most often do, Can't Act Right.

## What is a WORM.

A. A slimy critter used for fish bait and comes out on the side walk after it rains.

B. The person who's behavior is less than ethical.

C. A software program applied to optical disc systems and stands for Write Once Read Many.

## What is a Microfiche.

A. A photographed image captured on film that is used to store long term information. (legally accepted)

B. A small fish in a aquarium known as guppies.

C. What your served in most restaurants that specialize in sea food.

## What is a Optical Disc.

A. A lens applied to ones eye to improve vision.

B. A item used to gaze at stars in the sky or to spy on the neighbor.

C. A platter used to capture images of records and the information is distributed to users through a jukebox to a personal computer.

## What is a floppy disc.

A. A melted 45 record.

b. A magnetic disc inserted into a personal computer used to capture and store information in byte form.

C. A bad part in the spinal cord.

## What are inactive records.

A. Records that are not referred to on a routine basis. The information is old or obsolete that has not reached its approved retention.

B. Records that are in filing cabinets that are growing yellow, brittle, and no one knows what they are.

C. Records that just lie around and do nothing, they're lazy.

## What are active records.

A. Records that exercise on a routine basis. They are physically fit.

B. Records that are looked at or used on a daily or weekly basis.

C. Records that don't have dust on them.

## What is Privacy Act.

A. What everyone feels has been violated when you inventory their office.

B. What should be done behind closed doors.

C. A policy that protects sensitive information on a person that will cause harm or embarrassment if the information were in the wrong persons hands.

## What is disposition.

A. What some people have after a bad day at the office.

B A personality trait in some people that isn't very becoming.

C. A legal description or citation applied to records which authorize their destruction.

## What is a schedule.

A. What you do to help you keep your work organized and on time.

B. A strenuously tight method applied to work performed.

C. A guidance document applied to record series that gives direction on the maintenance and disposition of records.

## What is an inventory.

A. What you do to find out how much junk or personal things everyone has in their office.

B. A method used to take stock of ones personal assets like looks, personality, and knowledge.

C. A systematic search and list that identify items.

## What is a record.

A. The things that everyone says is personal or working files during an inventory.

B. A black plastic disc that has sound recordings on and they come in various sizes and speeds, 45, 33, and 78. Everyone remembers them with fond thoughts.

C. All books, papers, maps, photographs, machine-readable material, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States government 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 their activities of the government or because of the informational value of data in them.

## What is a permanent record.

A. The things your predecessor and their predecessor left behind in the office for you to remember them by.

B. The big mistake a criminal does and it stays with them for the rest of their life.

C. Records that have been identified as having unique historical value and will be given to and preserved by NARA as long as the grass will grow, the wind blows, and as long as personnel and technology is around.

February 11, 1987

NARA Bulletin No. 87-5
Attachment B

Comparison of Various Media for Information Storage and Retrieval

| Characteristics | Medium | | | | |
|---|---|---|---|---|---|
| | | | Magnetic* | | |
| | Paper | Microform | Tape | Diskette | Optical digital data disk (read only) |
| 1. Life expectancy | Very good if paper quality, ink, and storage conditions are good. (70-100 yrs.) | Very good if properly processed and stored. (Silver - 100s of years) (Diazo and vesicular - 100 years) | Good. Subject to equipment malfunction or magnetic erasure. (10-12 yrs. with periodic exercising) | Good; subject to equipment malfunction or magnetic erasure (10-15 yrs.) | Mfgrs. claims are 10 yrs. |
| 2. Acceptable for transfer of permanent records to NARA? | Yes | Yes, if silver halide | Yes | No | No |
| 3. Special equipment required to read? | No | Yes for normal operation. Simple optics will suffice in emergencies. | Yes | Yes | Yes |
| 4. Data easy to alter unnoticed? | No<br>No | No | Yes | Yes | No |
| 5. Data may be easily accidentally destroyed. | No | No | Yes | Yes | No |
| 6. Complex indexing easily accomplished? | No | No (Yes, if computer assisted retrieval system is used) | Yes, with special software | Yes, with special software | Yes, with special software |
| 7. Data easy to retrieve? | Volume<br>Small - Yes<br>Large - No | Depends upon indexing & labeling scheme. Computer assisted retrieval very helpful for large collections | Yes, if properly indexed | Yes, if properly indexed | Yes, if properly indexed |
| 8. Data easy to electronically process after retrieval? | No | No | Yes | Yes | Machine readable - Yes<br>Raster scan - No |

*For additional detail see par. 13u(1).

## Comparative Features

| Characteristics | Paper | Microfilm | Optical Images |
|---|---|---|---|
| Space Requirements | 1 sq. ft holds 2,000–9,600 sheets | 10 to 40 times less than paper<br><br>Averages 2,000–4,000 images per roll | 20–80K per image @ 200 dpi<br>40K used as avg.<br>250,000 per gigabyte (145 linear feet) |
| Legality | Most acceptable | Well accepted | Not tested. Should not be a problem with well-managed system |
| Ease of Retrieval | Poor<br>Often out of file/ misfiled/easily lost | Poor to good<br>Depends on system | Excellent |
| Conversion Cost/Time | Not required | 1.5¢ to 25¢ per image for roll film—can be more if needs indexing<br>Converted more quickly than optical disk<br>Lag between filming and availability | 10¢ to $1 per image<br><br>Can be very slow, mainly because of indexing time<br><br>Available immediately |
| Availability<br>Same document-several users | Poor | Fair<br>Copies are inexpensive and cannot be altered | Excellent<br>Same image can be viewed by all users |
| File Integrity | Difficult to maintain<br>East to add documents | No losses<br>Hard to add documents | No losses<br>Easy to add documents |
| Life Expectancy | Very good<br>1–200 years<br><br>Avg. far less than 50 years | Best<br>200 + years if stored properly | Fair<br>10 to 30 years<br>Working on extending |
| Handling | Weak<br>Easy to lose or misplace | Fair<br>Usually has to be located centrally | Good to Excellent<br>Can be routed electronically |
| Environmental Requirements | 65–72°F<br>45–55% relative humidity<br>Control dust, pollutants, and vermin | For archival:<br>Separate room or vault<br>Constant 70°F temperature, humidity 30%<br>Control dust and pollutants | Sensitive to dust<br>Very good tolerance for range of conditions |

| Characteristics | Paper | Microfilm | Optical Images |
|---|---|---|---|
| Disaster Resistance | Low<br>Very vulnerable to water and fire | High<br>Not resistant but very easy to keep a copy in safe storage | High<br>Relatively resistant. also copies easily |
| Equipment Costs | Minimal to moderate | Moderate to high | High to astronomical<br>Some pieces are multipurpose |
| Cost to Copy 60,000 pages | $1,800<br>3¢/page | $150 to $200 | $500 (avg. price of one 12" disk)<br>Price is the same for 1 to about 500,000 |
| Media Costs for for 60,000 documents | Averages 5¢ per page<br>Can be up to 14¢ | Averages 2¢ per image | 1.6–5¢ per image (will continue to decline) |

## COMPARISION OF STRENGTHS AND WEAKNESSES

### PAPER

**STRENGTHS**

- Versatile and flexible
- Best ergonomic design—easy for people to use
- Least investment in equipment
- With care, long life expectancy

**WEAKNESS**

- Hard to control
- Easily lost
- Damaged easily
- Only one person at a time can have access to original
- Labor intensive

### MICROFILM

**STRENGTHS**

- Saves space
- Documents retain integrity—no losses, misfiles, or missing pages
- Low bulk
- Inexpensive copies
- Long life expectancy
- Can speed retrieval

**WEAKNESS**

- Special equipment needed
- Difficult to add to a document
- Not as easy to use as paper
- Must convert most documents
- Conversion time can interrupt workflow
- Limited use in processing

### OPTICAL DISK

**STRENGTHS**

- Saves space
- Short turnaround time
- Excellent control over documents and workflow
- Documents retain integrity
- Can add to documents and replace
- Can link computer database with document information
- Very fast retrieval
- Excellent availability—everyone in system has access to original

**WEAKNESS**

- Special equipment needed
- Restricted to same equipment and software standards through life of system
- Easier to use than film, but not as easy as paper
- Limited life expectancy

TABLE 2-28

Comparative Storage Efficiency (in Pages per Cubic Foot) for Various Media

| Storage Medium | Container Type | Container Dimensions* | Required Space (Cubic Feet) | Units Per Container | Pages Per Unit | Pages Per Cubic Foot** |
|---|---|---|---|---|---|---|
| Paper | Carton | 10x12x15 | 1.042 | 1,200 | 1 | 1,152 |
| 1 GB WORM Disk | Jukebox | 31x75x80 | 107.639 | 95 | 21,390 | 18,878 |
| 2 GB WORM Disk | Jukebox | 31x75x80 | 107.639 | 95 | 42,781 | 37,758 |
| 1 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 21,290 | 218,710 |
| 115 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 2,460 | 257,629 |
| 100-ft Microfilm | Carton | 8x4x24 | 0.444 | 48 | 2,500 | 270,000 |
| 1.3 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 27,807 | 284,322 |
| 1.8 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 38,503 | 393,687 |
| 2 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 42,781 | 437,429 |
| 200 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 4,278 | 448,023 |
| 750 MB WORM Disk | Cartridge | 9x8x.75 | 0.031 | 1 | 16,043 | 513,376 |
| 230 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 4,920 | 515,258 |
| 3.4 GB WORM Disk | Cartridge | 15x15x1 | 0.130 | 1 | 72,727 | 558,543 |
| 2.6 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 55,615 | 558,655 |
| 215-ft Microfilm | Carton | 8x4x24 | 0.444 | 48 | 5,375 | 580,500 |
| 300 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 6,417 | 672,035 |
| Type-1 Fiche | Carton | 6x4x24 | 0.333 | 2,400 | 98 | 705,600 |
| 3.6 GB WORM Disk | Cartridge | 13x13x1 | 0.098 | 1 | 77,005 | 787,365 |
| 400 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 8,556 | 896,047 |
| 1.5 GB WORM Disk | Cartridge | 9x8x.75 | 0.031 | 1 | 32,086 | 1,026,752 |
| 6.8 GB WORM Disk | Cartridge | 15x15x1 | 0.130 | 1 | 145,455 | 1,117,094 |
| 500 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 10,965 | 1,148,335 |
| 600 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 12,834 | 1,344,070 |
| 800 MB WORM Disk | Cartridge | 6x5.5x.5 | 0.010 | 1 | 17,112 | 1,792,093 |

* In inches

** Letter-size pages

# GLOSSARY

1. ACTIVE RECORDS. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

2. APERTURE CARD An 80-column tabulating sized card with a hole, or aperture, containing usually one frame of 35. -mm microfilm. Generally used for engineering drawings, maps and charts, and x-rays.

3. APPRAISAL. The process of determining the value, and thus the disposition, of records based upon their administrative and other uses; their evidential, informational, or research value; their arrangement; and their relationship to other record.

4. ARCHIVAL STANDARDS. The standards to be met by a type of recording material or process in order for this material to have and retain specified characteristics necessary for permanent records.

5. BLIP. In microform records, an optical mark, usually rectangular, located below and/or above an image on a roll of microfilm and used to count images or frames automatically.

6. BYTE. The number of bits representing a character to a computer, normally 8 bits.

7. CASE FILES. Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

8. COMPACT DISK (CD). A relatively small optical disk on which text data, sounds, visual images, and the like can be recorded digitally and then scanned, decoded, and transmitted by a laser beam to a computer monitor, television set, or playback device.

9. COMPUTER. An electronic devise designed to accept data (input), perform prescribed mathematical and logical operations at high speed (processing), and supply the results of these operations (output). A digital computer processes data as numbers and includes mainframe computers, minicomputers, and microcomputer. In contrast, an analog computer represents data by measurable quantities, such as voltages.

10. CONTINGENT RECORDS. Records scheduled for final disposition at some unspecified future time after the occurrence of a particular event, such as the decommissioning of a vessel, the sale of property, or the destruction of a building.

11. CONTINUING VALUE. The lasting value of records, especially of permanent records.

12. CONTRACTORS. Management and Operation (M&O) contractors as described in 48 CFR sub-part 17.6 and as designated by the Secretary) and other prime contractors and subcontractors provided that they are performing work, at least in part, on-site at a DOE-owned or -leased facility.

13. CUSTODY. Guardianship, or control, of records, including both physical procession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

14. CUTOFF. Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

15. DATA. Symbols, or representations, of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

16. DESCRIPTION. In records management, the process of giving a written account of the contents and characteristics of a record series or system.

17. DESTRUCTION. In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the s=record medium and burning, pulping, shredding, maceration, or discarding with or other waste materials.

18. DISPOSITION. An action taken to remove records from current files, including transfer to local records holding areas, to Federal Records Centers, to the National Archives for permanent retention, or for destruction.

19. DISPOSITION AUTHORITY. (1) Legal approval empowering an agency to transfer permanent record to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary from the General Accounting Office (GAO). (2) The agency's approval of disposition instructions for nonrecord materials.

20. DOCUMENTARY MATERIALS. A collective term for records, nonrecord materials, and personal papers that refers to all media on which information id recorded, regardless of the nature of the medium or the method or circumstances of recording.

21. DONATION. In records management, the transfer of temporary records from a Federal agency to an eligible person or organization after the authorized retention period had expired.

22. ELECTRONIC RECORDS. Records created, stored, or transmitted using personal computers, word processors, and associated electronic office equipment.

23. FILE PLAN. (1) A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational elements(s) having custodial responsibility. (2) A document containing the identifying number, title or description, and disposition authority of files held in an office.

24. FILES IMPROVEMENT. Taking corrective action to make sure that office files are properly organized and maintained, rapidly retrievable, complete, and ready for appropriate disposition.

25. FILING SERIES. A series of identical or equivalent file items characterized by a consistent method of assembly and handling, a common arrangement of the component items, and uniform as to subject, type of information recorded, or kinds of transactions reflected. A filing series may also include related elements physically separated from it such as finding aids or bulky material.

26. FINAL DISPOSITION. The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to the National Archives.

27. FORMAT. (1) The shape, size, style, and general makeup of a particular record. (2) In electronic records, the arrangement of data for computer input or output, such as the number and size of data fields in a logical records or the spacing and letter size used in a document. Also called layout. (3) in microform records, the placement of microimages within a given microform (image arrangement) or the arrangement of images in relation to the edges of the film (image orientation).

28. FROZEN RECORDS. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

29. GENERAL RECORDS SCHEDULES (GRS). Schedules issued by National Archives and Records Administration (NARA) that govern the mandatory disposition of specified recurring filing series common to several or all Federal agencies.

30. HOLDING AREA. Agency space assigned for the temporary storage of records after their cutoff and removal from office space by before their destruction or their transfer to a Federal or agency records center or the National Archives. Also called staging area.

31. INVENTORY. (1) A survey of agency records and nonrecord material that is conducted primarily to develop records schedules and alto to identify various records management problems, such as improper applications of recordkeeping technology. (2) The results of such a survey. (3) In archives administration, a type of finding aid for accessioned permanent records.

32. LIFE CYCLE OF RECORDS. The management concept that records pass through three stages: creation, maintenance and use, and disposition.

33. LOW-COST STORAGE. Facilities specially designed for storage of records. Includes records holding areas and Federal Records Centers.

34. METHYLENE BLUE. A chemical dye formed during the testing of the archival (permanent) quality of process microimages.

35. MICROFORM. Any form containing greatly reduce images, or microimages, usually on microfilm. Roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes. Flat, or generally unitized, microforms include microfiche, microfilm jackets, aperture cards, and microcards, or micro-opaques.

36. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). An independent Agency that succeeded National Archives Records Service (NARS). It is responsible for establishing policies and procedures for managing the records of the Federal Government. It exercises final authority for approving the disposition of Government records.

37. NONRECORD MATERIAL. Nonrecord material includes those classes of documentary or other material that may be disposed of without archival authority such as the following:

    a. Library or museum material made or acquired for reference or exhibition purposes;

    b. Extra copies of documents preserved only for convenience of reference on which no action is recorded or taken;

    c. Stocks of publication or other processed documents that require no action and are or part of a case on which action is taken'

    d. Routing slips and transmittal sheets adding no information to that contained in the transmitted material, i.e., concurrences, direction on how to proceed or implement; and

    e. Papers of a private or nonofficial character that pertain to an individual's private affairs.

38. OFF-LINE. Not under the direct control of a computer. Refers to data on a medium, such as a magnetic tape, not directly accessible for immediate processing by a computer.

39. ON-LINE. Under the direct control of a computer. Refers to data on a medium, usually a disk, directly accessible for immediate processing by a computer.

40. OPTICAL DISK (OD). A noncontact, random-access disk typically tracked by optical laser beams and used for mass storage and retrieval of generally digitized text and graphics. Sometimes called an optical digital disk or optical digital data disk. Types include WORM (write once read many), CE-ROM (compact disk - read only c=memory), CD-I (compact disk - interactive), and erasable optical disks.

41. OUTPUT RECORDS. In electronic records, information generated by a computer and placed on an outside medium, such as paper, microform, or an electronic storage medium.

42. PERMANENT RECORDS. Records that have been determined, by NARA, to have historical or other value warranting permanent preservation. Such determinations are reflected in the AUTHORIZED DISPOSITION columns of the GRS and DOE Records Schedules, as appropriate. Normally, permanent records are offered to NARA when they are 25 years old.

43. PERSONAL PAPERS. Papers of a private or nonofficial character which pertain only to an individual's personal affairs and are kept in the office o a DOE or contractor official. THEY MUST BE CLEARLY DESIGNATED BY THE OFFICIAL AS NONOFFICIAL AND WILL AT ALL TIMES BE FILED SEPARATELY FROM OFFICIAL RECORDS.

44. PRESERVATION. (1) The provision of adequate facilities to protect, care for, or maintain records. (2) Specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records.

45. PROGRAM RECORDS. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

46. RECORD MATERIAL. Those classes of documentary material which may be disposed of only after archival authority is obtained. The statutory definition of "records" (44 U.S.C. 3301) is "....books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved, or appropriate for reservation by that agency or its legitimate successor as evidence of the organization, functions, policies decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in then." This definition applies to all Departmental records including those created, received, and maintained by contractors pursuant to their contracts,. Virtually all recorded information in the custody of the Government (including information held by contractors which is considered by contract to be Government information) regardless of its media (hard copy, machine-readable, microfilm) is considered "Government records."

47. RECORDS HOLDING AREA. A local low-cost records storage facility, often staffed on a part-time basis, for the economical storage of noncurrent records pending their destruction or transfer to a Federal Records Center.

48. RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition.

49. RECORDS SCHEDULES. These are the means by which the disposition standards for records are published. The General Records Schedules, issued by NARA, includes records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, and common or house keeping functions, and certain nontextural records. The Department of Energy Records Schedules, for which the Department has obtained NARA approval for their disposition. It is estimated that the GRS covers about one third of the records of the Department. The Department is responsible for preparing and revising separate schedules for all the records the GRS does not cover.

50. RETENTION PERIOD. The length of time that records are to be kept.

51. SCHEDULING. The process of developing a document that provides mandatory instructions for what to do with records (and Nonrecord material) no longer needed for current Government business.

52. SILVER GELATIN FILM. In microform records, archival-quality film containing images produced by using light-sensitive silver halide crystals suspended in a gelatin emulsion. Silver gelatin film should be distinguished from dry silver film, which is on nonarchival quality.

53. TEMPORARY RECORDS. Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records of nonpermanent records.

54. TRANSFER. (1) The act of process of moving records from one location to another, especially from office space to agency storage facilities or Federal records centers, from one Federal agency to another, or from office to storage space to the National Archived for permanent preservation. (2) There records involved in such a relocation.

55. UNSCHEDULED RECORDS. Records whose final disposition has not been approved by NARA.

56. VITAL RECORDS. Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individual directly affected by its activities. Sometimes call essential records. Include both emergency operating and rights and interest records. Vital records considerations are part of an agency's records disaster prevention and recovery program.

57. WORKING FILES. Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Also called working papers.

# NOW THAT I'M HERE WHAT LANGUAGE DO I SPEAK?

**Scott Ward**
**WINCO , INEL**

Scott Ward

Scott graduated for the University of North Dakota, one of the four colleges at that time that offered a degree in Information and Records Management. Since then he has worked in such diverse industries as: entertainment, broadcasting, manufacturing, car rental, commercial nuclear power, and computer software. He is in the middle of his second year in the DOE arena. While working in these industries he has held various positions such as records analyst, document control supervisor, records management and document control supervisor, project manager, consultant, and is currently the records management lead for WINCO at INEL. He is a member of NIRMA, AIIM and ARMA and is in the process of becoming a Certified Records Manager.

DOE Records Management Conference

Charlotte North Carolina

June, 1994

Spring-board Presentation

# *Now That I'm Here, What Language Do We Speak?*

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## I. Introduction

The purpose of this paper is to discuss what it is like to enter the DOE arena as an information management professional with several years of experience in other industries. It will include helpful hints and new definitions for old phrases and terms. The goal is to make your transition to the DOE easier, smoother, and infinitely more pleasant.

Since records management is a function performed in all industries, the diversity of experiences available is staggering. The author has worked in such diverse industries as: entertainment, broadcasting, manufacturing, car rental, commercial nuclear power, and computer software. Each industry has its own language of acronyms, terms, and phrases, as well as methodologies each new employee has to learn and become accustomed to in order to work effectively.

At the annual meetings of the Association of Records Managers and Administrators (ARMA) International, the Association for Information and Image Management (AIIM), and Nuclear Information and Records Managers Association (NIRMA), participants discuss information management concerns with people from a wide range of employers (representing a wide range of industries). These events will help us to learn a few pieces of "jargon" and terminology from different industries. Although casual conversations while networking or working on special interest groups will never teach you the complete language of a particular industry, it will make the transition easier.

ARMA, AIIM, and NIRMA have their own acronyms and terms to learn. For example, is the ICRM the Ice Cream Reserve Mobile or the Institute of Certified Records Managers? According to ARMA, it is the Institute of Certified Records Managers. Although you probably already knew that one, some of the DOE acronyms are not as easy to identify. One of the many good things about these organizations is that they remain consistent in their terms while you move to various industries. When all else fails, you can quote these organizations and feel confident in your position.

Every industry has its own language and methods. This paper will discuss the language and methods of the DOE. Approach your new work place with a smile; prepare yourself to be surprised and learn additional ways of accomplishing tasks.

## II. Acronyms

The first topic is acronyms. Although they provide an excellent verbal and written shorthand, they are also less precise and require context to be meaningful.

They change from industry to industry. Sometimes within the same industry, they will change from location to location, and they may even change from department to department in the same company.

Most facilities have an official acronym list, but there are still several "objects" with the same acronym. You are probably aware of several terms with the same acronym at your location. The acronym RIDS is an excellent example. Does it stand for Records Inventory and Disposition Schedule or the Records Identification Data System? It depends totally on the context.

At the INEL, the combined total of acronym lists exceeds 200 pages, and there are other commonly used acronyms that do not appear in the list. You are facing a similar task at your facility. In order to make the task manageable, secure your location's approved acronym list. Sit down with a co-worker, and ask them to identify the most frequently used acronyms for your site, department, and section. Memorize the ones that are most frequently used. Since you will deal with information from a variety of sources, keep your acronym list handy at your work location.

## III. Methodologies

Methodologies change from industry to industry. Sometimes within the same industry, they will change from location to location, and they may even change from department to department in the same company. Does this remind you of anything? Like acronyms, methodologies are by no means standardized. The principles that guide an activity may be the same, but the specific implementation may vary dramatically.

The area of written procedures is a prime example. Corporations will usually have section operating guidelines. These guidelines are implemented in lower level procedures in each unit. The guidelines do not change, but the implementing methods may be different from unit to unit due to the unique nature of each unit.

The DOE operates according to DOE orders. The orders provide general requirements for the program. The individual contractors are then responsible to implement the requirements in company procedures. Like the corporations mentioned earlier, these procedures may vary from contractor to contractor based on the needs and resources of the facility, but the requirements would be the same.

The principles and requirements that guide information management programs are identical to the principles and requirements in other industries. The following are some examples of profession-wide concerns.

1. **Information Accessibility.** Customers expect nearly instantaneous access to the information they need. (They watch TV commercials about people working at home and faxing messages from the beach.)

2. **Media Choices.** Choices must be made about which media to use to store information (hard copy, electronic, microforms). Customers sometimes need or just want a combination of mediums for their records. Information management professionals are aware of legal issues and regulatory concerns about these options. Be sure to communicate them to your customers.

3. **Electronic Information Systems.** The proliferation of electronic information systems (occasionally planned for standards compliance and communication ease) continues in all industries.

4. **Records Inventory.** Conducting an inventory of recorded information for your DOE entity will be at least as large a task as your previous experience with inventories. A good inventory of your record holdings and retention schedules are two of the cornerstones for the foundation of a good information management program. The DOE strongly supports the records inventory effort for all the sites.

The largest challenge facing information management professionals is the development of life-cycle information management programs. This involves a significant paradigm shift for management and personnel in all industries. The record should be controlled from its creation to its eventual permanent storage or destruction. Properly managing information will protect the DOE from escalating storage costs and litigation.

Traditionally, DOE sites have believed recorded information doesn't become a record until its turned over to an inactive record storage center for final disposition or until it is verified or otherwise approved. Your past employer may have had this same attitude. If the recorded information meets the NARA definition of a record, then it becomes a "record", regardless of media, as soon as it is recorded. In other words, once the material is placed on any media, it is a record, even a hand-written notegram.

## IV. Life-Cycle Information Management

The remainder of this paper discusses the language of life-cycle information management within DOE entities. It will include the creation, use, and maintenance of active and semi-active records; the use and maintenance of inactive records; and the final disposition of records. It will identify the language

and methods that are common to most industries and the language and methods that are unique to the DOE.

### *A. Record Creation*

The process begins with the creation of recorded information. All information management professionals must address many of the same concerns. The vocabulary of record creation is fairly standardized. The methods vary from private industry. They include the following.

1. **The Purpose and Status of Records.** The purpose of records remains the same in all industries. Records provide evidence of work done and information from which decisions were/are made. They also document the history of an organization.

   In private industry, record status is applied at the point of creation in most cases. Occasionally a document becomes a record only when it is approved or sent to records management for inactive record storage.

   A DOE document may be perceived to be a record when approved, validated, or turned over to records management for inactive storage. This is changing to include documents at the point of creation. While in the creation phase, there are several DOE designations. They include: new, unapproved, or information only.

2. **Indexing and Filing Systems.** Indexing is a necessity for life-cycle information management. The proper identification of recorded information is the single most important function in any system. Indexing methods vary dramatically in private industry. However, the DOE has created a numbering system, related to the DOE orders, that may be used to index and file records.

   Standard Subject Classification System (SSCS). DOE Order 0000.1A. This numeric system is recommended for use throughout the DOE complex to classify documents and records by subject.

   Standard Subject Classification Code(s) (SSCC). This filing code was created to implement the requirements of the SSCS.

3. **Media choice.** The technical language is consistent. Common terms include: magnetic disk or tape, optical disk, paper, hard copy, microform, multiple media, and data migration.

4. **Filing equipment.** (computer disk, hard drive, cartridge, optical disk, and magnetic tape, tabs, file folders, cabinets, shelving,) The technical language and methods are fairly consistent with industry standards. The methods vary significantly. In the private sector, a records manager may determine a microfilm copy is adequate and authorize the destruction of the hardcopy original. In the DOE's case, destruction of the hardcopy must be in compliance with NARA requirements.

### *B. Active and Semi-Active Records*

The next step in life-cycle information management is the use and maintenance of active and semi-active records.

1. **Media.** In all industries, the media used to store recorded information during its active and semi-active periods must be evaluated. In some cases, multiple mediums will be used depending on customer needs and the technology available at your location. Since media language is technical, it is consistent with other industries.

2. **Record Status.** During the active and semi-active periods, status categories include: approved, record, approved for construction, information only, controlled copy, as-built, or void.

3. **Records Inventory.** Records Inventories are important to all information management professionals. The DOE inventory requirements and system are quite different from private industry practices due to the requirements placed on government agencies.

    a. In private industry, performing an inventory is a good business practice. DOE elements perform inventories to comply with DOE Order 1324.2A, Records Disposition.

    b. In private industry, retention schedules that contain a retention period are created for many individual record series. NARA has mandated to DOE a schedule for each record series.

    c. In private industry, retention schedules are created using many legal and regulatory requirements. The retention schedules are approved by corporate legal/management and the state(s) in which you have business locations. The DOE uses the General Record Schedule (GRS) and the unique Department of Energy Record Schedule (DOERS). These schedules are approved by NARA, legal, management, and DOE-HQ. Unscheduled records are assessed by teams at various DOE sites, and record retention recommendations are sent to DOE-HQ.

4. **File cut-off.** The term file cut-off applies to both the active and inactive records retention period. As it appears on the records inventory form, file cut-off indicates the end of the active phase and the beginning of the inactive phase.

5. **Storage location.** Storage location(s) considered for active records are usually in close proximity to the creators and frequent users of the information. (example: purchase orders and requisitions are often in the same immediate area as the purchasing personnel). The filing equipment is usually called by the same vendor name as in other industries. In some cases, electronic record systems are in place and functioning very well to meet the information needs of customers. More and more often, customers are looking at magnetic and optical storage technologies to meet their information management needs. The more technical the language, the more consistent it is from industry to industry.

6. **Electronic Records.** There are several issues surrounding the methods and vocabulary for electronic records. DOE and NARA are working together to address the requirements for developing electronic record systems. Do NOT forget your state laws and requirements when addressing these issues.

    a. Electronic signature/approval is a high priority for certain information system users. You should be aware of the federal, state and regulatory agency guidelines prior to implementation of the electronic signature/approval. Some customers want this functionality, and they want it now! Do not put yourself at risk by implementing prematurely; know what these guidelines are and how they affect you. Contractors will have to develop corporate strategies for dealing with this rising demand.

    b. Data migration, portability, and transfer are hot issues in information management. Protecting information and data while transferring it from the system that is on-its-way-out to the "system du jour" remains a difficult challenge. Be careful, terms and acronyms are used interchangeably for different things. This area requires accurate communication.

### *C. Inactive Records*

The storage and use of inactive records has many unique methods in the DOE system. This area of information management is the most different from other industries. The government places special value on records that are considered historically significant.

1. **Storage Locations.** Storage locations for inactive records are in less expensive facilities, as opposed to high priced office space. How often and rapidly the recorded information needs to be retrieved for the creators and frequent users should be determined before you send your records off-site. Assure the facility can accommodate and properly protect records for long term storage; and if possible, the facility should be in compliance with NQA-1 standards. You may not have a choice as to where the inactive records will go. You do not have a choice as to how they will be sent, which is a big change from private industry. Once they are transferred to storage, inactive records are either kept at a DOE controlled inactive records center or a Federal Records Center.

2. **Storage equipment.** You will find the vocabulary for storage equipment, shelving, boxes, and indexing/tracking tools is fairly consistent with other industries. More and more often, customers are looking longingly at magnetic and optical storage technologies to meet their information management needs. Be aware of the long term storage limitations of these media and of your own liability should they fail. The language concerning DOE requirements may have a few new terms; be careful. Do NOT forget your state laws and requirements when addressing these issues. The more technical the language, the more consistent it is.

3. **Record Categories.** The record categories for inactive records include: approved record, information only, controlled copy, as-built, or void. Quality Assurance (QA), Epidemiological (EPI), Emergency Operating (EO), Rights and Interest (R&I), and this years newcomer, Human Radiation Experiments (HRE). Watch for classified documents that you may not have the security systems to protect appropriately, and do not accept them if sent to you. Do not confuse status with security classification.

4. **Electronic Records.** As with active records, data migration, portability, and transfer are hot issues with inactive records. Be careful; terms and acronyms are used interchangeably for different things. This area requires accurate communication. Also, you must determine if the storage medium will sustain the information for the life of the media used.

### *D. Litigation Issues*

The use and importance of records during litigation is well established. Records may be subpoenaed for litigation at any point in their life-cycle. The DOE once enjoyed what was called "sovereign immunity". This prevented legal action against the DOE by states and private citizens. The sovereign immunity is no longer in place, but it does raise some interesting problems related to records.

1. In the event of litigation, subpoenas are used to obtain records for legal action. At this point, all recorded information on any media is a legal record. As a reminder, do not destroy any recorded information until the litigation is over.

   In private industry, upper and middle management know that "everything" is a legal record. In the DOE system, upper and middle management may believe that discovery will be blocked or partially (selectively) blocked. Many individuals still believe the sovereign immunity is in place.

2. In private industry, litigation is common place. Information management personnel are often involved in litigation support. Litigation against the DOE has been uncommon due to sovereign immunity. This is already changing. Information management personnel will likely play a supporting role in such instances. Stay tuned.

### *E. Final disposition*

Since you now work for the government, the final disposition of records will also be a new experience. The two categories are permanent and temporary.

1. **Permanent Records.** There are a number of records that are categorized as permanent. These records contain significant historical, architectural, or technical information and are retained to document the activities for posterity.

   a. These records are offered to NARA for permanent storage after 25 years.

   b. The media used for permanent storage is a definite concern. NARA will accept paper, of course. They will also accept microfilm, as long as it meets the American National Standards Institute (ANSI) specifications. The storage of electronic records is allowed, but the requirements are very specific. Permanent records should be converted to paper or microfilm to ensure their continued availability.

   c. They are stored for free. This is certainly different from the private sector!

2. **Temporary Records.** All other records are destroyed according to the retention schedule. Some will be destroyed in office; records shipped to a local inactive records center or a Federal records center are destroyed at the center.

## V. Conclusion

The challenges you face remain the same; only the acronyms and methodologies have been changed to confuse the newcomers! Actually, the point is simple, remember the purpose and methods of life-cycle information management, and expand your vocabulary to include the unique DOE terms. As you pursue an IRM career in the DOE using a PC, be as clear as you possibly can with your language. Otherwise, your co-workers may think you are pursuing an Integrated Reactor Maintenance (IRM) career in the Digital Office Environment (DOE) using Armored Personnel Carriers (A PC). Although it evokes an interesting image, it will not aid in the management of Department of Energy records.

## DOE Orders and Other References


ANSI/ASME NQA-1, Quality Assurance Program Requirements for Nuclear Facilities, Basic Requirement 17 and Supplement 17S-1.

DOE Order 1324.2A, Records Disposition

DOE Order 1324.3, Files Management

DOE Order 1324.4A, Micrographics Management

DOE Order 1324.5, Records Management

DOE Order 1324.6, Automated Office Electronic Recordkeeping

DOE Order 1324.8, Rights and Interests Records Protection Program

DOE Order 5500.7B, Emergency Operating Records Protection Program

DOE Order 5700.6C, Quality Assurance

Managing Electronic Records, National Archives and Records Administration, 1990.

## Common DOE Information Management Acronyms

**ADC** Automatic Data Processing or Automated Data Processing

Systematically performing a series of actions with data by using automatic machines, primarily electronic digital computers. Also called automated data processing. Often used as a synonym for electronic data processing (EDP).

**AIIM** Association for Information & Image Management

A trade and professional organization concentrating on applications of micrographic, optical and computer technology and systems. Formerly the National Micrographics Association.

**AIS** Automated information System

An information system that usually involves the use of a computer. Often used as a synonym for an electronic records system.

**ANSI** American National Standards Institute

A. U. S. standards organization composed of representatives from industry, technical societies, consumer organizations and government agencies.

**ARMA** Association of Records Managers & Administrators

A professional organization devoted to promoting awareness and providing leadership in the area of records management. ARMA provides publications, seminars, and conventions on the subject of records management.

**ASCIT** American Standard Code for Information Interchange

A binary code representing each letter, number, or other symbol with a unique 7-bit code. It is used to transmit electronic data between different software and hardware systems. It is also used to store electronic records requiring long-term or permanent storage.

**CAD** Computer-Aided Design

Drawings and related records depicting the concepts and precise measurements needed to plan and build static structures, such as buildings, bridges, and canals, as well as those needed to complete other public works projects and produce such objects as weapons and machines. Include design and construction drawings and related records. Also include computer-aided design (CAD), computer-aided manufacturing (CAM), and computer-aided engineering (CAE) system records that relate to architecture and engineering and need to be managed like other electronic records.

**CAE** Computer-Aided Engineering **(See CAD)**

**CAL** Computer-Assisted Locator System

A computer system that keeps track of document as they circulate through an agency.

**CAM** Computer-Aided Manufacturing **(See CAD)**

**CAR** Computer-Assisted Retrieval

A records storage and retrieval system, normally microfilm-based, that uses a computer for indexing, automatic markings such as blips or bar codes for identification and automatic devices for reading those markings and, in some applications, for transporting the film for viewing.

**CD** Compact Disc

A relatively small optical disk on which text, data, sounds, visual images and the like can be recorded digitally and then scanned, decoded and transmitted by a laser beam to a computer monitor, television set, or playback device.

**CD-I** Compact Disk-Interactive

A compact disc combining audiovisual, text/data, software storage and retrieval capabilities.

**CFR** Code of Federal Regulations

A systematically arranged collection of laws or regulations, such as the United States Code (U.S.C.) or the Code of Federal Regulations (CFR).

**CIM** Computer Input Microfilm

Microfilm containing data suitable for direct input into a computer.

**COFF** Cutoff

Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

**COM** Computer Output Microfilm

Microfilm containing data converted and recorded directly from a computer. Generally used instead of hard copy printouts.

**CPU** Central Processing Unit

The component of a computer system that interprets and carries out program instructions.

**DAT** Digital Audio Tape

Records in pictorial or aural form. Include still and motion pictures; graphic materials, such as posters and original art; audio and video recordings; and combinations of media, such as slide-tape productions.

**DBMS** Data Base Management System

A software system used to access and retrieve data stored in a data base.

**DP** Data Processing

Systematically performing a series of actions with data. May be done by manual, mechanical, electromechanical, or electronic (primarily computer) means. Often used interchangeably with automatic data processing (ADP).

**EBCDIC** Extended Binary Coded Decimal Interchange Code

A binary code representing each letter, number, or other symbol with a unique 8-bit code.

**EDI** Electronic Data Interchange

The communication or transmission of data as electronic messages according to established rules and formats in order to transact business.

**EDP** Electronic Data Processing

Systematically performing a series of actions with data by using automatic machines, primarily electronic digital computers. Also called automated data processing.

**ER** Electronic Records

Records stored in a form that only a computer can process. Also called machine-readable records or ADP records.

**ERK** Electronic Recordkeeping

The creation, maintenance and use, and disposition of records created and stored by using a computer.

**FARC** Federal Archives and Records Center

A superseded term. Now generally divided into a National Archives regional unit and a Federal records center (FRC).

**FIRMR** Federal Information Resources Management Regulations

Regulations on information resources management issued by GSA and applicable to Federal agencies.

**FOIA** Freedom of Information Act of 1974

Public Law 93-502, Title 5 U.S.C. 552, as amended, establishes guidelines and regulations to implement the Freedom of Information Act. The act provides a mechanism for individuals or organizations to request information contained in Federal records. The responsible agency evaluates the request, and if the requested information may be released, provides the information to the requestor. Certain catagories of information are not released.

**FPMR** Federal Property Management Regulations

GSA regulations. The part formerly applying to records management has been superseded by the Federal Information Resources Management Regulations and NARA records management regulations.

**FRC** Federal Records Center

A records center operated by NARA.

**GAO** General Accounting Office

(See Accountable Officers' Accounts) Specified records accumulated by collecting, disbursing, and certifying officers and required by the General Accounting Office (GAO) for audit purposes. Also known as site audit records or (See Disposition Authority) (1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office (GAO) (2) The agency's approval of disposition instructions for nonrecord materials.

**GIS** Geographic Information System

(See Cartographic Records) Graphic representations drawn to scale of selected features of the earth's surface and atmosphere and of other planets and planetary satellites. Include maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Also include digital cartographic records, such as geographic information system records, which are managed like other electronic records.

**GRS** General Records Schedule

A NARA-issued schedule governing the disposition of specified records common to several or all agencies.

**GSA** General Services Administration

(See Evaluation) (2) The inspection, audit, or review of records management programs, either by the agency or by NARA and/or GSA, to ensure compliance with applicable laws and regulations.

**IRM** Information Resources Management

The planning, budgeting, organizing, directing, training, and controlling associated with the creation, maintenance and use, and disposition of information as well as with related resources, or assets, such as personnel, equipment, funds, and technology. Includes data processing, telecommunications, and records management.

**ISO** International Standardization Organization

A standards-setting organization with representatives from many nations.

**LAN** Local Area Network

A system for linking together computers, terminals, printers, and other equipment, usually within the same office or building.

**MIS** Management Information System

(1) An organization's procedure for accumulating, processing, storing, and retrieving valuable information. (2) Management aided by automatic data processing (ADP).

**NARA** National Archives and Records Administration

(1) The noncurrent records of an organization preserved because of their continuing, or enduring, value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government, and that have been accepted for deposit in the Archivist's custody. See also Permanent Records. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records. Also called archival agency. In the U.S. Government, the National Archives and Records Administration (NARA). When permanent records are transferred to the National Archives, they are placed i the custody of NARA's Office of the National Archives. (3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository or archival repository.

**NIRMA** Nuclear Information & Records Managers Association

A professional organization specializing in information and records management issues within the nuclear industry.

**NIST** National Institute of Standards & Technology

U.S. Government standards issued by the Department of Commerce's National Institute of Standards and Technology (NIST) for computer hardware, software, and systems.

**OCR** Optical Character Recognition

A method of entering data into a computer by using an optical scanning device to read the contents of documents.

**OA** Office Automation

The use of automated or electronic equipment, such as computers, for office operations.

**OD** Optical Disk

A noncontact, random-access disk typically tracked by optical laser beams and used for mass storage and retrieval of generally digitized text and graphics. Sometimes called an optical digital disk or optical digital data disk.

**OF** Optical Form

A form developed by a Federal agency for use by two or more agencies and approved by GSA for nonmandatory use throughout the U.S Government.

**OMB** Office of Management and Budget

(See OMB Circular No. A-130) A policy statement issued by the Office of Management and Budget regarding the management of Federal information resources, including records.

**PIXEL** (See Picture Element)

The smallest dot, or image element, that can be processed individually for display on a video screen. Often abbreviated as pixel or sometimes as PEL.

**PC** Personal Computer

(See Microcomputer) A very small digital computer, normally able to process and store less data than a minicomputer and far less than a mainframe while doing so less rapidly than a mainframe. Includes desktop, laptop, and hand-held models. Also called a personal computer.

**RAM** Random Access Memory

Computer memory used to process and store data that can be accessed directly rather than sequentially.

**RLO** Records Liaison Officer

A person responsible for overseeing a records management program in a headquarters or field office in cooperation with the agency records management officer.

**RMO** Records Management Officer

The person assigned responsibility by the agency head for overseeing an agencywide records management program. Also called records officer or records manager.

**ROM** Read Only Memory

Computer memory whose contents cannot be changed by the user.

**SF** Standard Form

A form prescribed by a Federal agency and approved by GSA for mandatory use throughout the U.S. Government.

**USC** United States Code

A systemically arranged collection of laws or regulations, such as the United States Code (U.S.C.) or the Code of Federal Regulations (CFR).

**WAN** Wide Area Network

A system for linking together computers, terminals, printers, and other equipment that are located in extensively separated offices or buildings.

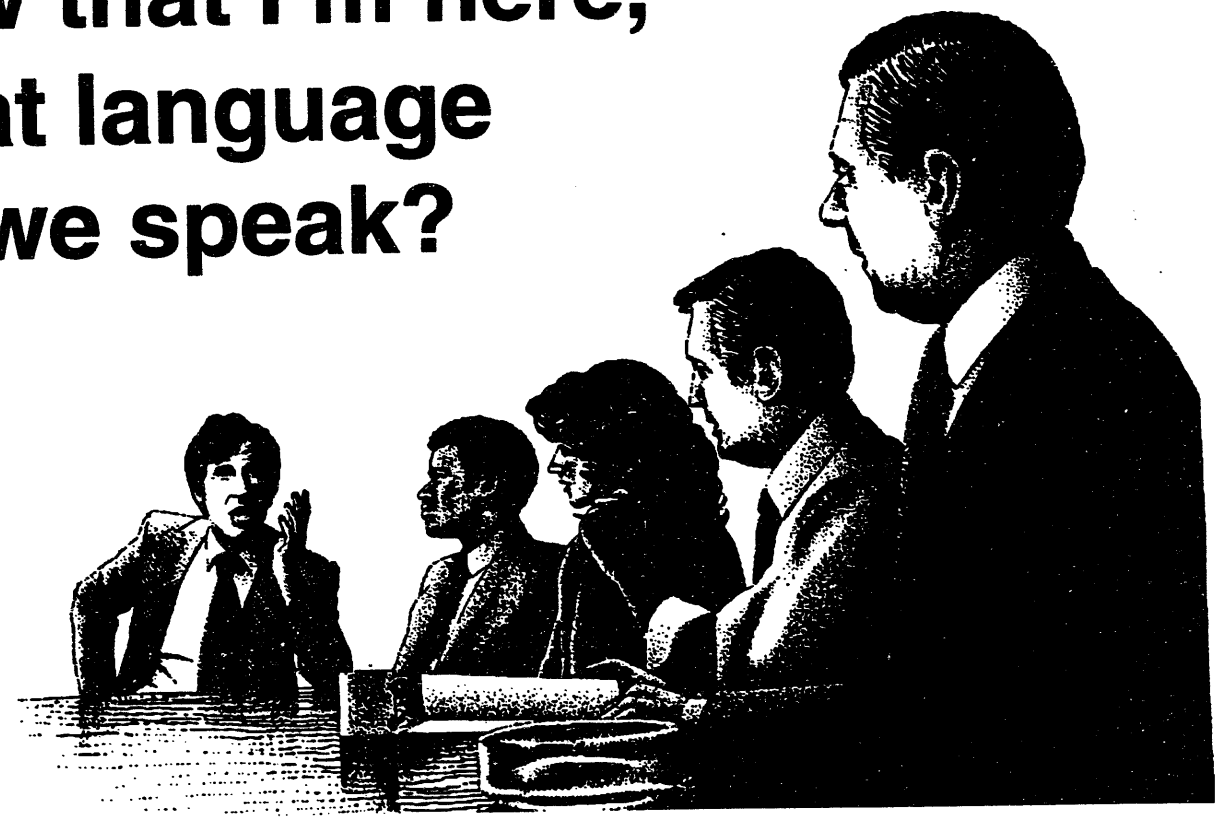
**WORM** Write Once Read Many

Of or relating to a type of optical disk on which information can be recorded only once but from which it can be retrieved and read m

**WP** Word F.:ocessing

Creating and modifying documents by using a computer, along with other hardware and related software.

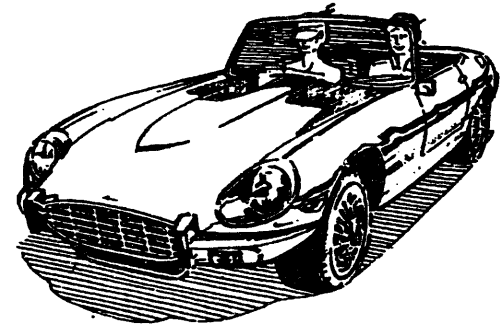
# Now that I'm here, what language do we speak?



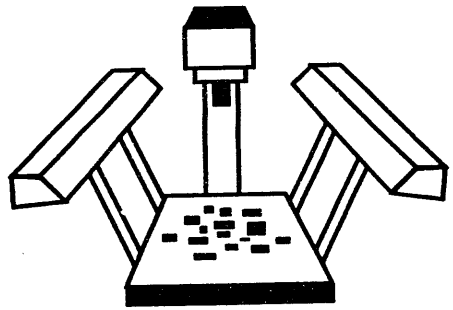
VG94 0059

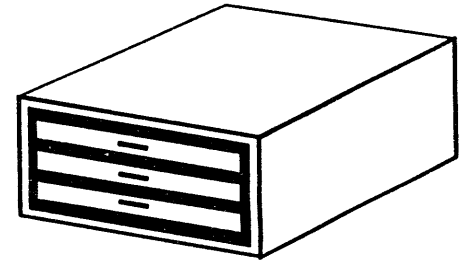
(1)

# CAR



# System







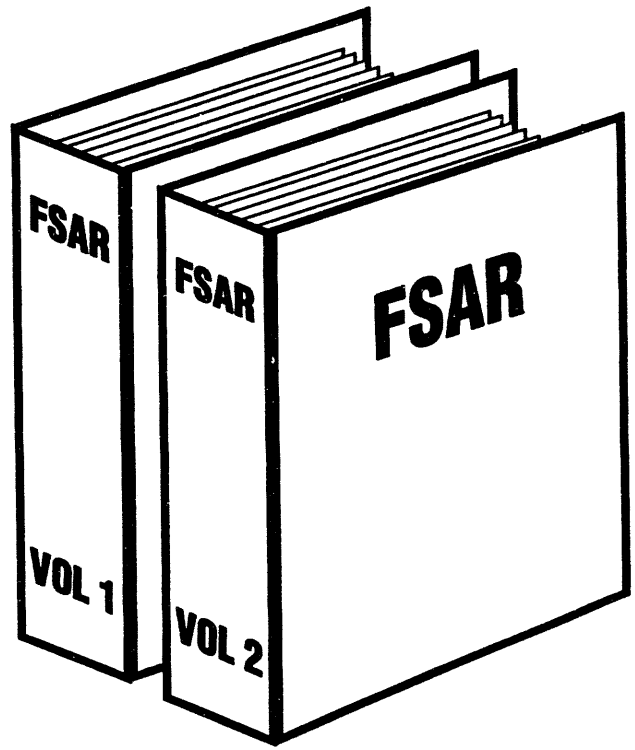
VG94 0060

# Tropical Island



VG94 0061

(3)



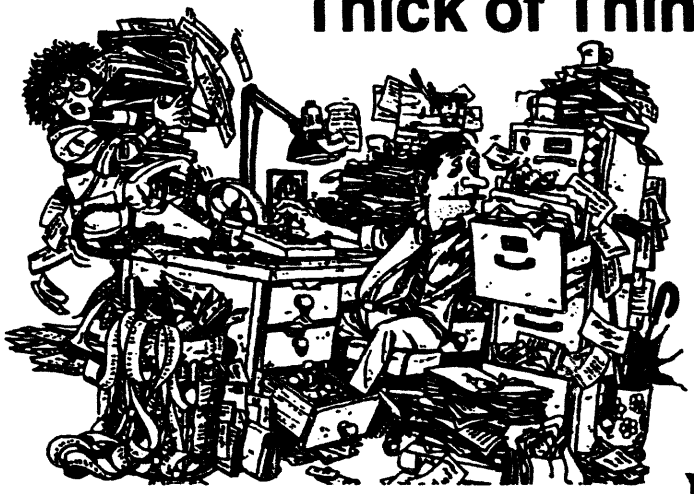




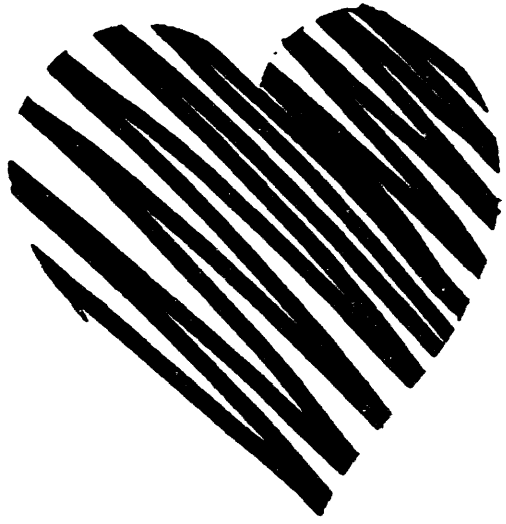
VG94 0062

(4)

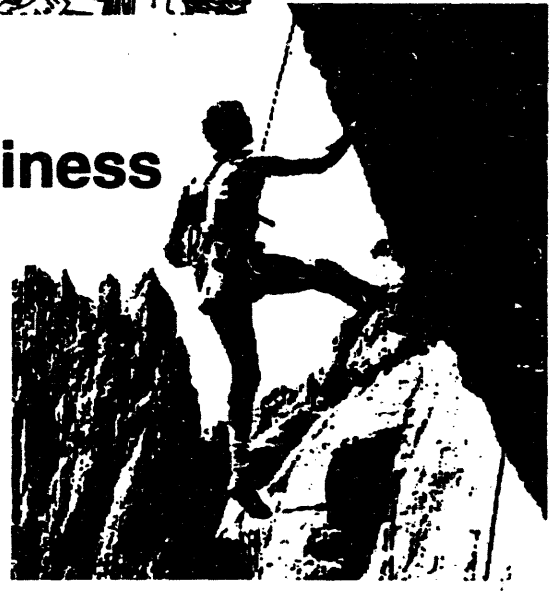
## Thick of Things



## Heart of the Matter

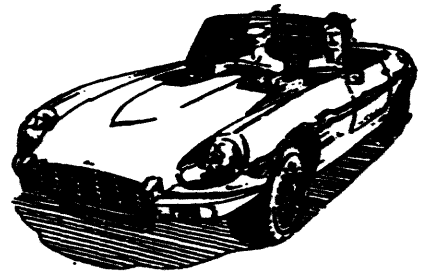


## Down to Business



VG94 0063

# ARMA
# AIIM
# NIRMA









VG94 0084



VG94 0065

(1)

# New Common Language



VG94 0066

(8)

# Acronyms

DOE
ARMA
FSAR
RIDS

IRM
NARA
BYB
CRMNS

- Offical List
- Repetitive
- At the INEL over 200 pages
- (Frequency of Use)

VG94 0067

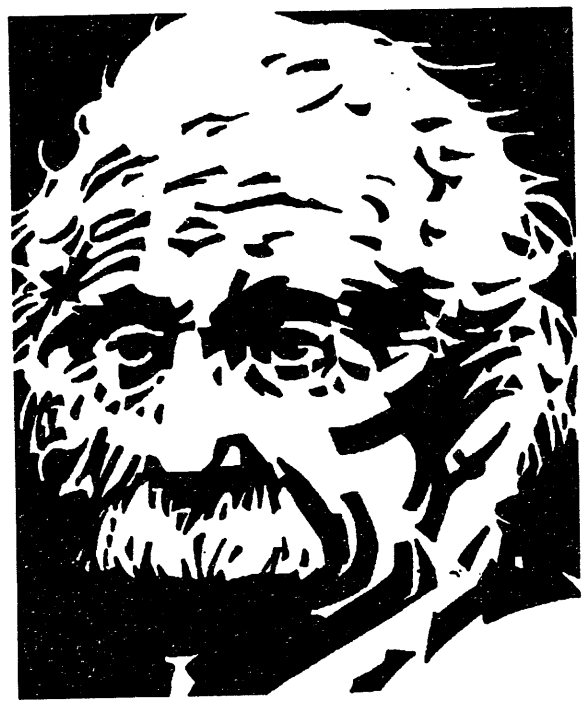
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VG94 0068

10

# Methodologies

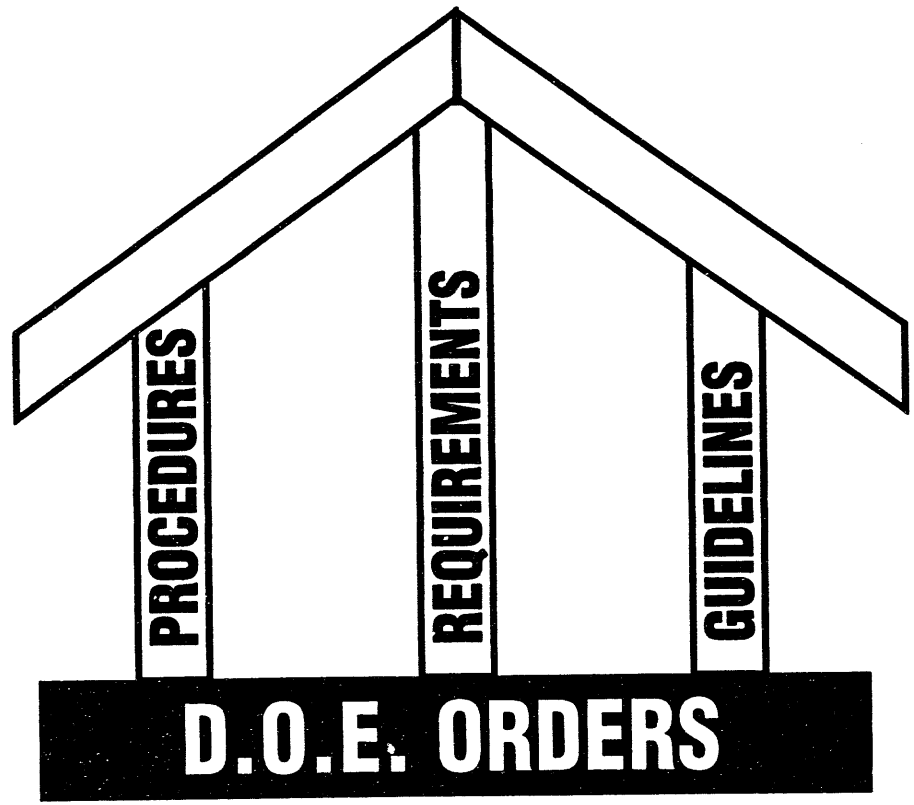


COMPLEX




SIMPLE

VG94 0069




VG94 0070

# Profession - wide

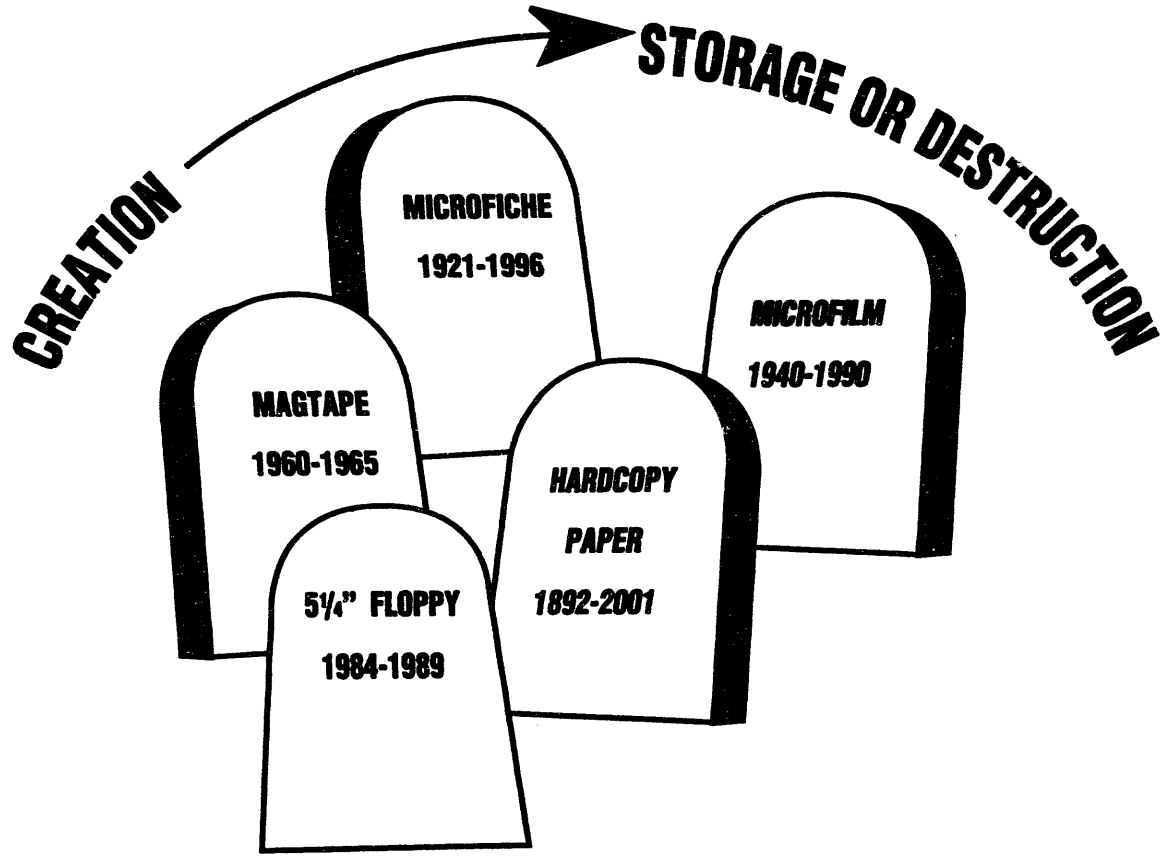
## Expectations, Options & Challenges

- **Information Accessibility**
  - nearly instantaneous
- **Media Choices**
  - hard copy, electronic, microforms
- **Electronic Info Systems**
  - increasing rapidly
- **Records Inventory**
  - large task
  - retension schedules

VG94 0071

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# Life Cycle

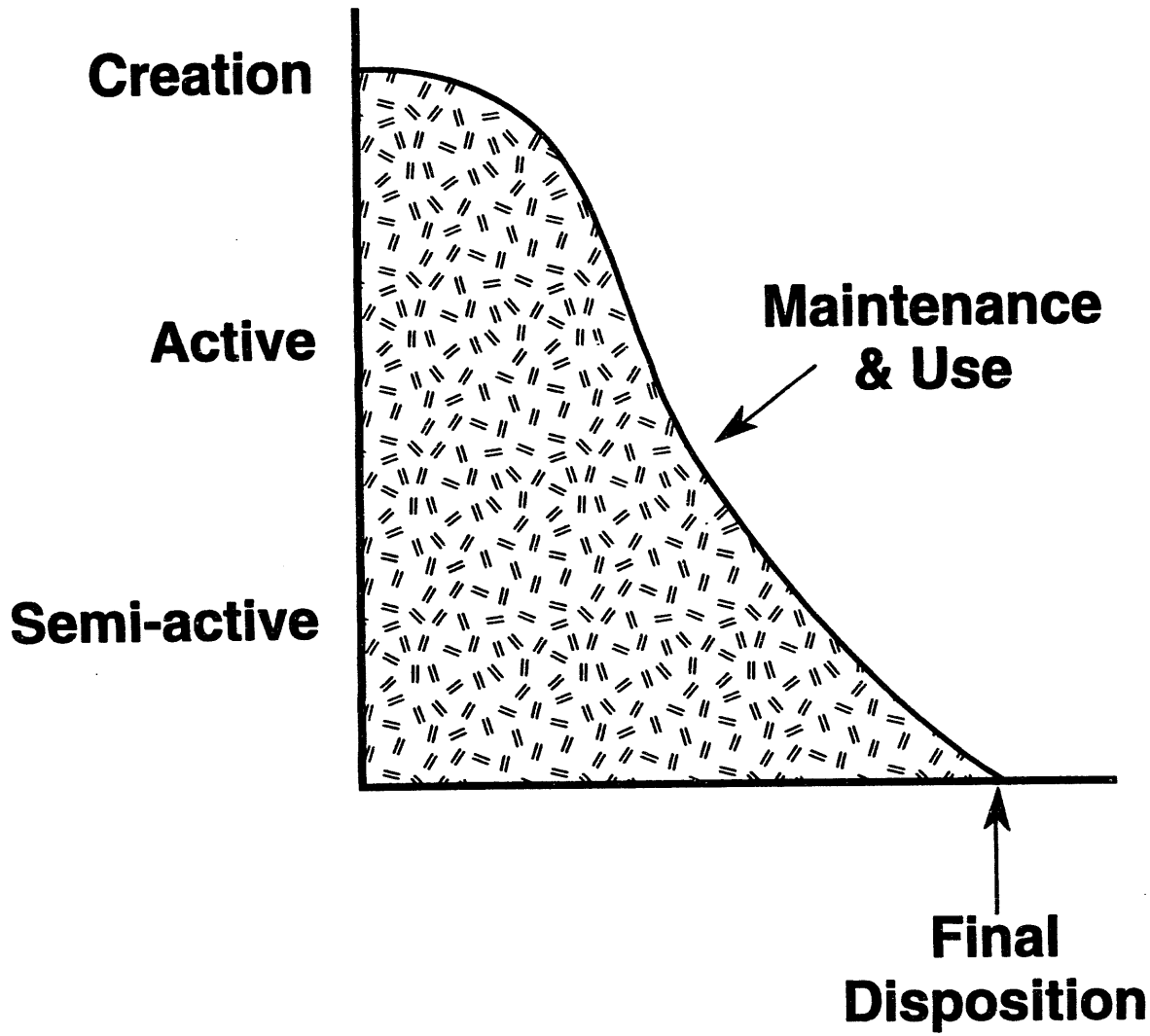



VG94 0072



VG94 0073

15


Creation
Active
Semi-active
Maintenance
& Use
Final
Disposition

VG94 0074

# Records Creation:

- Purpose & Status of Records
- Indexing & Filing Systems
- Media Choice
- Filing Equipment

# Purpose & Status

- Evidence of work
- Documents decisions
- History
- Point of creation

# Indexing & Filing Systems

- Necessity for life-cycle
- Proper identification (SSCS)

VG94 0076

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# Media Choice

- Technical language is consistent
- Paper, microform, electronic

# Filing Equipment

- Cabinets, shelving electronic
- Methods vary significantly



VG94 0078

(20)

# Active Record Maintenance

- **Media**
  - hard copy, electronic, microform
- **Record Status**
  - approved for construction, information only, controlled copy
- **Records Inventory**
  - DOE Order 1324.2A

# Active Record Maintenance

- **File Cutoff**
  - **both active and inactive (RIDS)**
- **Storage Location**
- **Electronic Records**
  - **Federal, State, Regulatory Requirements**
  - **Standards**
  - **Electronic signature approval**
  - **Data migration**



VG94 0081

(23)

# Inactive Record Maintenance

- **Storage Location**
  - Less expensive
  - Frequency of use
  - No choice
- **Storage Equipment**
  - Technical language is consistent
  - Multi-media

VG94 0082

24

# Inactive Record Maintenance

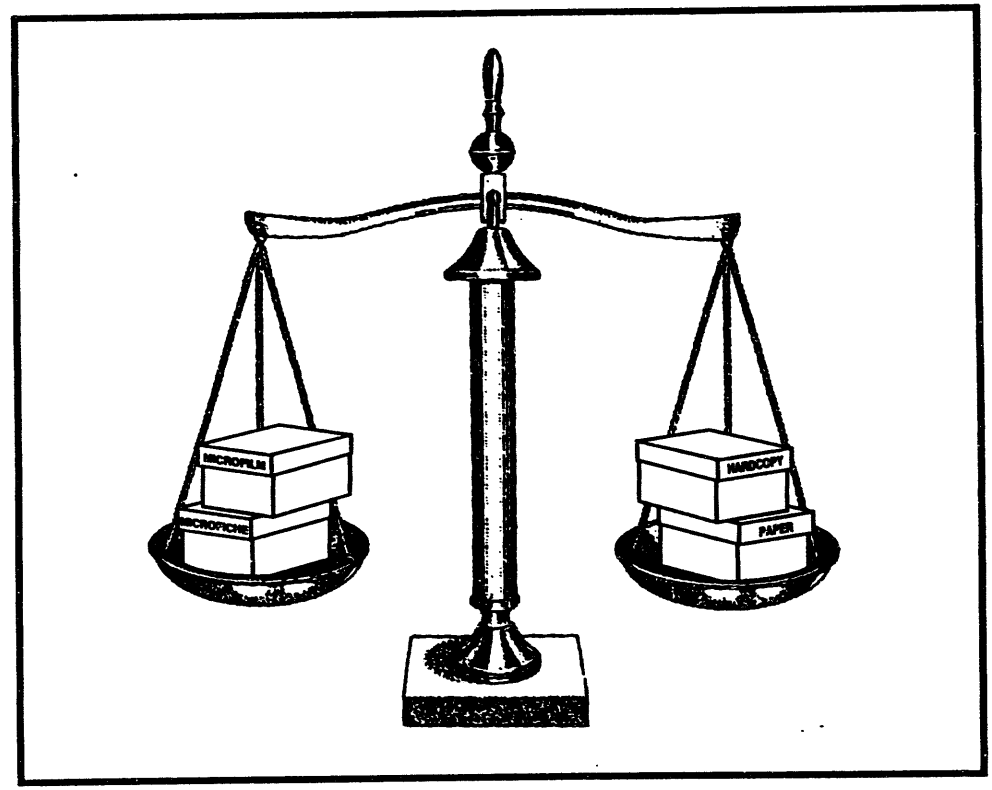
- **Record Categories**
  - Approved records, information only, controlled copy
  - QA, EPI, EOR, R&I, HRE
- **Electronic Records**
  - Data migration, portability
  - File integrity
  - *language varies, be careful!*



VG94 0084

(26)

# Litigation Issues



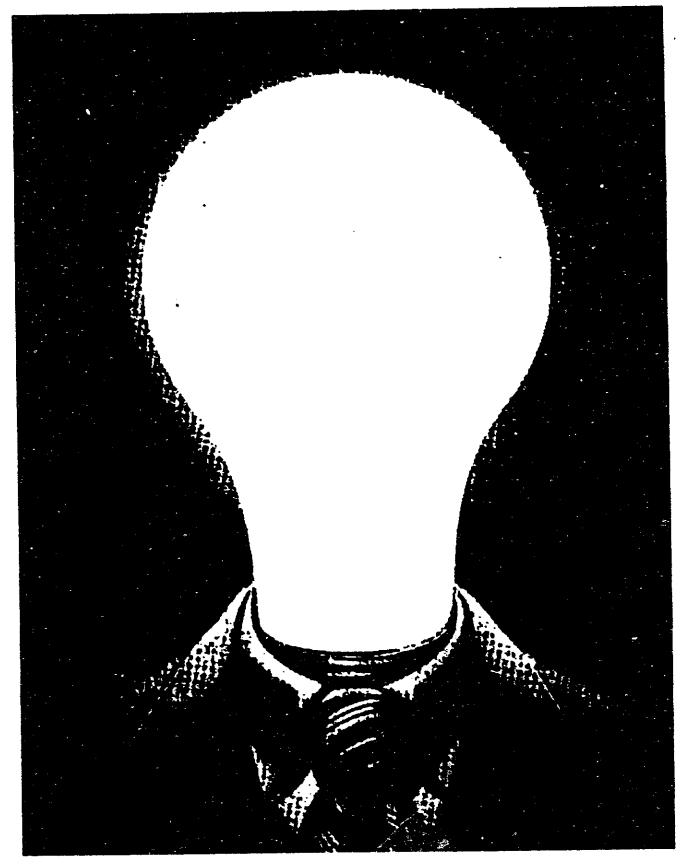

***Everything is a Record!***

VG94 0085

# Final Disposition

- **Scheduled:**
  - **Temporary Records**
  - **Permanent Record**

**$**

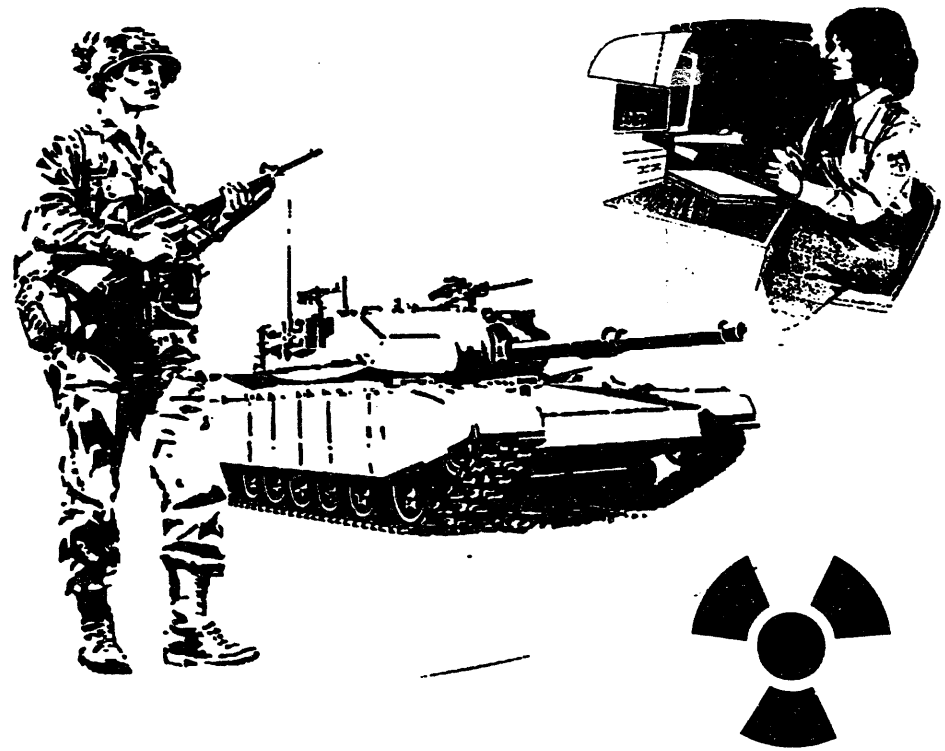


VG94 0086



VG94 0087

# Conclusion



VG94 0088

# WHERE DID YOU SAY THOSE FILES ARE?

Tami McCray
EG&G IDAHO, INC

Tami McCray

Tami is a Records Management and Training Specialist at EG&G, Idaho Inc. at the Idaho National Engineering Lab. For the past 14 years, she has provided assistance and support in the administration of a records management program in both the medical and nuclear industries. Developing and implementing training is one of the many activities she is involved with at the INEL. Currently she is on a committee to develop and implement a site-wide files management system.

# WHERE DID YOU SAY

# THOSE FILES ARE?

*1994 DOE Records Management Conference*

*Charlotte, North Carolina*

*Spring-board Presentation*

*Prepared By: Ilene McKnight and Tami McCray*

*Presented By: Tami McCray*

EG&G, Idaho, Incorporated
Idaho National Engineering Laboratory

# WHERE DID YOU SAY THOSE FILES ARE?

Thousands of Government decision makers continually call for needed information making document storage the second largest cost next to payroll. The facts come fast from the records - IF the files are carefully organized, IF the files are systematically maintained, and IF the requester gives the right clues. If not, work falters and tempers flare.

The record keeper can find documents and thus facts quickly if the papers are properly grouped and arranged and if the paper is requested in the correct way. Although this presentation cannot address the right clues that a person should give when requesting a file, it will address systematic files management through use of the Standard Subject Classification System (SSCS). With a standard system, the record keeper or anyone else can find needed information quickly, regardless of the volume.

The average office worker uses 250 pounds of paper and spends 40 - 60% of their time creating or working with documents. Five file cabinets of the 5-drawer type hold 100,000 papers. Some spend as much as 200 hours a year searching for information they need to do their job. Audits indicate that nearly 3 percent of documents are misfiled in a typical office. This figure is too high! Even a one percent failure rate is excessive.

An employee shouldn't have to look in more than one place, and it shouldn't take more than two minutes to locate a file. The average cost of a misfile is $120.00 per document. Because of misfiles, 10 percent of the searches require looking in several places before the desired document is found. Realizing the associated costs, staff members will wish they had mastered basic filing principles.

Many office worker's do not have a filing system. They simply store their documents somewhere just to get them out of the way. This results in having as many different "filing systems" as there are employees. If an organization does create a filing system, generally one person knows how it worked. When that person is gone, everything comes to a standstill.

When employees inherit file systems they don't understand, they do one of three things. They incorporate the information from the old system into a new system or leave the old information in the bottom cabinet drawers. Unfortunately most file the documents under "T" for trash, simply throwing out the information and starting over. Only incorporation of the old system into the new system should be considered. However, the "real world" uses the other two options. The use of these options results in valuable information being lost or destroyed and considerable time and effort will be needed to track down other copies of the information.

Can you imagine what it is like having as many filing systems as there are employees when the total number of employees is over 10,000? Although the Idaho National Engineering Laboratory (INEL) did not have 10,000 different filing systems, there was no one standard system. We had every type of system that was ever invented from alphabetical, to numeric, to subject, and every combination in between.

The INEL needed a standard. A method of filing which would be the same no matter what office you were in. We needed the Uniform Filing Code. But how do we begin? We were faced with a puzzling question of how to start fitting the puzzle pieces together?

We saw the UFC as a complete picture of our puzzle. But first we had to assemble a team of individuals from the U.S. Department of Energy (DOE) Idaho Operations Office (ID) and each of the INEL contractors. These individuals needed to understand files management. They had to accept the concepts of records management. But most important, they had to have management support because of the decisions to be made and time involved.

The second piece of the puzzle was to determine what type of filing code we wanted to use; i.e., alphabetical, numerical, subject, or a combination. This was probably our easiest piece to find. The DOE-Idaho Operations Office was required to use the SSCS, DOE Order 0000.1A for filing. This DOE Order was based on the guidelines-contained in the Federal Property Management Regulation 11.3 and a National Archives and Records Administration (NARA) publication on subject filing. We adopted the codes used in the SSCS as our standard.

Although this DOE Order was cancelled April 8, 1994, it still makes sense to continue using the codes from a records management standpoint. Choosing the subject under which to file a document can be extraordinarily difficult. In true subject filing, the subject topic should reflect the informational content. The codes provide guidelines for dividing records into separate file types or subjects, including correspondence, directives, and forms. Records managers long ago discovered breaking, or subdividing, to be the secret of finding the needle in the proverbial haystack.

Successful subject filing systems include definitions of the codes to ensure the same type of records are filed under the correct subjects. So we were ready for our third puzzle piece, developing definitions for our subjects. But how do you understand the subjects outlined in the SSCS? You read the DOE Orders. Since the DOE Orders follow the SSCS, committee members reviewed each DOE Order and developed definitions to be used for the UFC. This allowed us to divide the documents into the codes.

The committee started building this magnificant puzzle, but would the UFC be accepted by the employees? Granted the DOE-Idaho Operations Office was mandated to use the SSCS for filing, however, it was just "strongly recommended" for the contractors. The committee did not want wasted efforts. The decision was made to conduct random surveys to determine if employees would accept the UFC.

During the surveys, we found an organization that was already using the SSCS for their filing. This organization deals with environmental and waste management issues; therefore, they are continually being audited. Quick retrieval of files was absolutely necessary for their success.

Our surveys also indicated that not only was the concept of the UFC was accepted, but wanted. Some individuals were even excited that someone was finally going to help them with files management. Others liked their current systems and didn't really want to change, but agreed that standardization was needed. Therefore, they would make the transition.

The fourth piece of the puzzle was to identify what documents and file series already existed. An inventory of all the existing file series was necessary. The INEL was already in the process of conducting a site-wide inventory of all active records. These inventories listed the different documents and filing series existed in each office. Therefore, our team obtained copies of the completed inventories for our use.

The fifth piece of the puzzle required fitting the existing file series information into the subject codes. Approximately 80% of the file series fit easily since the coding was definite and clear. However, the remaining 20% took additional research. For example, numerous DOE Orders address environmental records; therefore, these files series fit several different codes. Considerable time was spent reviewing the DOE Orders and interviewing personnel before a final determination could be made.

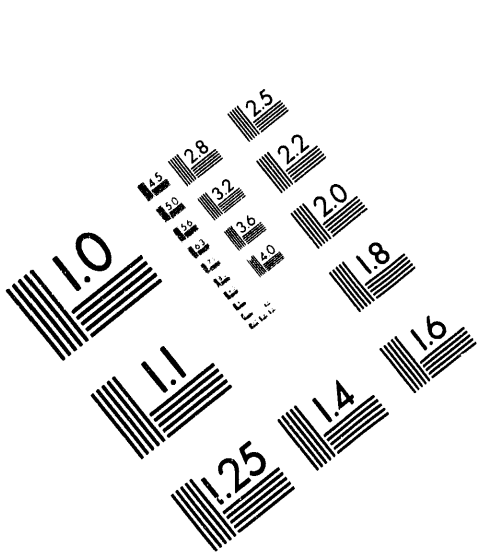
Once the primary codes were applied, the sixth piece of the puzzle was to determine the subordinate headings. For example, records management is a primary code. Document control, files management, micrographics, electronic records, etc. would be the subordinate headings.

Many of you know that you can buy puzzles ranging from six pieces into the thousands. The committee knew we had a complete puzzle at this point. However, we were not satisfied. We wanted the UFC to be a useful tool that would benefit the INEL. We chose the bigger picture and went looking for more pieces.

The seventh puzzle piece we found was the records schedules. These schedules are the means by which the disposition standards for records are published. The records inventories had identified the records schedules for most of the file series. The committee used these schedules for the UFC.

Determining filing instructions was the eighth puzzle piece. These filing instructions cover arrangement, cutoff, and disposition.

Arrangement refers to the method of assembly and handling of the records by date, subject, type of information recorded, or kinds of transactions reflected.

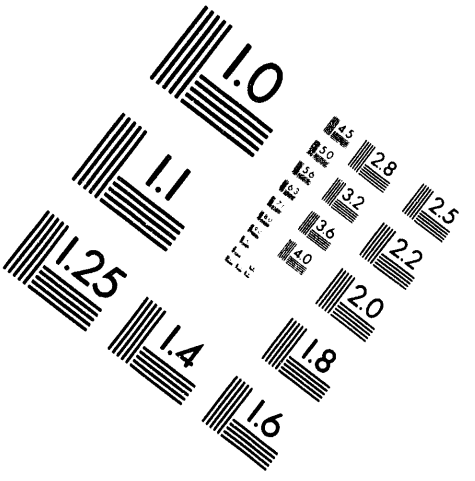


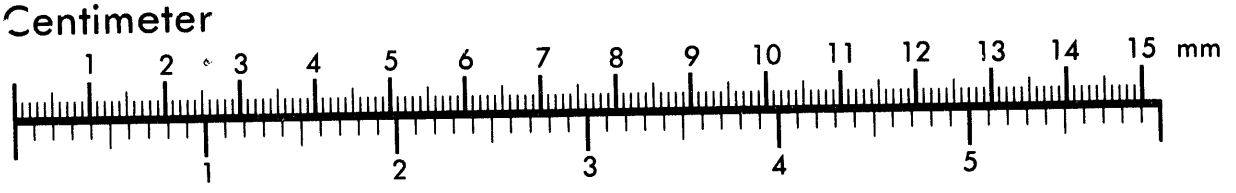


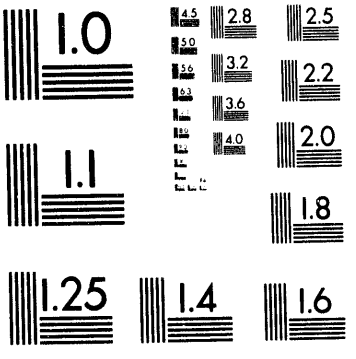
**Association for Information and Image Management**

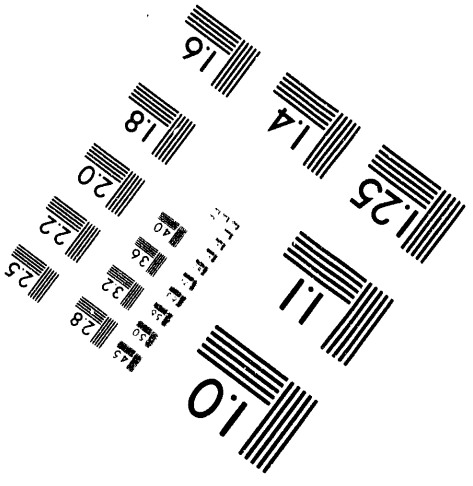
1100 Wayne Avenue, Suite 1100
Silver Spring, Maryland 20910

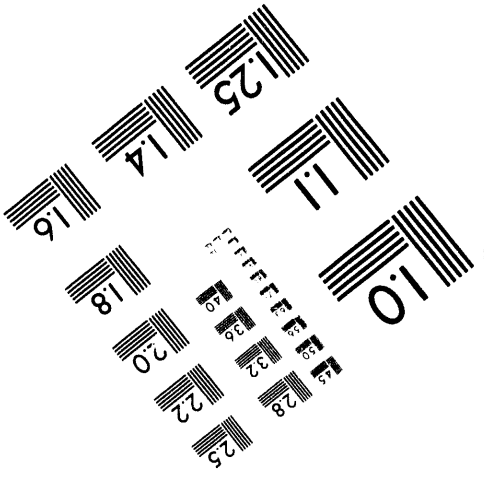
301/587-8202









MANUFACTURED TO AIIM STANDARDS
BY APPLIED IMAGE, INC.

3 of 10

Cutoff is the termination of a file at periodic intervals to facilitate continuous disposal of the filing series in complete blocks, sometimes called "file break." For example, monthly, quarterly, yearly, or as needed.

Disposition is the action taken to remove records from current files, including transfer to records holding areas, the Federal Records Centers, the National Archives for permanent retention, or destruction. For example, do you transfer the file to storage after two years or destroy it in the office.

The Committee also had a few missing pieces. The first piece to locate is concurrence on the UFC. The draft index has been distributed to the INEL Records Officers, records trainers, and committee members. Eighteen individuals will review and comment on the code, the file descriptions, the records schedules, and the cutoff instructions. We will then consider all comments.

While the code is being reviewed, we can find the second missing piece which is the development of a training course. This course will train employees on using the UFC and general files management concepts.

Once we assign a central point of contact to maintain the UFC, our puzzle will be complete. The UFC is a living document and maintenance of the index is necessary. For example, when new projects come on line, new subordinate filing codes will need to be identified.

Our efforts began in February 1993. Implementation of the UFC was scheduled for January 1, 1994. We are now only 90% complete. While we were putting our puzzle together, the committee learned lessons along the way. Time involved with fitting the file series into the codes was under estimated, new members had to be acquainted with goals and processes, file series information was submitted without records schedules, and the committee wanted a "user friendly" product.

The most significant accomplishment of putting the puzzle together was the cooperative multi-contractor approach in addressing and resolving files management problems in a proactive manner. Company Logos were left at the door.

When our puzzle is complete, the INEL will reap the benefits of the UFC. Records will be carefully organized and systematically maintained. Employees will be able to locate files at a moments notice, regardless of what office they are in.

# Where did you say those "*!#?@" files are?



# Think back to your teenage years.....



# I can't find it!



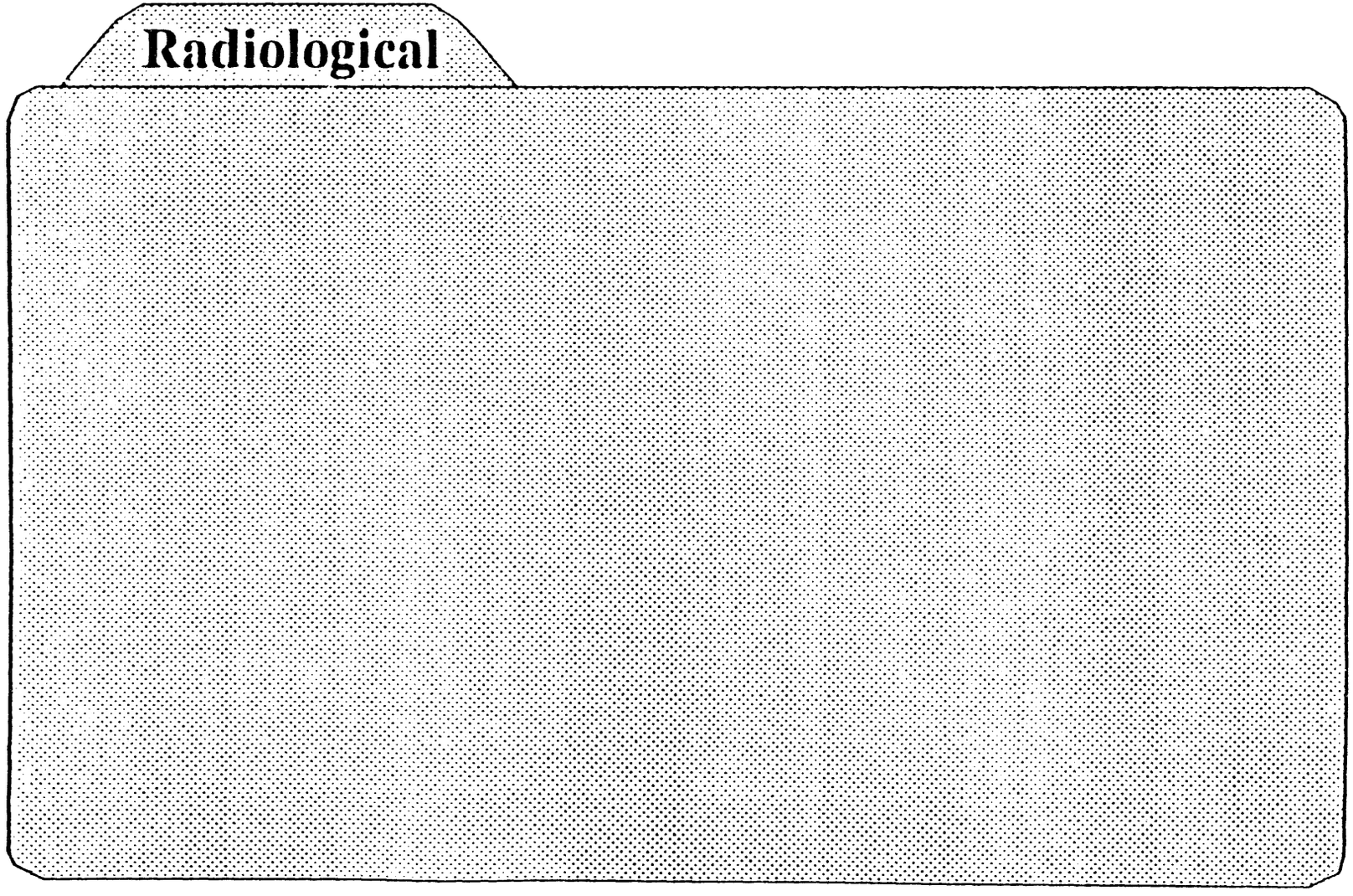
# Creation of a new filing system?

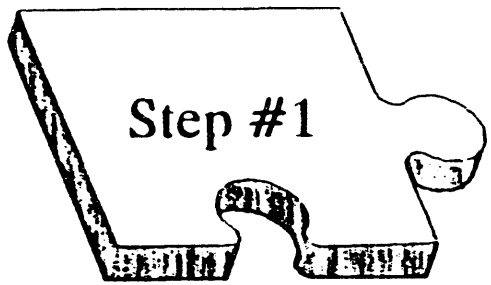


# "T" for Trash



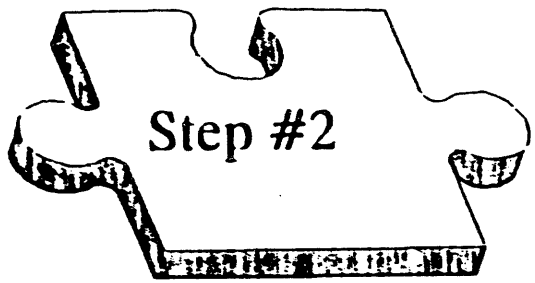
# File System Based on Association






# Where Do We Begin?

- Assemble a team
- Utilize experts from all contractors
- Accept concepts of records management

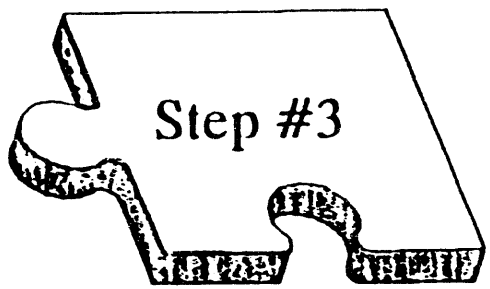



# What Type of Filing Code?

- Alphabetical
- Numerical
- Subject
- Combination

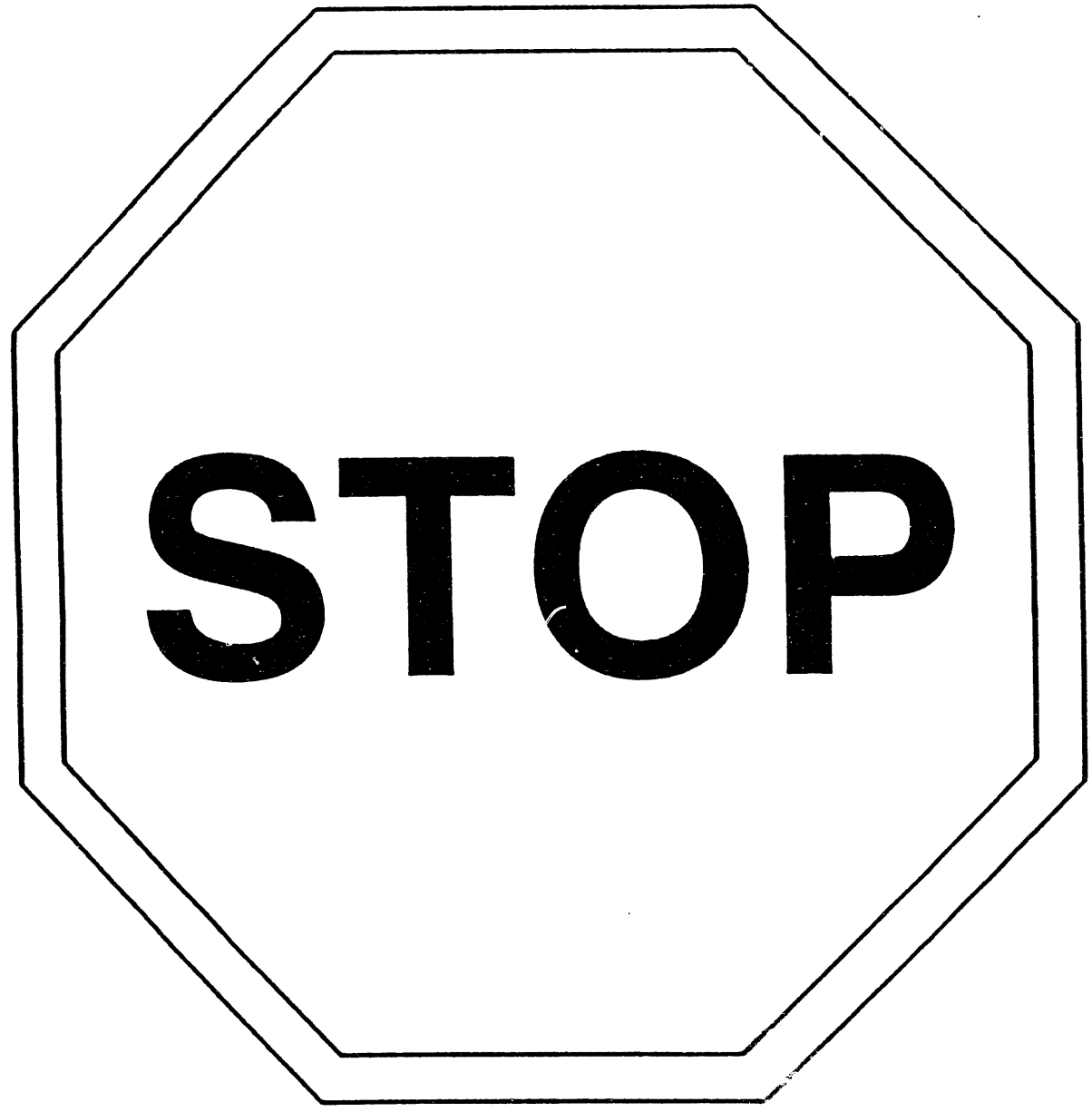
# I found it!

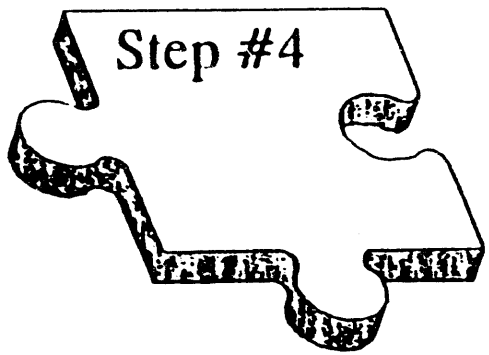





# Subject Filing Guidelines

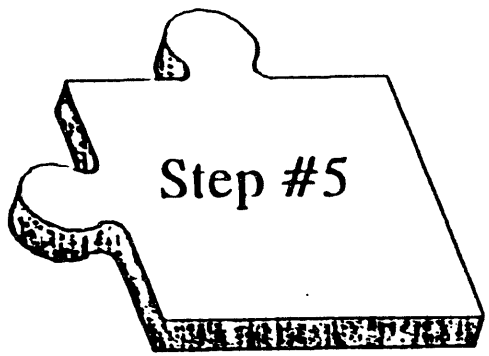
- Topic should reflect informational content
- Separate into file types
- Define codes/subjects


STOP



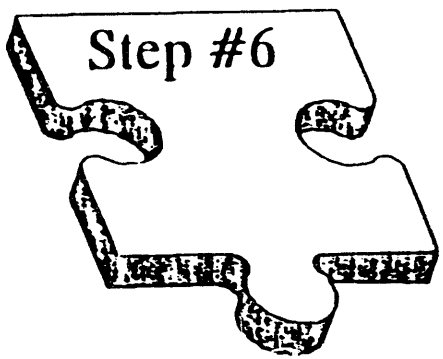

# Identification of Documents

- Inventory of active records
- Determine different file series




# Slotting of file Series

- Fitting existing file series into subject codes
- Coding needed to be clear
- Some file series fit different codes




# Create Subcategories

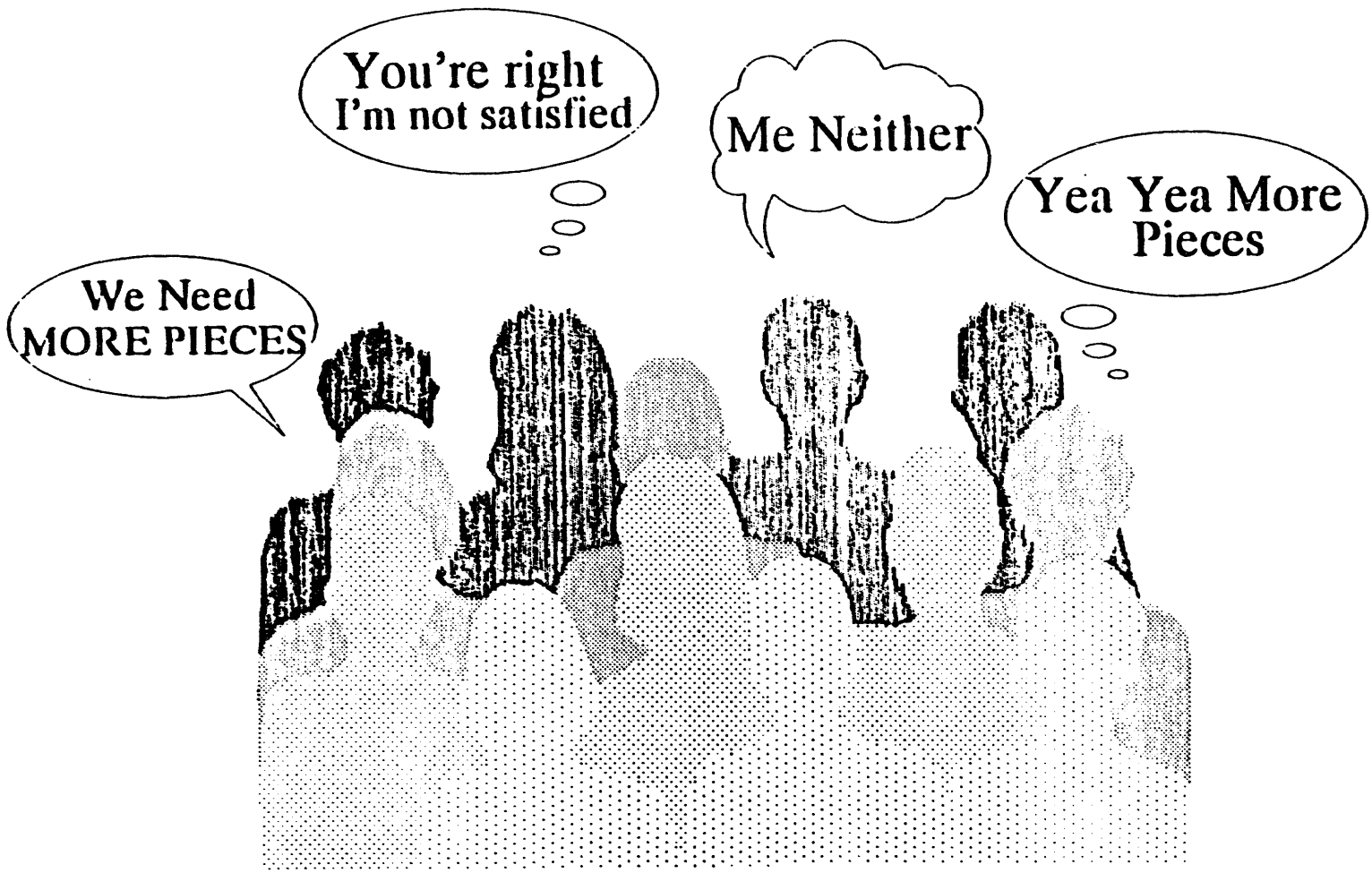
- Records management primary heading

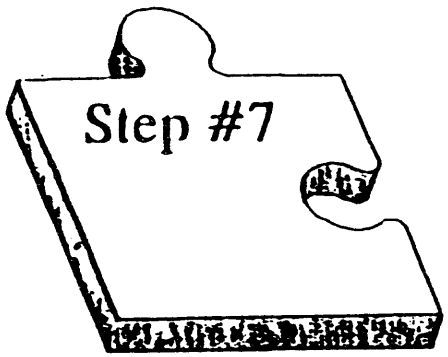
- Micrographics, electronic records are the subordinate headings

# Standard Subject Classification Code File Index

| Number | | Title |
|---|---|---|
| 1324 | | Records Management |
| | 10 | Document Control |
| | 20 | Electronic Records |
| | 30 | Files Management |
| | 40 | Micrographics Management |

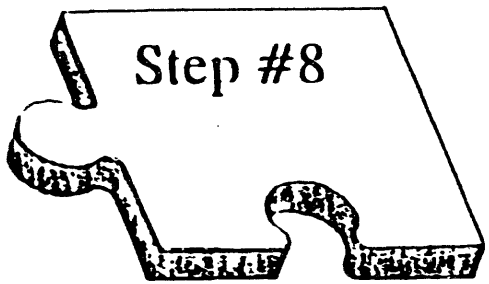
# Can't Get No Satisfaction






# Using the Records Schedules

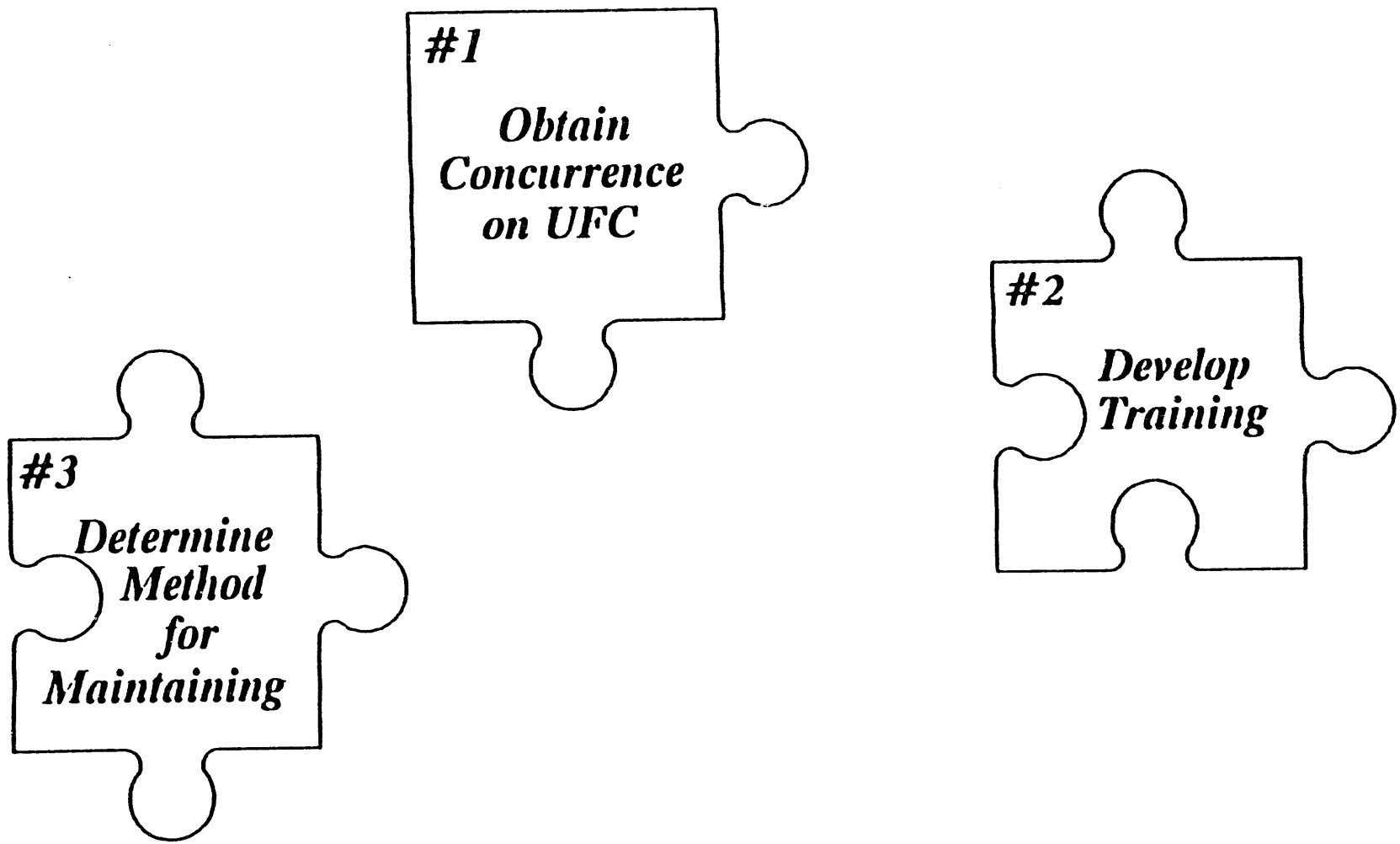
- Provided disposition standards
- Were identified by the inventories
- Schedules were used for the "UFC"




# Determining Filing Instructions

- Arrangement
- Cutoff
- Disposition

# The Missing Pieces



# Lessons Learned

- Time involved was underestimated
- New members had to be familiarized
- Records Schedules were missing
- "User Friendly" product

# Benefits

Systematically maintained

Carefully organized



Easy location of files

# Where did you say those "*!#?@" files are?



# APPRAISAL TALES OF THE CRYPT

Lynn Pavelka-Zarkesh
DOE GRAND JUNCTION PROJECT OFFICE

Lynn Pavelka-Zarkesh

Lynn has over 20 years commercial and governmental experience that includes the development and continued management of the Engineering Training Program at the Davis-Besse Nuclear Power Station. Her technical background includes the development and implementation of configuration management, records management, and automated document control programs. Assigned to the DOE Grand Junction Projects Office, she has been responsible for developing the program to implement the DOE mandated records inventory.

Lynn has authored and presented papers for the American Nuclear Society, the Symposium on Training of Nuclear Facility Personnel, and the DOE Records Management Conferences.

# Appraisal:
## Tales of the Crypt

DOE Records Management Conference
Charlotte, North Carolina
June 20–24, 1994


Presented by
**Lynn Pavelka-Zarkesh**
**RUST Geotech Inc.**



**U.S. Department of Energy**
**Grand Junction Projects Office**
**Contract No. DE-AC04-86ID12584**

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## ■ 1.0 Introduction

**The Tale**—The National Archives and Records Administration (NARA) recognizes eight basic steps for scheduling records: (1) review functions and recordkeeping requirements, (2) inventory records, (3) evaluate records as permanent or temporary, (4) draft disposition instructions, (5) draft schedule and obtain internal approval, (6) obtain NARA and General Accounting Office (GAO) approvals, (7) implement approved schedule, and (8) review and update schedule. The U.S. Department of Energy (DOE) has streamlined these steps as (1) perform a records inventory, (2) make recommendations, (3) obtain approvals, and (4) implement the schedule.

This Federal guidance is consistent with other noteworthy publications authored by records experts. They present the appraisal process as a clear-cut task. However, no mention is made of the administrative framework and tools required to implement the steps effectively when dealing with large volumes of data, complex organizations, overlapping responsibilities, and conflicting requirements and commitments. The 90-minute seminar and accompanying text will expose the participant to alternatives for organization and implementation of the appraisal process for development of site-specific records schedules.

By the conclusion of the "*Appraisal: Tales of the Crypt*" seminar, the participants will have been acquainted with

- The administrative framework needed to supports the segregation and appraisal of record series.
- The elements of the appraisal needed to satisfy the DOE, NARA, and implementation requirements.
- Tools to improve the administration of the appraisal process.
- The limited difference between a crypt and a records vault.

The seminar material has been adapted from internal training provided to records management personnel developing appraisals for the DOE Grand Junction Project Office. It was used in conjunction with on-the-job training. Before beginning appraisal training, personnel completed four separate seminars (totaling 20 hours) that integrated lecture and hands-on exercises pertaining to records management principles. The in-class exercises provide personnel with the skills necessary to effectively implement records management policies on a day-to-day basis. The four seminars cover records and the law; program and plan development; identification of records and nonrecords; quality records; records inventory; records schedules; file reorganization; file purging; and practice, practice, practice. All sessions can be customized to be site specific. Please contact Lynn Pavelka-Zarkesh (RUST Geotech Inc., P.O. Box 14000, Grand Junction, Colorado, 81502–5504) if you need additional information.

— Notes —

## ■ 2.0 Administration After the Physical Inventory

As the physical inventory is completed, the mounds of raw information will begin to multiply. It is essential to remain organized at all times so that information is not lost. While it is best to plan appraisal process before the physical inventory is started, reality will usually not permit this to happen. The next best scenario is to plan the appraisal process while the inventory is being implemented. However, the most common scenario is to be surrounded by inventory data sheets before the planning of the appraisal process is even conceived.

The technical and administrative tasks that follow are intended to promote an effective and efficient records appraisal process.

### ☐ Electronic Database

If the inventory was conducted using hardcopy, now is the time to roll it into an electronic format. The use of electronic media will permit faster search capabilities as well as provide the foundation for future documentation to satisfy NARA, DOE, and implementation of a records schedule without duplicate data entry. All the information from the inventory data sheet must be captured.

Many hardware and software alternatives are available to maintain records inventory data. Regardless of the hardware and software chosen, the system should have the following characteristics:

- Searchable data fields.
- A data field for each portion of the inventory form.
- Word search capabilities within a data field.
- A method to distinguish raw data series from "appraised" series.
- Report capabilities commensurate with search capabilities.
- Series status capabilities.
- Standard and ad hoc report capabilities.
- Conversion capability to the final records schedule.

The basic reports needed to begin the appraisal process should sort the records series data by organization, title, series status, and special classification (e.g., rights and interests, quality, epidemiologic). See Attachment 2A for data format.

### ☐ Validate and Edit

There are no short cuts to validation or editing. Each series must be examined for completeness, consistency, and accuracy. It is easier and more cost-effective to validate the record series information immediately following the physical inventory rather than in 12 months when the retention of inventory information by personnel has faded, the cost of delays may be critical, and the potential loss or transfer of original inventory staff is high. Data format also must be validated for consistency to ensure that reports can be

reliably generated. The following elements need to be considered during the validation and editorial process:

- Do the series titles reflect the actual titles used within the files?
- Are the titles for the same series consistent?
- Is the series description comprehensive?
- Has a series purpose been identified?
- Is the record/nonrecord designation correct?
- Is the file arrangement included?
- Are the access restrictions (security) noted?
- Have any special classifications been noted (e.g., epidemiologic, historical).
- Are all data fields complete?
- Is the spelling correct?
- Is the grammar correct?
- Is the information in the correct data field?
- Have all special notes from the inventory forms been captured?
- Has the records series been identified in lieu of a file group?

**Series Description**—A comprehensive record series description will enhance and expedite the evaluation process. It provides the information needed to match existing schedules, obtain DOE and NARA approval, and effectively implement the approved disposition. The challenge is developing a description that is meaningful to the person who will approve the appraisal as well as to the person who must implement the resulting schedule in the near and distant future. A cost-efficient approach is to prepare these descriptions before the formal appraisal process begins. Consider the following guidelines when editing or validating the records series descriptions:

- Describe the purpose (who, what, how, and/or why) of the series.
  *Example*: Required reading files used by management to ensure that appropriate individuals are made aware of important information that is related to their job function. Required reading assignments are dated and signed to verify completion.

- Document the duplication of the content, if any.
  *Example*: Duplicate reports maintained by the Internal Revenue Service.

- If project records, explain the purpose (*why*) and scope (*who*, *what*, and/or *where*) of the project.
  *Example*: The Cuyahoga River Remediation (CURR) project was established by the Federal Propagation Department to remove zebra clams (*stripedious-molluski*) from the Cuyahoga River and relocate them into an environment that will prevent uncontrolled reproduction and encourage extinction from the Great Lakes.

- Identify the documents as statistical or narrative.
  *Examples*: Contains statistics detailing annual budget trends.
  Contains field data for calculation of the chemical baseline of white chocolate mousse ice cream.
  Contains reports summarizing compliance issues.

- Identify the frequency and content of the reports.
  *Examples*: Contains project status reports prepared *annually*.
  Contains *daily* control room logs.

- Do not use form numbers alone, because a number change can void the disposition authorization.
  *Examples*: Contains records documenting the lending and borrowing of Government personal property *such as* DOE F4420.2, Personal Property Loan Agreement form.
  Contains Federal and DOE forms *relating to* the disposition and appraisal of records.

- Do not use form numbers when describing the contents of case files.

- Consider ending a long description with open-ended wording as a means of capturing all applicable documentation without being overly prescriptive.
  *Examples*: Contains status reports, project plans, baseline schedules, budget estimates, audits, and *related documents*.
  Contains Equipment Transfer/Excess forms (GJPO 1123) and *equivalent forms* documenting changes in property custodians.
  Contains documents showing the steps taken to use the metric system in procurements, grants, publications, and other *business-related* activities.

- Do not use *miscellaneous* or *general* in the description.

- Consult Section 7 of the *Disposition of Federal Records, A Records Management Handbook*, for additional guidance on describing audiovisual, microform, and other special records.

### ☐ Segregate the Physical Inventory Data

Organize the record series before starting the formal appraisal process. The series are frequently separated by organizational structure (e.g., treating each department's data as a separate schedule), by discipline (e.g., engineering, accounting, operations), by DOE file classification, or simply by those areas covered by DOE scheduling committees (e.g., Environmental Records Scheduling Group, Administrative Records Scheduling Group, Weapons Records Scheduling Group, and Technology Transfer Records Scheduling Group). The method used to segregate the data needs to consider the management and overall responsibility for the final records schedule, as well as senior management support of the records program and reporting requirements and milestones.

- *Warning*: Avoid dividing the record series so that the development of meaningful status reports is cumbersome or administratively labor intensive.

**Common Series**—When segregating series by organization, identify those series that are held by more than one organization. These series must be appraised for the entire facility

and not for each individual organization. Establish the Organization with Primary Responsibility (OPR) at this time to streamline the upcoming approval process.

- *Examples*: Section budget reports, supervisory personnel files, weekly reports, technical references, procedure development files, and required reading files.

**Reportability**—Regardless of the final method chosen to segregate the physical inventory data, it is imperative to have the data segregated so that progress can be reported. Support of the inventory by management is more easily maintained when meaningful progress reports are issued.

### ☐ Approval, Approval, Approval

Each facility will have a unique approval hierarchy. The level of final internal approval will depend on the confidence of senior management with the decisions made by middle management. Delegation of approval authority should be worked out with top management (e.g., president, general manger, facility manager, and grand poohbah). The number of independent approvals also will depend on the confidence of management with the records program and the OPR.

The approval process is by its nature cumbersome and lengthy. Development of a hierarchy for approvals is the most effective administrative mechanism to ensure that the approval cycle is comprehensive without being excessive. Distinguish between personnel providing an *approval* and personnel providing a *review* as the hierarchy is developed. The following list of topic categories can be used as guidance for the levels of approval necessary for the associated record and nonrecord series.

*Emergency Operating*—This category contains records vital to the essential functions of the Federal Government for the duration of an emergency resulting from an industrial accident, natural disaster, or attack on the country. These records include those necessary for the military effort; the mobilization and protection of material and work force resources, services, and systems; and the conduct of essential civil defense activities.

*Rights and Interests*—This category includes records that are essential to the preservation of the legal rights and interests of individual citizens and their Government. They originate in both DOE and DOE contractor organizations and require protection, but storage locations do not have to be at Emergency Operations Centers. These records include records maintained as the statutory office of records; citizenship records; employee records of payroll, leave, retirement, and insurance; records of significant amounts of money owed to the DOE or to DOE contractors, and, if needed, supporting records such as periodic summaries of financial status; and valuable research records.

*Company Vital*—This category addresses those records requiring additional storage and/or handling protection because of their value (legal, proprietary, historical, contractual, or as a "good business practice") to the continued effective operation of a company.

*Quality (Assurance)*—This category includes documents that furnish evidence of the quality of items or activities and that has been verified and authenticated as technically complete and correct. Records may include photographs, drawings, magnetic tape, and other data-recording material.

*Project*—This category contains unique records created or required to support project-specific activities and/or records specified by the project records list.

*Administrative*—This category addresses records relating to budget, personnel, supply, and other similar housekeeping activities for functions common to most organizations.

*Research and Development (R&D)*—This category contains the process and management records created by DOE or DOE contractors in the conduct of technical and scientific research activities such as to develop new concepts, techniques, equipment, and materials or to modify those in existence; to examine the characteristics of materials to determine their suitability for use in selected applications; or to perform special studies such as monitoring or reporting on the environmental and health effects of industrial pollution, radioactive and chemical spills, or releases into the atmosphere, water, or soil. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, and organizational levels, such as offices responsible for program direction, laboratories, and test facilities.

*Contractual*—This category includes records addressing contractual matters such as work-scope definition or change, contractual commitments, and contracts. These types of records also would include those record series specified in Schedule 7 of the "DOE Records Schedules" (DOERS).

The approvals for these categories will be dependent upon the available expertise. While some organizations will require approval by all major contributors, others will assign responsibility to the organization with the programmatic responsibility. See Attachment 2B for an example of an approval hierarchy.

### ☐ Identify the Technical Teams

The appraisal of records cannot be effectively accomplished in a vacuum. The records holders usually are the best source of technical and regulatory information regarding a specific series. Records personnel are the best source of information regarding the appraisal requirements and long-term records management goals and needs for the agency or organization. The challenge is to develop teams composed of records holders and

records personnel. This integration of expertise will save on training, reduce the learning curve, and, most importantly, develop support for the approval cycle and long-term implementation of the resulting records schedules.

At a minimum, informal support from records holders should be obtained before you formally begin appraising the records. Consideration should be given to ensure that the security classification of personnel preparing records schedules is compatible with the security classification of the records.

### ☐ Assemble an Appraisal Handbook

The appraisal team must maintain consistency and quality of the data and documents throughout the appraisal process. With the volume of information published by NARA and DOE, it is unnecessary to create new procedures. The assimilation of existing documents will provide the guidance needed by the appraisal team(s). The only items that will need to be added to a handbook are the site-specific administrative tools, database instructions, approval hierarchy, special forms, etc. However, it is imperative that revision control be established for the handbook.

The handbook may contain the following documents:

- The *current* General Records Schedule (GRS).
- The current DOE Order 1324.2A, *Records Disposition*.
- A Request for Records Disposition Authorization form (DOE F 1324.5).
- A Records Inventory and Disposition Schedule form (DOE F 1324.10).
- All site-specific SF115s or an example of an approved SF115.
- The results from the DOE records-scheduling committees
- NARA guidance on the evaluation of records.
- A list of the appraisal team members.
- A list of personnel authorized to approve appraisals
- An approval hierarchy.
- An appraisal traveler form.
- An appraisal tracking log.

### ☐ Capture New and Obsolete Series

Survival of a records program is dependent upon its ability to maintain its records schedule consistent with the records series at the facility. Records should be controlled throughout their life cycle and not at the end of their active life. This life-cycle control ensures that their creation, protection, storage, and use will compliment their long-term deposition. All new series, as well as obsolete series, must be reflected in the records schedule in a timely manner. Performing an annual records inventory or an inventory at the end of a project is not a cost-effective method for managing records and records schedules.

One of the most cost-effective methods for acquiring records series data is to ensure that procedures contain a records capture statement. Ideally the Records organization is a required procedure reviewer. However, if policy does not permit Records as a required reviewer, an internal policy can be implemented to review all procedures after they are effective.

## Attachment 2A—Electronic Format

**MERGED RECORDS INVENTORY INPUT DATA**
**5/23/94**

**Series Title:** MONTICELLO PROPERTIES-FOLIOS

**Primary Responsibility:** D&D OPERATIONS
**Record Holder(s):** RECORDS
**Nonrecord Holder(s):** N/A
**Item Type:** RECORD
**Medium Description:** PAPER, MYLAR DRAWINGS, PHOTOGRAPHS

**Series Description:**

MONTICELLO VICINITY PROPERTIES (MVP) AND MONTICELLO PERIPHERAL PROPERTIES (MPP). THE PROJECT SCOPE INCLUDES THE REMOVAL OF RADIOACTIVE MILL TAILINGS AND THE REMEDIATION OF PROPERTIES ADJACENT TO THE URANIUM MILLSITE IN MONTICELLO, UTAH.

PROPERTY FOLIOS CONTAIN DOCUMENTATION FOR EACH PERIPHERAL PROPERTY FROM INCLUSION THROUGH CERTIFICATION. DOCUMENTATION INCLUDES (BUT IS NOT LIMITED TO) LAND SURVEY AND FIELD ASSESSMENT DATA, RADIOLOGIC AND ENGINEERING ASSESSMENT (REA), REMEDIAL ACTION AGREEMENT (RAA), CONSTRUCTION AND CONSTRUCTION VERIFICATION DATA, RADON DAUGHTER CONCENTRATION (RDC) MEASUREMENTS, HEALTH AND SAFETY DATA, COMPLETION REPORT, CERTIFICATION DATA, WARRANTIES, AND CORRESPONDENCE.

**Purpose:** DOCUMENTS PROPERTY REMEDIATION.

**Arrangement:** FILES ARRANGED NUMERICALLY.

**Publication/Reports Produced:** N/A

**Additional Information:** Y

**Additional Description:** COVERAGE—PROJECT SPECIFIC.
FINDING AIDS—FOLIO INDEX.
CUTOFF—TRANSFER COMPLETED DOCUMENTS TO FOLIO MONTHLY.
ACCESS—BARCODED FOLIOS AND SELECTED DOCUMENTS IN CONTROLLED VAULT.

**Duplicate Information:** Y
**Duplicate Description:** MICROFICHE FOR COMPLETED PROPERTIES ARE STORED IN VAULT.
**Duplicate Type:** RECORD

**GRS/DOE Schedule Number:** N/A
**SF115 Item Number:** TO BE OBTAINED
**Retention Period:** TO BE DETERMINED

**Access Restriction:** INTERMEDIATE

**Special Classification:** NONE

**Special/Access Description:** N/A

**From Date:** 02/01/84
**To Date:** 01/20/93

**Total Volume:** 4.5000 CUFT
**Annual Volume:** 0.5000 CUFT

**Justification:** THESE RECORDS CONTAIN EVIDENCE OF LEGALLY ENFORCEABLE RIGHTS OR OBLIGATIONS OF THE FEDERAL GOVERNMENT. THEY ARE OF HISTORICAL VALUE BECAUSE THEY ARE RELATED TO EVENTS THAT AROUSE EXTENSIVE PUBLIC INTEREST AND CONTROVERSY.

## Attachment 2B—Approval Hierarchy

| Record/Nonrecord Topics | | OPR | Legal | Resp. Level III Mgr. | Records Mgmt. | DOE-GJPO | DOE-AL | DOE-HQ | NARA |
|---|---|---|---|---|---|---|---|---|---|
| Emergency Operating | REC | X | | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Rights and Interests | REC | X | X | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Company Vital | REC | X | X | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Quality | REC | X | | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Project | REC | X | | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Administrative | REC | X | | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Research and Development | REC | X | | X | X | X | X | X | X |
| | NON | X | | | X | | | | |
| Contractual Records | REC | X | X | X | X | X | X | X | X |
| | NON | X | | | X | | | | |

— Notes —

## ■ 3.0 A Match Versus an Appraisal

**A records appraisal** is the process of determining the value, and thus the disposition, of records on the basis of their administrative and other uses; their evidential, informational, or research value; their arrangement; and their relationship to other records.

There is a long-cycle and a short-cycle appraisal process. The short-cycle appraisal matches the record series to an existing DOE or NARA schedule or site-specific SF115. The long-cycle appraisal process includes determining the value of the series, recommending retention and disposition instructions, preparing the required forms, and obtaining internal and external approvals.

### □ Short-Cycle Appraisal Process

The short-cycle appraisal involves matching record series to record series in existing approved schedules. If the disposition has the appropriate internal approvals, no further action is required. If the disposition is to be changed, the long-cycle appraisal process must be used.
*Warning*: The match must be to the series description and not just to the series title.

**DOE Records Schedules (DOERS)**—These schedules contain NARA-approved disposition authorizations unique to DOE. They are to be used in conjunction with the GRS. The schedules are an attachment to DOE Order 1324.2A, "*Records Disposition.*" The schedules are used in the same manner as the GRS. (See Attachment 3A for a comparison of the GRS and DOERS contents.) Unlike the GRS, the DOERS contains permanent retention periods. (See Attachment 3B for a DOERS subject index.)

**General Records Schedules (GRS)**—These NARA-issued schedules govern the disposition of records common to several or all Federal agencies. The GRS covers records documenting administrative or housekeeping functions rather than unique program functions. Many of these administrative functions are regulated by oversight agencies (e.g., General Accounting Office, General Services Administration). The GRS also covers certain electronic, audiovisual, cartographic, architectural, and engineering records. The GRS does not apply to program records, records covered by exceptions granted in SF115s, or permanent records.

There are three finding aids within the GRS: the "Table of Contents," the "Subject Index," and the "Forms Index." The introduction to each schedule also contains specific guidance with respect to applicability, date limitations, and exclusions. It is imperative to read the introduction to each schedule to ensure its applicability to the records series.

The schedules being developed and released by the DOE Records Scheduling Groups are the next place to search if the GRS cannot be applied to the record series.

**DOE Records Scheduling Groups**—New DOE-specific schedules for records series common to DOE facilities are being developed by the DOE Records Scheduling Groups. The common records series have been divided into five major areas: environmental, administrative, weapons, technology transfer, and tentatively R&D (Research and Development). Those

series that are being considered by these groups need to possess a distinct identifier that promotes routine comparison with the Record Scheduling Groups' schedules as they are issued for review and implementation.

Use of the GRS, the DOERS, and Records Scheduling Group schedules allows records personnel to concentrate on scheduling records that are *unique* to their organization or mission. If none of the existing schedules provide a match to the record series description or there is justification for a disposition different from an approved schedule, then the long-cycle appraisal must be pursued.

### ☐ Long-Cycle Appraisal Process

The first element of the long-cycle appraisal process is determining the value of the records. All records have value to an agency/organization because

- Records are the basic administrative tool used to conduct business.
- Records document organization, functions, policies, decisions, procedures, and essential transactions.
- Records furnish information necessary to protect the legal and financial rights of the Government and persons directly affected by the Government's activities.

Records also have value to NARA because it is responsible for the preservation of all Federal records. Record values fall into overlapping categories. Administrative, fiscal, and legal values are usually agency/organization values and warrant temporary retention. A historical value is usually of importance to NARA and may warrant permanent retention.

*Administrative Value*—The usefulness of records to the originating or succeeding agency/organization in the conduct of current business. It applies to both program and administrative records.
*Examples*: Self-assessment files, procedures, commitment tracking, job postings, and weekly reports.

*Fiscal Value*—The usefulness of records for information about the financial transactions and obligations of agencies and organizations.
*Examples*: Budget records showing how expenditures were planned, vouchers indicating how funds were spent, and accounting records that summarize expenditures.

*Legal Value*—The usefulness of records containing evidence of legally enforceable rights or obligations of the Government and/or private persons.
*Examples*: Legal opinions; claims papers; legal dockets; documents containing legal agreements; records pertaining to criminal investigations, workers' compensation, exposure to hazardous material, and issuance of licenses; and records relating to loans and subsidies.

*Historical Value*—The usefulness of records for historical research to document organization, functions, and activities (evidential value) or to document persons, places, things, or matters dealt with by an agency (informational value).

*Examples*: Record set of policies, procedures, and plans for program functions; selected environmental restoration records for property contaminated by the Government; and research studies.

The following technical resources need to be consulted for additional guidance pertaining to the series value as well as for retention periods and disposition instructions:

- Regulatory guidance.
- Contractual requirements.
- Other Federal agency requirements (e.g., U. S. Environmental Protection Agency, Department of Transportation, Department of Defense, Internal Revenue Service, and General Accounting Office).
- State or local government requirements.
- Good business practices.
- Pending litigation.
- Program plans.
- Facility precedence.

Review all the applicable resources so that the disposition and retention guidelines are based on realistic and informed assessments of the record's value. The information gained while determining the value of the record will permit further segregation of the series into those eligible for permanent retention and those eligible for temporary retention.

**Permanent Retention**—NARA views the following general series as eligible for permanent retention: records on organizations and functions; formal minutes of boards and commissions; records of internal agency, interagency, and non-Federal committees; legal opinions and comments on legislation; formal directives, procedural issuances, and operating manuals on program functions; selective evaluations of internal operations; analytical research studies and periodic reports; agency histories and selected background materials; briefing materials; public relations records; publications; selected audiovisual and graphic records; general correspondence or subject files documenting substantive agency programs; selected case files; and selected scientific and technical data and social and economic microdata.

The previous general series guidelines apply only to current records. (Refer to *Disposition of Federal Records,* Appendix C, "Appraisal Guidelines for Permanent Records.")

**Temporary Retention**—If a series is not permanent, it is considered temporary. Even a retention period of 75 years is temporary.

After the series evaluation, the next step will be to draft the dispositions and prepare the required DOE and NARA documentation (forms).

## Attachment 3A—GRS and DOERS Content Comparison

| GRS Schedules | No. | DOERS Schedules |
|---|---|---|
| Civilian Personnel Records | 1 | Medical, Health, and Safety |
| Payrolling and Pay Administration | 2 | Industrial Facility |
| Procurement, Supply and Grant | 3 | Nuclear Weapon |
| Property Disposal | 4 | Facility |
| Budget Prep., Presentation, Apportionment | 5 | Special Materials Accountability |
| Accountable Officers Accounts | 6 | Equipt. Control, Maintenance, Operations |
| Expenditure Accounting | 7 | Legal |
| Stores, Plant, and Cost Accounting | 8 | Procurement, Supply, and Grant |
| Travel and Transportation | 9 | Property Disposal |
| Motor Vehicle Maintenance and Operations | 10 | Budget Prep., Presentation, Apportionment |
| Space and Maintenance | 11 | Accountable Officers Accounts |
| Communications | 12 | Travel and Transportation |
| Printing, Binding, Duplication, Distribution | 13 | Communications |
| Information Services | 14 | Design and Construction Drawings |
| Housing | 15 | Personnel |
| Administrative Management | 16 | Individual |
| Cartographic, Aerial Photographic, Architectural, and Engineering | 17 | R&D (Research and Development) |
| Security and Protective Services | 18 | --- |
| Rescinded | 19 | --- |
| Electronic | 20 | --- |
| Audiovisual | 21 | --- |
| Inspector General | 22 | --- |
| Records Common to Most Offices Within Agencies | 23 | --- |

## Attachment 3B—DOERS Alphabetical Subject Index

| Subject | Schedule | Item |
|---|---|---|
| **Accountable Officers Accounts** | | |
| Audit Files | 11 | 1 |
| Pension Plan | 11 | 2 |
| Casualty Insurance Case Files | 11 | 3 |
| Worker's Compensations Case Files | 11 | 3 |
| **Budget** | | |
| Background | 10 | 4 |
| Correspondence | 10 | 3 |
| Estimates | 10 | 2 |
| Policy | 10 | 1 |
| Justifications | 10 | 2 |
| **Communications** | | |
| COMSEC Records | 13 | 1 |
| **Design and Construction Drawings** | | |
| Architectural Significance–Design | 14 | 1b |
| Architectural Significance–Construction | 14 | 2d |
| Construction Completion Files | 14 | 2b |
| Construction Files | 14 | 2 |
| Finding Aids | 14 | 5 |
| Historical Significance–Design | 14 | 1b |
| Historical Significance–Construction | 14 | 2d |
| Initial Design Planning | 14 | 1a |
| Project Planning and Design | 14 | 1 |
| Quality Assurance | 14 | 6 |
| Technological Significance–Design | 14 | 1b |
| Technological Significance–Construction | 14 | 2d |
| Working Drawings | 14 | 2a |
| **Equipment** | | |
| History | 6 | 1 |
| Property Transfer | 6 | 1a |
| Utilization Reports | 6 | 2 |

**Facility Records**

| | | |
|---|---|---|
| Facility Inventory | 4 | 1 |
| Facility Maintenance | 4 | 2 |
| Management Records | 4 | 3 |
| Plant Operational Source Records–Power/Utility | 4 | 3b |

**Individual Records** (see Training)

**Industrial Facility**

| | | |
|---|---|---|
| Analytical Laboratory Control Records | 2 | 9 |
| Barrier Records | 2 | 10 |
| Batch Data–Laboratory | 2 | 9d |
| Deviation Files | 2 | 4c |
| Engineering Reports | 2 | 5d |
| Equipment Maintenance | 2 | 7 |
| Equipment Records | 2 | 7c |
| Equipment Service Life | 2 | 7a |
| Generators | 2 | 8f |
| Industrial Methods | 2 | 5 |
| Industrial Work Reports | 2 | 5b |
| Logs–Analytical | 2 | 9b |
| Logs–Control Room | 2 | 8a |
| Material Processing | 2 | 9 |
| Monitored Equipment Records | 2 | 7b |
| Operations Summary Reports | 2 | 8c |
| Procedures–Industrial Methods | 2 | 5a |
| Process History | 2 | 4b |
| Process Transfer Records–Laboratory | 2 | 9f |
| Product Management | 2 | 4 |
| Production Equipment Inventory Control | 2 | 6 |
| Progress Reports | 2 | 3 |
| Project History Files | 2 | 4a |
| Quality Control | 2 | 4d |
| Reactor Operations–Source Records | 2 | 8e |
| Reactor Temperature Control | 2 | 8d |
| Recorder Charts | 2 | 8h |
| Research and Reactor Materials Allocation | 2 | 11 |
| Sample Analysis Data | 2 | 9c |
| Sample Reports–Laboratory | 2 | 9e |
| Sampling Checklists | 2 | 5e |
| Seal Files | 2 | 4f |
| Shift Supervisor Logs | 2 | 8b |
| Work Control Records | 2 | 9a |
| Work Permit Log Sheets | 2 | 2a |
| Work Permits–Photographer | 2 | 2c |

**Industrial Facility** (continued)

| | | |
|---|---|---|
| Work Permit Records–Electrical | 2 | 2b |
| Work Simplification Case Files | 2 | 5e |
| X-Ray Film | 2 | 4e |

**Legal**

| | | |
|---|---|---|
| Employee Patent Agreement Forms | 7 | 5 |
| Docket Files–Patents | 7 | 6 |
| Invention Disclosure Logs and Ledgers | 7 | 10 |
| Invention Reports–Nuclear | 7 | 8 |
| Litigation Files | 7 | 9 |
| Patent Applications | 7 | 2 |
| Patent Applications–Nuclear | 7 | 8 |
| Patent Contracts | 7 | 3 |
| Patent Infringement | 7 | 7 |
| Patent Licensing | 7 | 4 |
| True Copy Certifications | 7 | 11 |
| Congressional Hearing Case Files | 7 | 12 |

**Medical, Health, and Safety**

| | | |
|---|---|---|
| Accidents | 1 | 1d |
| Ambulance Service Reports | 1 | 2e |
| Auxiliary Fire Brigade | 1 | 2g |
| Contamination Surveys | 1 | 5d |
| Biological Laboratory Records | 1 | 10 |
| Employee Health Hazard Case Files | 1 | 6 |
| Engineering Studies–Radiation | 1 | 5f |
| Environmental Contamination Records | 1 | 8 |
| Fire Alarm System | 1 | 2f |
| Fire Extinguisher–History | 1 | 2b |
| Fire Extinguisher–Inspection | 1 | 2c |
| Fire Station Operating Logs | 1 | 2d |
| Fire Unit Records | 1 | 2 |
| Health Research Project Case File | 1 | 3 |
| Industrial Hygiene Logsheets | | |
| Investigations–Fire | 1 | 2a |
| Investigations–Hazardous Exposure | 1 | 4c |
| Medical Research Project Case Files | 1 | 3 |
| Meteorology Records | 1 | 12 |
| Occurrence Reports | 1 | 1a |
| Personnel Exposures–Chemical | 1 | 4 |
| Personnel Exposures–Radiation | 1 | 5a |
| Personnel Injury Files | 1 | 11 |
| Procedures–Radiation Control | 1 | 5b |
| Procedures–Calibration | 1 | 7a |
| Procedures–Environmental Samples | 1 | 8a |

**Medical, Health, and Safety** (continued)

| | | |
|---|---|---|
| Radioactive Waste Disposal | 1 | 9 |
| Radiation–Contamination Control Programs | 1 | 5 |
| Radiation Control Logbooks | 1 | 5c |
| Radiation Detection Instrumentation | 1 | 7 |
| Radiation Monitor Records | 1 | 5e |
| Radiation Surveys | 1 | 5d |
| Safety Glasses–Prescriptions | 1 | 1e |
| Safety Management Records | 1 | 1 |
| Safety Program Correspondence | 1 | 1b |
| Safety Inspections | 1 | 1c |
| Unplanned Deposition | 1 | 9d |

**Nuclear Weapons**

| | | |
|---|---|---|
| Certificates of Inspection | 3 | 4c |
| Drawings–Design | 3 | 1a |
| Drawings–Engineering Releases | 3 | 1e |
| Drawings–Equipment | 3 | 1d |
| Drawings–Fabrication | 3 | 1b |
| Drawings–Production Tool | 3 | 1c |
| Drawing System Records | 3 | 1 |
| Major Assembly Releases | 3 | 5 |
| Quality Audit Reports | 3 | 4b |
| Quality Assurance | 3 | 4 |
| Reports | 3 | 5 |
| Test and Inspection Data and Analysis | 3 | 2 |
| Weapon Assembly/Disassembly | 3 | 3 |
| Weapons Test and Inspection Data | 3 | 4a |

**Personnel Records (M&O Contractors)**

| | | |
|---|---|---|
| Case Files | 15 | 4a |
| Health Unit Control Files | 15 | 4c |
| Health Unit Records | 15 | 4 |
| Individual Appointment Files | 15 | 4b |
| Individual Personnel Files | 15 | 1 |
| Personnel Office Records | 15 | 2 |
| Job Classification Manuals | 15 | 3 |

**Procurement, Supply, Grant**

| | | |
|---|---|---|
| Unique Procurement Files | 8 | 1 |
| Priorities and Allocation | 8 | 2 |

| | | |
|---|---|---|
| **Property Disposal** | | |
| Disposal Case Files | 9 | 2 |
| Contracts–Nuclear Materials | 9 | 3 |
| Leasing–Nuclear materials | 9 | 5 |
| Transfer–Nuclear Materials | 9 | 4 |
| Surplus Property Case File | 9 | 1 |
| **R&D (Research and Development)** | | |
| Permanent R&D Project Records | 17 | 1 |
| Nonpermanent R&D Project Records | 17 | 2 |
| R&D Not Using Project Filing Method | 17 | 3 |
| **Special Materials Accountability** | | |
| Accountability–Reports | 5 | 4 |
| Losses–Reports | 5 | 5 |
| Material Transfer Files | 5 | 8 |
| Material Shipping Files | 5 | 9 |
| Shipper/Receiver Differences–Reports | 5 | 6 |
| Transfer Journals | 5 | 7 |
| Request for Materials | 5 | 1 |
| Materials Allocation | 5 | 3 |
| Materials Allotment | 5 | 2 |
| **Training Records** | | |
| Employee Files | 16 | 1 |
| Attendance Records | 16 | 2 |
| Administrative Files | 16 | 3 |
| Drill Guides/Scenarios | 16 | 4 |
| Correspondence–Course | 16 | 5 |
| Training Aids | 16 | 6 |
| **Travel and Transportation** | | |
| Hazardous Material | 12 | 1 |

— Notes —

## ■ 4.0 Appraisal Documentation

A record series appraisal must be documented on both the Request for Records Disposition Authorization form (DOE F 1324.5) and Request for Records Disposition Authority form (SF115). While this seems relatively insignificant, the format and data requirements are different. In addition, the requirements for a Records Inventory and Disposition Schedule (RIDS) form (DOE F 1324.10) present a third variation in format and data requirements. The series description, disposition justification, retention period, cutoff, and other disposition instructions must be in a compatible format to eliminate duplicate data entry and updates for each of the required forms.

When all the administrative tools are defined and functioning, the actual disposition instructions should be drafted. The disposition instructions need to be written clearly and concisely so the retention period and any transfers can be consistently implemented.

### ☐ Database and Reports

Ideally, the database permits capture, editing, and printout of all the fields of information without duplication. By comparing the requirements of the Request for Records Disposition Authorization form (DOE F 1324.5) and Request for Records Disposition Authority (SF115), the individual requirements for the database are established. To be prepared to implement the schedule after the appraisal is approved, data requirements for the Records Inventory and Disposition Schedule (RIDS) form (DOE F 1324.10) and long-term schedule implementation also need to be identified.

A matrix has been assembled that compares the data and approval requirements for the DOE and NARA appraisal forms, the DOE schedule, and overall schedule implementation. (See Attachment 4A.) This matrix can be used to establish database and reporting requirements. Note that implementing the schedule requires more information than obtaining approval of any one form. (See Attachments 4B and 4C for examples of electronically generated reports.)

### ☐ Permanent Record Disposition

When records are proposed as permanent, the disposition instructions need to include the following elements:

- Use the word "permanent" to designate the series that may have sufficient value to warrant archival preservation by the National Archives. It is helpful for the word PERMANENT to be obvious.
  *Warnings*: Alternate words, such as indefinite, should not be used.
  Lengthy retention periods are not the same as "permanent."
  Do not use permanent in conjunction with a long retention period, e.g., "Permanent, retain for 100 years."
  *Example*: PERMANENT. Cut off at the closure of the contract and transfer to National Archives.

- Include cutoff instructions.
  *Examples*: Cut off at the end of the fiscal year.
  Cut off at the closure of the contract.
  Cut off at end of month in which the case is closed.

- Transfer instructions should specify the timing and blocking for a Federal records center, if applicable, and the National Archives. (Reference 36 CFR 1228.150 for records center names.)
  *Example*: PERMANENT. Cut off at the end of the fiscal year and transfer to Dayton Federal Records Center 2 years after cutoff. Transfer to the National Archives in 5-year blocks 20 years after cutoff (e.g., transfer 1981-85 block in 2006).

- Timing of the transfer should be based on the length of time after the cutoff. Paper records should be transferred within 30 years, audiovisual records within 5-10 years, and electronic records as soon as they become inactive or the maintenance requirements cannot met .
  *Warning*: Avoid "transfer when x years old." Use transfer x years after cut off.
  *Examples*: Transfer 20 years after cutoff.
  Transfer to inactive storage 2 years after publication of the article.

- Records should be chronologically grouped (blocked) so that they are dealt with as a unit for their efficient transfer.
  *Examples*: Transfer in 5-year blocks.
  Transfer tapes in 2-year blocks.
  *Warning*: Electronic records are not blocked.

- Specify the name of the facility when transferring to a regional National Archives.
  *Example*: Transfer microform to the National Archives–Alaska Region at the end of the calendar year.

- Include any Freedom of Information Act records or security-classification access restrictions to be imposed by NARA for records recommended for immediate transfer to the National Archives.

- Ensure that the disposition can be implemented consistently (e.g., from file cutoff to final repository) and within the scope of accepted technology and approved procedures.

### ☐ Temporary Record Disposition

When records are proposed as temporary, the disposition instructions need to include the following elements:

- Avoid proposing retention periods exceeding 10 years after creation, cutoff, case file closing, or some other definite event unless there is adequate justification.

- If records are proposed for destruction, make sure the instructions contain the term *destroy*.
  *Warning*: Avoid the use of *dispose of* because it may mean to donate to another agency or to destroy.
  *Example*: Destroy 3 years after cutoff.

- Express the retention period as a fixed period after the records were created or after a predictable event.
  *Examples*: After completion (of a project, study, or audit).
  After sale or transfer (of property).
  After publication (of monthly reports).
  After superceded (by directive or procedure)
  After revision or cancellation (of a form).
  After audit (of an account).
  After acceptance or rejection (of an application).
  After settlement (of a claim or litigation).
  After acceptance (of a bid or recommendation).
  After end of the fiscal year (for budget reports).
  After termination (of employment).
  After transfer (of an employee).
  After conversion (for records in another medium).

- Express retention periods that are fixed rather than contingent on an event. If an event is used, ensure that the records organization can be notified in a timely manner that the event has taken place and that the date of the event can be clearly defined.
  *Examples*: Destroy when superceded by a revised plan.
  Destroy 3 years after lease expires.

- Avoid scheduling temporary records for destruction when *no longer needed*. This leads to inconsistent implementation by personnel using the schedule and increases the risk of inadvertent destruction.

- Ensure that the disposition chosen for the series applies to all files in the series.
  *Warning*: Policy documents and correspondence are frequently filed by subject; however, policy documents require a longer retention period.

- Ensure that the disposition can be implemented consistently (e.g., from file cutoff to final destruction) and within the scope of accepted technology and approved procedures.

### ☐ Cutoff and Transfer Instructions

**Record Cutoff**—A record's retention period needs to have a starting point. Because files usually contain records that are created at different times, a common starting point needs to be identified to prevent dispositioning records daily. This common starting point is established by breaking or ending files at regular intervals, more commonly referred to as a cutoff.

Agencies and orgar zations may issue general instructions applicable to all records or incorporate specific instructions into the each schedule item. The decision needs to be based on which method will ensure consistent and accurate implementation. Unless there is an unusual volume of records or extenuating circumstances, the following guidance is applicable to expressing a cutoff interval:

- For records with a retention period of less than 1 year, cut off at an interval equal to the retention period.

- For records with retention periods of 1 year or more, cut off at the end of the year. Be sure to specify either calendar or fiscal year.
  *Examples*: Cut off (budget summary reports) at end of fiscal year and transfer to Inactive Vault.
  Cut off (applications) at end of calendar year.

- For records with retention periods based on an *event* or an *action*, cut off on the date the event occurs or the action is completed, and then apply the retention period.
  *Example*: Cut off files when the Internal Revenue Service is sold. Destroy 8 years after cutoff.

- For records with retention periods that are based on a specific *time period* after an event or action, place the records in an inactive file after the event or action is completed and cutoff at the end of the fiscal or calendar year. Then apply the retention period.
  *Example*: Cut off (budget summary reports) at end of fiscal year and transfer to Inactive Vault. Destroy 6 years after cutoff.

- Cut off case files at the end of the year in which the case is closed.

**Record Transfer**—Records with rather short retention periods or high reference activity will normally not be transferred. Records with longer retention periods and low reference activity are suitable for transfer to either on-site or off-site storage areas or a Federal records center (FRC). In other cases, records are scheduled for transfer to the National Archives from the organization/agency or to an FRC. A change in transfer instructions does not require submittal of a new SF115, only a letter of request.

- All of the transfers need to be described.
  *Example*: Cut off files at the end of the fiscal year and transfer to inactive file cabinets. Hold in inactive files for 2 years then transfer to Storage Vault 4. Destroy files 13 years after cutoff.

**Microform Transfer**—The transfer of microform should be detailed separate from the transfer of paper records. The transfer timing of film is typically 5 years or less, while paper can be retained for up to 30 years before transfer to NARA.

- Detail the type of film and duplicates as part of the transfer instructions.
  *Example*: Transfer silver master plus one diazo duplicate to the Denver Federal Records Center in 5-year blocks. Transfer silver master to NARA when project is completed.

## ☐ Nonrecords

Nonrecords must be scheduled. Although preparation of a Request for Records Disposition Authorization form (DOE F 1324.5) and Request for Records Disposition Authority (SF115) are not required, the retention of nonrecords must be approved internally. The retention of nonrecords must be captured on the Records Inventory and Disposition Schedule (RIDS) form (DOE F 1324.10), as well as defined for overall implementation of a records management program.

- Nonrecord series should be purged periodically of material no longer needed.
- Do not schedule nonrecords series for longer than their records series counterpart.

## Attachment 4A–Appraisal Matrix

| Requirement | DOE F 1324.5 | NARA SF115 | DOE RIDS | Imple-ment |
|---|---|---|---|---|
| **Series Title** | ● | ● | ● | ● |
| **Record/Nonrecord** | Record Only | Record Only | Both | Both |
| **Responsible Organization** | | | | ● |
| **Record/Nonrecord Holders** | | | ● | ● |
| **Series Description** | ● | ● | ● | ● |
| **Series Purpose** | ● | ● | ● | ● |
| **Special Classifications** | | | | |
| Epidemiologic | a | ● | ● | ● |
| Rights and Interests | a | ● | ● | ● |
| Emergency Operating | a | ● | ● | ● |
| Quality | a | ● | ● | ● |
| Company Vital | | | | ● |
| Historical | a | ● | ● | ● |
| **Arrangement** | ● | b | | ● |
| **Access Restrictions** | | c | | ● |
| **Medium Description** | ● | ● | ● | ● |
| **Inclusive Dates** | ● | ● | ● | ● |
| **Total Volume** | ● | b | | ● |
| **Annual Accumulation** | | b | | ● |
| **Disposition Authority** | | | ● | ● |
| **Appraisal Justification** | ● | d | | |

| Requirement | DOE F 1324.5 | NARA SF115 | DOE RIDS | Imple-ment |
|---|---|---|---|---|
| **Disposition Instructions** | ● | ● | ● | ● |
| **Cutoff Instructions** | ● | ● | ● | ● |
| **Approvals (5):** | | | | |
| Organization with Primary Responsibility | ● | | | |
| Contractor/Site Records Manager | ● | ● | ● | |
| Legal Counsel | e | | | |
| Historian | e | | | |
| Local DOE Records Liaison | ● | | ● | |
| DOE Operations Office Records Officer | ● | | ● | |
| Records Mgt. Director DOE Headquarters | | ● | | |
| Archivist of the United States (NARA) | | ● | | |

[a]Include reference to special classification in the justification.

[b]Include when requesting a permanent retention period.

[c]Include instructions when series contains records under the auspices of the Freedom of Information Act or requiring a security classification.

[d]Include when requesting an exception to the GRS.

[e]The approvals address the requirements at the DOE Grand Junction Projects Office. The approvals must be customized for each DOE and DOE contractor to account for the site-specific chain of command.

[f]Include when required by the approval hierarchy.

## Attachment 4B—DOE F 1324.5 Report Format

**REQUEST FOR RECORDS DISPOSITION AUTHORIZATION**
**CONTINUATION PAGE FOR DOE F 1324.5**

**5. Identification of Filing Unit**

**Series Title:** MONTICELLO PROPERTIES-FOLIOS

MONTICELLO VICINITY PROPERTIES (MVP) AND MONTICELLO PERIPHERAL PROPERTIES (MPP). THE PROJECT SCOPE INCLUDES THE REMOVAL OF RADIOACTIVE MILL TAILINGS AND THE REMEDIATION OF PROPERTIES ADJACENT TO THE URANIUM MILL SITE IN MONTICELLO, UTAH.

PROPERTY FOLIOS CONTAIN DOCUMENTATION FOR EACH PERIPHERAL PROPERTY FROM INCLUSION THROUGH CERTIFICATION. DOCUMENTATION INCLUDES, BUT IS NOT LIMITED TO, LAND SURVEY AND FIELD ASSESSMENT DATA, RADIOLOGIC AND ENGINEERING ASSESSMENT (REA), REMEDIAL ACTION AGREEMENT (RAA), CONSTRUCTION AND CONSTRUCTION VERIFICATION DATA, RADON DAUGHTER CONCENTRATION (RDC) MEASUREMENTS, HEALTH AND SAFETY DATA, COMPLETION REPORT, CERTIFICATION DATA, WARRANTIES, AND CORRESPONDENCE.

**Purpose:** DOCUMENTS PROPERTY REMEDIATION.

**Arrangement:** FILES ARRANGED NUMERICALLY.

**Medium description:** PAPER, MYLAR DRAWINGS, PHOTOGRAPHS

**Classification:** N/A

**6. Appraisal**

THESE RECORDS CONTAIN EVIDENCE OF LEGALLY ENFORCEABLE RIGHTS OR OBLIGATIONS OF THE FEDERAL GOVERNMENT. THEY ARE OF HISTORICAL VALUE BECAUSE THEY ARE RELATED TO EVENTS THAT AROUSE EXTENSIVE PUBLIC INTEREST AND CONTROVERSY.

**7. Disposition**

**Proposed Retention:**

PAPER: MAINTAIN FOLIO UNTIL PROPERTY WARRANTIES HAVE EXPIRED THEN MICROFILM. DESTROY PAPER AFTER TRANSFER OF RELATED MICROFICHE TO NATIONAL ARCHIVES.

MICROFORM: PERMANENT—TRANSFER SILVER MASTER PLUS ONE DUPLICATE TO THE DENVER FEDERAL RECORDS CENTER IN 5-YEAR BLOCKS. TRANSFER SILVER MASTER TO NARA WHEN PROJECT IS COMPLETED.

## Attachment 4C—SF115 Report Format

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**
**ATTACHMENT TO SF115**
**PERMANENT RETENTION**

**8. Description of Item and Proposed Disposition (continued)**

**Series Title:** MONTICELLO PROPERTIES-FOLIOS

MONTICELLO VICINITY PROPERTIES (MVP) AND MONTICELLO PERIPHERAL PROPERTIES (MPP). THE PROJECT SCOPE INCLUDES THE REMOVAL OF RADIOACTIVE MILL TAILINGS AND THE REMEDIATION OF PROPERTIES ADJACENT TO THE URANIUM MILL SITE IN MONTICELLO, UTAH.

PROPERTY FOLIOS CONTAIN DOCUMENTATION FOR EACH PERIPHERAL PROPERTY FROM INCLUSION THROUGH CERTIFICATION. DOCUMENTATION INCLUDES (BUT IS NOT LIMITED TO) LAND SURVEY AND FIELD ASSESSMENT DATA, RADIOLOGIC AND ENGINEERING ASSESSMENT (REA), REMEDIAL ACTION AGREEMENT (RAA), CONSTRUCTION AND CONSTRUCTION VERIFICATION DATA, RADON DAUGHTER CONCENTRATION (RDC) MEASUREMENTS, HEALTH AND SAFETY DATA, COMPLETION REPORT, CERTIFICATION DATA, WARRANTIES, AND CORRESPONDENCE.

**Purpose:** DOCUMENTS PROPERTY REMEDIATION.

**Arrangement:** FILES ARRANGED NUMERICALLY.

**Medium description:** PAPER, MYLAR DRAWINGS, PHOTOGRAPHS

**Inclusive Dates:** 02/01/84 TO 01/20/93

**Total Volume:** 4.5000
**Annual Accum:** 0.5000

**Disposition:**

PAPER: MAINTAIN FOLIO UNTIL PROPERTY WARRANTIES HAVE EXPIRED THEN MICROFILM. DESTROY PAPER AFTER TRANSFER OF RELATED MICROFICHE TO NATIONAL ARCHIVES.

MICROFORM: **PERMANENT**—TRANSFER SILVER MASTER PLUS ONE DUPLICATE TO THE DENVER FEDERAL RECORDS CENTER IN 5-YEAR BLOCKS. TRANSFER SILVER MASTER TO NARA WHEN PROJECT IS COMPLETED.

— Notes —

## ■ 5.0 Appraisal Approval Cycle

The approval cycle can be divided into two parts: the internal cycle and the external cycle. The internal cycle for DOE contractors involves the approvals required before the appraisal goes to the first level of DOE approval. The internal cycle for DOE offices involves the approvals required before the appraisal goes to the next level of DOE approval. The external cycle involves all upper level DOE and subsequent NARA approvals.

The complexity and location of these approvals promote a lengthy process with few opportunities for expediting. The external approval cycle is a fixed element (i.e., the number of approvals is not negotiable). The internal cycle is the only element that can be customized for efficiency. This internal cycle is where the energy should be expended to realize the most savings.

The other element of the approval cycle is control. To eliminate duplication, loss, and excessive delays, the appraisal documents need to be controlled when routed outside the appraisal team.

### □ Process Controls

The development of process controls should maximize traceability of the document as well as minimize repetitive administrative support.

**The Appraisal Traveler**—One method of eliminating the labor-intensive preparation of memorandums and letters to satisfy the protocol for transmitting documents for review and approval is to develop a standardized transmittal/traveler. To be effective, the transmittal/traveler should

- Travel with the documents throughout the approval cycle. (One transmittal will minimize errors in forwarding the documents and minimize the administrative support required in preparing individual transmittals.)
- Provide instructions to the approvers. (Instructions will help ensure consistent reviews of the appraisal documentation, minimize the need for training, and promote a timely response.)
- Provide space for routing variances. (Spaces on the form will simplify the special approvals that are required for certain record series.)
- Include the names and addresses, as applicable, of the approvers. (It saves time to have information preprinted whenever possible.)
- Include an area for the signature or the initials of the reviewer. (Signatures or initials on traveler provide the approver with evidence of the reviewers' concurrence.)
- Provide for the return of the documents so that a new form does not need to be created or used.

- Use color or graphics to make the form easy to identify. (If the form is easy to identify, it is less likely to misplaced.)

- Place instructions for use on the back of he form.

If the internal approval cycle affects several organizations, it is prudent to develop two separate forms. (See Attachments 5A and 5B for examples of internal and external appraisal travelers.)

**Tracking the Approval Cycle**—One of the easiest methods for tracking and referencing large volumes of documents is to give them a control number. The control number should be used on all transmittal forms. The internal control number should include the OPR and a sequential number. The external control number should provide, at a minimum, identification of the DOE site, DOE or contractor alpha identifier, and a sequential number. Once the tracking number is assigned, ensure that it is logged. (See Attachments 5C and 5D for examples of logs.)

### ☐ Appraisal Team Validation

Before any appraisal package is released into the internal approval cycle, it needs validation by the appraisal team. This validation will improve the overall quality of appraisals being released and increase the knowledge of the appraisal team.

### ☐ Internal Approval Cycle

The duration of the internal approval cycle is one of the most difficult elements of the appraisal process to manage. The duration is affected by the number of reviews and approvals, the expertise of the approval authorities, and the number of comments requiring resolution and rework. The organizational complexity, political maturity, and the records management awareness of facility personnel will determine where the time savings can be realized.

**Limit the Number of Reviews and Approvals**—By the time appraisals are routed for approval, an approval hierarchy should be in place. The actual reviewer and approvers should only be those personnel with technical and functional responsibility. The appraisal process is not the mechanism for courtesy reviews.

**Educate the Approval Authorities**—Approval authorities must be familiar with the appraisal process in order to complete their review in a timely manner. They also need to be cognizant of the schedule and the volume of appraisals for which they are responsible. The communication channels must remain open.

**Involve the Responsible Organizations**—Involvement of the responsible organization will not only help ensure ownership of the disposition but also ensure faster acceptance during the approval process. The responsible organization will assist in verification of the requirements that have been factored into the justification. In some instances, this verification can be accomplished with representation on the Appraisal Team; in other instances, it will only be accomplished by active interface.

### ☐ External Approval Cycle

The external approval cycle is governed by DOE and Federal regulations. The place to focus for efficiencies is not the number of external reviewers but rather how the package is assembled administratively and transmitted. Because electronic transmittal of documents is not an option at this time, electronic generation of hardcopy documents and an integrated transmittal is the area to pursue for efficiencies at this time. The external approval cycle consists of DOE Headquarters (HQ) and NARA, at a minimum. However, the organizational hierarchy also may require approval by local DOE representatives and the responsible Operations Office. The GAO also must approve the appraisals for the following categories:

- Administrative records proposed for retention periods less than those prescribed by GRS 2 through GRS 10.
- All program records with a proposed retention period of less than 3 years.
- Records relating to claims or demands by or against the Government.

Fortunately these categories are usually addressed by an agency schedule and are rarely needed for a site-specific schedule.

## Attachment 5A–Internal Appraisal Traveler

| INTERNAL APPRAISAL TRAVELER | Control Number: |
|---|---|
| Series Title(s): | |

| INSTRUCTIONS |
|---|
| ☐ General Records Schedule (GRS) Conformance: The description/disposition period for the attached record(s) series has been determined (appraised) by Records to correspond to an existing series in the GRS. If you concur with the retention period, initial the traveler and route to the next person. If you disagree with the retention period, provide a brief justification before returning to Records. [Note: If you change the disposition, a detailed justification will have to be submitted to DOE and NARA.] |
| ☐ New/Revised Series Disposition: The attached documents have been provided for your concurrence. If you concur with the justification and retention period indicated, initial the traveler and sign on each form as noted. If you do not concur, provide justification and return to Records for rework. [Note: Once the internal approval cycle is complete, the documents will be sent to DOE and NARA.] |
| ☐ Project Series Disposition: The attached documents have been provided for your concurrence. If you concur with the justification and disposition for the project series, initial the traveler and sign on each form as noted. If you do not concur, provide justification and return to Records for rework. [Note: Once the approval cycle is complete, the documents will be sent to DOE and NARA.] |
| ☐ Nonrecord Disposition: The description/disposition for the attached nonrecord(s) series has been routed to you for concurrence. If you concur with the disposition, initial the traveler and route to the next person. If you disagree with the disposition, provide a brief justification before returning to Records. [Note: A retention period in excess of 2 years is not acceptable by DOE or NARA.] |

| CONCURRENCE ROUTING | INITIAL | DATE |
|---|---|---|
| OPR Coordinator: | | |
| OPR Manager: | | |
| (Other): | | |
| (Other): | | |
| (Other): | | |
| (Other): | | |
| Legal Counsel: | | |
| Level III Manager: | | |
| Records Manager: | | |

| Preparer/Date: | Phone No.: | Closure Date: |
|---|---|---|
| | | |

## Attachment 5B–External Appraisal Traveler

| RECORDS APPRAISAL TRAVELER | CONTROL NUMBER: |
|---|---|

SERIES TITLE(S)

| Concurrence Routing | | Initial | Date |
|---|---|---|---|
| ORIGINATOR: | Dave A. Mackler, Information Support Services<br>RUST Geotech, Inc.<br>P.O. Box 14000, Grand Junction, CO 81502 | | |
| LOCAL DOE APPROVAL: | Audrey Berry, Public Affairs Specialist<br>U.S. DOE Grand Junction Projects Office<br>P.O. Box 2567, Grand Junction, CO 81502 | | |
| OTHER: | | | |
| DOE ALBUQUERQUE APPROVAL: | Margarita Sexson, Records Officer<br>U.S. DOE Albuquerque Operations Office<br>P.O. Box 5400, Albuquerque, NM 87115 | | |
| OTHER: | | | |
| DOE HEADQUARTERS APPROVAL: | Mary Ann P. Wallace, Director<br>Records Management Division<br>AD 244, Mailstop F309/GTN, Washington D.C. 20585 | | |
| NARA APPROVAL: | Jeanne Young, Archivist<br>Records Appraisal & Disposition Division<br>National Archives, Washington D.C., 20408 | | |

| Return Routing | | Initial | Date |
|---|---|---|---|
| DOE HEADQUARTERS ATTENTION: | Mary Ann P. Wallace, Director<br>Records Management Division<br>AD 244, Mailstop F309/GTN, Washington D.C., 20585 | | |
| DOE ALBUQUERQUE ATTENTION: | Margarita Sexson, Records Officer<br>U.S. DOE Albuquerque Operations Office<br>P.O. Box 5400, Albuquerque, NM 87115 | | |
| LOCAL DOE ATTENTION: | Audrey Berry, Public Affairs Specialist<br>U.S. DOE Grand Junction Projects Office<br>P.O. Box 2567, Grand Junction, CO 81502 | | |
| ORIGINATOR ATTENTION: | Dave A. Mackler, Information Support Services<br>RUST Geotech, Inc.<br>P.O. Box 14000, Grand Junction, CO 81502 | | |

| PREPARER/DATE: | PHONE NO. | CLOSURE DATE |
|---|---|---|
| | | |

## Attachment 5C–Internal Appraisal Control Log

Organization: Monticello Programs

| Control Num. | Series Title(s) | GRS or DOE Match | Appraisal | | Routed Date | Return Date |
|---|---|---|---|---|---|---|
| | | | R | NR | | |
| | 1993 | | | | | |
| MP-01 | Monticello Project Files | | X | | 6/1 | 6/15 |
| MP-02 | Monticello Administrative Files | | X | | 6/1 | 6/15 |
| MP-03 | Monticello Properties–Folios | | X | | 6/1 | 6/15 |
| | | | | | | |
| | 1994 | | | | | |
| MP-04 | Administrative Record–Monticello | | X | | 1/15 | 2/1 |
| MP-05 | Accident and Injury Reports | X | | | 1/17 | 1/28 |
| MP-06 | | | | | | |
| MP-07 | | | | | | |
| MP-08 | | | | | | |
| MP-09 | | | | | | |
| MP-10 | | | | | | |
| MP-11 | | | | | | |
| MP-12 | | | | | | |
| MP-13 | | | | | | |
| MP-14 | | | | | | |
| MP-15 | | | | | | |
| MP-16 | | | | | | |
| MP-17 | | | | | | |
| MP-18 | | | | | | |
| MP-19 | | | | | | |
| MP-20 | | | | | | |
| MP-21 | | | | | | |
| MP-22 | | | | | | |

## Attachment 5D–External Appraisal Control Log

| Control Number | Series Title(s) | DOE-GJPO | | DOE-AL | |
|---|---|---|---|---|---|
| | | Date Out | Date In | Date Out | Date In |
| G-GJPO-01 | Monticello Project Files | 6/21 | 6/30 | 7/7 | |
| G-GJPO-02 | Monticello Administrative Files | 6/21 | 6/30 | 7/7 | |
| G-GJPO-03 | Monticello Properties–Folios | 6/21 | 6/30 | 7/17 | |
| | 1994 | | | | |
| G-GJPO-04 | Administrative Record–Monticello | 2/24 | 3/3 | 3/7 | |
| G-GJPO-05 | | | | | |
| G-GJPO-06 | | | | | |
| G-GJPO-07 | | | | | |
| G-GJPO-08 | | | | | |
| G-GJPO-09 | | | | | |
| G-GJPO-10 | | | | | |
| G-GJPO-11 | | | | | |
| G-GJPO-12 | | | | | |
| G-GJPO-13 | | | | | |
| G-GJPO-14 | | | | | |
| G-GJPO-15 | | | | | |
| G-GJPO-16 | | | | | |
| G-GJPO-17 | | | | | |
| G-GJPO-18 | | | | | |
| G-GJPO-19 | | | | | |
| G-GJPO-20 | | | | | |
| G-GJPO-21 | | | | | |
| G-GJPO-22 | | | | | |
| G-GJPO-23 | | | | | |

— Notes —

## ■ 6.0 Glossary

**Administrative Value**—In appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business.

**Appraisal**—The process of determining the value, and thus the disposition, of records on the basis of their administrative and other uses; their evidential, informational, or research value; their arrangement; and their relationship to other records.

**Archives**—(1) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or archival holdings. (2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (3) The building or a part of a building where such materials are located; also referred to as an archival repository or depository.

**Block**—(1) One or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes. (2) For electronic records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output.

**Case File**—A folder or other file unit containing records, regardless of media, documenting a specific activity, event, person, organization, project, location, or other matter (e.g., purchase orders, payroll files, contracts, projects, etc.).

**Custody**—The guardianship of records, archives, and manuscripts that, in the strict sense, includes both physical possession (protective responsibility) and legal title (legal responsibility).

**Cutoff Instruction**—The breaking or ending of files at regular intervals to permit their disposal or transfer in complete blocks or permit the establishment of new files.

**Disposition**—An action taken to remove records from current files, including the transfer to a local records holding areas, to a Federal records center, to the National Archives for permanent retention, or for destruction.

**Document**—Recorded information regardless of physical form or characteristics.

**DOE Records Schedule (DOERS)**—Schedules issued by the U.S. Department of Energy (DOE) that govern the mandatory disposition of specified recurring filing series common to several or all DOE organizations or contractors.

**Evidential Value**—The usefulness of agency records to provide documentation of its organization and functions.

**File**—(1) An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier. (2) To place documents in a predetermined location according to an overall plan of classification.

**Fiscal Value**—The usefulness of records for information about the financial transactions and obligations of agencies and organizations.

**General Records Schedules (GRS)**—Schedules issued by NARA that govern the mandatory disposition of specified recurring filing series common to several or all Federal agencies.

**Inventory**—A physical survey of records series before the development of schedules. Generally includes data such as series titles, inclusive dates, use, quantity, arrangement, duplication, and other pertinent information.

**Historical Value**—The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

**Legal Value**—The usefulness of records containing evidence of legally enforceable rights or obligations of governments and/or private persons.

**National Archives and Records Administration (NARA)**—An independent agency that succeeded the National Archives Records Service (NARS). It is responsible for establishing policies and procedures for managing the records of the Federal Government. It exercises final authority for approving the disposition of Government records.

**Nonrecord Material**—Those materials that do not meet all the criteria of a record and as such may be disposed of without archival authority. These materials include extra copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition.

**Permanent Records**—Records that have been appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. Normally, permanent records are offered to NARA when they are 25 years old.

**Project Records**—Any record generated or received pertaining to a project.

**Quality (Assurance) Records**—A document that furnishes evidence of the quality of items or activities and that has been verified and authenticated as technically complete and correct. Records may include photographs, drawings, magnetic tape, and other data-recording material.

**Records**—Those classes of documents which may be disposed of only after archival authority is obtained. Per 44 USC 3301 records include books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government 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 Government or because of the informational value of the data in them. This classification applies to all Departmental records including those created, received, and maintained by contractors pursuant to their contracts. Virtually all recorded information in the custody of the Government (including information held by contractors which is considered by contract to be Government information) is considered "Government records" regardless of its media.

**Records Schedule**—A document providing authority for the final disposition of recurring and nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the NARA-approved SF 115, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials.

**Research Value**—The usefulness of records for research by the Government, business and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines.

**Series**—Documents kept together because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access. The ordering permits evaluation as a unit.

**Temporary Records**—Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records.

**Unscheduled Record**—A record that has not been approved for disposal by NARA.

**Validate**—To authenticate with authoritative basis.

**Vital Records**—Those records that are essential to facilitate the continued functioning or reconstitution of an organization during and after an emergency, and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. There are two categories of vital records: (1) emergency operating records, and (2) right and interests records. Each category has its requirements detailed in separate DOE orders. These records are typically duplicates located off site.

— Notes —

## 7.0 References

Various documents were consulted during the development of the text for the seminar. The documents include the following technical and Federal publications on records management:

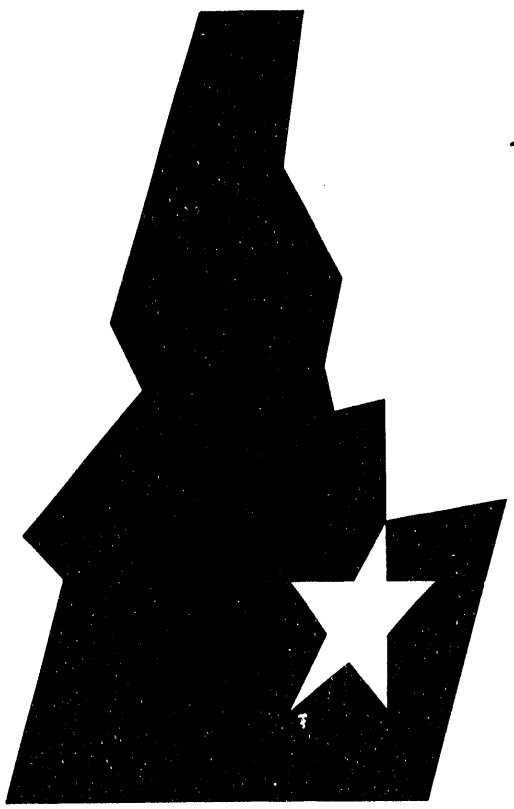

- 36 CFR 1220, 1990. "Records Management," *U.S. Code of Federal Regulations*, July 1,1990.
- DOE Order 1324.2A, *Records Disposition*.
- National Archives and Records Administration, 1992. *Disposition of Federal Records, A Records Management Handbook*.
- National Archives and Records Administration, undated. *General Records Schedule*.
- Penn, Ira A., Anne Mordell, Gail Pennix, and Kelvin Smith, 1989. *Records Management Handbook*. Great Britain: Gower Publishing Company Limited, 1989.
- Robek, Mary F., Gerald F. Brown, and Wilmer O. Maedke. *Information and Records Management* (Third Edition). Mission Hills, CA: Glencoe Publishing Company, 1987.

**TONI M. LOVE**
**RECORDS MANAGEMENT OFFICER**
**DEPARTMENT OF ENERGY, IDAHO OPERATIONS OFFICE**

# BIOGRAPHY

Toni is a graduate of the University of Florida, School of Business, and has been with the Federal Government for ten years. For the past two years she has served as the Records Management Officer for the Idaho Operations Office. Prior to that time she served as a Contracting Officer for the Department of the Army, specializing in Information Resource Acquisitions.

# DEPARTMENT OF ENERGY ADMINISTRATIVE RECORDS DISPOSITION SCHEDULING DEVELOPMENT PROJECT



*Idaho*

*National*

*Engineering*

*Laboratory*

**TONI LOVE**

**JUNE 1994**

# DEPARTMENT OF ENERGY ADMINISTRATIVE RECORDS DISPOSITION SCHEDULING DEVELOPMENT PROJECT

## I. INTRODUCTION.

I'm here today to present information in regards to the DEPARTMENT OF ENERGY'S ADMINISTRATIVE RECORDS DISPOSITION SCHEDULING DEVELOPMENT PROJECT. The Idaho National Engineering Laboratory Records Management Committee has worked extremely hard on this project in an effort to improve the way the Department develops its schedules and focuses its resources.

## II. BACKGROUND.

In December 1988 the National Archives and Records Administration (NARA) Evaluation of the Department's Records Management Program most significant finding was the ..."lack of NARA approved disposition schedules."

Subsequent to a follow-up GAO report in November 1991, the Under Secretary directed the Records Inventory and Disposition Scheduling Initiative requiring that all active records be inventoried and "scheduled" by October 1993 and inactive records inventoried and "scheduled" by October 1995.

At the 1993 Records Management Conference in Seattle, it was reported from the April semi-annual status report results that not enough, if any, progress was being made in this effort. The number of identified potential unscheduled records was staggering in regards to the resources required to complete the task at hand.

III. RESULTS.

As a result in July 1993 a Records Management Strategic Planning Group was formed and met for two days to discuss alternatives and make recommendations as to how to most efficiently and cost effectively accomplish the scheduling commitment and have the most impact.

It was agreed that schedules would be developed as Departmental, programmatic, and site specific. Participation in the development of schedules would involve representation from Headquarters and the field with a single organization taking the lead on information gathering and drafting the proposed schedules.

Working Groups formed to address scheduling development included...

| | |
|---|---|
| Administrative Records | ID/INEL |
| Environmental Records | HR-244/RL |
| Weapons Records | AL |

Call letters for inventory information, records characterizations and points of contact interested or willing to participate in the project would be issued for each category of records with the initial call for Administrative Unscheduled Records being issued in September 1993.

## IV. ASSUMPTIONS.

Several key assumptions impact the success of this project. They are...

DOE entities would be required to complete accurate inventories or at a minimum "characterizations" of identified unscheduled records.

Departmental, programmatic, and site-specific schedules would be developed.

HR-244 would be responsible for development and management of an automated tracking system essential to the success of the project.

## V. RESPONSE TO CALL

The initial receipt date for information was extended through November 15, 1994, to allow everyone the opportunity to put together as much information as possible and respond. 31 responses were received in response to the call letter. The lack of a usable definition for administrative records resulted in the receipt of information needing to be reviewed thoroughly to weed out additional work. After alot of hours of research the working group pinpointed eight categoriesor functions of records and approximately 50 identified file series (Attachment 2).

## VI. DEFINITION

"Non-programmatic records that cross organizational boundaries, serve to document administration and management infrastructure, used in the normal course of business and other repetitive functions."

It should be noted that while these records may support program functions, they are not unique to a specific project.

## VII. CATEGORIES/FUNCTIONS OF RECORDS

The eight categories or functions of records were defined as...

**Compliance, Management, Procurement, Public Affairs/Communications, Labor Relations, Security, Personnel, Financial**

## VIII. IDENTIFICATION OF UNCHEDULED RECORDS

Records inventories and/or characterizations, as everyone knows, are key to the identification and information gathering on unscheduled records. The INEL, as the Lead Organization for Schedule Development (LOSD) is responsible for...

> fact finding; verifying the record is unscheduled; and contacting the records custodian/technical expert; and, when they are finished go back and do some more fact finding.

IV. DOCUMENTATION.

Upon completion of the fact-finding efforts the information is summarized on the DOE Form 1324.5, Request for Records Disposition Authorization and the proposed schedule drafted on an SF 115, Request for Records Disposition Authority.

X. REVIEW AND CONSENSUS/CONCURRENCE

The DOE Administrative Records Scheduling Review Group, independent of the Lead Organization for Scheduling Development, and representative of the DOE Headquarters, Operations Offices, Labs, and Contractors, is responsible for ensuring that the draft schedules are reflective of the DOE complex and making recommendations where they feel the need for site-specific schedules is warranted. A thirty-day review and comment period is allowed on the drafts at which time the drafts are finalized (based on any additional recommendations) and forwarded through HR-244 and the Department's Records Officer to the National Archives and Records administration for final approval.

XI LESSONS LEARNED/KEY SUCCESS FACTORS

Well defined record series essential to receipt of valuable/usable information.

Spread the word.

Talk to as many interested parties as possible.

Resource Savings to be realized.

XII. WHERE ARE WE?

Ten schedules have been written (to date) of the 50 identified unscheduled Administrative records (Attachment 2). As a result of the Human Experiments Research efforts continued development of schedules has been put on hold. However, we are extremely proud of this effort and are confident savings will be realized in dollars and personnel, where other efforts can be focused on, and that the schedules will truly represent the value of the Department's records.

# ADMINISTRATIVE RECORDS

DEFINITION: Non-programmatic records that cross organizational boundaries, serve to document administration and management infrastructure, used in the normal course of business, and other repetitive functions.

*NOTE: These records may support program functions, but are not unique to a specific project.*

## CATEGORIES OR FUNCTIONS OF RECORDS

1. **Compliance**

Management Improvement Programs
Required Reading
General Audit/Appraisals/
Surveillance/Self Assessments
Policies, Plans, Procedures, Practices
Directives, and Transmittal Receipts

2. **Management**

Correspondence
Agreements (MOUs, MOAs, Tri-party,
Interface, etc.)
Delegation of Authority
System/Process Analysis Records
[e.g., Value Engineering (VE)]
Metric System
Trending/Benchmarking
Action Tracking
New Program Development
Internal Technical Documents/
Periodical Internal Publications
Progress and Presentations
Organization Charts/Mission
Statements/Reorganization Studies/
Manpower Allocations

3. **Procurement**

Contract Changeover
Cost Plus Award Fee Documentation
Grants/CRADAs/Technology Transfer
Lease of Federal Property

4. **Public Affairs/Communication**

Press Clips
Historical Photos/Project Videos
Press Releases
Speeches/Publications
Scientific/Technical/General Papers
and Presentations
Congressional Relations
Public Notices/Meetings (Community
Relations)
Warning Communications
Official FOIA Request Files
Conference Committee Files

5. **Labor Relations**

Davis Bacon
Teamster Union Working Files
Appendix A Related Documentation
(Industrial Relations)

7. **Personnel**

Academic/Outreach Programs
Classification Appraisals (Pay)
American Disabilities Act
Advanced In-Hire
System 80
Training Brochures
Job Postings
Recruitment Packages
Pre-Employment Background
Investigations

6. **Security**

Visitors Access Approval
Authorized Derivative Classifiers
Classified Document Receipts
Oversight Security Contractor Files
Foreign Travel Authorizations

8. **Financial**

Performance Indicators
Payroll Registers
Administration Payroll Records

# DRAFT ADMINISTRATIVE RECORDS SCHEDULE

Non-programmatic records that cross organizational boundaries, serve to document administration and management infrastructure, used in the normal course of business, and other repetitive functions.

*NOTE: These records may support program functions, but are not unique to a specific project.*

I. Compliance

1. Management Improvement Programs

Records generated as part of a company culture philosophy which results in implementing continuous management improvement programs. These programs are focused on streamlining operations, cost savings, improving customer satisfaction, and continued improvement of work processes or products. Records that are generated from proactive preventative programs are included.

Records which may be part of, but not limited to, may include: employee suggestion forms, non-conformance process records, risk analysis, root cause analysis, and other records that are established internally to provide information, advice, or recommendations to DOE or contractor management.

| | | |
|---|---|---|
| a. | Records including meeting minutes, agendas, correspondence, and background files generated to assist in the formulation of advice or recommendations, reports, and committee presentations of recommendations. | Destroy 2 years after recommendation. |
| b. | Management files containing committee advice or recommendations used for implementation of improvement programs including corrective action plans, statistical processes, and systems analysis. | Destroy 2 years after approval or disapproval. |

**NOTE**: Case files relating to awards are included in the General Records Schedule.

2. Required Reading

Required reading files used by management to communicate important information that is related to job assignments. Required reading assignments must be dated and signed to verify completion.

Cut off at calendar year. Destroy when 3 years old.

Sign off sheet(s) must include the following: exact listing of what is to be read, the date, the title, the author, the document number/identification and any revision status, etc.

**NOTE**: The documentation to be read may or may not be included with routing slip or sign off sheet. However, the reading file is maintained and available to those individuals required to read the documents.

Required readings are not usually considered official training records. If the required reading document is used as a training record, refer to the training record guidelines.

3. General Audit/Appraisal/Surveillance/Self-Assessment

Compliance in the areas of environment, safety, health, quality, performance, management, and organization requirements must be verified. Verifications of compliance are achieved through internal self-assessments, periodic and random informal interactions between managers and employees, independent appraisals, audits, and surveillances. These activities measure all functions that test the compliance of standard practices and procedures within an organization. The activities normally conducted, are not limited to areas such as industrial safety, industrial hygiene, health physics, quality assurance, operations, administration, safeguards and security, maintenance, and environmental protection.

Appraisal, surveillance, and Self-Assessment files include records required to verify that practices are in compliance with Federal and

State Government regulations, DOE Orders, directives, contract requirements, and company policies. These files include audits, surveillances, appraisals, selfassessments, root cause analysis (resulting from audit findings), corrective action plans, non-conformance reports, trend analysis, administrative values for problem identification, and lessons learned.

All records described in this retention schedule pertain to both hard copy and electronic media, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

a. Audit* files generated in the performance of DOE and cost type contractor operations. These records consist of, but are not strictly limited to: reports and revisions of audits, analysis, concurrences, comments, reports relative to action taken on recommendations (including pertinent correspondence and meeting minutes and related work papers). Work papers include documents such as; rough notes, calculations, or drafts assembled or created and used to prepare and/or analyze other documents included in the audit file.

| | | |
|---|---|---|
| (1) | Files relating to DOE-wide audits* conducted by or on behalf of DOE Headquarters. | Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. |
| (2) | Files relating to audits of individual DOE organizations and contractors, conducted by or on behalf of DOE Headquarters or field organizations. | Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. |
| (3) | Files generated by M&O contractors performing internal audits*. | Place **in inactive files** when case is closed. Cut off inactive file at end of fiscal year. Destroy 6 years after cutoff or longer if required by **current** regulations or requirements. |

| | | |
|---|---|---|
| b. | Sundry memorandum reports, (not covered elsewhere in this schedule), summarizing activities pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records. | **Destroy when 3 years** old. |

*Includes Audits, Appraisals, Surveillances, and Self-Assessment Records.

4. Policies, Plans, Procedures, Practices, Directives, and Transmittal Receipts

This schedule provides for the retention or disposal of records relating to program and administrative functions. These records include policies, plans (quality, safety, management, etc.), procedures, practices, directives, transmittals, and related correspondence.

Program records are defined as records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records. (For example, the following could be included: instructional procedures for reactor or waste management operations).

Administrative records relating to budgets, personnel, supply and similar housekeeping, or facilitative, functions common to most agencies.

| | | |
|---|---|---|
| a. | Record set of policies, plans, procedures, practices, and directives for program functions (e.g., directions documenting the unique, substantive functions for which the program is responsible, in contrast to administrative functions). Includes supporting background materials that document important aspects of development as well as any influential or significant comments received. | Permanent. Offer to NARA after 25 years. Cut off at end of **calendar year and** transfer to Records Storage. |

| | | |
|---|---|---|
| b. | Record set of policies, plans, procedures, practices, and directives for administrative functions (e.g., payroll, procurement, budget, personnel). Includes supporting background materials that document important aspects of development as well as any influential or significant comments received. | Destroy 15 years after superseded or obsolete. Cut off at calendar year and transfer to Records Storage. |
| c. | Record set of implementation plans as required by DOE. These records are used primarily to notify contractors of new or revised requirements and to assess or track DOE Order compliance.<br><br>**NOTE**: Verification of compliance would generally be accomplished through the Audit/Appraisal programs. | |
| | (1) Files relating to implementation plans that may include scope of work, cost, and milestones. | Cut off at closure of plan. Destroy 2 years after cut off. |
| | (2) Files indicating compliance are not required as indicated by DOE or the contractor. | Cut off at closure of contract. Destroy 2 years after cut off. |
| d. | Unclassified Transmittal Receipt Acknowledgements.<br><br>Acknowledgements indicating that revised or updated documents have been received and incorporated into existing documents, manuals, or files. | Destroy when 2 years old or when no longer needed, whichever is sooner. |

II. Management

1. Correspondence

Correspondence arranged and filed according to their general information or subject. These files include letters, memorandums, forms, reports, and other data that relate to program and administrative functions, but not to specific case files.

**NOTE**: This does not include correspondence covered elsewhere in the schedules.

a. Correspondence files documenting the development of plans and policies pertaining to the mission, program, or functions for which the division, office, DOE office, laboratory, or contractor has primary responsibility; opinions and decisions of an important policy or those that set precedent. (These files will generally be found in the offices of principal or senior staff.)

Permanent. Offer to NARA after 25 years, in blocks of 5 years.

b. Correspondence files documenting implementation of the established missions, programs, policies, and procedures for which the division, office, D()E office, or contractor has primary res,,onsibility, provide that the documentation in a. above is preserved.

Cutoff annually. Destroy 15 years after cutoff.

c. Correspondence files documenting routine business, mission and programs relating to local office performance and recurring transactions or activities.

Cutoff annually. Destroy 6 years after cutoff.

d. Correspondence files pertaining to internal administration and operations, including informational copies of correspondence, forms publications, reports, and other issuances relating to temporary needs and routine non-mission or non programmatic responsibilities.

Cutoff annually. Destroy 2 years after cutoff.

2. Agreements (MOUs, MOAs, Tri-party, Interface, etc.)

Records pertaining to written agreements that broadly state basic understandings of tasks and describe methods for performing tasks between the Department, contractors, and other signatory authorities. These include: other Federal agencies, Local, State, International, Tribal, and other Government entities, educational institutions, and the private sector.

The following are excluded: documents that establish legally binding commitments, obligations, and/or permit the transfer of funds set forth, in International agreements executed by DOE.

a. All agreements between the Department and other signatory authorities.

Cut off at fiscal year. Destroy 2 years after termination of agreement.

b. Agreements between contractor organizations that document and clarify an understanding of each others' role in providing a service or in meeting a set of requirements (usually in excess ofnormal levels of activity) which if not negotiated and documented may result in a contract performance failure.

Destroy in office 2 years after termination of agreement.

3. Delegation of Authority

Records, regardless of physical form, which are document evidence of specifically assigned duties, in the event of absence or incapacity, from one level of authority (incumbent) to another. These delegations may include complete program management in regards to contractual, security, personnel, property, and nuclear materials management, administrative, and etc. Assignments should contain installation and expected termination dates. This assignment or delegation does not relieve assigning manager from program responsibility.

a. Secretary of Energy and DOE Headquarters high level officials.

Permanent. Offer to the National Archives.

b. DOE field or operations office officials.

Destroy 2 years after current **delegations** are superseded, rescinded or obsolete.

c. Contractor officials.

Destroy when superseded, rescinded, or obsolete.

4. System/Process Analysis Records [e.g., Value Engineering (VE)]

System/process analysis generating information during an organized, facilitated effort which records the results of methods used to analyze the functions of systems, equipment, facilities, services and supplies for the purpose of achieving the essential functions at the lowest life cycle costs which are consistent with required performance, reliability, quality and safety. Candidates for a study may include a project, program, product, process, service, facility, system, overhead, or etc. A candidate evaluation checklist is used to determine if a study will be performed.

a. Candidate evaluation checklist for studies not recommended. — Cut off at calendar year. Destroy 6 years after cut off.

b. Formal written reports including candidate evaluation checklists for recommended studies, working papers, related correspondence, and actual savings information from implemented study recommendations (quarterly and annual reports). — Cut off at 7 years. Destroy 5 years after cut off.

5. Metric System Program Records

Records documenting the Metric System conversion.

a. Records documenting progress on metric system conversion including progress reports and related correspondence. — Destroy 5 years after conversion completed.

b. Waivers or partial waivers. — Destroy in office 1 year after waiver or partial waiver is revoked.

6. Trending/Benchmarking

7. Action Tracking

8. New Program Development

9. Internal Technical Documents/Periodical Internal Publications

10. Presentations and Progress

11. Organization (`Charts/Mission Statements/ Reorganization Studies/Manpower Allocations

III. Procurement

1. Contract Changeover

2. Cost Plus Award Fee Documentation

   a. The Performance Plan written by DOE and given to each contractor, that explains the basic expectations to be reached in a six month period.

   b. The six month CPAF self-assessment written by each contractor - discusses how expectations were achieved and also discusses company deficiencies. This is proprietary information.

   c. Explains the awarding of a grade and/or monies based upon the achievements and deficiencies of the contractor as outlined in the performance plan.

   d. The Cost Reduction Incentive Program (CRIP) enables companies to earn money in addition to their award fee. NOTE: The Cost Reduction Incentive Program (CRIP) will not be a constant yearly contract program, but will be included in various contract years.

3. Grants/CRADAs/Technology Transfer

4. Lease of Federal Property

IV. Public Affairs/Communication

1. Press Clips

2. Historical Photos

3. Press Releases

4. Speeches/Publications

5. Scientific/Technical/General Papers and Presentations

6. Congressional Relations

7. Public Notices/Meetings (Community Relations)

8. Warning Communications

9. Official FOIA Request Files

10. Conference Committee Files

V. Labor Relations

1. Davis Bacon

2. Teamster Union Working Files

3. Appendix "A" Related Documentation (Industrial Relations)

VI. Security

1. Visitors Access Approval

2. Authorized Derivative Classifiers

3. Classified Document Receipts

4. Oversight Security Contractor Files

5. Foreign Travel Authorizations

VII. Personnel

1. Academic/Outreach Programs

2. Classification Appraisals (Pay)

3. American Disabilities Act

4. Advanced In-Hire

5. System 80

6. Training Brochures

SCT

7. Job Postings

8. Recruitment Packages

9. Pre-Employment Background Investigations

VIII. Financial

1. Performance Indicators

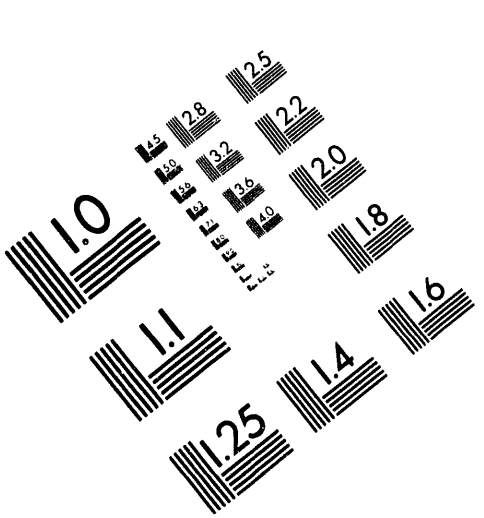
2. Payroll Registers

3. Administration Payroll Records

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# A GUIDE TO INVENTORYING RECORDS FOR THE U.S. DEPARTMENT OF ENERGY AND CONTRACTORS

January 1, 1993

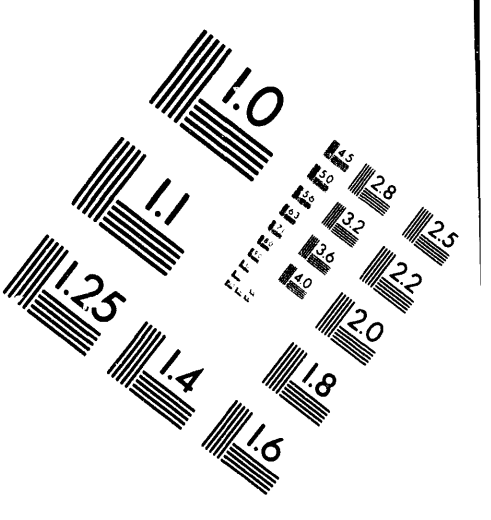


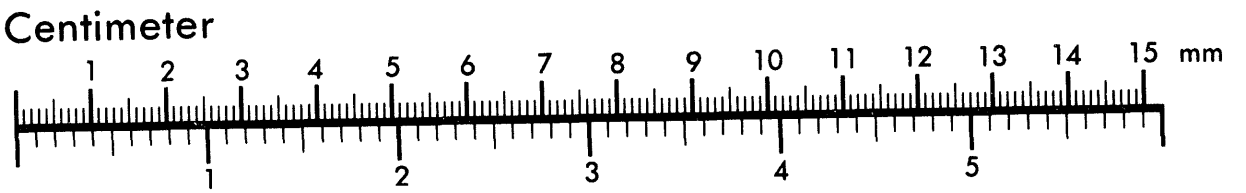


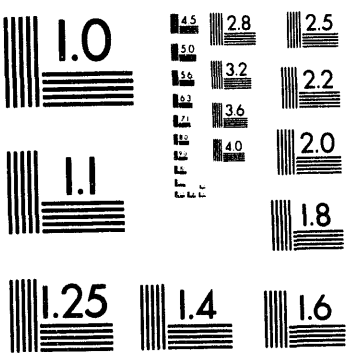

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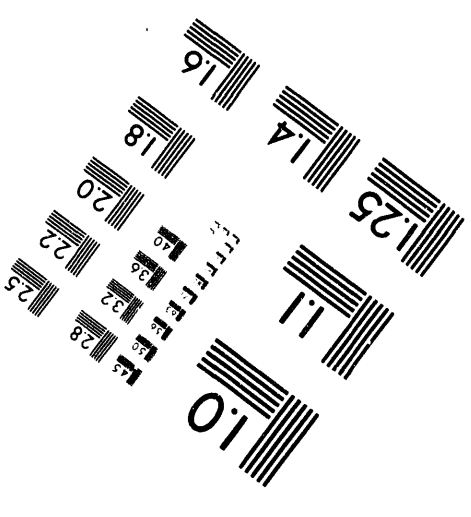
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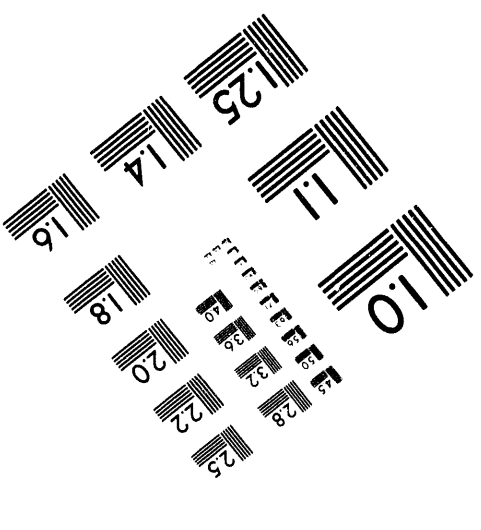
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# A GUIDE TO INVENTORYING RECORDS

## FOR THE U.S. DEPARTMENT OF ENERGY AND ITS CONTRACTORS

### INTRODUCTION

The Department of Energy (DOE) Records Disposition Order, DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, requires the systematic and continual inventorying and scheduling of DOE and DOE-contractor records. An Under Secretary of Energy memorandum mandated a Departmentwide initiative to ensure the comprehensive and complete inventorying and scheduling of records at each DOE and contractor site. Completion of this task first requires preparation of site records inventories. Preparation of inventories will enable development of appropriate schedules and will also facilitate the Secretary of Energy's directive to identify site records useful for epidemiologic and other health-related purposes. Each site is expected to prepare a single inventory that is comprehensive and detailed enough to identify epidemiologic records, support preparation of schedules as well as identify legal rights and interests records and emergency operating records. This means that the inventory must 1) cover all record and non-record material and 2) provide sufficient description of each file series. This document is written to provide guidance on preparing inventories.

The guidance is consistent with DOE Orders and the National Archives and Records Administration (NARA) regulations and guidance. Specifically the guidance is consistent with:

DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88;
DOE 1324.4A, MICROGRAPHICS MANAGEMENT, of 5-18-92;
DOE 1324.5A, RECORDS MANAGEMENT PROGRAM, of 4-30-92;
DOE 1324.6, AUTOMATED OFFICE ELECTRONIC RECORDKEEPING, of 6-12-92;
DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91;
DOE 5500.7B, EMERGENCY OPERATING RECORDS PROTECTION PROGRAM, of 10-23-91; and,
44 U.S.C. Chapters 29, 31, and 33

Sites should also refer to the guidance provided by the Assistant Secretary for Environment, Safety and Health for additional information relating to epidemiologic records.

### Why do I need to inventory records?

DOE and contractor employees in the various organizations, divisions, departments, and groups have the most knowledge about their own records. You are in the best position to accurately describe your records. Secondly, record inventorying fosters administrative efficiency. Better economy and efficiency in the management of your records will save you time and effort in locating and using them on a routine basis and also to meet litigation and other special needs. The inventory is an important part of records management. It is the best way to aid you in gaining access to and control of your records.

## STEPS TO COMPLETING THE INVENTORY

**Step One:**

### Identify Who Conducts the Records Inventory

The first step in conducting a site records inventory is to designate a person to run the project. This person should be the records manager or someone with knowledge of site records and sufficient authority to plan and conduct the work. After designating someone, it is necessary to decide how to staff the project. The most effective staffing method is a team (or teams) under the direct supervision of whomever is responsible for the inventory. This method allows for uniform results, comprehensive coverage, and expeditious work. The team visits each records location, interviews appropriate staff, and examines and describes records. As most sites do not employ large records staffs, use of a records management contractor to conduct the inventory should be considered. If resources are not available to acquire a special contractor, the site may elect to form inventory teams or have the records liaison officers or file custodians compile the necessary information.

When records liaison officers or file custodians are used, they should be appointed in each division, department, section or group, as appropriate. The site records office will provide the inventorying and recordkeeping requirements training, collect additional detail, and verify submitted information as needed.

All records, regardless of the physical medium (paper, electronic, photographs, tapes, charts, drawings, etc.) must be inventoried. This includes all records created, maintained or used by administrative, scientific, and technical staff.

The inventory is not an audit of any operation. It is the first step in helping you, and the site, manage information.

**Step Two:**

Preliminary Identification of Records

Before visiting particular offices, examine the existing descriptions of the division, department, or section's responsibilities and programs. Some suggested sources of information include annual reports, budget and project proposals, experiment reports, brochures, and records indexes and lists.

It will also be useful to obtain a copy of the unit's physical space layout enabling you to identify all locations of records. Of course, records at locations not represented on the physical layout plan must be inventoried too.

1. Determine the exact location, type, and volume of the records.

2. Contact appropriate staff knowledgeable about the records, their uses, purpose, creation, and location.

3. Examine and describe the records using the inventory form.

To gather all needed information, it is often necessary to speak with office administrators as well as with technical and clerical personnel. When possible, knowledgeable former employees should be interviewed as well.

It is important to find out about current records--often records recently created--as well as older records that may be stored in closets, basements, and other out of the way places. Each person contacted should be asked about the content, use, and location of records.

Electronic records require special attention, due to their special medium. They are often more difficult to describe, as they may need interpretation through staff explanations and systems documentation (codebook, data dictionary, record layout, user's manual, and so forth). Special care must be taken to ask specifically about electronic records and to obtain systems documentation. It is also important to learn how the electronic files relate to other office records. In some cases, files are maintained in paper until a certain date and in electronic form afterward. Find the reports, manuals, or other sources to help you summarize functions and purposes of the records. Note these sources as "Finding Aids" on the inventory. (If you need additional space, append a list or description to the inventory.)

**Step Three:**

**Examining the Records**

After locating all records, you should follow the records inventory carefully. On the inventory form, note:

1. Division, department, group or section.

2. Contact person and telephone number.

3. Building and room, and location within the room.

**Creating Record Titles:**

Every record series should have a title. The title will indicate uses or purposes of the records as well as the type of records. Examples are:

Budget Planning Files (Records created and used for fiscal planning.)

Devlin Group -- Charm Particle Detection Logbooks (Logbooks--the record type--documenting the Devlin Group's experimental data on specific nuclear particles.)

Atkin Photographs (photograph collection of Atkin operations and major projects).

Experiment "4A" R6D Test Data Tapes (Magnetic tapes of a specific experiment; you may want to include the research group name in the title).

Avoid inadequate records titles such as those listed below:

Miscellaneous Records

General Files

Personal Data Tapes and Disk Packs

Scientific Logbooks

Weekly and Monthly Reports

**Ask yourself:**

What department, group or individual created these records?

What type of records are these? What is their purpose or use?

What do the data tapes document? What are they used for?

What scientific group or scientist(s) created the logbooks?

What project experiments are recorded?

In nearly all cases, you will need to examine the actual records to complete an inventory. Existing records lists and descriptions are often helpful but not always complete or adequate. You may be very familiar with some records in your daily activities but unfamiliar with other types of documentation. Start the examination with records stored in the office. These records may include central files, material kept by individual staff members, or files stored in basements, closets, and obscure places. After studying records in office, examine records in storage, off-site, or "hidden."

Look at only enough records to gain a basic understanding of the record series (for example, two or more file drawers may contain the department's "Project Records"). It is not necessary to look in each file folder or even each file drawer or box for this purpose. While the time required to examine records will vary, the process usually requires less than 30 minutes per series.

All records, whether created by an individual, group, or department, need to be surveyed and inventoried. Important and valuable records of an individual or group (for example, the records of a research group or individual scientist/engineer) will be identified, thus ensuring that those records will be preserved and protected as the records of the individual, the site, and scientific research.

Step Four:

Describing Records Series

A Record is any recorded information relating to the work of your office--regardless of who created it or how the information was recorded. (Recordsfact, National Archives and Records Administration (1986)) A Records Inventory is a description of records that is designed to provide information on their character and quantity. Records are best described in series. What is a record series? The series is the basic unit of description for the inventory. A series is defined as:

File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use. (A Federal Records Management Glossary, NARA, (1989))

A series is a group or body of records arranged or filed together or related to a common topic or subject. Series often are created in various organizations for the same purpose or to serve the same function, such as housekeeping or office administrative files. Other series are only created by a single organization. Official personnel files, employee medical case files, personnel dosimetry badge data, or accelerator target data analysis tapes and printouts are all examples of different series. While defining some records series is simple, others can be difficult. A good rule to follow is to simplify series as much as possible while providing enough detail to identify the records adequately.

The purpose of examining records is to describe them. The unit to be described is the records series. Describe only one record series on each inventory form. For example, avoid putting together report files and project correspondence, if these are two different record series. They may have a different format, use, and purpose signaling different series.

It is essential to provide detailed and accurate information about records series. Inventories that supply only series titles or excessively brief descriptions are inadequate.

The inventory form provides a consistent way for you to describe records using common data elements throughout. These include:

- records title
- dates (from earliest to latest)
- volume

- o arrangement
- o media, etc.

Appendix D is an inventory form. (Copies may be used.)

The form requires the following information about each record series:

- o division, department, and group or section creating or maintaining the records;
- o name and telephone of the Records Liaison Officer and the person completing the form;
- o series title, inclusive dates, volume, records medium, and description;
- o location;
- o NARA-authorized records retention citation, if known;
- o the recommended retention period if unscheduled;

Avoid too fine a breakdown in defining record series. The individual correspondence files kept by a succession of Research Division (RD) division directors, for example, might best be considered a simple series entitled "RD Division Director Correspondence." At the same time, avoid describing the series too broadly, for example, a single series for all correspondence created for administration. The objective is to describe records in an accurate, yet succinct, manner that will allow someone else to identify the records.

An important part of the inventory form is the series description (Part 3, Section e). The description should use a narrative style, cover content (including types of records, subjects/topics, and factual matter), and include relevant details about why the records were created and how they were used. Avoid the use of acronyms and abbreviations. If acronyms are used, make sure you spell out the name in parentheses immediately after the first use of the acronym. The description should note information missing (missing years, subjects covered, etc.) in the record series. Describe any other relevant information, including poor physical condition, the location of parts of the series stored in other locations, and restricted information. The following series descriptions are provided as examples (they do not represent actual record series):

(1) Regulations and Procedures Manual Files.

This records series shows the Laboratory's research and decision-making on key Laboratory policies published in the Regulations and Procedures Manual (RPM). Topics include: outside business activities, patents,

publications, personnel, benefits, consultants, property, records management, and related topics. File index available.

(2) Individual Personnel Files.

This record series documents the employment histories and jobs held by an employee from initial date of employment to date of separation. The series is used to verify employment, retirement, and other personnel activities. The series includes the official file copy of all personnel and pay actions (PAFs), life and health insurance coverage, resumes, proof of residence, military service documents, and training records of more than 40 hours or relating to health and safety, radiation, hazardous duty and other courses, unless separate training records are kept in training program files.

(3) Center for Materials Steering Committee Records.

This records series documents the actions of the Steering Committee from 1987 to 1991. The records include three-ring binders of reports, minutes, and proposals for use of the Center for Materials. Records concern review and approval of research proposals and guidance in using the Center. Proposals include a wide range of structural studies of materials and response of materials during corrosion, reduction, and other conditions. Includes photographs and charts of image analysis and enhancement of ceramics, semiconductors, and metals at the atomic level using the 400-1000 kV Atomic Resolution Microscope.

In some cases, a series may consist of two or more parts. This is often true for large bodies of records or for records covering long time periods. Current records might be kept in the office with older records kept in storage. Such situations can be dealt with by using a single inventory form, as long as the location, dates, and volume of each part is noted. Multiple forms can also be used as long as the relationship of the different parts of one series is made clear on the forms. For example, Science Project Administrative Files, 1965-1974, may be a part of Research Medicine Administrative Files.

Paper copies or computer versions of the form may be used.

For electronic series, your description should include details from systems documentation and staff discussions; copies of systems documentation or other information may be attached to the form, if appropriate. Care should be taken to report all data bases. The description should include the names of the computer system and software used to create and access the data; system inputs and outputs; and descriptions of individual data sets; if appropriate. For additional information, see the NARA publication Managing Electronic Records (1990). The following is a sample description of an electronic series:

(4) Radiation Exposure Information Reporting System (REIRS).

This system contains personnel monitoring information from Nuclear Regulatory Commission (NRC) licensees as required by 10 CFR Part 20. Three data sets totalling approximately 100 megabytes are present. The

first contains information taken from annual statistical reports detailing distribution of worker whole body exposures (personal identifiers are not included) . The second has details extracted from individual exposure termination reports for licensee workers. The third consists of basic information (Licensee name, NRC license number, NRC program code, and location) relative to licensees submitting reports. NRC uses the data to analyze licensee radiation exposure performance; develop employee exposure histories; and identify areas where more effective exposure controls are needed. The system is run on a VAX mainframe computer and is programmed in COBOL software; NRC plans to convert the data to ORACLE software shortly. System inputs consist of three NRC forms; outputs consist of periodic hard copy reports.

Epidemiology Data Elements Items: 20, 25, 28, 29, and 59-66. (See Appendix C for information on epidemiologic records.)

What should I include in the description?

Each description should contain essential facts that help to identify and describe the records to a person unfamiliar with your department or group's records and activities. A standard description paragraph notes the organization (or individual) that created or assembled the records and what they are used for, any authorization of requirements for the records, and the record format and arrangement.

Your first sentences should indicate the organization (or individual) that created the records, and the function and/or use in the unit (research group, section, office, department).

For example:

(1) These records document the research grant applications of the Windows and Lighting Group.
(General type of records and creator or user)

(2) The records document the number and type of annual grant requests to fund daylighting and window insulation studies. (These sentences provide additional detail on records functions and relations to the organization's activities. Depending on the records series, sentences may offer greater or lesser detail than the example.)

(3) The series consists of/includes the following record forms: application requests (known as RFAs: Request for Applications), correspondence, and proposals. (Provides information on record form and defines the acronym. For common record types, see Appendix A.)

If you have several different kinds of record types, you may want to add a sentence similar to the following:

(4) A typical file contains copies of the application, report of the principal investigator, memos, notes, surveys, schedules, and photographs.

An important piece of information for both users and readers is how the record series is arranged.

(5) Arranged in file folders numerically by project number (or alphabetically by name of researcher or chronologically by date of application/issue), and within folders by ----------. (This sentence gives the reader information on how users locate or file documents.)

Additional sentences may be needed to indicate major organizations, division departments, or individuals involved in the creation or content of the records. For example:

(6) Contains letters to Director ---------- and department heads
or
Contains confidential personnel information.
or
Includes the reports of ----------, Project Leader, and minutes of group meetings.
or
Applications were initially made in response to the 1992 project initiative of Brighter Lighting Association and the Department of Energy.

Placing these sentences together results in the following concise and informative paragraph:

e. Series Description

These records document the research grant applications of the Windows and Lighting Group. The records show the number and type of annual grant requests to fund daylighting and window insulation studies. The series consists of the following records: Request for Applications (RFA), correspondence, and proposals. (Additional sentences, if needed.)

The records are arranged in file folders numerically by project number, and therein alphabetically by researcher name.

Answering the Questions at the Bottom of the Form:

At the bottom of the inventory form are four questions that must be answered for every series.

6. Would this records series have epidemiologic or health study value?

Epidemiology records are those records that provide information about people who work or visit a DOE site, when and what they did, what health hazards they may have been exposed to (such as radiation, chemicals, and heavy metals), and what kinds of health problems (if any) they may have had during or afterward. Such records include documentation of the administrative organization and management; environment and hazard monitoring; process and material controls

(especially for radioactive sources and chemicals); health and safety procedures' work assignments, procedures, locations, and structural design.

Appendix C is a list of record data elements pertaining to epidemiologic and health studies. If the records series contain any one of the 123 data elements on the Epidemiology and Health Studies Information Identification form, check box number 6 "Yes."

The appropriate data element numbers should be listed below the records series description. If the identifier numbers are listed no full written descriptions are necessary. For example, on the (Radiation Exposure) records series sample above, you would list:

Epidemiology Data Elements Items: 20, 25, 28, 29, and 59-66.

Any records with epidemiology and health information must be preserved. The Secretary, on March 14, 1990, directed that no records with epidemiology or health study information can be destroyed. When the records are no longer used regularly (less than once a month per filing drawer for paper files), they should be transferred to the appropriate Records Holding Area.

The next two questions relate to DOE's required Rights and Interests Records Protection Program (DOE 1324.8) and Emergency Operating Records Protection Program (DOE 5500.7B). If "Yes" is checked on questions 7 or 8, adequate safeguards need to be made to protect these records.

7. Is the records series needed as a part of the Emergency Operating Records Program?

Emergency Operating Records are records vital to the essential operation of the site during an emergency, such as an industrial accident, natural disaster, or other major disruption.

These records must be available as needed or in the vicinity of Emergency Operations Center. Examples of emergency operating records are: plans and programs for carrying out emergency efforts; delegations of authority; descriptions of essential emergency functions; lists of key personnel; building engineering drawings; individual medical files; and listings of essential property and supplies. (See DOE 5500.7B for more information.)

8. Does the records series document legal rights and interests of the site, its employees, guests, patients, or others?

Rights and Interest Records are records essential to recreating the site's legal and financial position and those necessary to preserve the rights of its employees, customers, patients, and others. These records include: personnel records, citizenship records, employee payroll records, leave, retirement, and insurance, records of significant amounts of money owed the site or to subcontractors, and valuable research project records.

9. Does the records series relate to a Quality Assurance project?

If the records provide evidence of quality (e.g., required to furnish objective evidence of the quality of data, inspections, tests, audits, services, materials, equipment, personnel, procedures, etc.) check "Yes." The site has additional obligations for records care under Quality Assurance guidelines. (See your site Quality Assurance manager and DOE 5700.6C, QUALITY ASSURANCE, of 8-21-91, for more information.)

## Step Five

### Verify Information and Send the Inventory

After completing the inventory, check the form to ensure that record locations have been noted and that all pertinent records have been identified and described. Records housed in office space and in storage should have been included; special care should also be taken to see that all relevant electronic, micrographic, photographic, cartographic, and audiovisual records have been covered. The series descriptions should be specific yet inclusive, and useful to your office and the site's overall records management goals. Each series should have a completed form that is legible and complete. Verification is important for the records inventory. DOE representatives verify inventory information as part of the records management program. It is also in the site's best interest to confirm the reliability of the inventory, as it will be used to comply with a number of ongoing records management requirements.

### Send Inventory Forms

When the inventory forms have been completed and verified, send them to the site's records office, or as directed. Offices may send drafts for informal review prior to the final submission. (Please note: "Draft" on the inventory form.) Drafts are strongly recommended to ensure that proper inventorying methods are being used. Before sending the inventory, in draft or final form, you may need to check with administrators, department heads, group leaders, or building managers. If inventories require modifications, the site records officer will notify the office.

For further information to help you in completing the inventory, contact your appropriate DOE records officer.

# U.S. DEPARTMENT OF ENERGY
# RECORDS INVENTORY

* Attach Additional Pages as Required

INSTRUCTIONS *(This Form is for the Use of, and Retention by, Persons Developing "Records Schedules." Persons Approving Schedules May Request Submission of the Form and the Data It Requires)*

## Part A: Facility Identification

1. * *(Site Holding Records)*
comment, Health and Safety

2. OFFICE *(Organization Holding Records)*
Radiation Assessment

3. CONTACT PERSON
Mary Smith

4. FTS TELEPHONE NO.
(222) 555-5555

5. COMMERCIAL TEL. NO.
(222) 555-5555

6. LOCATION OF RECORDS *(Complete Address Including Building, Room, Other)*

Federal Records Center
Room 345
3000 Wissahickon Avenue
Philadelphia, PA 19144

7. STORAGE LOCATION
- ☐ DOE FACILITY
- ☐ CONTRACTOR FACILITY
- ☒ FEDERAL RECORDS CENTER
- ☐ OTHER *(Indicate)*

## Part B: Records Series

1. SERIES TITLE
Radiation Exposure Information Reporting System (REIRS)

2. SERIES DESCRIPTION *(Indicate Type of Information Contained) (Avoid Listing Documents or Folders)*
This system contains personnel monitoring information from the Nuclear Regulatory Comission (NRC) licensees as required by 10 CFR Part 20. Three data sets totaling approximately 100 megabytes are present. The first contains information taken from annual statistical reports detailing distribution of worker whole body exposures ersonal identifiers are not included). The second has details .racted from individual exposure termination reports and the third consists of licensees name, NRC license number and location.

3. RECORDS MEDIUM
- ☒ PAPER
- ☐ ELECTRONIC
- ☐ MICROFILM
- ☐ AUDIOVISUAL
- ☐ OTHER *(Indicate)*

4. SERIES PURPOSE *(Purpose Served by Records, e.g., Program, Project, Legal, Organizational, Other)*
Legal

5. PUBLICATIONS OR REPORTS PRODUCED FROM THESE RECORDS
None

6. RELATED RECORDS *(Any Medium) (Explain Reasons for any Duplication of Recordkeeping) (Explain Relationship of Related Records to Records Series)*
None

7. COVERAGE OF RECORDS *(Indicate Scope of Coverage, i.e., Occupations, Facilities, and Items Included in Records, i.e., Records Kept for Three Facilities (Names), etc.)*
Personnel

8A. NARA GENERAL RECORDS SCHEDULE NO. 8
ITEM NO. 1A

8B. PROPOSED RETENTION PERIOD *(Include Deviations From GRS) (Omit, If 8A is Completed and Retention Period is Acceptable)*
6 years

9. ARRANGEMENT *(Files Maintained by: "X" as Appropriate)*
- ☐ SUBJECT
- ☐ CASE
- ☒ ALPHABETICALLY
- ☐ CHRONOLOGICALLY
- ☐ NUMERIC
- ☐ OTHER *(Explain)*

10. INCLUSIVE DATES
10/1/83 (From)
9/30/84 (To)

11. VOLUME *(Cubic Feet)*
6 (Total)
6 (Annual)

12. CUTOFF INSTRUCTIONS
By fiscal year

13. FINDING AIDS
None

14. ACCESS RESTRICTIONS
None

## Part C: Electronic Records

1. RELATED RECORDS *(Any Medium) (Explain the Purpose of any Duplication of Recordkeeping) (Omit If PART B: Item 6. is Complete)*

N/A

2. INFORMATION SYSTEM *(Electronic Records Are a Part of)*

N/A

3. INPUT RECORDS

4. OUTPUT RECORDS *(Attach Sample Printouts)*

N/A

5. COVERAGE OF SYSTEM *(Omit If PART B: Item 6. is Complete) (Scope of Coverage, i.e., Occupations, Facilities, or Items Included in Records)*

N/A

## Part D: Recordkeeping Requirements/Permanent Records/Comments

1. RECORDKEEPING REQUIREMENTS *(Specify Those the Records Series is Maintained in Compliance With. If Any—"X" If None Established* ☐

2. PERMANENT RECORDS *(Explain Organizational Concept & Provide any Other Information Useful in Understanding the Purpose & Use of the Records)*

3. COMMENTS

4. VITAL RECORDS
- ☒ YES
- ☐ NO

INDICATE TYPE
- ☒ RIGHTS AND INTERESTS
- ☐ EMERGENCY OPERATING

INSTRUCTIONS NUMBER RESPONSES *(To Items PART D. Items 1 Through 3. Above)* AND ATTACH ADDITIONAL PAGES, AS NECESSARY *(Also, Use Space Below for Other Carryover Responses, If Necessary. Identify PART and Item Number)*

Appendix C

# INFORMATION REQUIRED BY THE DEPARTMENT OF ENERGY FOR EPIDEMIOLOGICAL AND HEALTH STUDIES

## DATA PERTAINING TO CONTRACTOR ORGANIZATIONS

Any type of materials that will help understand the reporting paths responsibility for operations with a facility. These types of materials are useful when studying a facility because they enable the researcher to identify key personnel who were involved with certain projects and to contact these persons, when necessary, to help understand the nature of the processing and potential exposures that occurred in specific areas of the plan where they worked. Examples of records that may meet these needs are:

1. Contractor Organizational Charts
2. Contractor Organizational Histories/Plant Information Packets
3. Mission Statements for Functional Units
4. Contractor Personnel Directories/Telephone Directories
5. Copy of all Position Descriptions and Effective Dates
6. Diaries, Subject Files and Correspondence of the Facility Director

## DATA PERTAINING TO INDIVIDUALS

### Identification

Epidemiological studies must create rosters of workers who were at each facility to be studied. Therefore, all records containing identifying information for employees at a specific facility are of great value. These records will typically be from personnel of payroll departments and will include the following data:

7. Social Security Number
8. Name (last, first, middle)
9. Maiden Name
10. Other Names
11. Address (city, state, zip)
12. Spouse Name (last, first, middle)
13. Spouse Address (street, city, state)
14. Emergency Contact (last, first, middle, relationship)
15. Emergency Contact Address (street, city, state)
16. Employer Identification Numbers (payroll, annuity, badge, etc.)

### Demographic Information

In order to compare illness or death rates of the worker population with other groups, it is necessary to know the following information:

17. Birth Date
18. State (or Country) of birth
19. City of Birth
20. Sex
21. Race
22. Education (highest degree)
23. Marital Status.

Work History

All records containing data for workers indicating what job they held while employed are essential. Specific data items are as follows:

24. Hire Date at Facility
25. Last Termination Date at Facility
26. Reason for Termination (medical disability, etc.)
27. Type of Employee (hourly, salaried, etc)
28. Occupation or Job Title (all job titles held and associated dates)
29. Organizational Assignments (building and/or department assignments)
30. Previous Work History (list of all previous employers and job titles/duties
31. Work Location (facility-specific)
32. Military Service (branch of military, dates served, and service number)
33. Health-Related Leaves, Reassignments, Work Restrictions
34. Performance Appraisals.

Medical Data

All medical records, records of treatment, incident or accident reports, and company health insurance records that may be useful for these records include:

35. Pre-Employment Periodic or Special Physicals, Including Lab Test Results
36. Smoking History
37. Alcohol/Beverage History
38. Pre/Post Employment Injuries/Accidents
39. Exposure History for Hazardous Materials
40. Sick Leave Records
41. Return to Work Examinations
42. Pathological Reports
43. Familial Illness or Mortality History.
44. Drug/Medication use History
45. Diagnostic X-rays (dental, chest, other)
46. Predisposing Diseases
47. Disease History
48. History of use of DTPA for Chelation
49. Incident or Accident Reports
50. Company Health Insurance Records
51. Workers' Compensation Claims

52. Identifying Information that Allows Linkage of Medical Records to Employment Record Data (i.e. name, payroll number, social security number, birth date, etc.) and to Facilities (building name, etc.)

Mortality Data (any type of information concerning death)

Many of the studies compare death rates in worker populations with rates other populations. In order to compare cause-specific rates, the following records or data items are essential:

53. Death Certificate
54. Date of Death
55. Cause of Death (including all listed causes and contributory conditions)
56. Place of Death (city, state)
57. Payment of a Death Benefit and Date
58. Vital Status at Last Known Date

External Radiation

It is essential that all external radiation exposure records that pertain to individual workers or to individual areas in a plant be retained. Types of data items contained on these records are:

59. Estimated Whole Body Dose Due to X & Gamma Rays
60. Estimated Whole Body Dose Due to Neutrons
61. Estimated Whole Body Dose Due to Tritium
62. Estimated Total Whole Body Dose
63. Individual Film Badge Records
64. Individual Thermoluminescent Dosimeter Records
65. Partial Body or Skin Doses
66. Date of Each Known Exposure or Reading
67. Identifying Information that Allows Linkage of the External Radiation Records to Employment Record Data (i.e. name, payroll number, social security number, birth date, etc.) and to Facilities building name, etc)

Internal Radiation

It is essential that all internal radiation exposure records for workers be retained. Types of data items contained on these records are:

68. Urinalysis Testing for Radionuclides (date, indication of radionuclide; results and units)
69. Portal of Entry (for each radionuclide)
70. Analysis Type (urinalysis, whole body count, fecal analysis, etc.)
71. Whole Body Counting Data
72. Date of Each Known Exposure or Test
73. Any Record Confirming a Deposition

74. Identifying Information that Allows Linkage of the Internal Radiation Records to Employment Record Data (i.e. name, payroll number, social security number, birth date, etc.)

## Industrial Hygiene

### Chemical Exposures

Data generated to evaluate occupational exposure levels and to demonstrate compliance with exposure limits should be systematically retained. The types of records or data that should be retained may include:

75. Individual Blood or Urinalysis Records for Specific Chemicals (mercury. lead, etc.)
76. Dates of Exposures
77. Environmental Monitoring Data Relating to Specific Work Locations and Jobs
78. Concentration Readings
79. Sample Type (blood, urinalysis, fecal, breathing zone, general air, etc.)
80. Results and Units (mg/ml. ppm, mg/cubic meter)
81. Monitoring Characteristics (devices, times: control data, frequency, techniques, etc.)
82. Identifying Information that Allovs Linkage of the Chemical Exposure Records to Employment Record Data (i.e. name: payroll number, social security number, birth date, etc.) and to Facilities (building name, etc.)

### Physical Agents

Data generated to evaluate occupational exposure levels and to demonstrate compliance with exposure limits should be systematically retained. Such data should include:

83. Hazard Inventories of Potentially Health Hazardous Physical Agents (noise, laser light, electromagnetic radiation, magnetic fields, etc.)
84. Location and Date of the Inventory
85. Work Place or Area of Survey Results along with Exposure Levels.
86. Equipment and Methods used to Assess Hazard
87. Identifying Information that Allows Linkage of the Exposures to Physical Agents to Employment Records, to Medical and to Facilities.
88. Chemical or Other Processes, by Year and Building
89. Hiring, Materials Handling & Other Practices
90. Medical Examination Requirements for Employment/or Employment in Specific Jobs
91. Requirements for Wearing Dosimeter
92. Decontamination Data
93. Dosimeter Type
94. Dosimeter Manufacturer
95. Sensitivity of Testing Procedures
96. Dosimeter Processing Procedures
97. Dosimeter Reading Procedures
98. Frequency of Reading Dosimeters

99. Frequency of Analysis
100. Type of Monitoring System
101. Type of Monitoring Test
102. Protection Equipment Requirements
103. Isotopic Information
104. Concentration Reading
105. Location of Reading
106. Duration of Exposure Reading
107. Requirements for Wearing Protection Equipment
108. Monitoring system for Other Substances
109. Sensitivity Procedures
110. Type of Monitoring Procedures Used
111. Toxic Substances-Concentration Readings
112. Location of Toxic Substance Readings
113. Test Frequency
114. Calibration Requirements
115. Chemical Inventories
116. Information on Product Particle Sizes and Chemical form at Potential Release Points.
117. Details of Chemical or Other Processes in a Facility, Past as well as Current, Including Engineering Drawings of Facility
118. OffSite Monitoring of Sampling Locations and Results
119. Any Measurements of Release Points from the Facility (e.g., stack sampler results, water losses, sump measurements)
120. Inventory Records of Incoming and Outgoing Material
121. Reports of Losses of Material from a Stack
122. Reports of Unplanned Releases, Incidents, Spills
123. Maintenance Records of Pollution Control Devices such as Dust Collectors, Scrubbers, or Filters

TECHNOLOGY TRANSFER

Objective: to develope an effective recordkeeping procedure for the maintenance and protection of documentation necessary in the process of the Technology Transfer Program. (Knowledge and information developed in one area or for one purpose and applied or used in another organization in another area or for another purpose).

Current analysis:
-records concerns are addressed in CRADA's (cooperative research and development agreement)
-CRADA's are not consistent in approach to recordkeeping
-considerations are made on protected or proprietary data
-records management is not currently invloved in records management decisions
-there is no current Tech Transfer records dispostion schedule

Barriers:
-only some elements of recordkeeping may be able to be routinized due to nature of Tech Transfer project
-since recordkeeping practices are determined by each CRADA, the labs and contractors involved may have many differing opinions on any type of standardization

Assumptions:
-the Tech Transfer will be on-going
-some standardization in recordkeeping is necessary
-some information will need to be available to the public
-certain elements of information will require special protection (patent, proprietary info, etc.)
-record ownership may be split

Regulatory drivers:
-Chap 63, US Code Annotated
-SEN 30A-92
-PL 99-502
-PL 101-189
-PL 102-564
-Freedom of Information Act

Methodology:
the development of a task group to determine proper approach to how these records should be handled. A new schedule may not be appropriate.

# RECORDS MANAGEMENT ISSUES

Mary Ann Wallace
DOE-HQ
RECORDS MANAGEMENT DIVISION

Mary Ann Wallace

Mary Ann is the Director, of the Department of Energy's Records Management Division; Office of Information Resources Management Policy, Plans, and Oversight. As the Director, she is the principle DOE records management official.

Prior to her current position, she was responsible for developing, integrating, and managing all nuclear safety information systems, including the identification, acquisition, and implementation of technology in support of those systems. Before joining the Office of Nuclear Safety, Mary Ann was the records manager for the Office of New Production Reactors.

U.S. DEPARTMENT OF ENERGY
RECORDS MANAGEMENT PROGRAM

# ROADMAP TO THE YEAR 2000

**U.S. DEPARTMENT OF ENERGY**
**RECORDS MANAGEMENT QUALITY IMPROVEMENT TEAM**

June 1994

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## EXECUTIVE SUMMARY

In 1988, the National Archives and Records Administration (NARA) evaluated the Department of Energy's records management program. NARA's report identified 40 specific program deficiencies and offered recommendations to correct each. The most serious deficiencies noted were insufficient attention to adequate and proper documentation of Departmental policies and programs, inadequate senior management support, and the lack of records disposition schedules.

In June 1990, the Department began reporting to NARA on progress toward implementing the recommendations. Although significant improvements were noted, the Department still received much criticism from Congress, the General Accounting Office (GAO) and NARA as to how it managed its recorded information. In particular, GAO found in a 1992 audit report that Departmental performance in developing recordkeeping requirements to document program decisions and activities, compiling inventories of active and inactive records, and developing comprehensive records schedules was still seriously deficient. One of GAO's recommendations was to institute a Departmentwide planning initiative to correct these and other records management deficiencies. The Secretary concurred fully with that recommendation.

Subsequent planning and deliberation led to the realization that a tactical plan was needed for development and maintenance of an active and effective Departmental records management program. Therefore, in July 1993, the Department's Records Management Committee, consistent with the concept of total quality management, created a Quality Improvement Team (QIT) to review and evaluate the Department's records management program and its long-range program objectives. This "Roadmap" is the result.

The Roadmap reflects the Department's commitment to manage its recorded information in an efficient and effective manner in support of mission accomplishment and accountability. Paramount in this document are methods and techniques designed to improve the Department's records management program to provide greater access to DOE information, thus building credibility and trust with the Department's customers. Establishing such a protocol is a high priority item with the Secretary.

This document first identifies fundamental records management building blocks. The implementation of the actions contained in each building block will result in a

restructured and highly effective records management program. The building blocks are:

- Institutionalization - The seamless integration of records management policies, procedures, and processes into DOE programs as a standard business practice.

- Credibility - The acceptance of the records management program for the benefits and values it provides.

- Education and Awareness - The instruction of DOE personnel and stakeholders in records management program requirements and benefits, and their responsibilities.

- Training - The providing of necessary training and skills development to staff at all levels.

- Communications - The timely exchange of information so that both the provider and recipient have a common understanding of the information being shared.

- Resources - The necessary resources to operate an effective and efficient records management program, including sufficient dollars; equipment; facilities; technologies; and most, importantly, staffs that are knowledgeable, well-trained, and experienced.

The Roadmap also identifies program and technical elements to be addressed, and each element's specific goal(s), and actions. Some of the elements are closely related and discussion of certain portions of these elements is sometimes repetitive. However, each element is important enough to warrant a separate discussion. Some of the more critical elements are:

- Creation - To ensure that records management policies and procedures are used when records are created or information is collected, and records management concerns are addressed during systems design and program planning.

- Records inventorying, scheduling, and disposition - To maintain current information necessary to properly manage records, to determine the informational value of records, to ensure that information is routed to appropriate personnel in a timely manner, and when the records are no longer

needed to conduct current business, disposed of properly or transferred to NARA.

- Recordkeeping requirements - To include in statutes, regulations, directives, and other authoritative issues, general and specific guidance on records to be created and maintained.

- Adequate and proper documentation - To ensure that the Department and its contractors create and maintain records that adequately document their programs and activities.

- Records declassification - To support the Departmental policy of openness by making appropriate information available to the public.

- Contaminated records - To rid the Department of contaminated records and to prevent future contamination.

# 1.0 INTRODUCTION

## 1.1 BACKGROUND

In 1988, the National Archives and Records Administration (NARA) evaluated the records management program of the Department of Energy (DOE). By citing many deficiencies, NARA correctly observed that the Department lacked the basic infrastructure and foundation for an efficient program that could support the information needs of program managers. This finding was confirmed in 1991 by a General Accounting Office (GAO) review.

Chief among the NARA observations was the lack of an up-to-date accounting for the Department's records holdings. Without basic information about the records, such as their information content, location, arrangement, uses, and value, there is no records management program. The Department's first priority was to inventory its records and, based upon that inventory, determine appropriate retention periods.

In 1991, the Under Secretary directed all Departmental Elements to inventory their records. A year later, Secretary Watkins issued a moratorium on the disposition of epidemiological records and directed that the identification and description of these records be given the highest priority. From that point on, the chief and, in some cases only focus was on the inventorying project. Such was the single focus of the records management program that some came to equate the program with simply inventorying and scheduling. This basic misunderstanding of the elements of a records management program concerned many members of the DOE records management community.

At a Records Management Committee meeting in June 1993, concerns were raised about the direction of the records management program and the need to promote its many elements. With the approval of the Deputy Director, Office of IRM Policy, Plans, and Oversight, the Committee formed a quality improvement team to draft a plan for the records management program. The following individuals are members of the team that drafted this Roadmap:

Gail Clark, Facilitator, Records Management Program Coordinator (RMPC), Richland Operations Office
John Davenport, Records Management Division
Tom Dercola, Records Management Division
Sharon Evelin, Records Management Division
JoAnna Jones, RMPC, Nevada Operations Office

Judy Krumm, Records Officer, Rocky Flats Field Office
Georgette Lane, RMPC, Chicago Operations Office
Toni Love, RMPC, Idaho Operations Office
Cathy Marciante, RMPC, Oak Ridge Operations Office
Jeff Martus, Records Management Division
Eleanor Melamed, Records Management Division
Dan Ogden, RMPC, Savannah River Operations Office
Joe Paradis, Headquarters Records Officer
Gary Pastoria, Records Officer, Morgantown Energy Technology Center
Anne Raible, RMPC, Oakland Operations Office
Terri Ray, Records Management Division
Margarita Sexson, RMPC, Albuquerque Operations Office
Mary Ann Wallace, Records Management Division

Tom Anderson, Kaiser Engineers, Hanford, and Elizabeth Huth, Westinghouse, Savannah River, provided support to the Team.

## 1.2 ABOUT THIS ROADMAP

This Roadmap is being issued as a controlled document to ensure that recipients are provided with changes as they occur. Responsibility for controlling the Roadmap rests with the Records Management Division, Office of IRM Policy, Plans, and Oversight. Document control procedures are found in Appendix A. Please note that only the Records Management Division can issue controlled copies of the Roadmap. All other copies must be marked "FOR INFORMATION ONLY."

The completion or closing of all actions will be documented by the inclusion of products and reports as appendices to this Roadmap. These appendices will be furnished to all recipients of controlled copies of the Roadmap. Likewise, changes to the action items (additions, deletions, alterations of target dates) will be furnished to recipients of controlled copies.

Annually, at a minimum, the Roadmap will be reviewed in light of progress made, changes in program direction, and availability of resources. The review will be conducted by the Records Management Quality Improvement Team and recommended changes will be furnished to the DOE records management community for review and comment.

The priority action items in this Roadmap are linked to the goals of the Department as delineated in the integrated Departmental Strategic Plan.

Action items are discussed in the text and are identified in the Milestone Chart (Chapter 6). In addition to the title of the action item, the Milestone Chart contains the responsible office and the target date for completion.

It is expected that all organizations will develop action plans based upon this Roadmap, but tailored to local needs. As developed, local action plans should be furnished to the Records Management Division.

## 2.0 PROGRAM OVERVIEW

"Each person who undertakes the public trust assumes two paramount obligations: To serve the public interest; and to perform with integrity."

-Report of the Council for Excellence in Government

"Systematic attention to the management of government records is an essential component of sound public resources management which ensures public accountability. Together with records preservation, it protects the government's historical records and guards the legal and financial rights of the government and the public."

-OMB Circular No. A-130, Management of Federal Information Resources

## 2.1 RECORDS MANAGEMENT: THE IMPERATIVE

Good government requires good recordkeeping. This imperative, which is laid both on individual employees and on organizations, is fully reflected in a number of Federal laws and regulations which are too often ignored. The fact remains that an efficient, effective, fully functioning records management program throughout DOE is the necessary basis for an efficient, effective, and fully functioning Department.

Heads of Federal agencies are required by statute to create adequate and proper documentation of their programs, policies and procedures in the form of Federal records; to effectively manage these records; and to carry out their appropriate disposition. Doing so is not simply a legal mandate; it is also sound business practice. These goals, reflecting both law and good sense, are achieved through records management - the organized set of principles, policies, procedures, standards, and techniques for the life-cycle management of the Department's information.

The objectives of a good records management program have been achieved when the Department has the information it needs to fully carry out its mandated responsibilities in an efficient and effective manner; when it is able to provide the necessary documentation required by special circumstances such as audits or lawsuits without incurring large one-time costs; and when administrative continuity is protected as necessary records remain accessible, when officials leave and others replace them.

These fundamental objectives are shared with all business concerns; records management objectives for Federal agencies go further. Federal workers are public servants and Federal agencies are carrying out the public's business. Consequently, they are accountable to the public for their actions and activities.

Records are a primary means by which the public can monitor and assess agency activities. Moreover, as a result of doing the public business, many Federal records contain important information about individuals and groups - financial, legal, administrative and programmatic - that needs to be protected and preserved. Therefore, additional and extremely important objectives of Federal records management are ensuring public accountability and maintaining public trust, and protecting the rights and interests of both the Government and the people.

In the longer term, accountability becomes history. After records are no longer needed for current use, those designated for permanent retention are transferred to NARA. Records designated as permanent are those which provide the basic evidence of the activities and policies of the Federal Government, or those which contain information of potential interest to future researchers. Another records management objective is to identify and preserve these permanent records and ensure their timely transfer to NARA.

The challenges faced by all Government agencies and the particular challenges faced by DOE combine to emphasize the importance of a strong records management program. Information is one of an agency's most important resources and providing it efficiently and cheaply to the public is at the core of better customer service. As the Government struggles to reinvent itself, many of the issues and agendas that are proposed relate to information: creating the necessary infrastructure for sharing information electronically; ensuring that the public gets the information it needs in a timely and efficient fashion through a variety of media; and preventing duplication and waste in information collection and dissemination.

For Federal agencies, the first and most basic step towards achieving these larger agendas is to focus on effectively managing recorded information in whatever form it takes - paper, electronic, audiovisual or cartographic. If an agency controls its information resources by knowing what records it has, where they are located and who is responsible for them through a strong records management program, it is well-positioned to make wise choices about issues relating to technology and information sharing.

More specifically, as DOE takes on new initiatives and approaches, success depends on a strong records management program. As sites reconfigure or are closed

altogether, the problems of locating, transferring, and protecting records loom large. Efforts to speed up declassification and to make records relating to the environment and to worker and community health available to the public require an in-depth knowledge of the records in DOE custody that can only come through a vital and well-supported records management program.

## 2.2 GOAL

The goal of DOE's records management program is to manage the Department's records, regardless of media, throughout their life cycle in an effective and efficient manner in support of mission accomplishment and accountability.

## 2.3 CURRENT CONDITIONS

Through government reorganizations, DOE and its predecessors have created, collected, maintained, and dispositioned information of diverse organizations. Included among them are the Bureau of Mines; National Science Foundation; Office of Coal Research; Environmental Protection Agency; Energy Research and Development Administration; Federal Energy Administration; and the five Power Administrations. From this background of mission diversity and wide differences in organizational cultures has emerged a DOE information management program that is fraught with problems.

Extreme programmatic flexibility within the various organizations of DOE has resulted from the absence of standards, uniformity, and comprehensiveness in the DOE-wide program. Inconsistency in approach and application is common at most levels and locations. Lack of direction pervades, and cooperation and communication are difficult to sustain between individuals and organizations.

More important than the general failure to physically manage what is currently estimated to be about 3 million cubic feet of DOE documentation is the failure to effectively and efficiently manage the information contained therein. Although the Department produces many diverse "items," the bulk of what it produces - measured from any standpoint one chooses - is data and information. There exist astounding "cradle-to-grave" controls (and the associated resources) to ensure that these "items" are the best in the world, and are managed accordingly. Not so with the management of its most important resource: information.

It is ironic that records management is often perceived by the DOE community as being resource intensive, and that th`re is little value-added attributable to a good program. It is not uncommon to find more interest in managing the technology of information than the information itself. The program suffers, not only from a lack of understanding of the legal and regulatory requirements for managing information and records, but also from a lack of understanding of the techniques, standards, tools, equipment, and supplies which are available to help manage and operate a viable records management program.

Good management of DOE information must begin at the source, and the majority of documentation in DOE comes from contractors. DOE has struggled to institute controls and techniques to manage both the information of its federal offices and the information of its contractors. To date, its successes in this area have been spotty; a few of its failures spectacular.

A concerted effort within DOE is needed to bring uniformity to future information management contract clauses. In this way it would be clear to contractors that they are responsible for the creation and collection of adequate and proper documentation of DOE programs and activities, and the proper maintenance and disposition of documentary materials belonging to the Federal Government.

Training of both DOE and contractor personnel is needed. Unfortunately, there is a lack of respect and recognition given to the individuals within the DOE information management profession, record managers and specialists, associated information management personnel, and supervisors of information and records programs. A demoralized information management professional and technical staff is not uncommon.

Not only is their expertise often not sought, but it is not heeded when given. Information management personnel are all too familiar with the sometimes strong resistance they meet when trying to foster good information management practices. One reason for the resistance is that there is no perceived repercussions from non-compliance with information management laws, regulations, directives, and other authoritative issuances.

The failure to adequately and properly document DOE programs and activities has a cost beyond the normal business environment; it also impacts upon the societal costs associated with issues involving the health and safety of DOE employees, contractor employees, the citizenry, and the well-being of natural habitats.

Yet, despite continual criticism of the program by NARA, GAO, elements of the research community, segments of the Congress, and others, the allocation of available resources to improve and sustain a comprehensive information management program continues to be blocked.

A number of assumptions about the records management program in DOE have driven the development of this Roadmap and impact its implementation. Most fundamentally, carrying out the actions in this Roadmap will increase the effectiveness of the records management program and significant benefits to the Department will be realized. At the same time, implementation will require additional resources, not all of which will be made available. It will take time to move the perception of the program from "keeper of the files" to "partners in management." Much can be accomplished, but choices will have to be made and priorities established.

Demands on the time and expertise of DOE records managers will continue to increase. The major inventorying and scheduling effort for DOE records, a highly resource intensive activity and the baseline effort to meet the Department's information needs, will continue. DOE will also continue to be scrutinized by regulatory agencies and will have to provide information in response. Public access to Departmental information will remain a priority, as will litigation requirements.

The Secretary's initiative on openness, and the push to declassify more information, assumes that records managers will be available to identify and retrieve information. Specific programs to locate and provide access to records, such as epidemiological records, will require strong support from records managers. Moratoriums on records destruction imposed by these special programs, and reconfiguration of the weapons complex, will also continue to make demands on records managers by increasing and changing records storage and retrieval requirements. Finally, realignment of programs in keeping with current Administration initiatives will increase the records management workload, particularly since the shrinkage of Federal resources will not be accompanied by a corresponding shrinkage of recorded information to be managed.

Fast changing information technology will continue to pose challenges and to offer new solutions. An information highway will become a national reality. New programs will generate new types of records that will need to be managed, and media other than paper will become increasingly important. Records managers will need to increase their skills and expertise to deal with the changing types and volume of information.

At the same time, the use of new technology to manage and access information across the Department offers the opportunity to compensate, at least in part, for shrinking resources. The design and use of electronic systems can and should make the jobs of records managers easier and should introduce standardization of processes while allowing necessary flexibility.

In the end, it is a certainty that continuing oversight of Federal agency activities by the media, researchers and writers of all types, politicians, lawyers, and special issue advocacy groups will keep a spotlight on the records and information which document the Government's policies, procedures, decisions, and actions. The public perception of DOE and its credibility will be diminished by its inability to provide access to information, just as the agency's ability to carry out its mission effectively will be impaired by poor records management. Clear and effective mechanisms for identification, access controls, and storage are necessary to ensure that records are available to meet the needs of DOE and its stakeholders. A well-run records management program will bring credibility to itself and to the Department. Implementation of this "Roadmap" can put the Department on the "road to success."

## 2.4 SUMMARY

The shrinkage of Federal resources will not be accompanied by a corresponding shrinkage of recorded information to be managed. Demands on the time and expertise of DOE information managers will continue to increase. The major inventorying and scheduling effort for DOE information, a highly resource-intensive activity and the baseline effort, will continue. At the same time, DOE will continue to be scrutinized by regulatory agencies and will have to provide information in response. Public access to DOE information will remain a priority, as will litigation requirements.

Fast-changing information technology will continue both to pose challenges and to offer new solutions. New programs will generate new types of information that will need to be managed, and media other than paper will become increasingly important.

Information managers will need to increase their skills and expertise to deal with the changing types and volume of information. At the same time, the use of new technology may compensate, in part, for the shrinking resources. The design and use of electronic systems can and should make the jobs of information managers easier, and should introduce standardization of processes while allowing necessary flexibility.

While certain costs of managing information and records are easy to determine (e.g., the cost of filing equipment, supplies, a magnetic disk, a roll of microfilm, etc.) the hidden cost of poor information management is virtually impossible to calculate. What is the hidden cost of a misfiled document that delays the making of a correct, timely decision? What is the hidden cost of referring to, relying on, or using recorded information that is inaccurate, obsolete, or incomplete? No one really knows. But one can conclude that these hidden costs, at a minimum, are a significant drain on scarce resources and, at a maximum, could surpass the entire cost of any one of a number of DOE mission programs.

Clear and effective mechanisms for identification, access controls, and storage are necessary to ensure that information is available to meet the needs of DOE and its stakeholders. It is hoped that this Roadmap will put DOE on a path that will increase the effectiveness of the information management program and add significant benefits to the DOE mission. Much can be accomplished, but choices will have to be made and priorities established for a successful DOE information management program.

## 2.5 APPLICABLE REQUIREMENTS

Information management in the Federal Government is conducted according to a number of laws and regulations. From these laws and regulations, DOE has derived policies and procedures that must be followed in the management of recorded information. In addition, there exists a number of national standards that DOE has applied to its records management program. Information management oversight agencies have issued guidance on implementing the requirements in law and regulations. Appendix B is a list of authoritative and guidance documents which will provide the reader with the statutory and regulatory basis for the program and additional sources of information relating to information management.

## 3.0 RECORDS MANAGEMENT PROGRAM BUILDING BLOCKS

There are many elements required to build a solid records management program. The building blocks needed for a well-run program consist of a comprehensive and uniform program that is both credible and understood. There should be initial and on-going records management training. All these building blocks should be placed on a strong foundation of sufficient resources: sufficient funding, equipment, facilities, technologies, and knowledgeable, well-trained, experienced people.

### 3.1 INSTITUTIONALIZATION

A successful information management program integrates information and records management polices, procedures, and processes into DOE programs as standard business practices. This integration is referred to as institutionalization.

Records management is usually perceived within an organization as a program that handles records at the end of the records' life cycle. Most organizations do not know the benefits derived from the records management discipline and see little, if any, added value in institutionalizing records management principles, concepts, and practices. Too often, records management is perceived as a low-level administrative function where records of limited use are stored and maintained in warehouses and seldom used.

Changing this perception requires education, training, awareness, and a solid comprehension of the way a records management program supports and relates to the myriad missions and functions of the various organizations. Typically, senior-level management needs to be convinced that a solid records management program provides substantial return on their investment of resources.

In today's competitive, diverse, and highly-complex working environments, effective decision making is more difficult and, typically, has a far reaching impact. In many instances, managers reach decisions based on incomplete and inaccurate information that can put an organization in a less effective position than it would be otherwise.

Records managers know all too well that this situation occurs frequently. Oftentimes, managers do not properly preserve or access records that could significantly contribute to strategic planning, problem solving, and decision making. For example, policies and procedures must be implemented to ensure that the information structure manages the risks associated with not having adequate

documentation as evidence in litigation of compliance with applicable statutes and regulations. In addition, records managers must see that adequate security, protection, and confidentiality is ensured for all records for the appropriate periods of time.

Since recorded information management is a widespread activity, the management of information must be formalized as a critical component of the overall corporate structure. The aim is to manage information as a corporate resource instead of treating it as a departmentalized, functional resource. A records management blueprint would clarify corporate philosophy and policy concerning records management. Such a plan would link the goals, objectives, and activities of an overall strategic plan to records management. In particular, the strategy must integrate the management of records with the management of automated information systems. In this way, records are managed as interrelated building blocks in the overall information structure of the organization, not as separate entities.

In order to establish a practice where records management becomes a daily function, employees must be trained in the handling and processing of recorded information. All employees who manage records should combine their knowledge of the records with the organization's processes, to ensure they can provide accountability and authentication of their records holdings, when needed to protect the rights and interests of the Federal Government and the general public.

Institutionalization of records management practices in the workplace will take a total quality effort, and will provide the right information in a timely manner to the decision makers, enhancing and increasing organizational effectiveness.

To create a comprehensive and uniform records management approach that is recognized and accepted as a standard business practice for all DOE organizations, the following actions should be initiated:

3.1.1 Promote the records management program through education and awareness. (See Section 3.3, Education and Awareness)

3.1.2 Solicit one or more Operations Office Manager or other senior officials to become advocates for management.

3.1.3 Require a minimum degree of mandatory records management training for all employees. (See Section 3.4, Training)

3.1.4 Include a records management debriefing as part of the employee termination and check-out process.

3.1.5 Include records management training consistent with other duties in position descriptions for all DOE employees.

3.1.6 Include a records management performance indicator in all managers' performance plans.

3.1.7 Include records management responsibilities in DOE "standards of conduct."

STATUS: Activities regarding this building block have begun and will continue for the short- and long-term. Headquarters and each site are responsible for achieving the action items, which should be finalized in fiscal year (FY) 1996.

## 3.2 CREDIBILITY

A successful records management program has credibility, meaning that the program is accepted for its benefits and the value it provides. The program delivers what it provides.

The goal is to create an effective, fully-supported records management program. A well-run program will provide credibility for its function and justification for fiscal allotment. To successfully accomplish this goal, the following actions should be initiated:

3.2.1 Increase responsiveness and timeliness of records retrieval.

3.2.2 Work on joint ventures with other agencies on records management issues.

3.2.3 Close out open audit items (NARA, GAO, and Federal Management Financial Integrity Act (FMFIA)).

3.2.4 Develop tools and techniques to determine or measure the level of satisfaction with a records management program.

3.2.5 Develop baseline surveys for measuring improvement.

STATUS: As in institutionalization, activities regarding this building block have already begun. All action items will be completed in FY 1995.

## 3.3 EDUCATION AND AWARENESS

A successful records management program involves educating DOE personnel (both DOE and contractor) and the stakeholders (oversight agencies, the public, etc.) about records management program requirements, benefits, and their responsibilities relative to the program. Once records management literacy is obtained throughout DOE and the stakeholders' communities, the value and the credibility of the program will increase.

Currently, there are few products available to assist the public or non-DOE organizations in the use of DOE's information resources. Recommended products could include publicly available finding aids and information about how to access DOE records.

The goal is to educate and make DOE personnel, contractors and stakeholders aware of the records management program's requirements, benefits, and relative responsibilities. To successfully accomplish this goal, the following actions should be initiated:

3.3.1 Provide existing education and awareness materials to Oak Ridge for cataloging and centralized distribution.

3.3.2 Obtain the Secretary's endorsement of and commitment to the DOE records management program.

3.3.3 Actively seek participation in all information management conferences.

3.3.4 Provide records management related articles for the newsletter "IRM Update."

3.3.5 Issue a numbered memorandum soliciting articles for the "IRM Update."

3.3.6 Review the "IRM Update" distribution list to ensure that appropriate records management staff are on standard distribution.

3.3.7 Review membership, charter, and title of the IRM Council to ensure that records management is an integral part of the Council.

3.3.8 Brief the Deputy Assistant Secretary for Information Management on the records management program and the work of this Quality Improvement Team.

3.3.9 Review the Records Management Committee membership and determine if a charter is appropriate and if the committee is still necessary.

3.3.10 Develop a records management primer to be included in new employee orientation packages and briefings.

3.3.11 Support of the Secretarial initiative to make available information about classified records as they are declassified.

3.3.12 Support the Secretarial initiative to make available all records relating to human radiation experimentation and intentional releases.

STATUS: Activities regarding this building block have begun. Action items 1, 3, 4, 5, and 6 have been implemented. Items 2, 9, 10, 11, and 12 are in progress and should be complete in FY 1995. The implementation of this building block is the responsibility of Headquarters and each Field site.

## 3.4 TRAINING

Training is the process by which staff at all levels receive the technical training and skills development to do their jobs. For the purposes of this Roadmap, this description is directed to records management training.

A successful records management program has all employees appropriately trained in their records management responsibilities. This includes records management staff, records custodians, managers, scientists, and engineers.

Currently, records management training is not a requirement. A training curriculum for a new employee in records management does not exist and may be viewed as unnecessary.

To successfully accomplish this training goal, the following actions should be initiated:

3.4.1 Identify and document the training needs for records management professionals in an established records management training curriculum.

3.4.2 Identify what training is necessary for job classifications according to records management responsibilities.

3.4.3 Prepare a project plan and schedule to develop a generic training course which allows organizations to add to the course according to their training needs.

3.4.4 Establish a central clearinghouse or location for providing basic training materials for the DOE complex.

3.4.5 Develop and distribute a list or schedule of relevant DOE and non-DOE training courses to publicize current training resources to DOE and contractor personnel.

3.4.6 Identify mandatory training requirements in authoritative issuances.

3.4.7 Identify the functions of records management program coordinators, records officers, records management liaisons, records custodians, etc., in both the Federal and contractor sectors, and determine specific training requirements for each.

STATUS: Activities regarding this building block have begun. Action items 4 and 5 are in process and are the responsibility of the Savannah River Operations Office. Once the findings from these action items are known, activities regarding the other action items will increase and be ongoing. All action items should be finalized in FY 1995.

## 3.5 COMMUNICATION

Communication is defined as the timely exchange of information so both the provider and receiver have a common understanding of the information being shared.

Records management personnel should understand the program's objectives, priorities, and requirements. In turn, the entire DOE community should understand its roles and responsibilities in the records management program context. Policies, techniques, and resources should facilitate understanding the program at all levels, along with clearly identified channels of communication through which to exchange information.

At present, communication channels are neither properly identified nor appropriately used, and the absence of adequate technology is a barrier to communication exchange. Information technology is used infrequently to accelerate and improve communications. Although there should exist different channels of communication depending on the types of information being communicated and the audiences, there are few channels. The use of information technology can improve both the timeliness and accuracy of communications.

To successfully accomplish this goal of communication, the following actions should be initiated:

3.5.1 Develop and maintain a directory of members of the DOE records management community and their areas of expertise and functional responsibilities.

3.5.2 Publicize the records management program using the actions discussed in Section 3.3.

3.5.3 Establish ongoing communications with site records management personnel through their DOE records management program coordinators.

3.5.4 Investigate electronic information sharing techniques and recommend one or more for implementation.

3.5.5 Have meetings with DOE records management professionals.

3.5.6 Ensure records management issues are addressed at IRM Council meetings.

3.5.7 Expand the charter of the Records Management Quality Improvement Team to include oversight of the implementation of actions identified in this Roadmap.

STATUS: Action items 2, 5, and 6 have been completed and the others are being worked on. The Nevada Operations Office is responsible for item 1; the Albuquerque Operations Office is responsible for item 7; Headquarters is responsible for item 4; and each site is responsible for item 3. All action items should be finalized by FY 1995.

## 3.6 RESOURCES

The proper management of information requires resources: sufficient dollars, equipment, facilities, technologies, and knowledgeable, well-trained, and experienced people. A successful information management program maximizes the resources available.

Historically, sufficient funds have not been available to support a strong records management program. Information has not been recognized as a resource needing to be supported. Records management and the role of records managers have been viewed as maintaining proper records in file cabinets or other storage facilities. Whereas the results of all program activities are found in these file cabinets or storage facilities, the documentation itself was not viewed as a valued product.

With the exception of information technology, little is presently known about how information management resources are acquired and budgeted in DOE. The recent Process Improvement Team on IRM planning has recommended that planning for information management be integrated with program planning. This process is being piloted by the Office of Energy Research; however, many questions remain, especially regarding the funding of information management at sites where contractors are performing work for more than one Headquarters organization.

To successfully accomplish this goal of maximizing resources, the following actions have been identified:

3.6.1 Identify and publicize the benefits of a records management program.

3.6.2 Link information management planning to program and strategic planning.

3.6.3 Include in all DOE planning processes the requirement that organizations must plan for the costs of information management along with all other costs associated with program execution.

3.6.4 Work with NARA, OMB, and other Federal agencies to pursue planning and budgeting for information management as an integral part of program planning and budgeting.

3.6.5 Review and guide the Office of Energy Research pilot planning project to ensure actions and costs associated with information management are considered along with the costs associated with technology acquisition. Such actions and costs should be integrated into program planning.

3.6.6 Establish a group to identify and develop, if needed, costing guidelines for information management activities throughout the life cycle.

3.6.7 Work with the Office of Policy, Planning, and Program Evaluation to ensure that all planning includes provisions for information management.

STATUS: Activities regarding this building block have begun. Action items 4 and 5 have been completed, while items 1, 2, 3, 6, and 7 should be finalized in FY 1995. Items 1, 2, and 3 are Headquarters' and the field's responsibilities. Items 4 and 7 are Headquarters' sole responsibilities.

# 4.0 RECORDS MANAGEMENT PROGRAM ELEMENTS

## 4.1 RECORDKEEPING REQUIREMENTS

Recordkeeping requirements are statements in statutes, regulations, agency directives, and other authoritative issuances providing general and specific information on particular records to be created and maintained by the agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, agency recordkeeping requirements should be issued for all activities at all levels for all media, and should distinguish records from nonrecord materials for agency purposes.

The formalized regulatory requirement to identify and define recordkeeping requirements is relatively new, and most agencies have yet to comply. Analysis of existing requirements has been difficult because of the lack of inventory and schedules, and changing missions, programs, and activities. There have been some limited efforts by individuals and organizations (e.g., the Nuclear Information and Records Management Association (NIRMA)) to identify DOE recordkeeping requirements.

Since there is little written guidance on the necessary requirements from NARA, it is important to exchange concepts, approaches, and successes in implementing the recordkeeping requirements regulation with other agencies. Other actions that should be initiated are:

4.1.1 Identify and define all recordkeeping requirements, both internally or externally imposed or established, or that need to be established.

4.1.2 Define all records series that should be or have already been created to properly document each mission, goal, objective, program, project, and activity for all DOE organizations.

4.1.3 Develop and issue policy and procedural guidance for recordkeeping requirements.

## 4.2 CREATION

A successful records management program begins with having good information management practices at the creation of the information and using those practices

throughout the life cycle of the information. This is critical because the manner in which the records are created and information collected impacts upon their (its) maintenance, use, and disposition.

In the past, DOE's records management activities focused on the maintenance and disposition of records rather than on the creation and collection of information. There is little evidence that DOE records management organizations have records creation programs, such as correspondence management, directives management, reports, and forms management. Also, while there may be programs to control records creation, records managers often are not included or consulted in planning for those programs.

In order to achieve the overall goal of a comprehensive records management program, specific records management requirements should be included in all programs, project plans, contracts, and directives. The requirements should contain details of which records are to be created and collected, maintenance and disposition information, prescribed storage media, organizational and physical location, etc.

To further ensure that these goals are achieved, the following actions are suggested:

4.2.1 Identify and analyze DOE recordkeeping requirements.

4.2.2 Review and revise DOE 1330.1, COMPUTER SOFTWARE MANAGEMENT, to address recordkeeping requirements.

4.2.3 Review local draft policies and requirements to assure recordkeeping requirements are included.

4.2.4 Have contractor records management staff review authoritative issuances to ensure recordkeeping requirements are included.

4.2.5 Identify, recommend, and coordinate recordkeeping requirements to be included in the Department of Energy Acquisition Regulations (DEAR).

4.2.6 Involve records management personnel in the development of record systems by researching DOE project activities (e.g., weekly program or project activity reports, presentations, and networking, etc.).

4.2.7 Establish procedures that allow records managers to participate in the development or revision of agency programs, processes, systems, and procedures to ensure that appropriate records planning is included.

## 4.3 ADEQUATE AND PROPER DOCUMENTATION

A successful records management program ensures that records are created that adequately document programs and activities, are protected, and are accessible throughout the life cycle. All Federal agencies are required by law to make and preserve records containing adequate and proper documentation, and to establish a continuing program for the efficient management of these records.

Throughout the DOE complex, adequate and proper documentation is inconsistent and not clearly understood. Because of the size and complexity of the DOE and the varying records management programs at the sites, ensuring the adequacy of documentation DOE-wide will be a long-term goal. To successfully accomplish this goal, the following actions should be initiated:

4.3.1 Educate all employees, especially program staff and senior managers, about their records management responsibilities.

4.3.2 Review old directives for recordkeeping requirements and develop a database of this information. Keep the database current.

4.3.3 Ensure that new directives specify recordkeeping requirements, and that they do not conflict with existing directives.

4.3.4 Ensure DOE program evaluations include assessments of documentation at a site or by a program.

4.3.5 Have appropriate recordkeeping requirements that define what programmatic records need to be created, what format to use, and what preservation actions need to be taken, based on information content and storage media.

4.3.6 Ensure that contractors identify adequate and proper documentation requirements for their programmatic areas of responsibility.

4.3.7 Inventory and schedule all DOE records.

4.3.8 Provide assistance to all DOE organizations to ensure the requirements and schedules are implemented.

## 4.4 INVENTORY PROCESS

A successful records management program is founded on knowing what information is available and where it is located. Once records are inventoried, decisions can be made on the information's value and on how the records should be managed. An effective inventory covers all media and includes records, nonrecord materials, active, and inactive records.

The entire DOE complex was directed in DOE 1324.2A, RECORDS DISPOSITION, to inventory all DOE records in possession of both Federal and contractor employees. However, the inventory process lacks uniformity. There is an inconsistency in inventory methodologies, and many sites see the current inventory process as a one-time activity, while others view it as ongoing. The inventory process required in Order is inadequate for DOE's needs and requires significant revisions.

Changing the inventory methodology is time-consuming. Imposing new requirements in the middle of the labor-intensive inventory effort currently underway would be costly. However, an inventory that includes records and nonrecord material, active and inactive records, in all media is the foundation for any records management program. A successful inventory effort will result in the complete, current identification of DOE's records.

The following suggested actions will ensure timely completion of the current inventorying initiative and improvement of the process.

4.4.1 Identify and share the benefits of completing the inventories to obtain management support, and share successful management selling strategies.

4.4.2 Establish a group, consisting of representatives from multiple sites, to evaluate the current inventory process and to make recommendations for improvements, including standardization, simplification, and automation.

## 4.5 SCHEDULING AND DISPOSITION PROCESSES

A key part of any successful records management program is having a schedule of how long a record is kept before it is transferred to inactive record storage facilities, Federal Records Centers, other Federal agencies, NARA, or destroyed. For consistency of application, the schedules must be current, clear, specific and verified periodically.

Current DOE records schedules are inadequate, as pointed out in the 1988 evaluation by NARA. Many of DOE's records, particularly program records, are not covered by the schedules. Some schedule items are vague, some non-descriptive, and some are too general to be applied with any degree of accuracy. The schedules are outdated and do not reflect the current organization or mission of DOE. The schedules are incomplete due to a lack of a comprehensive records inventory.

The DOE records management program should develop comprehensive disposition schedules for all DOE records, including records maintained and managed by DOE contractors. Departmental and programmatic schedules for administrative, environmental, and weapons records should receive priority. To successfully accomplish this goal, the following actions should be initiated:

4.5.1 Identify existing departmental and programmatic schedules.

4.5.2 Define scheduling areas to ensure comprehensive coverage and designate a responsible organization in each area. Report to the Records Management Division on status of activities.

4.5.3 Develop, implement, and monitor a plan for the DOE scheduling effort.

4.5.4 Develop records retention and disposition schedules that are comprehensive and that represent the DOE complex, including departmental, programmatic, and site-specific schedules.

4.5.5 Establish a group composed of records management, information resources management (IRM), and automatic data processing (ADP) professionals to plan the transfer of records scheduling and disposition process to an electronic system. Once the system is established, maintain the disposition schedules electronically.

4.5.6 Establish and implement a controlled distribution system for the dissemination of approved records schedules and other authoritative issuances.

4.5.7 Implement approved records schedules throughout DOE. (Prior to implementation, schedules must be approved by NARA).

## 4.6 ELECTRONIC RECORDS AND ELECTRONIC MAIL (E-MAIL)

Electronic records are generated by a number of electronic devices and stored on many types of storage media other than the traditional paper or microfilm. These records require both hardware and software to read or access. A goal of the DOE electronic records management program is to develop effective guidance for the creation, capture, protection, preservation, use and disposition of all electronic records.

The definition of electronic records is not clearly understood in many parts of DOE, and there are many interpretations as to just what the definition entails. Various organizations either have their own independent policies on electronic records or have no policy at all.

Through their recently proposed rulemaking in the Federal Register, NARA is attempting to establish Federal guidelines for the management of electronic records and E-mail. Once these guidelines are finalized, DOE will have a basis for establishing Departmental policies.

Records management practices are not coordinated with database management practices. Each function is not fully aware of the responsibilities and activities of the other. DOE guidance does not adequately address E-Mail, personal computer workstations, Local Area Networks, optical disk, and other electronic information technology. The use of technology is not standardized throughout DOE.

Public access to information in electronic format is minimal at best, yet public access will continue to be a high priority.

To improve the management of electronic records, the following actions are suggested:

4.6.1 Management of electronic records should be made part of the Department's overall records management order.

4.6.2 Develop an electronic records advisory and assistance team that will be available to advise DOE managers and organizations on technology to automate records management activities. This team should consist of computer and records management professionals and users. The team should also be able to assist on records management aspects of a manager's or organization's operation.

4.6.3 Based on the team's recommendations, include electronic records management elements in the proposed training program.

4.6.4 Once Federal policy on E-mail is finalized, conduct training on its implementation.

## 4.7 INFORMATION ACCESS

A successful records management program contains access controls to protect information and records against loss, destruction or alteration; and to ensure security requirements are met. Access controls both limit the people who may obtain the information or record, and ensure that the people who have rights to such information are allowed access.

In DOE there is no consistent access control policy or procedure. This inconsistency has resulted in confusion about who has authorized access and may have resulted in the inadvertent loss of information. Another result is confusion among the private and public sectors about the appropriate way to access information, which may have resulted in information not being made publicly available.

To increase effective access controls, DOE needs to develop guidance for organizations to ensure records are accessed by authorized personnel only, and that the appropriate access to the public is facilitated. This is particularly important as the increasing reliance on electronic information systems will impact and alter the manner in which information is both protected and made available. To develop such guidance, the following actions are suggested:

4.7.1 Survey DOE to identify all existing access control processes.

4.7.2 Review the processes and develop a standard process for DOE.

4.7.3 Develop and maintain an ongoing liaison with DOE Privacy Act and Freedom of Information Act officials, officials responsible for the

protection of proprietary data and information, and legal officials having knowledge of these matters.

4.7.4 Review, and if appropriate, recommend revisions to controlling DOE regulations and directives in these areas to ensure that information policies, procedures, standards, and techniques are addressed.

## 4.8 ADEQUATE STORAGE CAPABILITY AND FACILITY STANDARDS

DOE records must be kept in adequate storage facilities to prevent their loss, destruction or contamination. Standards should address the special requirements, encountered by DOE, i.e., quality assurance records, contaminated records, x-rays, and the records accumulating because of moratoriums.

In general, storage facility programs are inadequately funded and are given low priority by management. Many of DOE's existing storage facilities are inadequate and are of non-standard construction. Few facilities have or use modern records management technologies and frequently there is no protection from destructive forces such as fire or vermin. Even when DOE storage facilities meet construction standards, a lack of Departmental standards and procedures prevents optimum utilization. Facilities operated by NARA, including Federal Records Centers, will not accept contaminated records. Only a few Federal Records Centers meet DOE requirements for housing classified records. None have environmentally-controlled space meeting the requirements for the storage of x-rays and radiographs.

To improve the storage capability and facility standards, the following actions are suggested:

4.8.1 Form a group that will: (a) survey DOE sites to identify the magnitude of the problem, (b) provide demographics, (c) develop standards of operations, and (d) provide a plan of implementation.

4.8.2 Increase the use of electronic media (intelligent storage) to reduce the amount of physical space needed and to improve retrievability.

4.8.3 Establish a DOE National Records Center that would store the majority of inactive DOE records.

## 4.9 ALTERNATE TECHNOLOGIES

Alternate technologies are required to provide correct information promptly while cutting time, cost, and effort required to label, store, search, duplicate, and handle information.

Currently, DOE lacks standards and guidelines for storing records electronically. There is insufficient communication and coordination between records management and other information management and ADP management personnel. A basic set of DOE-wide requirements for use of technology that are flexible enough to allow sites to fulfill special requirements is needed. Federal recordkeeping requirements do not provide for the easy implementation of new technology.

To improve records management efficiencies, the following actions should be initiated:

4.9.1 Identify system requirements for each site and establish a set of DOE-wide requirements.

4.9.2 Request site requirements during the Records Management Conference.

4.9.3 Establish a group, including representatives from the ADP community to develop a plan to increase the use of new technologies to draft standardized DOE requirements and introduce new technologies to information management.

## 4.10 PERSONAL PAPERS AND THE PREVENTION OF THE REMOVAL AND DESTRUCTION OF RECORDS

The rules for disposition of Federal records are stated in 36 Code of Federal Regulations 1228, "Disposition of Federal Records." No records can be destroyed without the approval of the Archivist of the United States. This approval is granted by general and agency-specific records schedules. Records may not be removed from Federal custody or destroyed, without regard to the provisions of these schedules. The unauthorized destruction, removal, or mutilation of records is punishable by fines and imprisonment as specified in 18 United States Code, Chapter 101 Part 2071. The heads of Federal agencies are responsible for ensuring that all employees are aware of the provisions of the law relating to unauthorized

destruction, removal, or mutilation of records, and should direct that any such actions be reported to them.

Personal papers are documentary materials of a private or non-public character that do not relate to or affect the conduct of an agency's business. These materials are excluded from the definition of Federal records and are not owned by the Government. Personal papers must be clearly designated and maintained separately from an office's records.

Currently in DOE there is a misunderstanding of what constitutes personal papers and personal papers are often intermixed with Federal records.

To safeguard against the improper removal or destruction of records, the following actions should be initiated:

4.10.1 Provide training to prevent the removal and destruction of records. Define personal papers and describe the management of personal papers. Special emphasis should be given to increasing the awareness and oversight among scientific and research personnel as to their obligations concerning DOE records and personal papers.

4.10.2 Issue an annual reminder on the management of Federal records. Upon receipt, each DOE organization should then distribute the reminder to its facilities, as appropriate. Ongoing awareness activities also should be considered, such as posters, pamphlets, etc.

4.10.3 Issue an annual reminder on the management of personal papers. Each DOE organization should then issue local implementing procedures. As contractually allowed, the maintenance of personal papers in DOE-provided facilities should be discouraged to minimize the cost of storing and managing non-Government property.

4.10.4 Each DOE organization should implement an effective program to ensure records are not removed, destroyed, or lost when individuals leave their employment with DOE.

4.10.5 Establish procedures to require the debriefing of departing senior officials by records management officials to ensure no records are inadvertently removed from Federal custody.

## 4.11 FILES MANAGEMENT PRACTICES AND EQUIPMENT

An important part of a records management program is an economical and efficient filing system(s) to maintain, use, and dispose of records in any media.

Filing schemes and classification of records vary from site to site and, sometimes, office to office. It is time consuming and costly to perform records activities under these conditions.

DOE's downsizing has caused some programs to be moved and consolidated or closed. Without a standardized classification filing scheme, the proper consolidation of these sites' records is impossible. Confusion will continue until a standardized process is adopted and training is provided.

To succeed in obtaining an economical and efficient filing system, the following action should be initiated:

4.11.1 Establish and implement standards and procedures for subject classifying, indexing, and filing of records for all media.

## 4.12 DISASTER PREVENTION AND RECOVERY PROGRAM

Policies, plans, and procedures to protect and to reconstruct records in the event of an emergency must be in place.

The responsibility for emergency preparedness and response is fragmented in DOE. Resources necessary to vital records protection have not been identified nor included in budgeting for emergency preparedness and operation. Responsibilities and procedures have not been clearly understood at operational levels.

Potential disasters will continue to drive the need to prepare for DOE operation under emergency conditions. Identification and protection of vital or other important records are essential for a successful disaster prevention and recovery program. To successfully accomplish this goal, the following actions should be initiated:

4.12.1 Define vital records and include the definition in standards for retention and disposition.

4.12.2 Perform risk assessments and develop a plan to address disaster prevention and recovery.

4.12.3 Develop policies and procedures to ensure protection from disaster or other emergencies.

4.12.4 Identify resources needed to mitigate the effects of disaster or other emergency on vital records.

4.12.5 Provide adequate training.

4.12.6 Participate in mock disaster scenarios to examine whether the procedures are adequate and current.

4.12.7 Identify and maintain communication and appropriate interaction with other DOE organizations responsible for emergency preparedness and response.

## 4.13 DOCUMENT CONTROL PROGRAM

A successful information management program ensures work-governing documents are current, accurate, readily available, and document changes are properly reviewed, approved, and disseminated.

In DOE, the document control program is principally used in nuclear programs and is implemented according to standards set by the American Society of Mechanical Engineers. There is no DOE-wide policy on document control and no consistency in the way the programs are implemented. Document control is often mistaken for records management, particularly in programs driven by individuals with a quality assurance background. The document control program has no program order, senior management representative, or sponsor.

To increase the benefits of a document control program for all media and sources, the following actions should be initiated:

4.13.1 Designate the Deputy Assistant Secretary for Information Management as sponsor for the document control program.

4.13.2 Establish a group to develop a DOE Order on document control and to identify additional issues and actions.

4.13.3 Have each site develop and issue a document control implementation plan according to the DOE Order.

4.13.4 Apply technology (including imaging) to appropriate areas including document creation, review, markup, comment resolution, approval, release, distribution, and copy capture.

4.13.5 Educate employees on the functions of a document control program and apply the program consistently.

## 4.14 PROGRAM EVALUATION PROCESS

A successful records management program periodically monitors and revises its records management practices and procedures to ensure compliance with appropriate policies and regulations, and good business practices.

Assistance visits are helpful, but are inadequate to effectively monitor and revise practices and procedures. Prior and existing evaluation efforts have not been standardized or documented. Followup on proposed corrective actions are minimal. To successfully evaluate the Department's records management programs, the following actions should be initiated:

4.14.1 Establish a basic, uniform procedure for conducting evaluations. Criteria should include a program analysis strategy as well as a method of determining when findings have been rectified.

4.14.2 Educate management at all levels on the assessment processes and their responsibilities for funding and implementation.

# 5.0 RECORDS MANAGEMENT TECHNICAL ELEMENTS

## 5.1 DECLASSIFICATION INITIATIVE

Declassification is a process that certifies the safe disclosure of information previosly withheld for national security reasons. A goal of DOE's records management program is to support the DOE initiative on declassification by assisting in identifying and locating classified information. The initiative supports the new DOE culture of openness by making the appropriate information currently classified available to stakeholders. Primary responsibility for DOE's declassification effort rests with the Office of Security Affairs; however, records management plays a key supporting role.

To support the declassification initiative, the following actions should be accomplished:

5.1.1 Continue to identify classified documents using DOE's records inventorying and scheduling initiative.

5.1.2 Work with the Office of Security Affairs in support of the declassification initiative.

## 5.2 EPIDEMIOLOGY RECORDS

Epidemiology records are documents that contain industrial hygiene, worker identification and laboratory test results; and site organization, configuration, and operation information. A goal of the DOE records management program is to locate, inventory, and retrieve documents containing epidemiological information.

DOE's definition for epidemiology records is broad in its scope, and it is likely that staffs are spending time with records that are unnecessary for this specific inventory effort. Epidemiology records have never been completely inventoried and it is difficult to identify their locations because of the broad definition. The expertise needed to identify epidemiology-related material is not extensive.

The intent of the inventory is to have epidemiology records, including those relating to human radiation experimentation, readily identified and available for responses to internal and external requests. Multiple access requests for epidemiology records are uncoordinated and this lack of centralization drains resources. Internal and

external organizations, including audit groups, are requesting the same information simultaneously and DOE's staff is limited for retrieval and response actions.

To successfully inventory epidemiology records, the following actions are suggested:

5.2.1 Consult with the Centers for Disease Control, National Institutes of Health, and the Office of Environment, Safety, and Health to revise the scope of what constitutes epidemiology records.

5.2.2 Establish a process for centralized coordination of site visits and handling of information requests.

5.2.3 Evaluate the feasibility of transferring these documents to electronic media.

## 5.3 CONTAMINATED RECORDS

Contaminated records are those records containing external impurities that render the media on which the records are stored unsafe for human handling without special precautions. DOE has a large number of records that are contaminated.

The goal of a contaminated records program is to eliminate contaminated records from DOE and external agencies' storage, to prevent future exposure of personnel to contaminated records, and to ensure no additional records become contaminated.

At present, the locations of all contaminated records are unknown. DOE is currently reviewing Federal Records Centers and NARA facilities to determine if they contain contaminated records. At least four Federal Records Centers and three presidential libraries have, or are suspected to have, contaminated records.

As DOE continues to revamp and downsize, more contaminated records will be discovered. The public perception of the word "contaminated" will continue to be the push in DOE's initiatives to respond to information requests.

To successfully accomplish this goal, the following actions should be initiated:

5.3.1 Identify all DOE contaminated records.

5.3.2 Retrieve and reconstruct the information contained in these records or decontaminate the records before refiling.

5.3.3 Develop and implement methods to prevent future introduction of contamination into the records storage facilities.

5.3.4 Educate personnel regarding sources of contamination other than radioactive material.

## 5.4 CONTRACT LANGUAGE AND GOVERNMENT OWNERSHIP

All DOE contracts, regardless of type, should clearly establish the ownership of information created and used by contractors while performing work for the government.

Currently, contract language inconsistently addresses information ownership and management requirements, and there is no process to ensure compliance. In part, this is due to the variety of information management programs and processes among DOE contractors.

The following actions should be taken:

5.4.1 Work with the Records Management Division, DOE's records management officers, the Office of Procurement, Assistance, and Program Management, and the Office of General Counsel to develop and distribute contract language that clearly addresses information ownership and management requirements in all DOE contracts

5.4.2 Ensure contractors implement comprehensive programs consistent with contract records management requirements.

## 5.5 RECORDS MANAGEMENT FOR NONNUCLEAR RECONFIGURATION

Nonnuclear reconfiguration is a finite DOE effort to realign weapons design and manufacturing into a smaller, less costly operation. Besides the transfer of manufacturing technologies from donor sites to receiver sites, DOE's information management planning and implementation must accommodate the redeployment of the associated documentation to support these efforts.

DOE's goal is to improve the information management activities required to support production reassignments and technology transfer in DOE's nonnuclear reconfiguration project. To help facilitate this goal a Records Management Activity

Transfer Group was established as a component of the nonnuclear reconfiguration project.

To successfully achieve DOE's goal, the following actions should be taken:

5.5.1 Establish roles, responsibilities, and authorities to accomplish documentation disposition, including transfer from donor to receiver sites.

5.5.2 Identify and inventory documentation at donor sites potentially eligible for transfer to receiver sites.

5.5.3 Include security, safety, and administrative controls to ensure compliance with laws, regulations, and good business practices.

5.5.4 Facilitate the scheduling of unscheduled nonnuclear reconfiguration-related records and the orderly disposition (including transfer to storage or destruction) of associated documentation, as appropriate.

5.5.5 Perform assistance visits and information management reviews of reconfigured sites.

5.5.6 Determine the feasibility of establishing a DOE classified records center for the storage of inactive classified records.

5.5.7 Where possible, use Federal Records Centers and NARA storage space for DOE inactive records (classified and unclassified).

5.5.8 Obtain consensus for, adopt, and distribute a uniform plan for the management of records associated with the reconfiguration to affected sites, organizations, and personnel.

5.5.9 Assist local records officers in accomplishing their nonnuclear reconfiguration records activities.

## 5.6 PLANT CLOSINGS

Reserved.

## 5.7 ENVIRONMENTAL ADMINISTRATIVE RECORD

An administrative record is the complete body of documents used to justify the selection of an environmental site cleanup remedy. A goal of the DOE's administrative records management program is to provide a framework for site-specific programs to meet the judicial review and public participation requirements of environmental cleanups.

The administrative record serves two primary purposes. First, it limits the judicial review of a Comprehensive Environmental Response, Compensations, and Liability Act (CERCLA) response action. That is, when a response action is challenged in court, the court can only review the information that is contained in the administrative record. The Environmental Protection Agency, which is responsible for Federal facility oversight, has little experience in overseeing the magnitude of cleanup activities required at DOE sites, and therefore more guidance is needed from DOE. Also, policies and guidance differ between regions because the regional Environmental Protection Agency staff has some latitude of interpretation.

The second purpose of the administrative record is to serve as a vehicle for public participation in selecting a response action because the administrative record must be made available for public inspection and comment. Each DOE site has different policies regarding the availability of site documents. This inconsistency has resulted in many of the documents, required by law to be in the administrative record, to be not readily available or accessible to the public. Although some specific guidance does exist defining which documents are in the administrative record, there is little consistency between DOE sites in identifying potentially related administrative record documents.

To successfully establish an administrative record framework, the following actions should be initiated:

5.7.1 Develop a set of criteria that identifies document types included in the administrative record.

5.7.2 Identify the requirements for maintaining the collection.

5.7.3 Identify who is responsible for developing the administrative record.

5.7.4 Conduct an evaluation of current DOE administrative record programs or projects for environmental cleanups.

5.7.5 Develop an overall DOE administrative records program for environmental cleanups that includes responsibilities, assessments, and storage and retrieval criteria.

## 5.8 LITIGATION DOCUMENTS

Although DOE invests considerable resources in the retrieval of information associated with litigation, the lack of consistent information management practices has affected DOE's ability not only to clearly identify, but to manage information with possible legal, administrative, financial, and historical value.

The goal of a DOE information management program is to ensure litigation information is identified, protected, and accessible on a continual basis. To successfully achieve this goal, the following actions should be taken:

5.8.1 Establish consistent access mechanisms (e.g., records are indexed, retrievable, and appropriate physical controls, safeguards and storage requirements are in place).

5.8.2 Revise guidance to clearly state requirements for management of information potentially related to litigation activities.

5.8.3 Review and revise disposition schedules to adequately reflect retention requirements for litigation information.

5.8.4 Have the Records Management Division work in conjunction with the Office of Special Counsel to develop and implement strategies to provide for the identification, storage, and access mechanisms necessary to properly support litigation for DOE.

5.8.5 Establish a system to prevent the destruction of records still being used in litigation even though the retention requirement for their original purpose has expired.

## 5.9 WORKING PAPERS

Working Papers are rough notes, calculations, or drafts from which other documents are analyzed or prepared that may be record material if they are circulated for official purposes, used to communicate with agency staff about agency business, or if they

contain information unique to the agency's formulation and execution of basic policies, decisions, actions, or responsibilities. Working papers are not confined to paper media and can exist in electronic or other media.

Lack of easily understood, definitive guidance on working papers has resulted in ineffective management of this type material. DOE personnel have maintained their drafts, calculations, and rough notes as nonrecord material under the belief they were not appropriate for preservation or have destroyed them, not realizing their potential value as record material.

The goal of a DOE's records management program is to ensure the correct classification (or reclassification when their value changes) of DOE documents known as working papers, and to increase awareness throughout DOE of the potential value and proper handling of these materials to facilitate the correct classification. Another goal is to have a clear understanding, throughout DOE, about what constitutes working papers and when they are considered record material.

There are a number of different terms being used interchangeably concerning working papers, including draft documents, working files, case working files, convenience files, nonrecord materials, records, and technical reference files. Accordingly, these terms need to be clearly defined and understood to ensure correct usage.

Working papers are currently included in the DOE's on-going inventory and scheduling initiative. They must be accurately described and scheduled on the DOE Form 1324.10, Records Inventory and Disposition Schedule (RIDS) as record or nonrecord material.

Working papers represent a significant problem area in DOE's information management program because they are not fully defined or recognized, and processes associated with their proper use and disposition are not clearly understood or followed. To alleviate these problems, the following actions should be taken:

5.9.1 Create DOE guidance that clearly and fully defines working papers and specifies guidance for classifying, scheduling, and administering these materials. The guidance should address related categories of information with which working papers may be identified (e.g., convenience files, working files, nonrecord material, technical reference files, etc.).

5.9.2 Establish methods to ensure working papers determined to have value not previously recognized are reclassified, rescheduled, and are not destroyed under their original working papers classification.

## 5.10 RESEARCH AND DEVELOPMENT (R&D) RECORDS

R&D records document DOE's basic and applied research, development, application, commercialization, and technology transfer activities. DOE's goal is to manage records of R&D activities to ensure:

- Documentation of research and development efforts, activities, and results
- Effective identification and availability to other DOE contractors, DOE offices, universities, and industry, where appropriate.
- Promotion of technology transfer and national economic competitiveness

While the bulk of DOE's national laboratories' information falls into this broad category, other DOE sites generate R&D information as well. The missions of DOE's research and development contracts are extremely diverse, as are their information management programs and processes. Standardization and consistency among laboratories and sites are nonexistent.

A large volume of DOE's R&D records have not been inventoried. Inventorying and characterizing scientific and technological records is difficult and requires a specialized knowledge to understand the value, use, and content of these records. Standard guidelines for appraisal (the process of determining the value and thus the disposition of a record) have not been established.

Some scientific staffs do not recognize government "ownership" of the products of federally-funded research, and believe the information is personally theirs to destroy or to donate to whomever they wish. The records generally have been managed by the scientists themselves rather than by trained information management personnel, and therefore some information is poorly organized. Funding for information management activities is not routinely requested or included as part of the research and development project funding proposals. Also, many advance technologies used to create R&D records (e.g., laser, spectrographs, scientific instruments that produce this information) involve electronic information management issues. (See Section 4.6)

To improve the management of R&D records, the following actions should be taken:

5.10.1 Task the basic research records scheduling group with determining an approach to inventorying, characterizing, and scheduling R&D records (i.e., categorize by scientific discipline or by DOE program office), and with reviewing and revising NI-434-89, "Department of Energy Schedule Research and Development Records." Once completed, the recommendations should be given to the inventorying group for inclusion in their work product.

5.10.2 Task the basic research records group with the development of appropriate guidance for improving management of DOE's R&D records, including implementation strategies.

## 5.11 PRIVACY ACT, FREEDOM OF INFORMATION, AND PROPRIETARY ISSUES

The Privacy Act and the Freedom of Information Act (FOIA) are laws that prescribe special policies, principles, standards, and techniques for the maintenance, use, and access to certain Federal records. The Privacy Act specifically addresses managing records that are searchable and retrievable by a person's name or a unique identifier. The FOIA addresses public access to existing Federal records, except those records that are exempt from the FOIA. Proprietary issues address the management of Federal records containing a business entity's proprietary information that, if known to competitors or others, would likely cause harm to the business entity.

A goal of DOE's records management program is to develop and implement processes, standards, and systems to provide for the creation, maintenance, use, and/or access to Federal records according to requirements of the Privacy Act, FOIA, related laws, Executive orders, regulations, and directives.

DOE directives prescribe the management of Privacy Act, FOIA, and proprietary information, and Privacy Act and FOIA programs are well entrenched within DOE. Over time, a large and growing body of case law has provided additional guidance to DOE in the management of these records. However, records management professionals are not always a part of or knowledgeable in, the activities associated with these records.

To successfully achieve these goals, the following actions should be taken:

5.11.1 Develop and maintain an on-going liaison with DOE Privacy Act and FOIA officials, officials responsible for the protection of proprietary data and information, and legal officials having knowledge of these matters.

5.11.2 Ensure that records management concerns are addressed in the development and implementation of DOE directives and regulations governing the creation, maintenance, use, and access to Privacy Act data and information within DOE and DOE contractor organizations.

5.11.3 Assist in the communication with and providing services to the public regarding Privacy Act records management systems within the DOE, and provide mechanisms that ensure that all protection provided by law, Executive orders, regulations, and directives are in place and enforced.

## 5.12 TECHNOLOGY TRANSFER

Technology transfer is the transformation of Research and Development (R&D) information into processes, products, and services that can be applied by state and local governments, and the private sector. The R&D laboratory technology transfer programs emphasize personal interaction between the technical staff of the R&D laboratories and representatives of the public and private sectors.

A goal of DOE's records management program is to have an effective recordkeeping procedure to maintain and protect information necessary for the technology transfer program.

While the Cooperative Research and Development Agreement addresses records concerns, the approach in recordkeeping is inconsistent. Records management staffs are not always involved in records management decisions relating to technology transfer activities. Also, no current records disposition schedules exist for records involved in technology transfer.

To successfully achieve this goal, the following action should be taken:

5.12.1 Establish a group to determine how records relating to technology transfer activities are to be managed. A new schedule may or may not

be appropriate. Industry standards on recordkeeping may play a part in records retention.

## 5.13 VITAL RECORDS

Vital Records consist of two categories: emergency operating records, which are records essential to the continued functioning or reconstitution of an organization before, during, and after an emergency; and rights and interests records, which are records essential to protecting the rights and interests of an organization and the individuals directly affected by its activities. Vital records also are referred to as essential records, and are an integral part of an agency's disaster prevention and recovery program.

Examples of emergency operating records include:

- Emergency plans, directives and procedures
- Delegations of authority
- Staffing requirements
- Records for the maintenance of public health and safety
- Mobilization and protection of materials and staff
- Military and weapons records

Examples of rights and interests records include:

- Accounts receivable records
- Social security records
- Payroll records
- Retirement records
- Insurance records
- Research records

A goal of the DOE's records management program is to protect and recover vital records if there is a natural disaster, hazard, or civil defense emergency.

The volume of vital records is difficult to keep at a manageable level, and the logistics and cost of maintaining duplicate records at off-site locations represent major barriers. Adequate storage may not be available at or near Emergency Operating Centers, and many DOE storage facilities do not meet facility standards. The cost of upgrading deficient DOE facilities is a major impediment. Privacy Act

and legal considerations for duplication of and access to certain types of records are also obstacles to program implementation.

Responsibilities and procedures need to be understood at the operational levels because vital records programs have not been implemented fully at all DOE sites.

To successfully accomplish the goal, the following actions should be taken:

5.13.1 Develop and issue DOE criteria for identifying and selecting Vital Records, regardless of media.

5.13.2 Issue local directives that set site responsibilities, authorities, and procedures, and include the formal designation of vital records managers.

5.13.3 Provide training in vital records identification, maintenance, and protection, and make the training available to appropriate personnel at all levels.

5.13.4 Develop plans for identifying, protecting and storing vital records. Apply management controls to offsite storage locations to ensure that the emergency copy is accurate, current, and complete.

5.13.5 Conduct annual reviews to determine whether the vital records selected are current, complete, adequately protected, accessible, and usable when needed.

5.13.6 Modify policies, procedures, and records, as needed, to reflect changes in mission, programs, or operations.

5.13.7 Establish and maintain an active, ongoing program for the efficient and economical management of vital records.

5.13.8 Establish safeguards for maintenance and protection against removal or loss of those records determined to be essential.

## 5.14 AUDIOVISUAL RECORDS

Audiovisual records include still and motion pictures, graphic materials, audio and video recordings, and combinations of media. Related records include production

files and finding aids. Production files document the origin, development, acquisition, use, and ownership of the audiovisual records. Finding aids are used for identifying, retrieving, or using audiovisual records. These may include indexes, catalogs, lists, and logbooks, etc., and may be in paper, card, microfilm, or electronic form.

Audiovisual records are highly vulnerable to damage and require special handling and storage. At present, DOE lacks appropriate facilities to preserve these records. This situation is causing rapid deterioration of these records and the permanent loss of the information contained therein. The extent to which problems exist is currently unknown, but problems will continue until facilities are upgraded.

A goal of DOE's records management program is to have an effective process for creation, maintenance, use, storage, and disposition of audiovisual and related records.

To successfully achieve this goal, the following actions should be taken:

5.14.1 Review, revise, and issue guidance on the creation and maintenance of audiovisual records that incorporates regulatory requirements.

5.14.2 Incorporate information, policies, and procedures concerning audiovisual records into training and awareness materials.

5.14.3 Ensure the scheduled disposition of audiovisual records early in their life cycle since they are more perishable than textual records.

## 5.15 CARTOGRAPHIC RECORDS

Cartographic records are graphic representations, drawn to scale, of selected features of the earth's surface and atmosphere, and of other planets and planetary satellites. Included as cartographic records are engineering drawings, maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, orthophotomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Digital cartographic records such as geographic information system records are managed like other electronic records.

A goal of DOE's records management program is to properly maintain all cartographic records according to DOE needs and requirements, and to properly

preserve permanent cartographic and architectural records by transferring them to NARA, as appropriate.

To properly maintain cartographic records, the following actions should be taken:

5.15.1 Assess how well DOE's management of cartographic records complies with regulatory requirements.

5.15.2 Clearly define, describe, and schedule DOE cartographic records to ensure their authorized disposition.

## 5.16 ENGINEERING DRAWINGS

Engineering drawings are viewed within DOE as a special category of cartographic records because they are voluminous, often quality affecting, and are critical to the safe construction, operation, maintenance, and destruction when necessary of DOE facilities and equipment. Because engineering drawings are perhaps the most significant document for a facility's configuration management program, the information depicted must be kept current and accurate throughout the facilities' and equipments' full life cycle. Most engineering drawings now associated with DOE facilities are created on computer-assisted design (CAD) systems and must be managed as electronic records.

A goal of DOE's records management program is to have readily available the technical design information that supports design, construction, operation, maintenance, and decommissioning of DOE facilities.

Currently, DOE is not making full use of its electronic information management resources, and in most cases the "record copy" for drawings is the signed hard copy instead of the electronic dataset. Administering engineering drawings electronically is severely negatively affected by the lack of policy on electronic authorization and signature.

There is a receptive audience within DOE to automated processes for managing drawings. Unfortunately, this enthusiasm has resulted in nonstandardized CAD system hardware and software configurations at many DOE sites. Multiple, fragmented drawing management databases exist on DOE sites. They do not include all site drawings or current changes.

On many sites, drawing accuracy and integrity has diminished or drawings were not turned over in a usable format. A loss of configuration control has resulted because drawings were not maintained in current status with facility changes.

To have technical design information readily available, the following actions should be taken:

5.16.1 Form a group to develop a DOE drawing management technical standard that identifies:

- Documents which constitute engineering/design information (e.g., drawings, calculations, requisitions, etc.).
- Good business practices for each step of the drawing life cycle (e.g., creation, checking, review, comment resolution, approval, release, distribution, revision, cancellation).
- Database integration and electronic authorization criteria.
- Standardized output requirements (i.e., format, numbering, legibility, etc.) for offsite contractors and suppliers.
- Retrofit guidelines.
- Linked configuration management, document control, and records management programs for this data.

5.16.2 Implement standardization at each site, as appropriate and require any site-specific variations to be justified and documented.

5.16.3 Implement an integrated document control system at each site that recognizes engineering drawings as DOE-owned technical information resources. Ensure drawings conform to standard DOE-specified requirements and that they are turned over to DOE as a contract deliverable.

## 5.17 X-RAYS AND RADIOGRAPH RECORDS

X-rays and radiographic records are created using radiology technologies to verify the interior conditions of people and things. These records are usually in the form of

a thin film, which varies considerably in size. Some of these records can produce hazardous byproducts during the aging process, while others completely lose their value due to fading and deterioration. Because of their physical characteristics, x-rays and radiographs will continue to deteriorate if not stored under certain conditions -- particularly in a temperature and humidity-controlled environment.

The goal of the DOE records management program is to establish a program that provides guidance to adequately manage x-rays and radiographs in a safe, sensible manner. To successfully achieve this goal, the following actions should be taken:

5.17.1 Develop policies and procedures to adequately address requirements to fully identify all DOE holdings of x-rays and radiographs.

5.17.2 Have each DOE organization complete an inventory of all radiographs and x-rays.

5.17.3 Develop policies and procedures to adequately address requirements to evaluate each collection for its current value to DOE, i.e., legal, epidemiology, quality.

5.17.4 Develop polices and procedures to adequately address requirements for realistic storage, based upon the value of the record.

5.17.5 Have each DOE organization evaluate each collection to assess its value and the risks associated with its storage and retention.

## 5.18 QUALITY ASSURANCE (QA) RECORDS

The broad definition of QA records is a completed document that furnishes evidence of the activities affecting the caliber of work or the work product. In DOE there are many interpretations of what is a QA record, which has led to numerous and sometimes conflicting requirements. In some cases, records are being stored longer than necessary while other records are destroyed too quickly or not protected as required by a regulation.

A goal of DOE's records management program is to develop DOE-wide guidance for managing QA records, which satisfies the requirements of DOE 5700.6C, QUALITY ASSURANCE, and facilitates a graded approach to each site's application of the Order.

American Society for Mechanical Engineering (ASME) NQA-1, Criterion 17, was previously adopted as the standard for the control and protection of DOE's QA records; however, application varies from site to site. DOE 5700.6C, rescinded ASME NQA-1 as the mandatory standard for the processing and control of QA records. The nuclear industry standards and requirements have been the basis for most quality assurance requirements. These nuclear requirements are costly to meet and not needed for all QA records.

Using other standards and guidance documents such as ASME NQA-2/NQA-3, NARA requirements, Environmental Quality Assurance Requirements, etc., along with DOE 5700.6C, DOE now can more accurately and efficiently apply QA records controls while the activities are being documented.

To successfully achieve this goal, the following actions should be taken:

5.18.1 Create a team of records and quality management professionals to develop the DOE-level QA records management policy and guidance concerning the creation, maintenance, and disposition of Quality Records. The policy and guidance should provide a standard definition for each type of QA record and the criteria for determining DOE QA records. Records management participants should be assigned from the DOE QA Records Special Interest Group and NIRMA's DOE Special Interest Group.

5.18.2 Issue the policy or guidance for a broad review and comment cycle to all DOE offices, contractors, regulatory agencies, and affected stakeholders; such as Federal and state agencies, NARA, NIRMA, Association of Records Managers and Administrators, etc.

5.18.3 Once a DOE-wide program is established, require each DOE site to develop site-specific implementing directives and procedures to satisfy sites' missions and the overall requirements for creation, use, maintenance, protection, and disposition of the records. Directives and procedures should satisfy site requirements for state, public and regulatory agency involvement. Each site should use the group approach, with representatives from records management and quality assurance.

## 6.0 MILESTONE CHART

The milestone chart summarizes the program and technical elements described in the Roadmap. Several indicate which office has primary responsibility for accomplishing the action. Timelines have been included for each element; however, milestone dates will be revisited as the elements are addressed.

# Roadmap Milestones

| | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| **4.0 PROGRAM ELEMENTS** | | | | | | | | | |
| 4.1 Recordkeeping Requirements | | | | | ▲ | | | | |
| 4.1.1 Identify Requirements | CH/SF | I | | | | | | | |
| 4.1.2 Define Records Series | | | | | | | | | |
| 4.1.3 Develop Policy | | | | | | | | | |
| 4.2 Creation | | | | | ▲ | | | | |
| 4.2.1 Identify Requirements | CH/SF | I | | | | | | | |
| 4.2.2 Review DOE Order 1330.1 | HR-422 | I | | | | | | | |
| 4.2.3 Review Local Policies | ALL | N | | | | | | | |
| 4.2.4 Review Contractor Requirements | ALL | N | | | | | | | |
| 4.2.5 Identify Requirements for DEAR | HR-422 | | | | | | | | |
| 4.2.6 Develop Records Systems | ALL | N | | | | | | | |
| 4.2.7 Records System Planning | | | | | | | | | |
| 4.3 Adequate and Proper Documentation | | | | | ▲ | | | | |
| 4.3.1 Educate Employees | | | | | | | | | |
| 4.3.2 Review Old Directives | | | | | | | | | |
| 4.3.3 New Directives Address Requirements | | | | | | | | | |
| 4.3.4 Evaluations Assess Documentation | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 4.3.5 Appropriate Recordkeeping Requirements | | | | | | | | | |
| 4.3.6 Contractors Identify Requirements | | | | | | | | | |
| 4.3.7 Inventory and Schedule Records | | | | | | | | | |
| 4.3.8 Assist Implementation | | | | | | | | | |
| 4.4 Inventory Process | | | | | | | | | |
| 4.4.1 Lessons Learned | AL | I | | | | | | | |
| 4.4.2 Evaluate Process | | | | | | | | | |
| 4.5 Scheduling and Disposition Process | | | | | | | | | |
| 4.5.1 Identify Schedules | QIT | I N | | | | | | | |
| 4.5.2 Define Scheduling Areas | QIT | I N | | | | | | | |
| 4.5.3 Develop Plan | ID/QIT | I N | | | | | | | |
| 4.5.4 Develop Schedules | | | | | | | | | |
| 4.5.5 Convert to Electronic System | HR-422 | I | | | | | | | |
| 4.5.6 Controlled Distribution | | | | | | | | | |
| 4.5.7 Implement Approved Schedules | ALL | | | | | | | | |
| 4.6 Electronic Records and E-Mail | | | | | | | | | |
| 4.6.1 Include in Records Management Order | | | | | | | | | |
| 4.6.2 Advisory and Assistance Team | | I | | | | | | | |
| 4.6.3/4.6.4 Training | | | | | | | | | |

Legend: N - continuing  I - in progress  C - completed  X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 4.7 Information Access | | | ▲ | | | ▲ | | | |
| 4.7.1 Identify Existing Processes | | | | | | | | | |
| 4.7.2 Develop Standard | | | | | | | | | |
| 4.7.3 Liaison with PA and FOIA Officials | | | | | | | | | |
| 4.7.4 Revise Regulations | | | | | | | | | |
| 4.8 Storage Capability and Facility Standards | | | ▲ | | | | ▲ | | |
| 4.8.1 Form Study Group | | | | | | | | | |
| 4.8.2 Use Electronic Media | | | | | | | | | |
| 4.8.3 DOE National Records Center | | | | | | ▲ | | | |
| 4.9 Alternate Technologies | | | | | | | | | |
| 4.9.1 Identify System Requirements | | | | ▲ | | | ▲ | | |
| 4.9.2 Request Site Requirements | | | | | | | | | |
| 4.9.3 Develop Plan | | | | | | | | | |
| 4.10 Personal Papers: Removal, Destruction | | | | | | | | | |
| 4.10.1 Offer Training | | | | | | | | | |
| 4.10.2 Reminder: Management of Records | | | | | | | | | |
| 4.10.3 Reminder: Management of Personal Papers | | | | | | | | | |
| 4.10.4 Implement Program | | | | | | | | | |

Legend: N - continuing  I - in progress  C - completed  X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 4.10.5 Debrief Departing Senior Officials | | | | | | | | | |
| 4.10.6 Shredders | | | | | | | | | |
| 4.11 Files Management Practices and Equipment | | | | ▲ | | ▲ | | | |
| 4.11.1 Subject Files Classification System | | | | | | | | | |
| 4.12 Disaster Prevention and Recovery | | | | | | ▲ | | | ▲ |
| 4.12.1 Define Vital Records | | | | | | | | | |
| 4.12.2 Perform Risk Assessments | | | | | | | | | |
| 4.12.3 Develop Policies and Procedures | | | | | | | | | |
| 4.12.4 identify Resources | | | | | | | | | |
| 4.12.5 Provide Training | | | | | | | | | |
| 4.12.6 Mock Disasters | | | | | | | | | |
| 4.12.7 Liaison with DOE Disaster Groups | | | | | | | | | |
| 4.13 Document Control Program | | | | ▲ | | ▲ | | | |
| 4.13.1 DAS for Information Mgt. as Sponsor | | | | | | | | | |
| 4.13.2 Develop DOE Order | | | | | | | | | |
| 4.13.3 Develop Site Plan | | | | | | | | | |
| 4.13.4 Apply Technology | | | | | | | | | |
| 4.13.5 Educate Employees | | | | | | | | | |

Legend: N - continuing  I - in progress  C - completed  X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 4.14 Program Evaluation Process | | | | | | | | | |
| 4.14.1 Establish Procedure | | | | | | | | | |
| 4.14.2 Educate Management | | | | | | | | | |
| **5.0 TECHNICAL ELEMENTS** | | | | | | | | | |
| 5.1 Declassification Initiative | | | | | | | | | |
| 5.1.1 Identify Classified Records | | | | | | | | | |
| 5.1.2 Assist Office of Security Affairs | | | | | | | | | |
| 5.2 Epidemiology Records | | | | | | | | | |
| 5.2.1 Redefine or Expand Definition | | | | | | | | | |
| 5.2.2 Coordinate Site Visits | | | | | | | | | |
| 5.2.3 Evaluate Transfer to Electronic Media | | | | | | | | | |
| 5.3 Contaminated Records | | | | | | | | | |
| 5.3.1 Identify Records | | | | | | | | | |
| 5.3.2 Retrieve Data or Decontaminate | | | | | | | | | |
| 5.3.3 Prevent Future Contamination | | | | | | | | | |
| 5.3.4 Educate Personnel | | | | | | | | | |
| 5.4 Contract Language and Government Ownership | | | | | | | | | |
| 5.4.1 Address Ownership Issues | | | | | | | | | |
| 5.4.2 Contractor Compliance | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 5.5 Records Mgt. Non-Nuclear Reconfiguration | | | ▲ | | | ▲ | | | |
| 5.5.1 Establish Process | | | | | | | | | |
| 5.5.2 Identify Documentation | | | | | | | | | |
| 5.5.3 Ensure Compliance | | | | | | | | | |
| 5.5.4 Schedule Records | | | | | | | | | |
| 5.5.5 Assistance Visits | | | | | | | | | |
| 5.5.6 DOE Classified Records Center | | | | | | | | | |
| 5.5.7 Federal Records Centers | | | | | | | | | |
| 5.5.8 Uniform Plan | | | | | | | | | |
| 5.5.9 Assist Local Records Officers | | | | | | | | | |
| 5.6 Plant Closings | | | | | | | | | |
| Reserved | | | | | | | | | |
| 5.7 Environmental Administrative Record | | | | | ▲ | | | | |
| 5.7.1 Develop Identification Criteria | | | | | | | | | |
| 5.7.2 Identify Maintenance Requirements | | | | | | | | | |
| 5.7.3 Responsible Office | | | | | | | | | |
| 5.7.4 Evaluate Current Program | | | | | | | | | |
| 5.7.5 Develop Program | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 5.8 Litigation Documents | | | | | | | | | |
| 5.8.1 Establish Consistent Access | | | | | | | | | |
| 5.8.2 Revise Guidance | | | | | | | | | |
| 5.8.3 Review and Revise Records Schedules | | | | | | | | | |
| 5.8.4 Develop Strategies | | | | | | | | | |
| 5.8.5 Extend Retention | | | | | | | | | |
| 5.9 Working Papers | | | | | | | | | |
| 5.9.1 Develop Guidance | | | | | | | | | |
| 5.9.2 Reclassify; Reschedule | | | | | | | | | |
| 5.10 Research and Development Records | | | | | | | | | |
| 5.10.1 Determine Approach | | | | | | | | | |
| 5.10.2 Provide Guidance | | | | | | | | | |
| 5.11 Privacy Act, FOIA, and Proprietary Issues | | | | | | | | | |
| 5.11.1 Liaison with PA and FOIA Officials | | | | | | | | | |
| 5.11.2 RM addressed in Guidance and Directives | | | | | | | | | |
| 5.11.3 Public Communications | | | | | | | | | |
| 5.12 Technology Transfer | | | | | | | | | |
| 5.12.1 Determine How to Manage Records | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 5.13 Vital Records | | | | | | | | | |
| 5.13.1 Develop Selection Criteria | | | | | | | | | |
| 5.13.2 Issue Local Directives | | | | | | | | | |
| 5.13.3 Provide Local Training | | | | | | | | | |
| 5.13.4 Develop Site Plans | | | | | | | | | |
| 5.13.5 Annual Reviews | | | | | | | | | |
| 5.13.6 Revise Policies and Procedures | | | | | | | | | |
| 5.13.7 Establish Program | | | | | | | | | |
| 5.13.8 Establish Safeguards | | | | | | | | | |
| 5.14 Audiovisual Records | | | | | | | | | |
| 5.14.1 Review and Revise Guidance | | | | | | | | | |
| 5.14.2 Training | | | | | | | | | |
| 5.14.3 Disposition Early in Life-Cycle | | | | | | | | | |
| 5.15 Cartographic Records | | | | | | | | | |
| 5.15.1 Assess Guidance, Develop Additional | | | | | | | | | |
| 5.15.2 Schedule Records | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# Roadmap Milestones

| Action Number/Description | Resp. Office | Status | FY 1994 | FY 1995 | FY 1996 | FY 1997 | FY 1998 | FY 1999 | FY 2000 |
|---|---|---|---|---|---|---|---|---|---|
| 5.16 Engineering Drawings | | | | | | | | | |
| 5.16.1 Develop Technical Standard | | | | | | | | | |
| 5.16.2 Implement Standard at Each Site | | | | | | | | | |
| 5.16.3 DOE-owned Technical Resource | | | | | | | | | |
| 5.17 X-rays and Radiograph Records | | | | | | | | | |
| 5.17.1 Procedures to Address Identification | | | | | | | | | |
| 5.17.2 Complete Inventory | | | | | | | | | |
| 5.17.3 Procedures to Address Evaluation | | | | | | | | | |
| 5.17.4 Procedures to Address Storage | | | | | | | | | |
| 5.17.5 Assess Values and Risks | | | | | | | | | |
| 5.18 Quality Assurance Records | | | | | | | | | |
| 5.18.1 Develop Policy | | | | | | | | | |
| 5.18.2 Issue Policy | | | | | | | | | |
| 5.18.3 Develop Site-Specific Plans | | | | | | | | | |

Legend: N - continuing I - in progress C - completed X - cancelled

# APPENDIX A

## DOCUMENT CONTROL

### 1.0 PURPOSE

This procedure defines the process for the controlled distribution of unclassified controlled documents released and received by the Records Management Division, Office of IRM Policy, Plans, and Oversight.

### 2.0 SCOPE

This procedure applies to the controlled distribution of designated, approved, controlled documents originated or issued by the Records Management Division. All uncontrolled copies of controlled documents shall be marked in red ink, on the document cover page, "FOR INFORMATION ONLY."

### 3.0 DEFINITIONS AND REFERENCES

#### 3.1 DEFINITIONS

3.1.1 Reserved

#### 3.2 REFERENCES

3.2.1 Reserved

### 4.0 PROCEDURE

#### 4.1 CONTROLLED DOCUMENT DESIGNATION

4.1.1 Records Officer/Designee:

4.1.1.1 Designate which documents are to be distributed as controlled documents and determine their initial distribution requirements.

4.1.1.2 Ensure that controlled documents are uniquely identifiable by title, number, revision, and date.

4.2 CONTROLLED DOCUMENT DISTRIBUTION

4.2.1 Records Officer/Designee:

4.2.1.1 Ensure that the information required for processing each document is complete and accurate; resolve any discrepancies.

4.2.1.2 Enter document control information onto Controlled Document List (CDL).

4.2.1.3 Prepare Controlled Document Distribution List (CDDL).

4.2.1.4 Distribute document using Controlled Document Transmittal and Receipt Acknowledgement (CDTRA).

4.3 RECEIPT ACKNOWLEDGEMENT

4.3.1 Document Recipient:

4.3.1.1 Complete the CDTRA and return to the Records Management Staff within time frame specified.

4.3.2 Records Officer/Designee:

4.3.2.1 Maintain file and log of CDTRA's.

4.4 DOCUMENT INQUIRY

4.4.1 Records Officer/Designee:

4.4.1.1 If a signed CDTRA is not received by the requested date, complete the Controlled Document Inquiry (CDI).

4.4.1.2 Forward CDI to Document Recipient.

4.4.2 Document Recipient:

4.4.2.1 Complete CDI and return to Records Manager.

4.5 REVISIONS

4.5.1 Records Officer/Designee:

4.5.1.1 Review distribution requirements annually and update as necessary.

4.5.1.2 Initiate revisions or change pages to controlled documents as described in 4.1.1. Ensure that the revision number or change number and effective date are plainly visible on the document cover sheet and the document pages.

4.5.1.3 Distribute revisions or changes pages in accordance with 4.2.

4.5.2 Document Recipients:

4.5.2.1 Notify the Records Officer when individuals must be added to or deleted from existing controlled document distribution lists or if controlled documents must be transferred from one individual to another.

4.5.3 Records Officer/Designee:

4.5.3.1 Update appropriate Controlled Document Distribution Lists.

4.5.3.2 If an addition, distribute document(s) in accordance with 4.2.

4.5.3.3 If a deletion, notify the document recipient which documents must be destroyed, marked "FOR INFORMATION ONLY" in red ink on the document cover sheet, or returned to the Records Officer. Update the file copy of the CDTRA.

4.6 OBSOLETE OR SUPERSEDED DOCUMENTS

4.6.1 Records Officer/Designee:

4.6.1.1 Use the CDTRA to issue instructions to each Document Recipient on the applicable Controlled Distribution List(s) to immediately destroy the subject document(s) or mark the document(s) in red ink on the document cover sheet, "SUPERSEDED, FOR INFORMATION ONLY."

4.6.2 Document Recipient:

4.6.2.1 Complete CDTRA and forward to the Records Coordinator.

4.6.3 Records Officer/Designee:

4.6.3.1 Log, file, and maintain all CDTRA's.

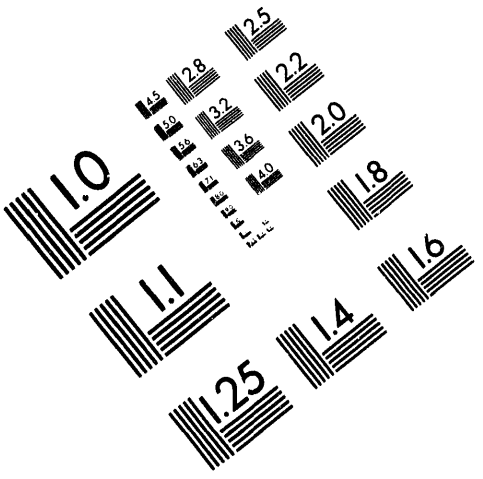
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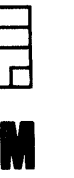
APPENDIX B

APPLICABLE REQUIREMENTS

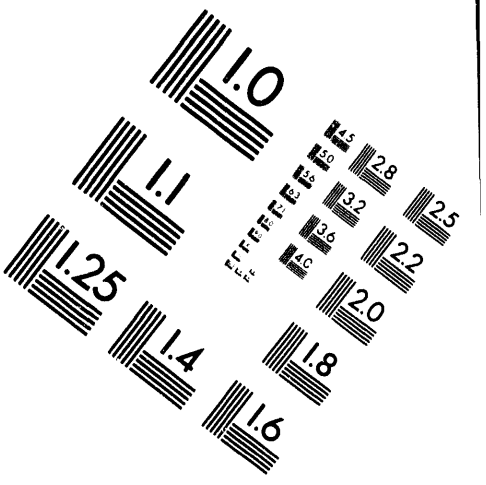
## 2.0 Program Overview

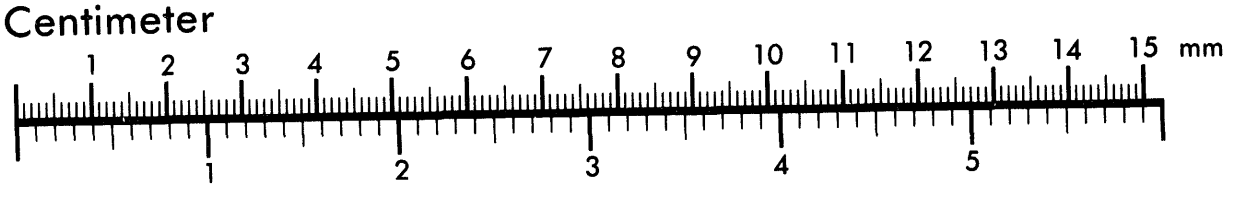
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44 U.S.C., Chapter 29
44 U.S.C., Chapter 31
44 U.S.C., Chapter 33
44 U.S.C., Chapter 35
42 U.S.C., 2011-2296
18 U.S.C., Chapter 101
5 U.S.C. 552
5 U.S.C. 552a,
3 CFR 166
10 CFR Part 1004
10 CFR, Part 1008
36 CFR Chapter 12, Subchapters B, C, and D
41 CFR Chapter 201
48 CFR Chapter 9
DOE 1700.1
DOE 1800.1A
DOE 1324.2A
DOE 1324.3
DOE 1324.4
DOE 1324.5
DOE 1324.6
DOE 1324.8
DOE 1330.1C
DOE 1340.1A
DOE 1350.1
DOE 1360.2A
DOE 1360.4B
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DOE 1430.3
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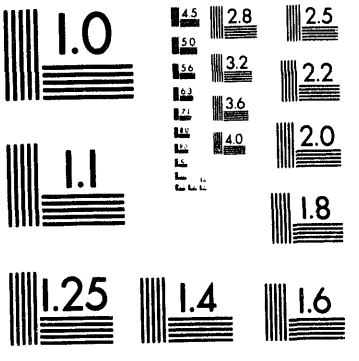


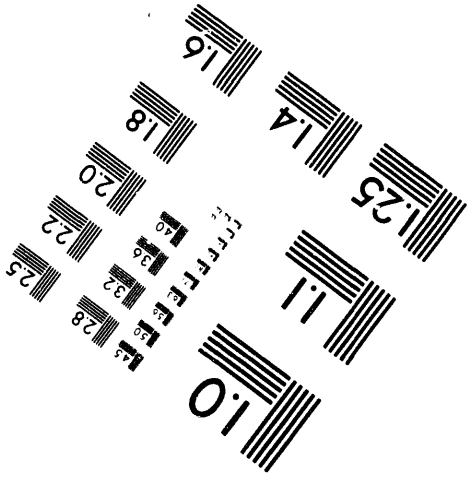



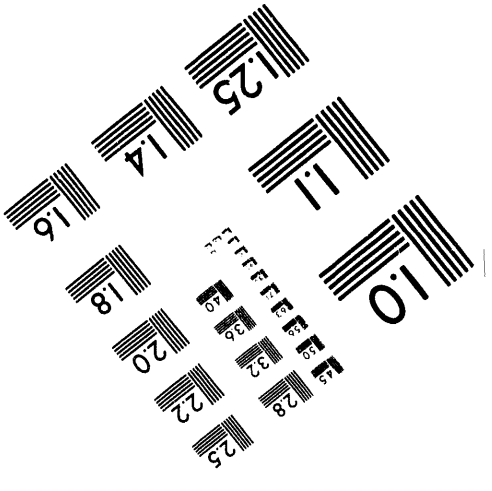
**Association for Information and Image Management**
1100 Wayne Avenue, Suite 1100
Silver Spring, Maryland 20910
301/587-8202




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BY APPLIED IMAGE, INC.

5 of 10

### 4.10 Personal Papers and the Prevention of the Removal and Destruction of Records

"Disposition of Federal Records, A Records Management Handbook," published by NARA, 1992 edition.

NARA pamphlet "For the Records: Guidelines for Federal Records and Personal Papers."

### 4.12 Disaster Prevention and Recovery Program

36 CFR 1236
Executive Order 1256
ASME NQA-1
DOE 1324.8
DOE 5500.7B
DOE 5500.1B
DOE 5500.2
DOE 5500.2B
DOE 5500.3A
DOE 5500.8
DOE 5484.1

### 5.7 Environmental Administrative Record

Section 113 (k) of CERCLA, as amended by the Superfund Amendments and Reauthorization Act (SARA)

### 5.8 Technology Transfer

Chapter 63, U.S.C. Annotated
SEN 30A-92
Public Law (P.L.) 99-502
P.L. 101-189
P.L. 102-564
Freedom of Information Act

### 5.13 Vital Records

DOE 5500.7B
DOE 1324.8
36 CFR 1236
Executive Order 12356, National Security Information

American Society of Mechanical Engineers (ASME) NQA-1, Quality Assurance Program Requirements for Nuclear Facilities.

## 5.14 Audiovisual Records

GRS 21, Audio Visual Records
36 CFR 1232

## 5.15 Cartographic Records

36 CFR 1228.186, Cartographic and Architectural Records

GRS 17, Cartographic, Aerial Photographic, Architectural and Engineering Records

## 5.18 Quality Assurance (QA) Records

DOE 5700 series
DOE 1300 series
American Society of Mechanical Engineers (ASME), Nuclear Quality Assurance (NQA)-1 standard

# EPIDEMIOLOGY, HUMAN EXPERIMENTATION AND OTHER RECORDS MANAGEMENT ISSUES

**Elly Melamed**
**DOE-HQ**
**RECORDS MANAGEMENT DIVISION**

Elly Melamed

Elly Melamed is a senior analyst in the Records Management Division, Office of IRMS Policy, Plans and Oversight, Department of Energy. She is currently working on records projects involving epidemiological records and on the location, identification, and retrieval of records relating to human experimentation with ionizing radiation. She previously worked for the National Archives and Records Administration, where she was head of the Evaluation and Training Branch in the Office of Records Administration.

Presentation Materials will be mailed after conference.

# EPIDEMIOLOGY, HUMAN EXPERIMENTATION AND OTHER RECORDS MANAGEMENT ISSUES

Elly Melamed
DOE-HQ
RECORDS MANAGEMENT DIVISION

# PARTNERSHIPS BETWEEN THE DOE AND CONTRACTORS

Lori Hefner, CRM, CA
LAWRENCE BERKLEY LABORATORY

Dan Ogden
SAVANNAH RIVER OPERATIONS OFFICE

Lori Hefner

Lori is the Lawrence Berkeley Laboratory Archivist and Records Manager. She has been an archivist for 19 years and a records manager for 13. She is a Certified Records Manager and a Certified Archivist.

Lori has a Master of Arts in History and a Masters of Business Administration. She teaches "Records Management for Archivists" workshops for the Society of American Archivists and is a lecturer at the University of California, Berkeley School of Library and Information Studies. She has been published in several scholarly history and professional journals.

Dan Ogden

Dan Ogden is a senior analyst in the Program Support Division at the Savannah River Operations Office. He is the Site Records Management Officer. He has been a member of the Departments Records Management Steering Committee since it was organized and has contributed to the development of "The Roadmap To The Year 2000." Dan is a member of ARMA and was the Steering Committee Chairman for the chartering of the Central Savannah River Area (CSRA) ARMA Chapter.

# Promoting an Effective Partnership Between the Department of Energy and Its Contractors in Order to Build a High Quality Records Management Program:

# Results of the Survey

Lori Hefner, CA, CRM
Lawrence Berkeley Laboratory
Archives and Records Office
1 Cyclotron Road
Building 69-107
Berkeley, CA 94720

510-486-5525

**Questionnaire to Ascertain How the Department of Energy and Its Contractors Are Working Together to Build a High-Quality Records Management Program**

*Please complete the following questionnaire. Be as honest as you can so we can identify opportunities to improve relations between the Department of Energy records officers and its contractor records managers. The information from the questionnaire will be used in a presentation to be given at the Annual DOE Records Management Conference on June 21, 1994 in Charlotte, North Carolina. If you wish to write additional information please do so. All respondents are promised confidentiality. Thank you for sharing your time and thoughts on this very important topic. A return envelope is enclosed for your convenience.*

How would you describe the partnership between the Department of Energy and its contractor records managers in building a high-quality records management program?

What would be the benefits to you and your employer if the Department of Energy and the contractor records managers worked more effectively in building a high-quality records management program?

1.
2.
3.
4.
5.

What are your five most frequent frustrations in working with the partner? [The Department of Energy if you are the contractor and the contractor's records manager if you are a Department of Energy employee.]

1.
2.
3.
4.
5.

What kinds of behaviors would make you feel more like a valued partner in building a high-quality records management program?

1.
2.
3.
4.
5.

_____ DOE Employee _____ Contractor

In your opinion, what can DOE and its contractors do right away to improve their partnership in building a high-quality records management program?

1.
2.
3.
4.
5.

**Partnership Assessment Scale**

*Circle only one response for each question below.*

| | Always | Usually | Fairly | Rarely | Never |
|---|---|---|---|---|---|
| 1. Do you believe that you and your partner work in an organized, coordinated way | 5 | 4 | 3 | 2 | 1 |
| 2. Do you believe that your partner has a thorough knowledge of program requirements and what it will take to accomplish a given task? | 5 | 4 | 3 | 2 | 1 |
| 3. Is there a smooth work flow between you and the partner? | 5 | 4 | 3 | 2 | 1 |
| 4. Are you given an adequate amount of time to provide information, reports or comments to the partner? | 5 | 4 | 3 | 2 | 1 |
| 5. Is there flexibility in adapting to varying situations between you and the partner? | 5 | 4 | 3 | 2 | 1 |
| 6. How well can you anticipate the partner's needs? | 5 | 4 | 3 | 2 | 1 |
| 7. Do you believe that your partner establishes an authority line that is clear, consistent, and appropriate for the situation? | 5 | 4 | 3 | 2 | 1 |

| | Always | Usually | Fairly | Rarely | Never |
|---|---|---|---|---|---|
| 8. Do you believe that you and your partner have a strong track record for making quality decisions and resolving problems? | 5 | 4 | 3 | 2 | 1 |

## Personal Respondent Profile

The information in this questionnaire is confidential. No personal information is requested. Please complete the following questions so the information you provided above can be better understood. Please circle the most accurate statement in each question below:

Employed by:
1. Department of Energy
2. A Department of Energy Contractor
3. Other _____

How often do you communicate with the Department of Energy records point of contact if you are a contractor or the contractor records manager if you are a Department of Energy employee?

1. Daily
2. Weekly
3. Bi-weekly
4. Monthly
5. Quarterly
6. Annually
7. Never

Percent of time dedicated to records management work:
1. 100%
2. 75%
3. 50%
4. 25%
5. 10%

Length of time in records management
1. Over 20 years
2. 15-20 years
3. 10-14 years
4. 5-9 years
5. 1-4 years
6. less than 12 months

How would you describe your position?

1. An administrator who oversees many functions including records management
2. The manager of a records management function
3. A front-line supervisor of a records management function
4. A records management employee
5. A support staff employee
6. Other _____

How would you describe your personal commitment to records management

1. Very committed
2. Usually committed
3. Occasionally committed
4. Rarely committed
5. Question the value of records management principles and their relevance to meeting today's organizational problems.

**Additional Comments**

**Please send this questionnaire to:**
**Lori Hefner, Archivist and Records Manager**
**Lawrence Berkeley Laboratory**
**1 Cyclotron Road, Building 69-107**
**Berkeley, CA 94720**
**Phone: 510-486-5525**
**Fax: 510-486-7200**

# How Would You Describe the Partnership?

## DOE Responses

Entirely satisfactory
Free participation
A team
Steadily improving
Work closely and efficiently
Proactive and process oriented
Try but little time to devote to it
Very territorial and opinionated
Weak

## Contractor Responses

Poor (14)
    "We are not full partners even though we have most of the records."
Trying to improve (13)
Excellent, very close working relationship (8)
    "Very open, and proactive relationship"
DOE lacks records management expertise (5)
Very good with operations office but not with HQ
Communications lines are troubled (5)
    All directives and no funding
    Deadlines are too short
    Don't get responses to questions
    Lack of communication
Very encouraged with the appointment of DOE Records Officer (4)
    "Let her move forward "
"Records management has been neglected with full knowledge of the Department of Energy."
"Too much politics."

# What Benefits Would You and Your Employer Derive If We Worked More Effectively Together?

## DOE Responses

Save time and money (4)
Reduce re-work (2)
More flexibility, less bureaucracy (2)
Improved communications (2)
A better quality product
Utilize each others' expertise
Integrate records management into operations
More practice
Credibility with the public
Easier access to information

## Contractor Responses

Save time and money, make efficiency gains (27)
Develop unified process and consistency across programs (15)
Create a better work environment, improve morale (15)
Have better communication and faster quality decision making (15)
Have a shared vision and direction (13)
Have better planning, coordination and implementation (13)
Have better access to information (11)
Have more respect and credibility with customers (7)
Have more management support (7)
Create a total quality records management program (7)
More resources would be allocated to records management (5)
Better compliance (5)
Increased chances of making better use of advanced records technologies
"Preserve vital, historical and mission essential records."
Less crisis management
Improved customer service
Better trained personnel

# What Are Your Five Most Frequent Frustrations In Working With Your Partner?

## DOE Responses

Too many other responsibilities (3)
Not allowed to work directly withthe contractor (2)
Roles and responsibilities are confusing
Records moratoriums
Contractors assume to know it all
Contractors have other objectives
Contractors fail to recognize what DOE must comply with
Lack of resources
No consistent unified approach

## Contractor Responses

Poor communications (19)
- Poor between HQ and Operations Offices
- Poor between DOE elements
- Poor between Operations Offices and Contractors
- Never consulted about impacts
- "Implementing program that may be illegal or in violation of federal laws with a promise that guidance will be forthcoming, which does not happen."
- Slow information flow from HQ to contractor
- Implementation of council meeting items appears to be slow
- Slow communication from NARA to HQ to operations offices to contractors

No long term vision/goal/plan (14)
Insufficient management support (14)
Painfully short deadlines (13)
- "Operations Office batches reference materials and requests for information. I get the package too late."

Confusion about what is required (12)
DOE Records Officers are not knowledgeable about records management (11)
Not enough resources are allocated to do the job (11)
- Directives but no funding

DOE is unable to make a "final" decision (9)
Too much bureaucracy, micromanagement, crisis management (8)
No visible completion of anything (7)
DOE changes directions and you have to re-do the work (5)
Lack of commitment on the part of DOE to records management (5)
- DOE does not care about a contractor's records program unless it negatively reflects on them.

"My DOE Records Officer is spread way too thin and does not have management support." (4)
Unprepared in addressing electronic records issues (3)
Not allowed to use records management professionals as a resource (2)

# What Are Your Five Most Frequent Frustrations In Working With Your Partner?

## Contractor Responses

Lack of consistency (2)
Poorly defined roles
"DOE does not understand what contractors are facing and gives unrealistic requirements without clear direction"
Focuses on high priority issues at the expense of basics
Politics
Concept of graded approach is not embraced
Sub-contractors excluded from the partnership
"Teamwork has been carried too far. We no longer breathe independently."
"Too much attention paid to the laboratories and not enough to smaller contractors."
DOE wants contractors to solve their problems
Little guidance from DOE as to a "model"

# What Would Make You Feel Like a More Valued Partner?

## DOE Responses

Being encouraged to give input good or bad
Being cooperative
More funding
Establishing contractual guidelines for customers to use
Better communication throughout chain of command
Nothing
More direct guidance from HQ to unify our approach
More advocacy from management
Shared goals instead of different agendas
Strong central development on future records development

## Contractors Responses

Improved communications between DOE and contractors (13)
- Improve communications between HQ and Operations Offices
- Empathy for what it is like "in the trenches"
- "Come and see what I do" (5)
- Show more interest in records management
- Regular contact (3)
- "Give assistance, not just audits"

Include contractors in planning and requirements setting (11)
HQ should win top DOE management support for records management (11)
Ask and respect opinions (11)
Give kudos for a job well done (7)
Have better thought out, clearer written DOE Orders (5)
Stronger teamwork (4)
Plan better and follow through (4)
Increase resources (4)
I already feel like a valued partner (4)
Streamline-allow contractors more access to HQ records professionals
- Better information flow from HQ to Operations Offices
- Allow HQ to send memoranda directly to contractors (3)
- "We have an excellent relationship with our DOE records officer and we do not believe that any other type of behavior changes are required at this time."

Be more decisive and make more timely decisions
- Stop reversing decisions mid-stream (3)

De-emphasize personality issues (3)
Become better trained and more knowledgeable about records management
Define and delineate roles and responsibilities
Encourage professionally trained records managers to contribute fully
Require each site to have a records management clause in its contract
Allow more contact with the National Archives
Unify our systems and create more consistency
Empower employees to do the right thing

# What Would Make You Feel Like a More Valued Partner?

## Contractor Responses

Decrease political gamesmanship
Challenging team projects
Offer training so I know what to do
Encourage appropriate advanced records technologies
Recognize sub-contractor challenges
Stop saying "We are only the contractor"

# What Could We Do Right Away to Improve the Partnership?

## DOE Responses

Perform tasks on time, accurately, professionally
Get clearer directions from HQ
HQ to stop making changes mid-stream
Create DOE records repository
Consistency
Timely answers to records management questions
Continue successes started
End records moratoriums
Share same goals and objectives
Communicate with other programs
Follow unified approach
Encourage sponsorship from management
Consider the "Big Picture"

## Contractor Responses

Improve communications (19)
- Build an electronic bulletin board and allow everyone to communicate
- Encourage in person visits other than to audit
- Extend recognition through the Secretary for excellent work (small and large)
- Provide assistance in establishing a records management program
- Send HQ information to Operations Offices and Contractors simultaneously
- Can the information be available on-line?
- Improve the timeliness of HQ memoranda to the contractors
- Improve the flow of information among HQ, Operations Office, Site Officers and contractors
- HQ should address obvious records management weak spots in the Operation Offices and if the situation cannot be corrected find an alternative way for HQ to communicate with the contractors
- HQ should be allowed direct contact with the contractors
- Involve contractors in records series working groups and in Roadmap 2000
- Include small contractors in the planning process
- Mandate what is to be done, don't just suggest it

Win top DOE management support for the significance of records management (6)
- Gain headquarters programmatic support then let them communicate records management expectations down the line

Clarify planning, vision, and direction (6)

Be responsive(6)
- Reduce the time needed to get retention schedules approved
- Commit to more timely turnarounds on Requests for Disposition Authorizations (SF 115s) and Directives
- Streamline processes
- Complete records schedules

# What Could We Do Right Away to Improve the Partnership?

## Contract Responses

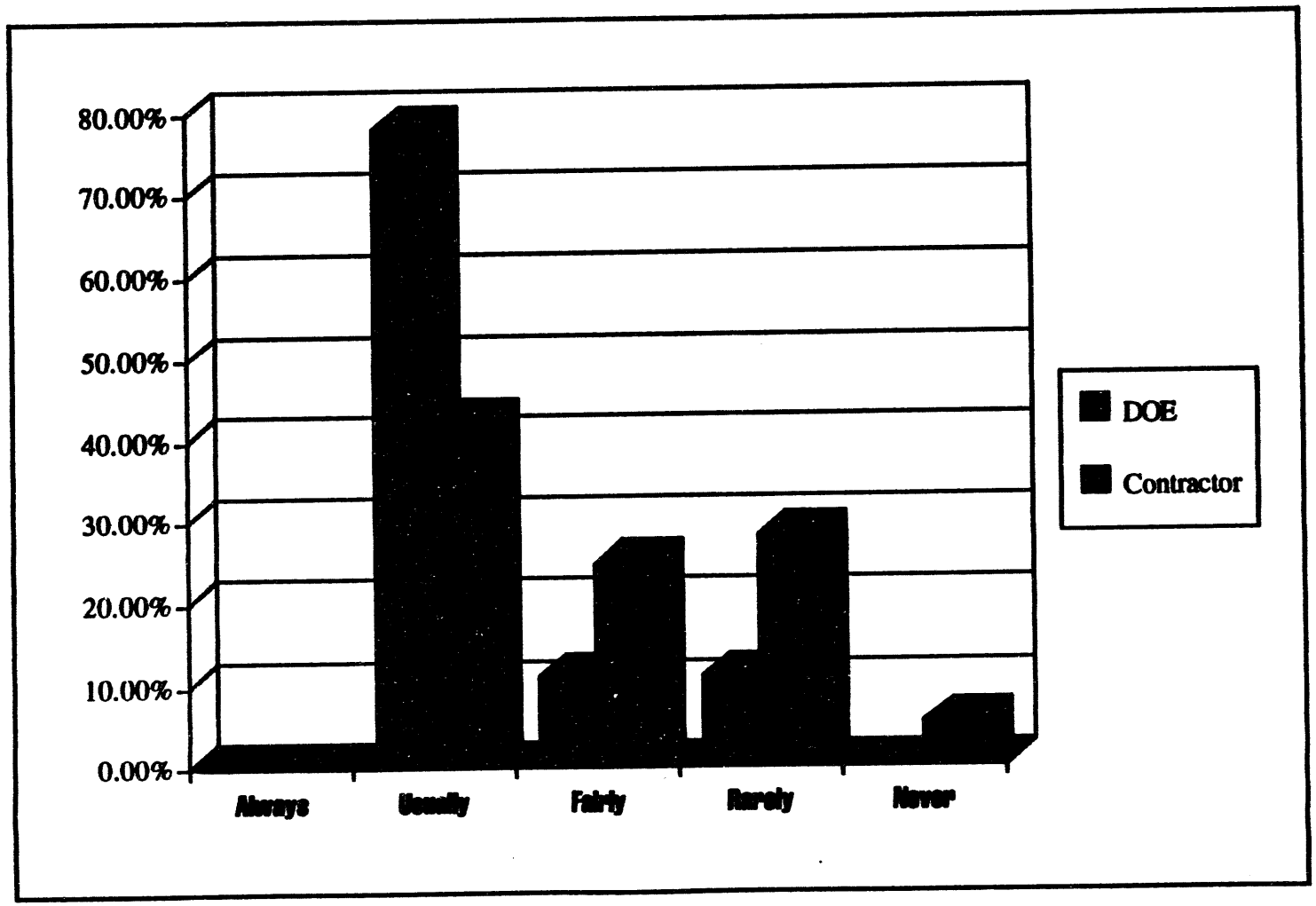
Increase resources to accomplish the work (3)
Improve research and support of advanced records technologies (3)
Emphasize Teamwork (3)
    Develop a more "how can I help you approach as opposed to "I'm going to get you" philosophy
Improve DOE Records Officers knowledge and preparation for their jobs (3)
    Hire professional records managers (2)
    Remove Records Officers who refuse to learn records management
Establish a DOE records repository (2)
Improve records management training (2)
DOE should collect input from contractors and then take charge and responsibility for making decisions, setting policy and issuing directives (2)
Restructure
Improve the clarity of DOE Orders
Make records management mandatory in DOE contracts (2)
Create local task team in Operations Officers and have them meet with contractors to address areas, request improvements as well as analyze the positive results on implemented projects and processes.
Work together for the good of all involved
Assist sub-contractors in records management efforts
Give contractors the ability to develop programs that meet the intent of the DOE Orders without strict compliance
Reduce emphasis on records inventory project
Adopt a cost efficient approach
We have worked on requirements, now let's build the necessary bridges to QA, IRM, CM and software, hardware, telecommunications
    Integrate all records management and information management functions
Continue to meet annually
    Sponsor area DOE records management conferences
    Make attendance at the annual records officers conference mandatory
Build a central data base for schedules with keyword search
Build a central database and load scheduled records
Re-instate the old DOE and Contractor Schedules
Establish uniform filing code for all of DOE and its contractors
Address records retention issues at HQ level before orders are disseminated
Provide a workable vital records process for sites
Provide more networking opportunities that don't require travel
Identify key personnel among DOE and contractors and utilize their talents

The following graphs are being presented in color.

To distinguish the Department of Energy from the contractors on the following black and white pages the Department of Energy responses are always noted on the left of the two.

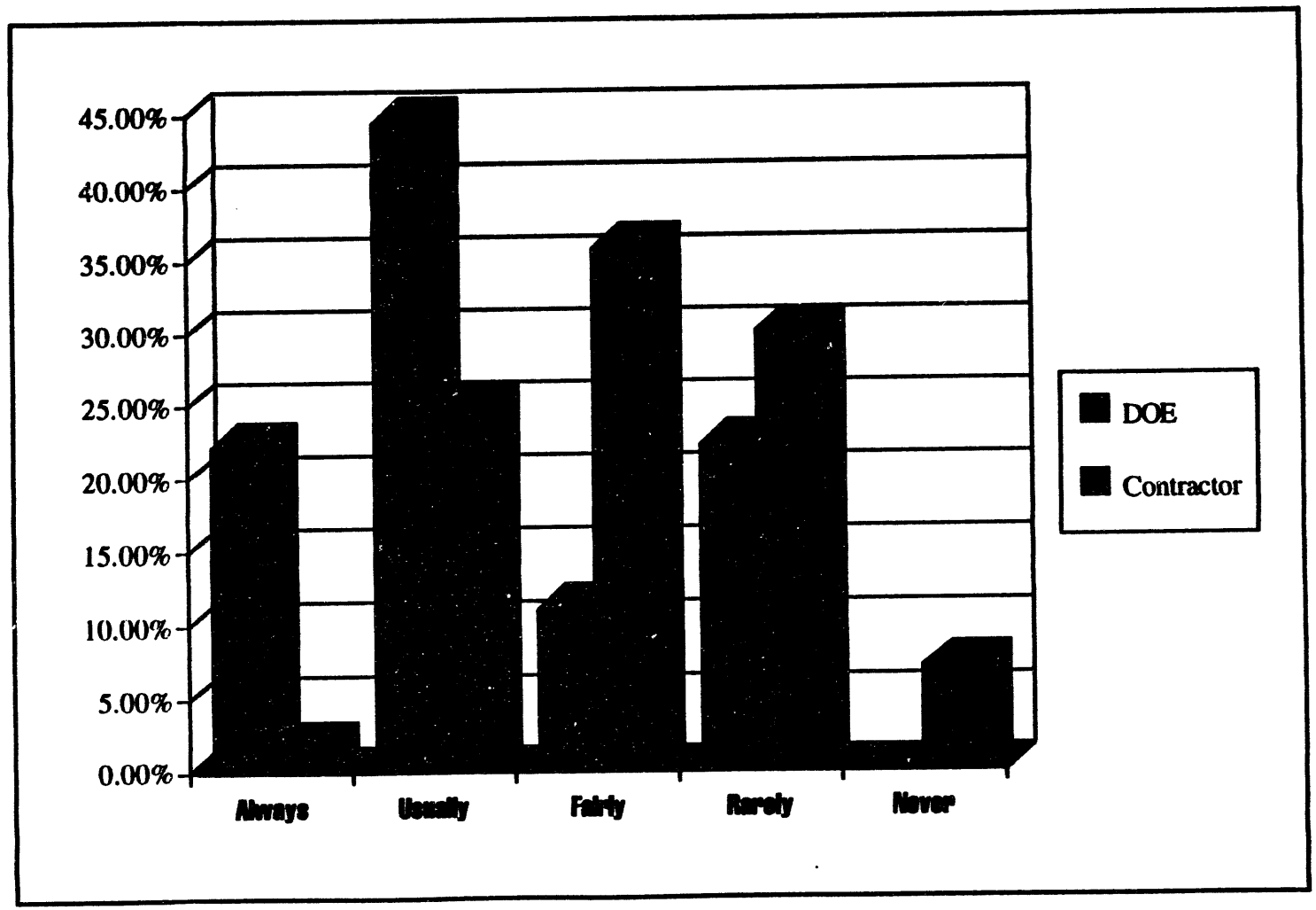
# DOE/Contractor Partnership Assessment Scale

Do you believe that you and your partner work in an organized, coordinated way?



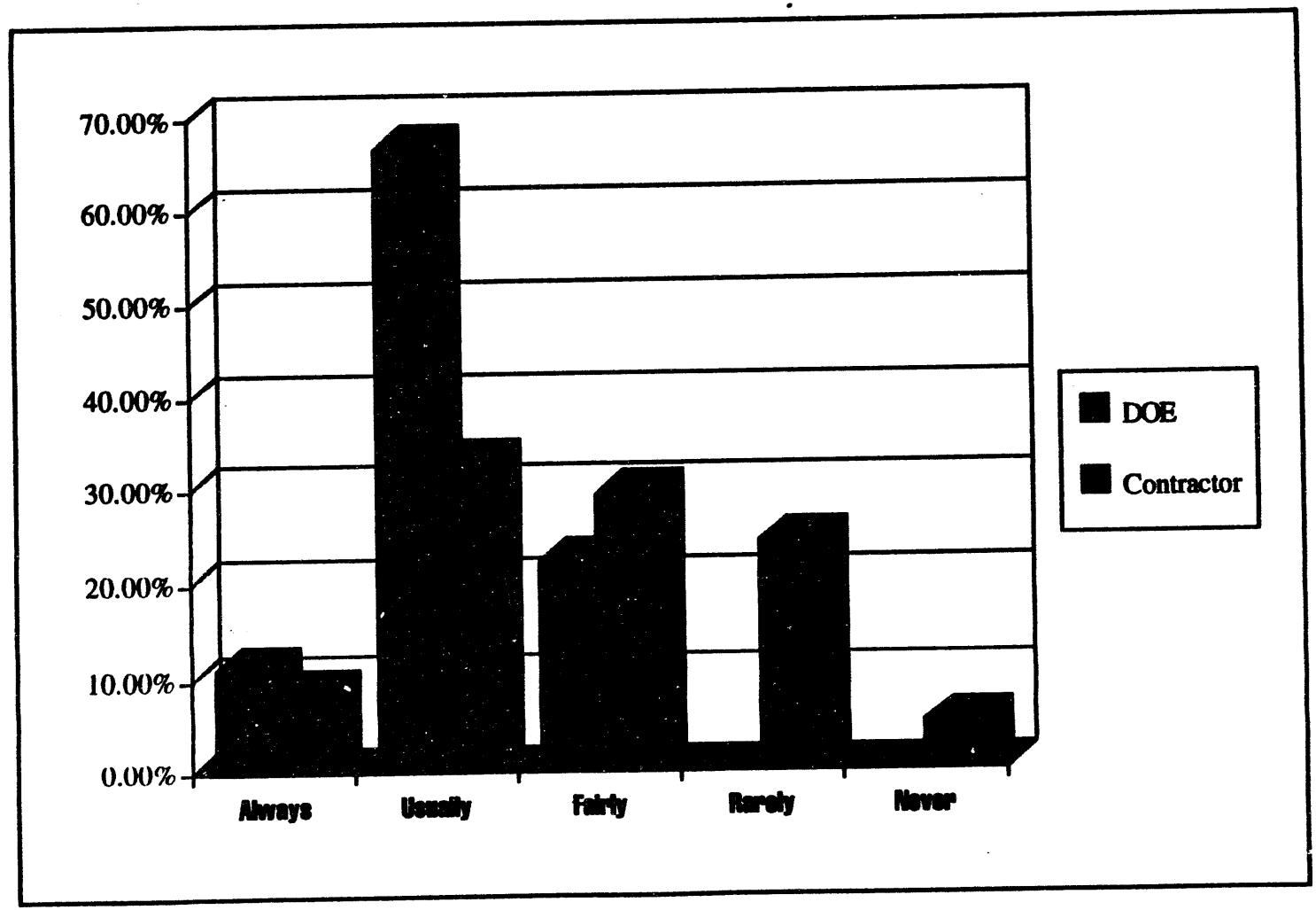
# DOE/Contractor Partnership Assessment Scale

Do you believe that your partner has a thorough knowledge of program requirements and what it will take to accomplish a given task?



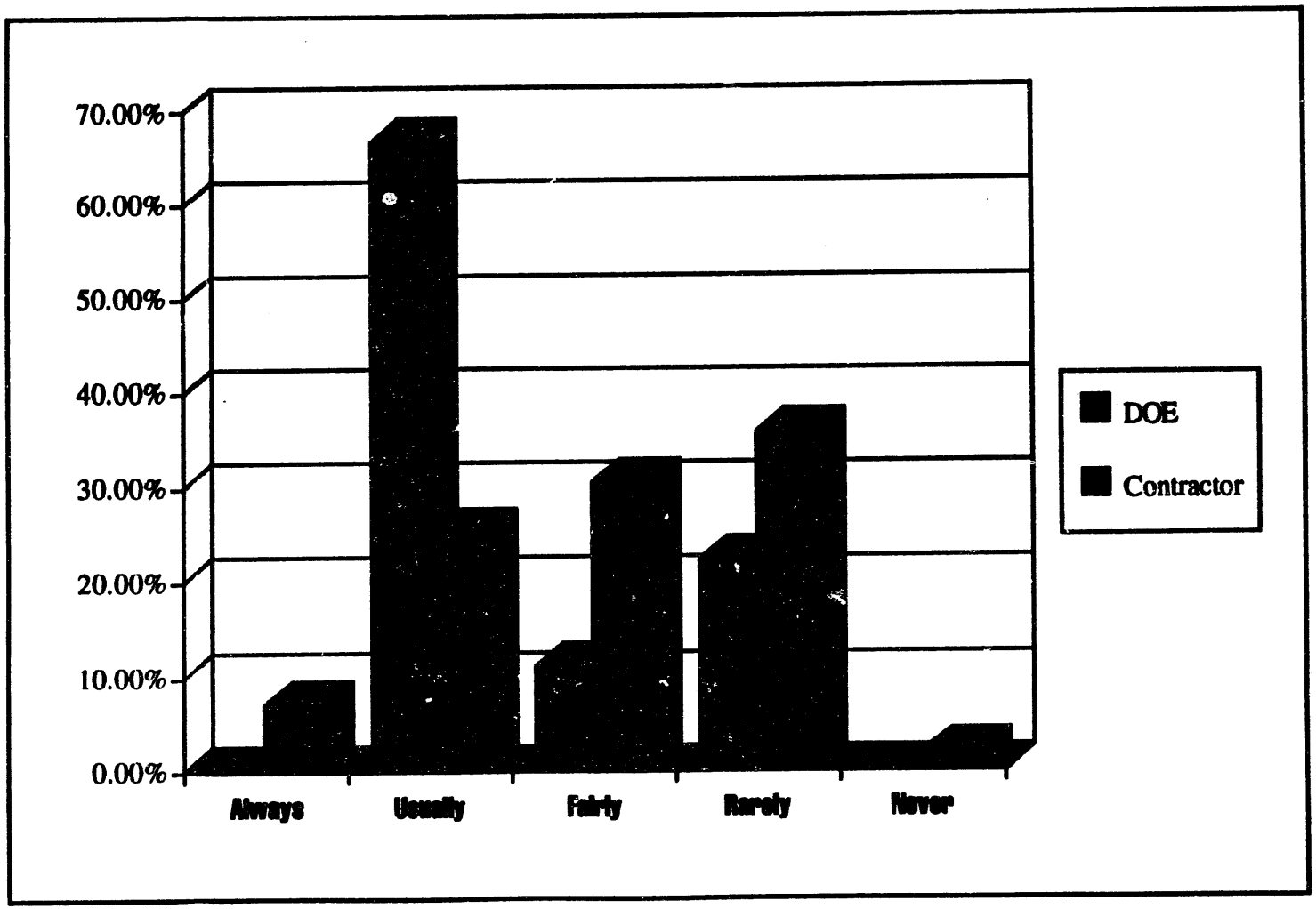
# DOE/Contractor Partnership Assessment Scale

Is there a smooth work flow between you and the partner?



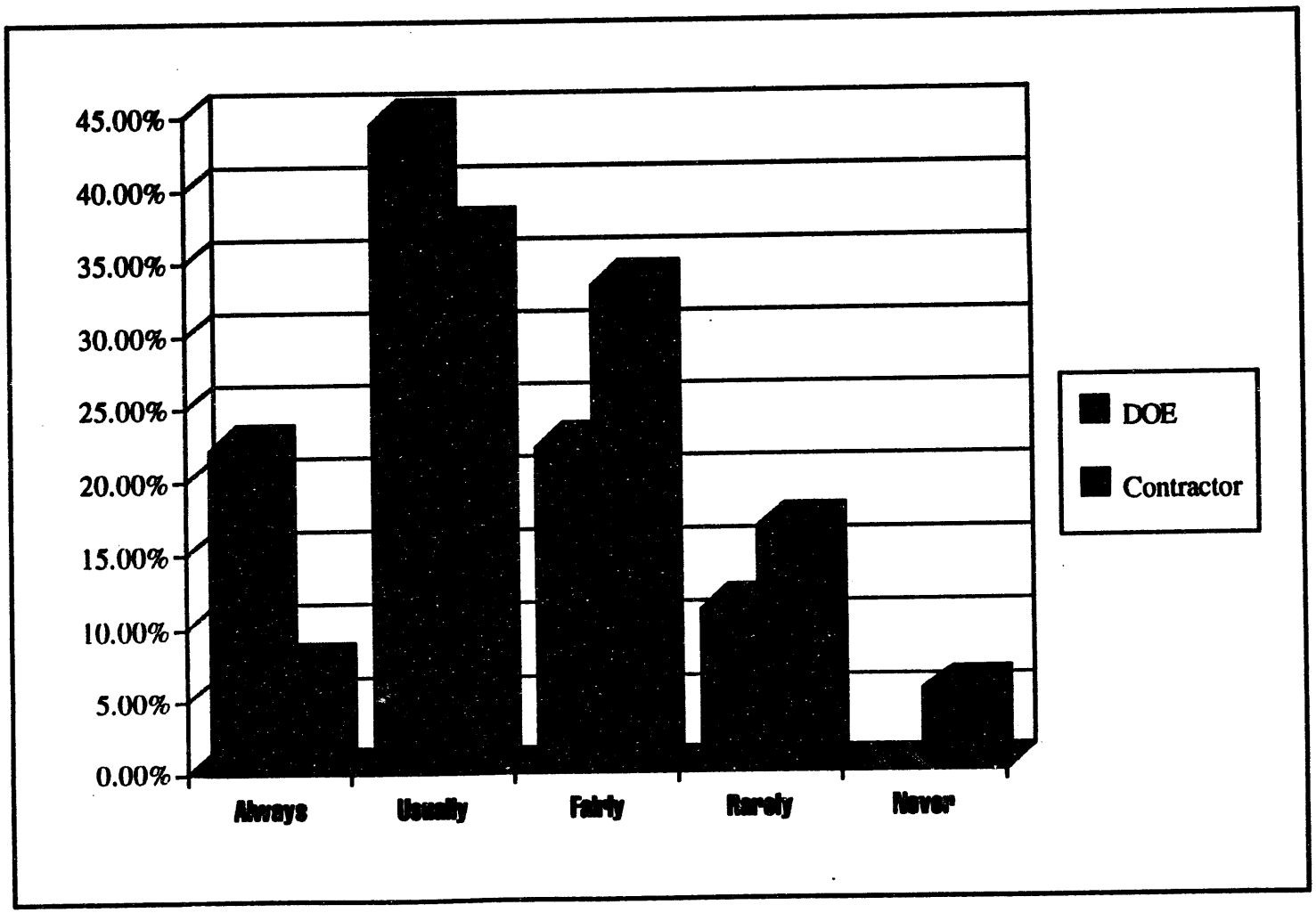
# DOE/Contractor Partnership Assessment Scale

Are you given an adequate amount of time to provide information, reports or comments to the partner?



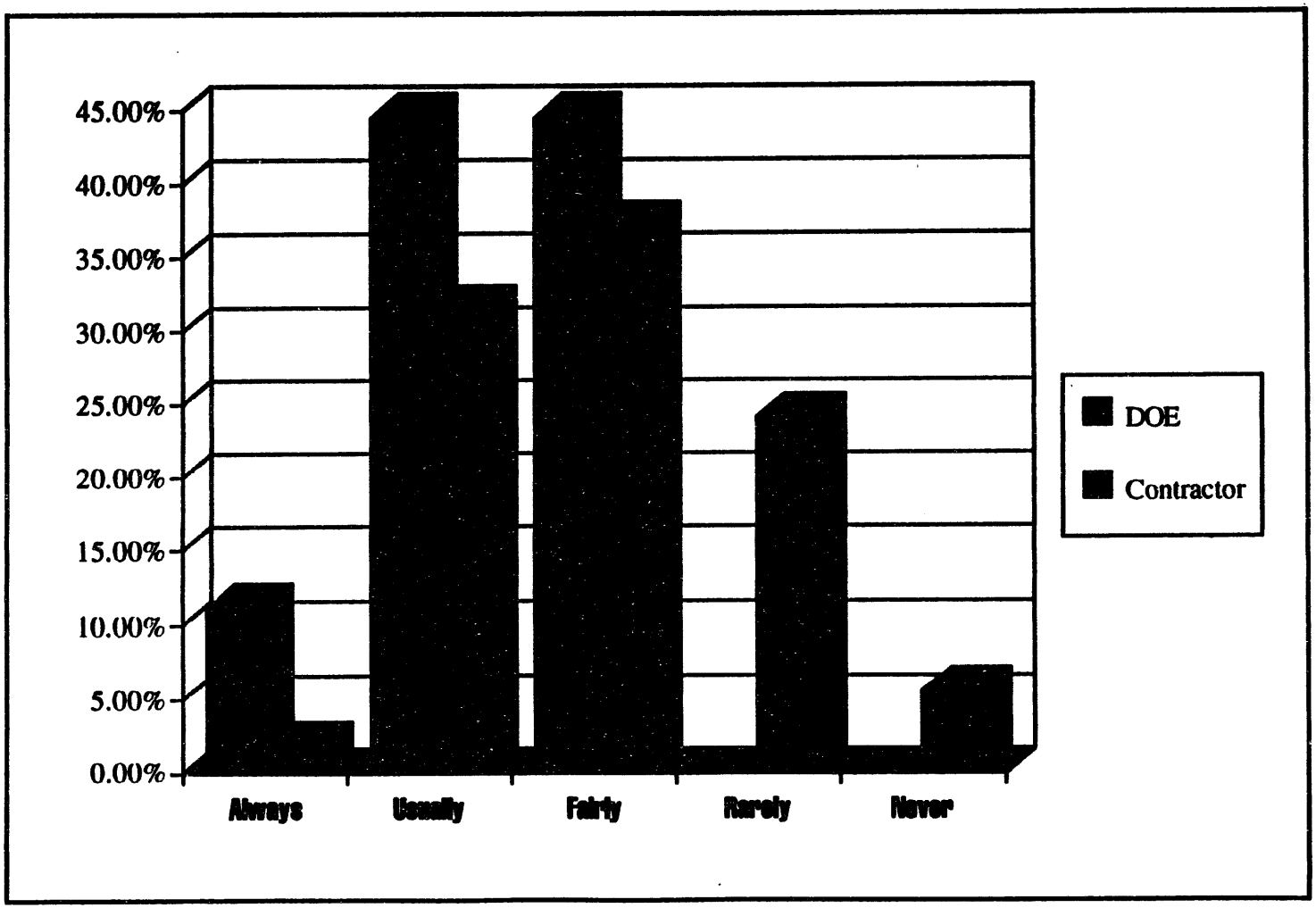
# DOE/Contractor Partnership Assessment Scale

Is there flexibility in adapting to varying situations between you and the partner?



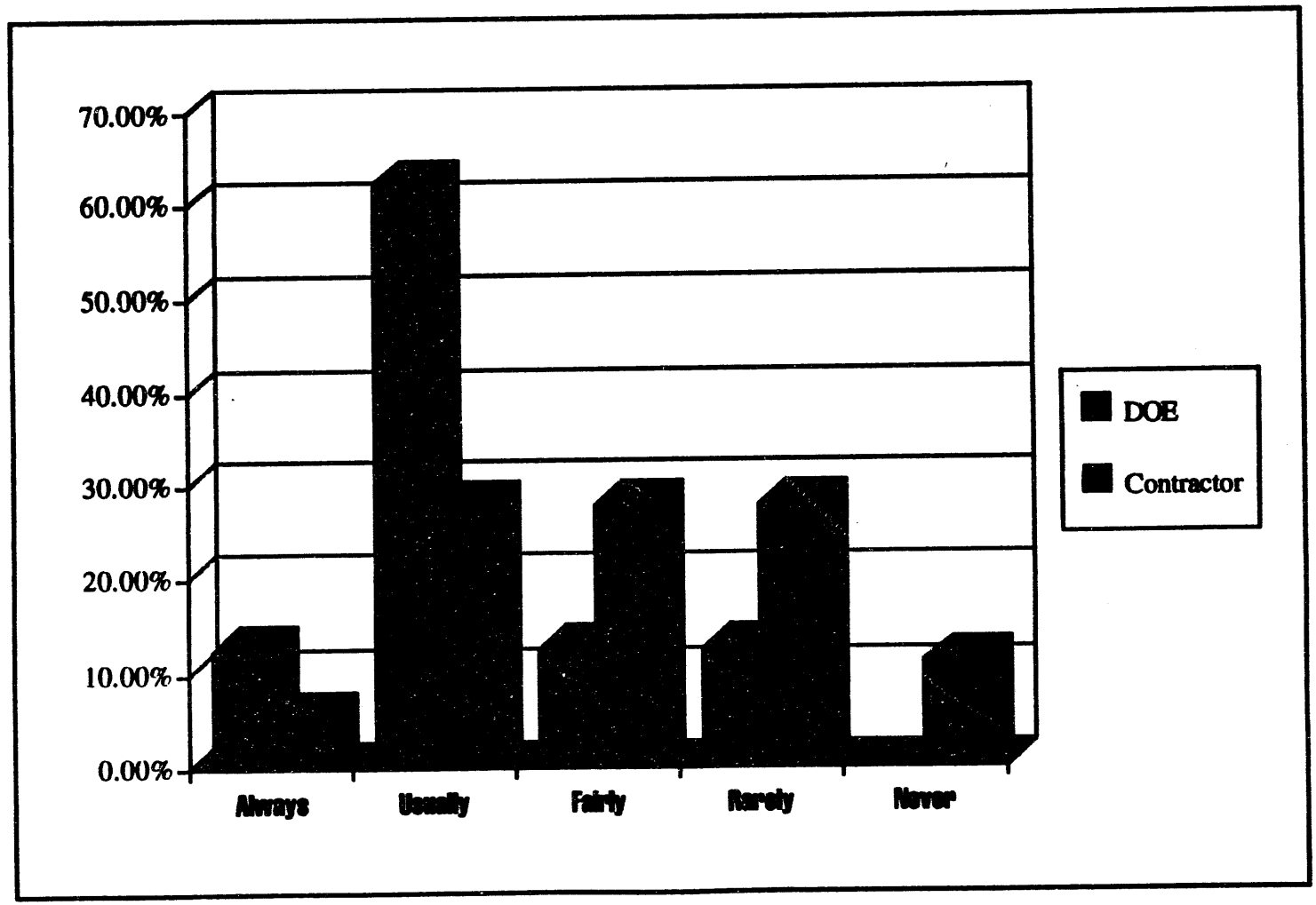
# DOE/Contractor Partnership Assessment Scale

How well can you anticipate the partner's needs?



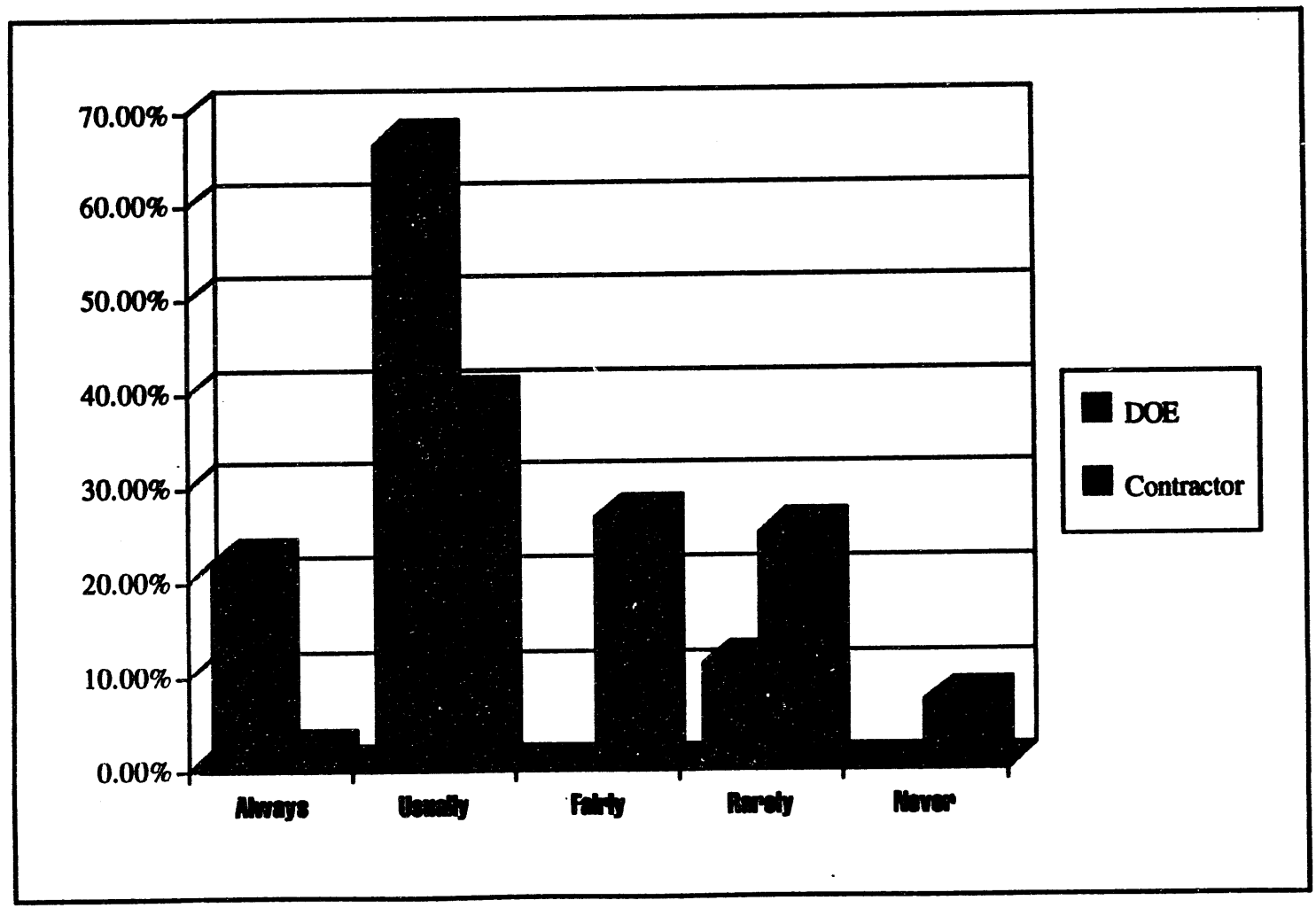
# DOE/Contractor Partnership Assessment Scale

Do you believe that your partner establishes a line of authority that is clear, consistent, and appropriate for the situation?



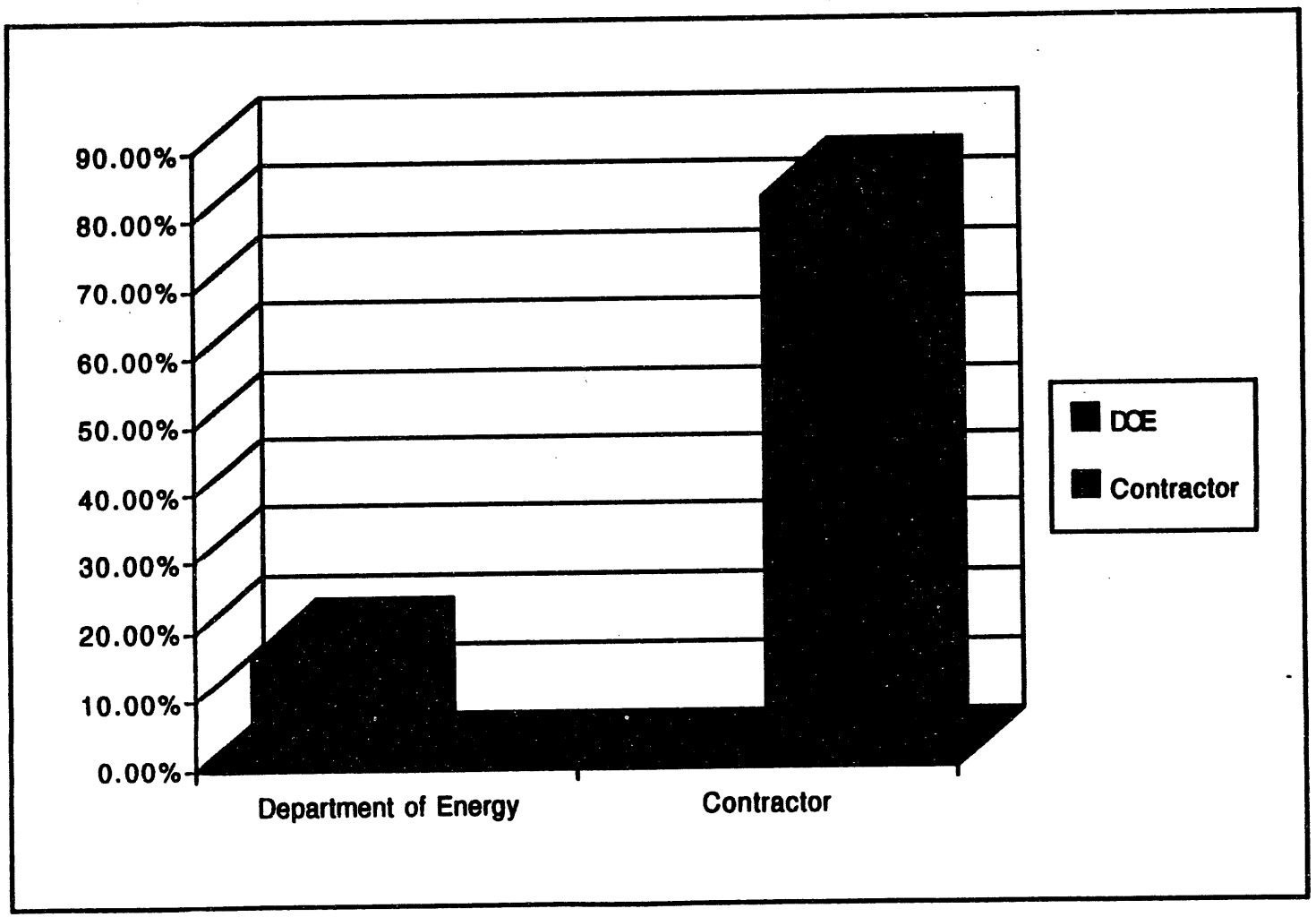
# DOE/Contractor Partnership Assessment Scale

Do you believe that you and your partner have a strong track record for making quality decisions and resolving problems?



# DOE/Contractor

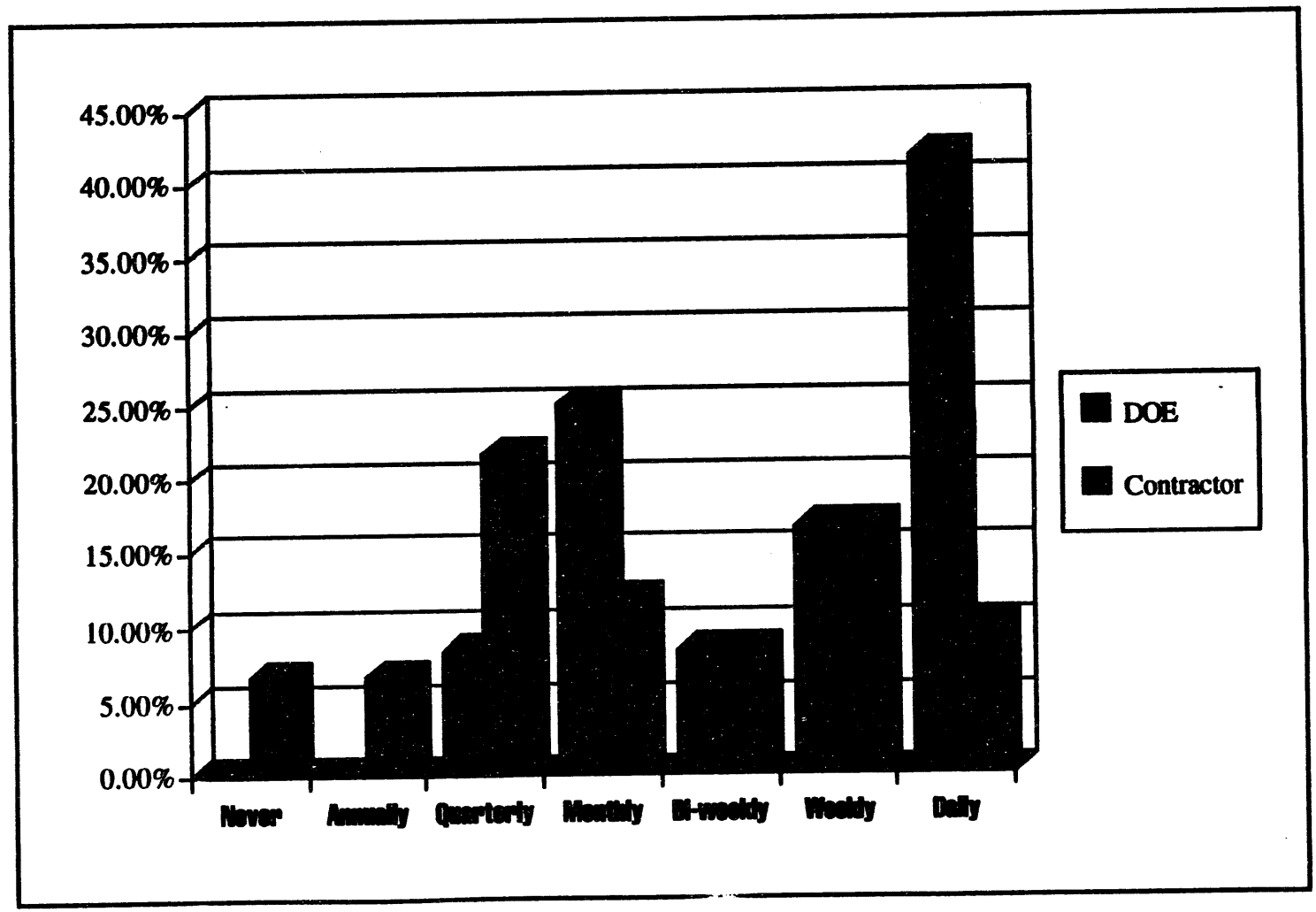
**Respondent's Personal Profile**



# DOE/Contractor

## Respondent's Personal Profile

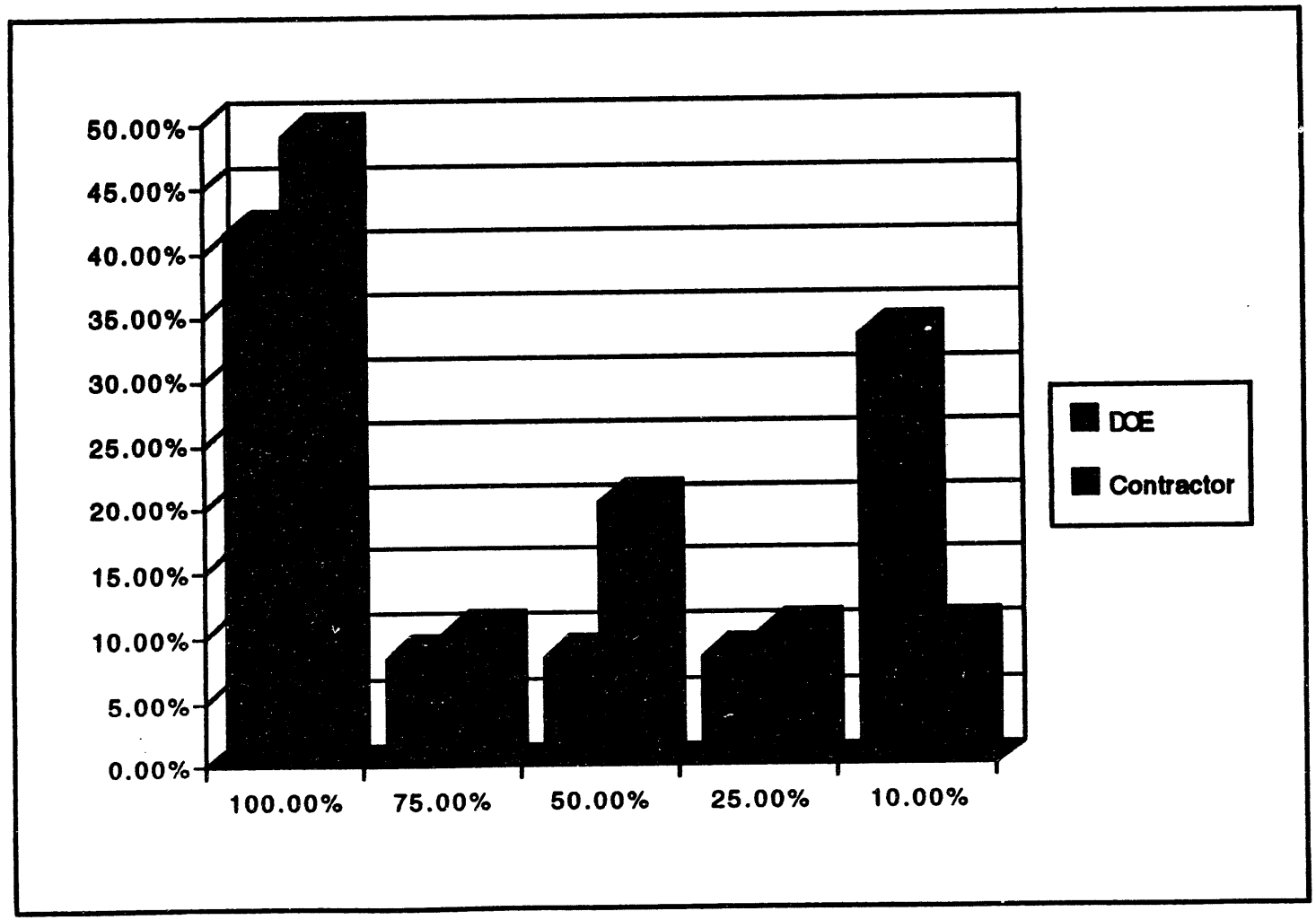
How often do you communicate with the Department of Energy records point of contact if you are a contractor or the contractor records manager if you are a Department of Energy employee?



# DOE/Contractor

## Respondent's Personal Profile

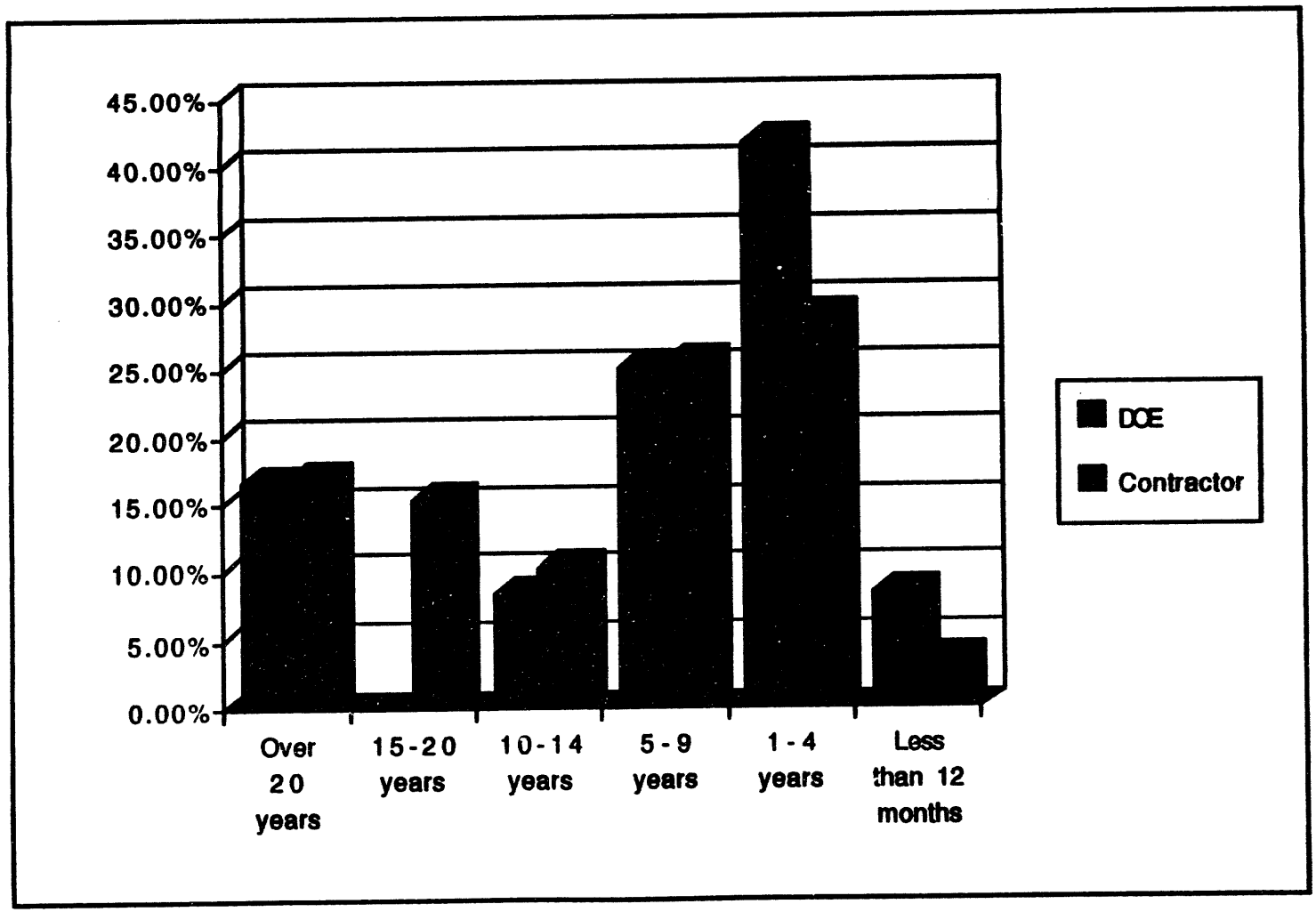
Percent of time dedicated to records management work:



# DOE/Contractor

## Respondent's Personal Profile

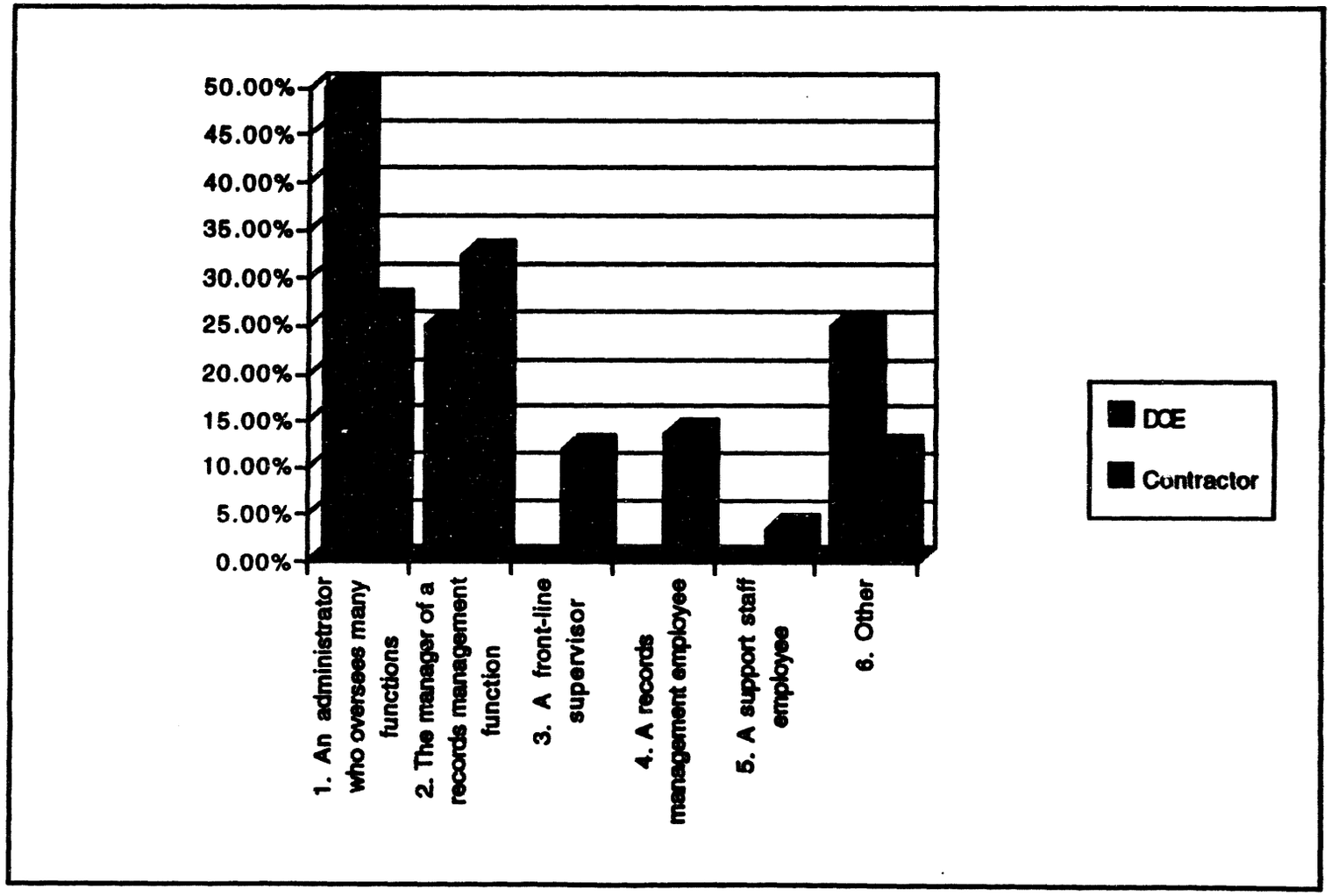
Length of time in records management?



# DOE/Contractor

## Respondent's Personal Profile

How would you describe your position?



# The "Six I's" of Successful Partnerships

The relationship is *Important*, and therefore it gets adequate resources, management attention, and sponsorship; there is no point in going to the trouble of partnership unless it has strategic significance.

There is an agreement for longer-term *Investment*, which tends to help equalize benefits over time.

The partners are *Interdependent*, which helps keep power balance.

The organizations are *Integrated* so that the appropriate points of contact and communication are managed.

Each is *Informed* about the plans and directions of the other.

Finally, the partnership is *Institutionalized*--bolstered by a framework of supporting mechanisms, from legal requirements to social ties to shared values, all of which in fact make trust possible.

Rosabeth Moss Kantor, *When Giants Learn to Dance* (New York: Touchstone Books)

p. 173

# Becoming Effective Partners

## In Building a Quality Records Management Program

**Lori Hefner**
**Lawrence Berkeley Laboratory**
**Archives and Records Office**
**1 Cyclotron Road**
**MS 69-107**
**Berkeley, CA 94720**
**510-486-5525**
**E-mail: LLHefner@LBL.gov**

# Becoming Effective Partners

- Introduction
- What Is A Partnership?
- What Are We Trying to Accomplish In Our Partnership?
- What Is the State of Our Partnership Today?
- How Can We Make It Better?
- Conclusion

# Becoming Effective Partners

- Introduction
- "Emerging Age of Cooperation"
  - Internationally
  - In the private sector
- DOE- 2,900 Employees with 100,000 Contractors
- Historic Direction Set After World War II
- Shrinking Bureaucracy
- Increasing Demands
  - Congress
  - Re-Engineering Government
  - Public Interest Groups
  - The Costs of the Old Ways Are Not Acceptable

# Becoming Effective Partners

- **What Is A Partnership?**
  - A Tremendous Synergy
  - "Partners are welcome allies, not manipulated adversaries ."
  - The Purpose is to create a Win/Win
  - Combining strengths in an effort to overcome weaknesses
  - Goodwill and creative problem solving are dominant features rather than power and control
  - Partnerships require a shift in power and responsibility
  - "Adversarial relationships make it easy for people to complain, to throw stones, to withdraw, without having to play any role in improving the situation." Kanter
  - Partnerships will change the internal workings of each organization that enters into a partnership
  - Recommended reading: Rosabeth Moss Kanter, <u>When Giants Learn to Dance</u>

# Becoming Effective Partners

- **What Are We Trying to Accomplish In Our Partnership?**
- **An Efficient and Effective Records Program As Outlined in the U.S. Federal Records Act**
- **It is a Partnership to Do the Right Thing-Not Collusion**
- **Not to Build Programs to a Person's Arbitrary Wishes**
- **A Pact Among Ourselves That We Will Engage in This Partnership Within the Scope of the Law, Regulations and Professional Ethics**
- **DOE Responsible by Law for Oversight**

# Becoming Effective Partners

- **What Is the State of Our Partnership Today?**
- **Survey of 246 Attendees Last Year**
  - **29.2% Return**
  - **Complete Anonymity**
- **General Observations**
  - **DOE Records Officers Are More Optimistic Than Contractors**
  - **There are pockets of excellence**
    - » **Savannah River**
    - » **Yucca Mountain**
    - » **Hanford**
  - **There are pockets of pain**

# Becoming Effective Partners

- **The Top Ten Benefits to Becoming More Effective Partners**
  - **Save time and money, make efficiency gains**
  - **Develop unified processes and consistency across programs**
  - **Create a better work environment, improve morale**
  - **Have better communication and faster quality decision making**
  - **Have a shared vision and direction**
  - **Have better planning, coordination and implementation**
  - **Have better access to information**
  - **Have more respect and credibility with customers**
  - **Have more management support**
  - **Create a total quality records management program**

# Becoming Effective Partners

- **The Top Ten Frustrations In Working with Your Partner?**
  - **Poor communication**
  - **No long term vision/goal/plan**
  - **Insufficient management support**
  - **Painfully short deadlines**
  - **Confusion about what is required**
  - **DOE Records Officers are not knowledgeable about records management**
  - **Not enough resources to do the job**
  - **DOE is unable to make a final decision**
  - **Too much bureaucracy, micromanagement, crisis management**
  - **No visible completion of anything**

# Becoming Effective Partners

- **The Top Ten List of What Could Be Done Right Away to Improve the Partnership**
  - **Improve communications**
    - » **electronic bulletin board**
    - » **in person visits**
    - » **send HQ information to everyone simultaneously**
    - » **improve information flow up and down the line**
    - » **timely responses from the contractors**
    - » **involve contractors in work groups and strategic plan**
  - **Win top management support for records management**
  - **Clarify records management vision, plan and direction**
  - **Be responsive [particularly around schedules]**

# Becoming Effective Partners

- **The Top Ten List of What Could Be Done Right Away to Improve the Partnership (continued)**
  - **Increase resources to accomplish the work**
  - **Improve our understanding of advanced records technologies**
  - **Emphasize teamwork**
  - **Improve records officers' knowledge about records management**
  - **Establish a DOE records repository**
  - **Improve records management training**

# Becoming Effective Partners

- **Basic Principles for Building Effective Partnerships**
- **Focus on the work process, issue, or behavior, not on the person**
- **Maintain the self-confidence and self-esteem of the partner**
- **Maintain strong constructive relationships with partnerships, peers, managers, customers and other stakeholders**
- **Take the initiative to make things better.**
  - **"Partners never throw stones." Kanter**
- **Lead by example.**

# Becoming Effective Partners

- To the excellent pockets we recognize your wonderful works
- Keep going and show us the way
- You will be the first to encounter some new problems
- Please communicate with the community what works and what does not work

# Becoming Effective Partners

- **Steps to Resolving Problems**
- **What is the problem as you see it?**
- **When does/has this problem occurred?**
- **What are the consequences of this problem or behavior to you and to your partner?**
- **What do you anticipate the other person's response and point of view will be? How will you handle that response?**
- **How are you a part of this problem?**

# Becoming Effective Partners

- **Conclusion**

**"Responsible for all major federal energy functions, including the expansive nuclear weapons complex, DOE managers, and its contractors create, some of the most important and extensive scientific and technical information in the world."**

**DOE Management: Better Planning Needed to Correct Records Management Problems, U.S. General Accounting Office Report, 1992**

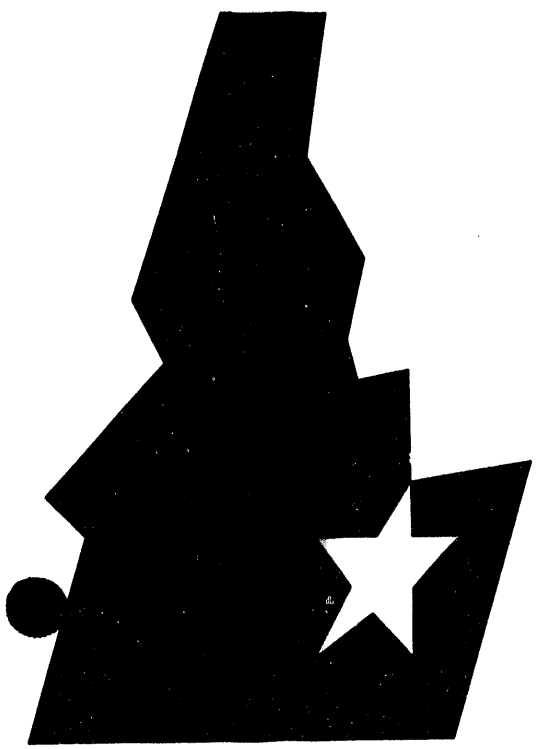
# STRATEGIC PLANNING PARTNERSHIPS AT INEL

**Barbara Compton**
PROTECTION TECHNOLOGY IDAHO

Barbara Compton

Barbara has a Bachelor in Business Administration and is currently working on the last part of CRM. She is the Information Resource Manager for Protection Technology Idaho. She is also the chairperson of the INEL IRM Strategic Planning Group, a member of the DOE Steering Group, a member of ARMA and current president of the Snake River Chapter of ARMA, and a member of NIRMA.

# STRATEGIC PLANNING PARTNERSHIPS AT THE INEL



*Idaho National Engineering Laboratory*

**BARBARA COMPTON**

**JUNE 1994**

| MANUSCRIPT | INSTRUCTOR NOTES |
|---|---|

## STRATEGIC PLANNING PARTNERSHIPS AT THE INEL

OVERHEAD

The Department of Energy (DOE) is facing a dynamic world including new challenges for the management of information resources. These new challenges include mission changes and focus on competitiveness.

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The DOE drive to meet these challenges and stay competitive must be matched by Information Resource Management. We must be "located" anywhere in the country or world where we have potential partners. While managing the diverse, existing technology base, IRM must understand and be ready to introduce the new technologies required by the users.

This presentation explains how the Idaho Operations Office and its' contractors have defined and are strategically planning for Information Resource Management as an integral part of business at the INEL.

In April 1991 the Department of Energy published a document entitled "IRM Vision 21, Information Resource Management into the 21st Century." Vision 21 would provide a common focus and direction, consistent with the Secretary's objectives, for all Departmental Elements involved in IRM activities. IRM Vision 21 would also provide an infrastructure which is well understood, allows flexibility to accommodate the changing needs of the users, and cause the DOE IRM community to focus on the management of information itself.

OVERHEAD

In response to the Vision 21 document, the Idaho Operations Office observed that a more cohesive and coordinated approach was needed in matters regarding Information Resource Management. They further observed that the complex and diverse IRM requirements at the INEL dictated that we plan our efforts in a logical and efficient manner in order to provide, where feasible, mutually supporting services.

OVERHEAD

This was not an unreasonable observation. How many of you work at a site that has multiple contractors? How many are developing IRM programs which are similar but separate? The INEL is probably no different from many of you.

OVERHEAD

We are a multiprogram laboratory whose mission is "to develop, demonstrate, deploy, and transfer advanced engineering technology and systems to private industry to improve U.S. competitiveness and security, the efficient

| MANUSCRIPT | INSTRUCTOR NOTES |
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production and use of energy, and the quality of life and the environment worldwide."

The INEL covers 890 square miles of land about 60 miles west of Idaho Falls. In addition there are about 30 facilities located in the city of Idaho Falls. The INEL is the largest private employer in Idaho with approximately 12,000 employees.

Seven of the eight DOE contractors are located within INEL boundaries. These seven contractors are EG&G Idaho, Inc. Westinghouse Idaho Nuclear Company, Inc. (WINCO), Babcock & Wilcox, Inc. (B&W), Westinghouse Electric Corp. (WEC), Argonne National Laboratory-West (ANL-W), Protection Technology Idaho (PTI), and Morrison-Knudsen Ferguson of Idaho (MK-FIC). The eighth contractor, West Valley Nuclear Services (WVNS) is located in West Valley, New York. To further complicate matters the eight contractors are managed by the administration of three DOE operations offices: Idaho Operations Office, the Pittsburgh Naval Reactors Office, and the Chicago Operations Office.

Would this scenario not naturally lead to DIVERSITY at the INEL. Does DIVERSITY at the INEL lead to DIVERSITY in IRM?

As a first step to get our hands around the problem, the Idaho Operations Office asked each contractor management to send a Point of Contact to become part of an INEL Information Resource board. The initial duties of this board were defined to develop and implement policy recommendations regarding site-wide IRM matters to Doe-ID.

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Every contractor located on the INEL and West Valley (by audioconference) chose to participate and appointed a representative. The IRM Strategic Planning Group (ISPG) was launched.

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As our first order of business we turned our thoughts to an IRM Vision. How would we translate Vision 21 into an INEL IRM Vision and from there into Policy?
After several false starts we wrote the INEL IRM VISION:

> We will be recognized as proactive providers of the best IRM leadership and services in the Government with high quality, timely, and cost-effective information services responsive to customers' current and future requirements.

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Within that Vision we defined the following objectives:

**Institutionalization**

IRM will be recognized as a major contributor in achieving the Department's mission objectives and is functionally established throughout all Department Elements and the DOE contractor community.

**Customer Relations and Satisfaction**

The IRM function, by providing information management, leadership, and resources in a high quality, timely and cost-effective manner, is recognized as a respected partner by customers in the Departmental elements and contractors in the achievement of their diverse missions

**Regulations, Policy, and Standards**

The IRM function plays a major role in influencing the Federal Government's IRM regulatory environment. IRM internal policies and standards support IRM Vision 21.

**Technology**

A proactive IRM technological infrastructure is in place that efficiently and effectively fulfills the varied information requirements of the diverse DOE community.

Then we sat back and said "Ok" we have a Vision, now what? And just who are the players and how do you get them to play? You can have a Vision and you can write policy and even write plans, but how do they get implemented?

OVERHEAD

It became obvious that if we truly wanted to make a difference, the ISPG would have to become more than a high level policy board. Our mission was taking a subtle change. In order to clarify the change we decided to write a charter. Strangely enough, we did not feel compelled to get this charter signed at the "highest level". We were all appointed by our management to do a job and we felt empowered to just go do it. The charter simply became a guidance document that defined who we were, how we would operate, and what our responsibilities are.

OVERHEAD

We defined the purpose of the ISPG to define strategy, encourage its implementation, and foster cooperation and communication between organizations for achieving effective IRM at the INEL.

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Our responsibilities would include

identify a common vision for IRM activities,

develop IRM planning strategies for each identified IRM activity that would support the short and long range planning needed at the INEL,

establish, coordinate, and support strategic planning subgroups,

facilitate communication,

serve as a decision-making body providing near and long term direction,

evaluate and document progress to assure success of the INEL mission,

OVERHEAD

We also addressed basic housekeeping duties like

how and when to elect a chair and vice chair, and

if any ISPG participant was absent from three consecutive meetings it would result in a declared vacancy and a successor would be appointed

At this point the vision and objectives were written so we turned our attention to the IRM activity elements at the INEL that were included in our vision. These elements, which later became the subgroups, were: telecommunications, data administration, computer security, technology assessment, records management, hardware, and software.

In order to implement the vision we asked each ISPG representative to become a mentor for a subgroup. These subgroups would be responsible to write and implement the tactical document or plan.

These documents would reflect the overall vision, but gave more specifics about the individual tasks that would need to be done to reach the INEL IRM Vision. The documents were to have a standardized format that would include goals, strategies, objectives and milestones.

I became the mentor for the Records Management subgroup. I, like each mentor, was to develop a task team composed of

OVERHEAD

persons across contractor borders. We were also asked to include a DOE person on each group. This was an easy assignment for me because we had been meeting as a group for several years. Everyone was eager to be a part of this program.

We talked about the strategic objectives of the INEL IRM vision - institutionalization; customer relations and satisfaction; regulations, policy, and standards; and technology and related them to the critical areas of records management.

We finally decided that our tactical plan would address the following specific tasks:

- promotion, awareness, and training;
- a uniform file code;
- disaster recovery;
- special interest records (QA, Vital, Epidemiological);
- technology; and
- self assessment

As requested by the ISPG, we prepared a tactical document that addressed objectives and milestones for each of the areas.

Now the records management group faced the same question as the ISPG. How do we turn this document into something practical. We are a very small group of people (from 5 to 7) out of 12,000 employees. We also had other duties, like inventories and writing schedules. However, we are a dedicated group, and we do want to make a difference so we found a way.

OVERHEAD

First we prioritized the tasks. We decided which ones were the most important. Then someone volunteered to become the task group leader and put together a working group. Again each of the working groups was to be composed of persons across contractor borders. Although most of the members were IRM personnel, we encouraged the groups to reach beyond IRM for participation.

I am very pleased to be part of the records management subgroup. Of all of the ISPG subgroups we have been the most active. We have completed or nearly completed the following tasks:

- several site training programs
- a poster campaign about life cycle records

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management
- regular articles in the INEL News
- a Uniform File Code that is ready to pilot
- a Records Disaster Recovery Plan
- a draft Electronic Records guideline
- a pilot electronic records management software

The participation in, and the completion of, these tasks is not to be taken lightly. Remember that all of the participants work for different contractors and we are separated from each other by 60 miles. We had to juggle company interests, our workload and schedules for years. But as an INEL records management group we believe that we have moved in the right direction. We all understand and believe the INEL IRM Vision and we now have uniform document(s) and practices that standardize and enhance the way we do business.

OVERHEAD

As you can imagine by now, mentoring and working on all of the various working groups takes up the majority of time and effort by ISPG members. However, in addition we have also become responsible for other INEL IRM projects.

The ISPG board is now the working group for all planning documents for the INEL. These documents include the IRM Call, the Site Plan, the IRM Strategic Plan, the Five Year Plan, and the Implementation Plan. All of these are Headquarters or INEL Site documents. In the past IRM has played only a very minor part in these documents. We have just been a part of overhead or the cost of doing business. By becoming more actively involved in these planning documents we are able to promote the concept that information is a strategic enterprise asset.

OVERHEAD

As most of you know the INEL is moving toward a consolidated contractor, and as we prepare for that transition, our business is becoming somewhat more complicated. Almost any kind of information system that is developed will have site wide implications. The ISPG has become a kind of clearinghouse for these kinds of systems. Our mission has evolved again.

OVERHEAD

Over the past year we have been asked to develop and/or oversee and review programs like:
- Occupational Medical Program,
- the Hazardous Chemical Tracking system,
- a site wide training system,
- studies concerning the use of the CRAY (mainframe

used for scientific and engineering computing) and the IBM 3090 (mainframe providing classical business-oriented data processing).

**What are the lessons learned?**

Address implementation and funding issues early in the project:

Although we recognized that these were important issues we did not adequately address them. Some of our subgroups had enormous, expensive tasks ahead of them. For instance, telecommunications included networking. This has to be in place to allow the transparent exchange of information across all those miles of desert. It's expensive, the technology seems to change daily, and it takes time. But without it, the data administration, software, hardware, etc. cannot operate efficiently.

The records management group wanted to implement Versatile - but who would pay for it. Which contractor, if any, could pick up the cost? Or, on a smaller scale who could pay for the graphics for the posters and how would the printing costs be divided? Or even - do you have a charge number for your working group members because some contractors would not release their personnel to work on a project unless they had one. So did you get the best people or just the cheapest?

Address hierarchy, maintenance and distribution of documents

When you are working across contractor lines, how do you sign off, print and distribute documents? Each company has their own system. Who would be responsible to keep them up? Where do they belong?

Be prepared for high level philosophy change and learn to be flexible

Just about the time many of our subgroups had written and prepared document deliverables our Idaho Operations Office was reorganized. In the past if they signed off on a document, it became the "rule" or "requirement" for implementation. This is no longer an accepted practice.

The direction today is that there are probably too many rules. We are no longer working from the podium of "have to requirements" but from the podium of "want to guidelines".

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The ISPG subgroups are reworking their documents to become Guidelines. They will probably be published and offered for distribution through a very informal process.

Get more program involvement

Although the ISPG preached from the beginning that we needed to get into the customer base, it is difficult to do. Quite often they are interested only in their programs and what they want/need. Wants and needs are not clearly defined.

Without a real push for education at all levels of program management they simply cannot understand why information resources is not just part of the overhead of doing business. In their mind, if they need to use Internet, they should just be able to type words on a computer and get it. The complexities of the network and the software is not something they want to deal with.

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Be more aggressive and take advantage of the position

We have never realized how much potential and influence the ISPG has. I believe that we could have made more catastrophic changes if we had not proceeded so cautiously. If you are given a ball, do not be afraid to run with it.

**What are the benefits from the ISPG and the subgroups. Partnerships - Partnerships - Partnerships**

IRM Integrated approach

We have truly begun to build this approach at the INEL. We have identified the partners in IRM and place true value on their existence. We have become more flexible and have the ability to work with the other partners to determine the best possible means of providing information throughout the INEL.

Ability to work in a team environment

This is crucial to the success of information systems. It has required a working knowledge of all the elements. We have learned to value each element or partner for what they are themselves and how we all interlink with one another. For instance, I don't have to tell you the value of records management practices by itself, and now at the INEL

everyone is beginning to understand how records management is interdependent with software, data administrations, computer security, etc. Although they can stand alone, they are very powerful when linked with one another.

Upgrading of skills and constant education

Each of the mentors had a different background and we got to know each others strengths and weaknesses. Everyone is more than willing to explain just what you need to know in terms that you can understand. I have certainly become more technologically sound. I don't know the intricate details but I do have a much better knowledge of what is needed to get the work done.

Increased cooperation and communication

Although there is still competition between companies and between people, we no longer work from tunnel vision. All working groups have a cross section of contractor personnel and they want to share and communicate their ideas.

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The Idaho Operations Office has written our CPAF criteria that basically says "Support the ISPG". This has given those of us in IRM the visibility that we need with senior management. Money talks.

IRM personnel are now being recognized as professional, knowledgeable employees. We are being approached by all kinds of program offices for input as they put their projects together.

We are facing some major changes at DOE. Vision 21 is being replaced, but we believe the concept that information is an asset and needs to be managed will stand the test of time.

We are also facing major changes at the INEL. The ISPG does not know what the future is for our body, nor do we even know what the future of IRM will be. We are confident, however, that over the last several years, we have made a significant contribution to business. We have raised the awareness of IRM across the INEL and we have educated ourselves. We have proven that teamwork is effective and we look forward to an exciting future.

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that would support the short and long range planning needed at the INEL,

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- how and when to elect a chair and vice chair, and
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Now we turned our attention to defining and naming the IRM activity elements. These elements, which became the partners or subgroups, were: telecommunications, data administration, computer security, technology assessment, records management, hardware, and software.

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First, we prioritized the tasks. We decided which ones were the most important. Then someone volunteered to become the task group leader and put together a working group. Again each of the working groups was to be composed

of persons across contractor borders. Although most of the members were IRM personnel, we encouraged the groups to reach beyond IRM for participation.

I am very pleased to be part of the records management subgroup. Of all of the ISPG subgroups we have been the most active. We have completed or nearly completed the following tasks:

- several site training programs
- a poster campaign about life cycle records management
- regular articles in the INEL News
- a Uniform File code that is ready for a pilot
- a Records Disaster Recovery Plan
- an Electronic Records guideline
- the pilot phase of an electronic records management software (Versatile)

The participation in, and the completion of, these tasks is not to be taken lightly. Remember that all of the participants work for different contractors and we are separated from each other by 60 miles. We had to juggle company interests, our workload and schedules for years. But as an INEL records management group we believe that we have moved in the right direction. We all understand and believe the INEL IRM Vision and we now have uniform document(s) and practices that standardize and enhance the way we do business.

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Over the past year we have been asked to develop and/or oversee and review programs like:

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- studies concerning the use of the CRAY (our mainframe used for scientific and engineering computing) and the IBM 3090 (our mainframe that provides classical business oriented data processing).

**WHAT ARE THE LESSONS LEARNED**

Address implementation and funding issues early in the project:

Although we recognized that these were important issues we did not adequately address them. Some of our subgroups had enormous, expensive tasks ahead of them. For instance, telecommunications included networking. This infrastructure has to be in place to allow the

transparent exchange of information across all those miles of desert. It's expensive, the technology seems to change daily, and it takes time.

But without the network, the data administration, software, hardware, and indeed records management subgroups cannot operate efficiently.

On a small scale the records management group wanted to implement Versatile - but who would pay for it. Which contractor, if any would pick up the cost.

Or on an even smaller scale who would pay for the graphics for the poster campaign and how would the printing costs be assessed?

Or even this question that we were asked repeatedly - do you have a charge number for your subgroups because some of the contractor personnel could not work on the project unless they had one. So did we always get the best people, or just the inexpensive ones?

Address hierarchy, maintenance and distribution of INEL documents.

When you are working across contractor lines, how do you review and sign off, print and distribute documents? Each company had their own system. Who would be responsible to keep them up? Where do they belong?

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**What are the benefits from the ISPG and the subgroups.**

**PARTNERSHIPS - PARTNERSHIPS - PARTNERSHIPS - PARTNERSHIPS**

IRM Integrated approach

We have truly begun to build this approach at the INEL. We have identified the partners in IRM and place true value on their existence. We have become more flexible and have the ability to work with the other partners to determine the best possible means of providing information throughout the INEL.

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For instance, I don't have to tell you the value of records management by itself, and now at the INEL everyone is beginning to understand how records management is interdependent with software, data administration, computer security, etc. although we can stand alone, we are very powerful when linked with one another.

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Each of the mentors had a different background and we got to know each others strengths and weaknesses. Everyone is more than willing to explain just what you need to know in terms that you can understand. I know that I have certainly become more technologically sound. I don't always know the intricate details but I do have much better knowledge of what is needed to get the work done.

Increased cooperation and communication

Although there is still competition between companies and between people, we no longer work from tunnel vision. All working groups have a cross section of contractor personnel and they want to share and communicate their ideas.

Recognition and Reward

The Idaho Operations Office has written our CPAF criteria that basically says "Support the ISPG". This has given those of us in IRM the visibility that we need with senior management. Money talks.

IRM personnel are now being recognized as professional, knowledgeable employees that contribute to the bottom line. Projects and program offices are beginning to seek us out as they begin their tasks. They are beginning to trust our judgement, our advice, and our work.

We are facing some major changes at the Department of Energy. Vision 21 is being replaced, but we believe the concept that information is an asset and needs to be managed will stand the test of time.

We are also facing major changes at the INEL. The ISPG does not know what the future is for our body, nor do we even know what the future of IRM will be.

We are confident, however, that over the last several years, we have made a significant contribution to business. We have raised the awareness of IRM across the INEL and we have educated ourselves. We have proven that teamwork is effective and we are looking forward to an exciting future.

# MANAGING TRAINING RECORDS

**James Byrd**
**OAK RIDGE Y-12 PLANT**

James Byrd

James is the Manager of the Oak Ridge Y-12 Plant Training Department. He graduated from Memphis State University with a bachelors degree in Mechanical Engineering. He has been involved with various aspects of training and quality improvement for the past 9 years.

# MANAGING TRAINING RECORDS

JAMES BYRD
MARTIN MARIETTA ENERGY SYSTEMS, INC.
Y-12 PLANT TRAINING DEPARTMENT
OAK RIDGE, TENNESSEE

JUNE 1994

THE TRAINING AIN'T FINISHED UNTIL THE PAPERWORK IS DONE.

# WHAT WILL BE DISCUSSED IN THIS PRESENTATION?

- Training records at the Y-12 Plant
- Why changes were needed
- Establishment of the Y-12 Training Records Center
- Lessons Learned

# THE BASICS:

- What is a training record?
- What are the requirements?
- Why establish a clear set of objectives and standards first?
- Centralized or decentralized training records management?

# WHAT IS A TRAINING RECORD?

- Individual Training Record - Documentation of an individual's training participation and performance, and his/her qualification/certification status.

- Program Record - Documentation of training program content.

# TRAINING RECORDS HAVE DIFFERENT LEVELS OF VALUE

| VALUE | RECORD TYPE |
|---|---|
| HIGH | QUALIFICATION/CERTIFICATION |
| | COMPLIANCE/REGULATORY |
| | PROFESSIONAL DEVELOPMENT |
| LOW | HUMAN RESOURCE DEVELOPMENT |
| | NICE TO KNOW INFORMATION |

# EXAMPLES OF TRAINING RECORDS

| *INDIVIDUAL* | *PROGRAM* |
|---|---|
| Written Examinations | Lesson Plans |
| Attendance Rosters | Course Training Materials |
| Training and Qualification Requirements | Performance Standards |
| OJT Checklists | Development Data |
| Performance Checklists | Examinations |
| Operational Evaluations | Test Banks |
| Certification Documents | Evaluations |
| Certificates of Completion | Training and Qualification Requirements |
| Licenses | Documentation on Establishment and Administration of Course |

# THE TRAINING RECORD FOLDER SHOULD BE ARRANGED TO FACILITATE FILING AND AUDITS

| TAB | FILE GROUP |
|---|---|
| 1 | COVER SHEET |
| 2 | TRAINING REQUIREMENTS |
| 3 | MEDICAL INFORMATION |
| 4 | WORK/EDUCATION HISTORY |
| 5 | REQUIRED TRAINING |
| 6 | GENERAL TRAINING |
| 7 | WAIVER/EXCEPTIONS |
| 8 | CERTIFICATION DOCUMENTS |

# THE ARRANGEMENT OF THE INDIVIDUAL'S TRAINING RECORD FOLDER CAN BE CONFUSING

| TAB | FILE GROUP |
|---|---|
| 1 | COVER SHEET |
| 2 | TRAINING REQUIREMENTS |
| 3 | MEDICAL INFORMATION |
| 4 | WORK/EDUCATION HISTORY |
| 5 | COMPLIANCE TRAINING |
| 6 | PDCS |
| 7 | QUALIFICATION TRAINING |
| 8 | PROFESSIONAL DEVELOPMENT |
| 9 | COMMUNICATION/INFO SESSIONS |
| 10 | CERTIFICATES |
| 11 | WAIVER/EXCEPTIONS |

## The Requirements:

DOE Order:

| | |
|---|---|
| 1324.5A | *Records Management Program* |
| 1324.3 | *Files Management* |
| 1324.2A | *Records Disposition* |
| 1800.1A | *Privacy Act* |
| 5480.20 | *Personnel Selection, Qualification, Training and Staffing Requirements for DOE Reactor and Non-Reactor Nuclear Facilities* |
| 5480.19 | *Conduct of Operations Requirements for DOE Facilities* |
| 5480.18A | *Accreditation of Performance-Based Training for Category A Reactors and Nuclear Facilities* |
| 5700.6C | *Quality Assurance* |
| 1324.6 | *Automated Office Electronic Record Keeping* |
| 1324.8 | *Rights and Interests Records Protection Program* |
| 5480.7 | *Fire Protection* |

DOE Order 5480.20 *Personnel Selection, Qualification, Training and Staffing Requirements for DOE Reactor and Non-Reactor Nuclear Facilities* contains the most specific requirements for training records.

I.16 Record Requirements - Contractors shall develop and implement administrative procedures that specify requirements for the maintenance of training, qualification, and certification records for operating organization personnel.

The order goes on to specify specific line-by-line requirements...

DOE Order 5480.20 states in I.16.a, "Qualification and certification of personnel shall be documented in an easily auditable format. Individual record documentation shall include:

- Education, experience, and employment history
- Most recent health evaluation summary
- Latest completed checklists, graded written exams, and operational evaluations used for qualification/certification
- Exceptions to training requirements and extensions of qualification/certification
- Lists of questions asked and examiner's overall evaluation of the operator/supervisor's responses on oral examinations
- Records of qualification for one-time-only special tests or operations
- Attendance records for required training courses or sessions

DOE Order 5480.20 requires in I.16.b,:

- A historical record that documents initial qualification and certification and the most recent qualification and certification shall be retained in individual records

- Superseded information shall be handled in accordance to DOE 1324.2A Records Disposition

# WHY ESTABLISH A CLEAR SET OF RECORD MANAGEMENT OBJECTIVES AND RECORD STANDARDS FIRST?

- To avoid a rock pile
- Consider excerpts from *Alice in Wonderland*

Alice asked, "Chesire-Puss...Would you tell me, please, which way I ought to go from here?" "That depends a good deal on where you want to get to," said the Cat.

-- *Alice's Adventures in Wonderland*
Lewis Carroll

The Chesire Cat says to Alice, "If you don't know where you're going, then any road will take you there."

## TRAINING RECORDS ARE EXTREMELY ACTIVE, DYNAMIC, AND TEND TO GROW EXPONENTIALLY IN VOLUME.

A clear set of record management objectives and record standards will:

- Ensure proper documentation and consistency
- Minimize paperwork and record keeping burden
- Minimize cost and maximize usefulness
- Help to make audits go more smoothly

# Centralized versus Decentralized Management of Training Records

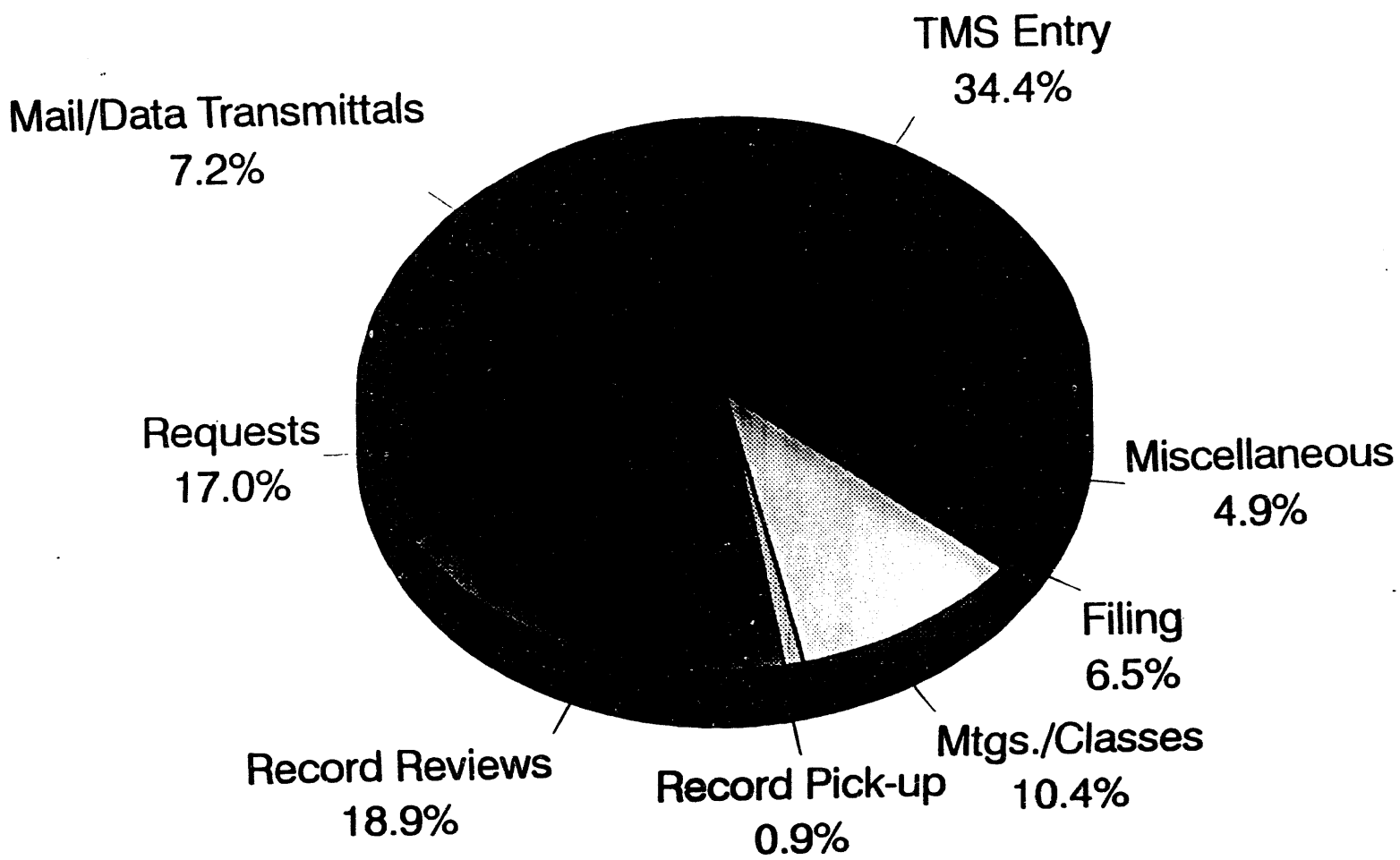
| | CENTRALIZED APPROACH | DECENTRALIZED APPROACH |
|---|---|---|
| | Consistent record quality | |
| | One location | |
| PROS | Easy to audit | Close to line organizations |
| | Control and Security | |
| | Efficiency | |
| | Close to record generators | |
| | Overhead costs | Overhead costs |
| CONS | Remotely located from line organizations | Inconsistent record quality and record keeping practices |
| | Ergonomic issues | Hard to audit/multiple locations |
| | Staff burnout | Lack of control |
| | | Remotely located for a record generator |

# TRAINING RECORDS MANAGEMENT AT THE Y-12 PLANT

| | |
|---|---|
| | Centralized approach - established Training Record Center in fall 1993 |
| NOW | Maintain files and data entry for all Y-12 employee training records |
| | Program files managed by training program group |
| | Decentralized approach prior to fall 1993 |
| THEN | Employee training files and program files located in numerous locations |
| | Inconsistent record keeping |

# Training Records Center

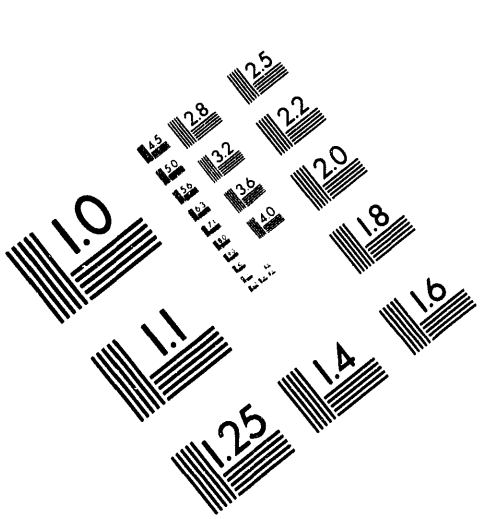
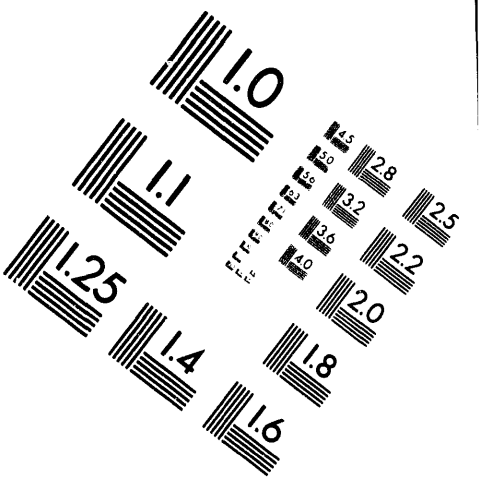
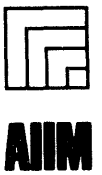
## Weekly Activities



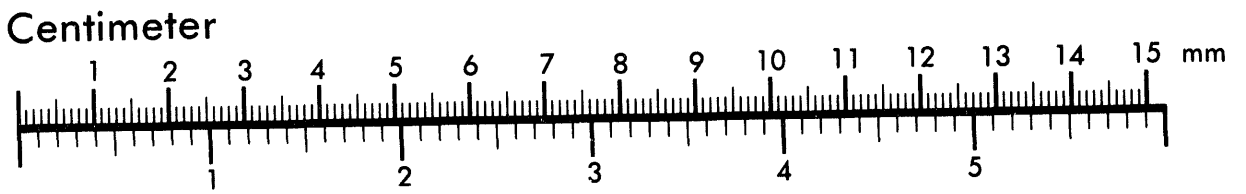
# RECORDS CENTER ACTIVITY

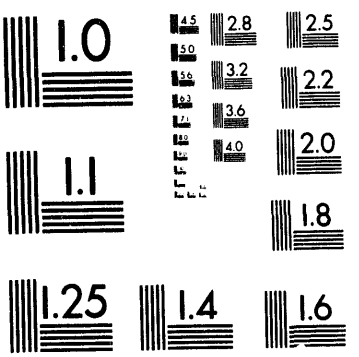
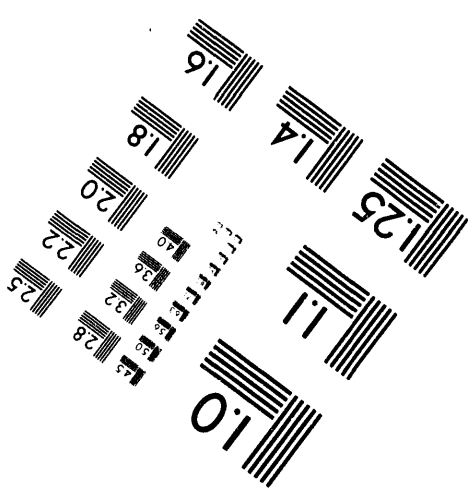
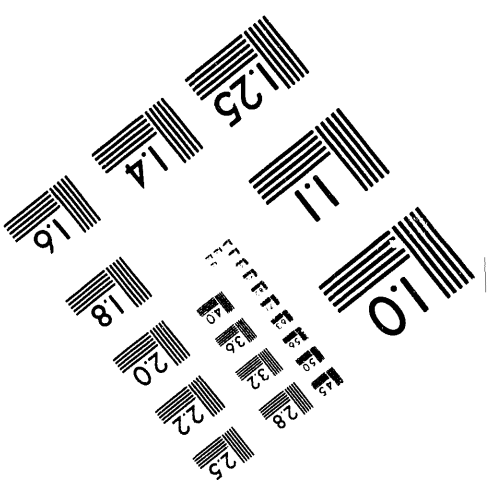
- APPROXIMATELY *5500* TMS POSTINGS PER MONTH

- APPROXIMATELY *5 CU. FT.* OF DOUMENTS FILED PER MONTH

**Association for Information and Image Management**
1100 Wayne Avenue, Suite 1100
Silver Spring, Maryland 20910
301/587-8202



MANUFACTURED TO AIIM STANDARDS
BY APPLIED IMAGE, INC.

6 of 10

# THREE SYSTEMS SUPPORT THE TRAINING RECORDS CENTER

| HARDCOPY | ELECTRONIC | OPTICAL DISK STORAGE |
|---|---|---|
| Audit System | Training Management System | Backup/ Duplicate |
| Legal Documentation | Scheduling | Storage System |
| Verification | Registration | |
| | Records | |
| | Reporting | |
| | Costing | |

# DISPOSITION OF TRAINING RECORDS

# LESSONS LEARNED

# RECORDS MANAGEMENT AND ENVIRONMENTAL EXPERTS, SIDE BY SIDE

Mary Campau
WESTINGHOUSE HANFORD COMPANY

Mary Compau

Mary is the Hanford site project manager for the Records Scheduling Initiative. As the Records Scheduling project manager, Mary coordinates and oversees the efforts of a Hanford-wide task team represented by each of the four Hanford contractors. She is also the primary point-of-contact for Hanford for all records scheduling issues within the Department of Energy. Mary attended Columbia Basin College and Central Washington University. Mary is employed by Westinghouse Hanford Company and has been at Hanford for over 10 years.

WHC-SA-2279-VA

# Records Management and Environmental Experts: Side by Side

Prepared for the U.S. Department of Energy
Office of Environmental Restoration and
Waste Management

Westinghouse
Hanford Company Richland, Washington

Hanford Operations and Engineering Contractor for the
U.S. Department of Energy under Contract DE-AC06-87RL10930

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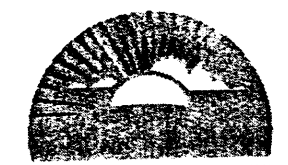
DISCLM-2.CHP (1-91)

# Records Management and Environmental Experts: Side by Side

**Presented by**

**Mary E. Compau**

**Westinghouse Hanford Company**



# In the Beginning . . .

- U.S. Department of Energy (DOE), Richland Operations Office (RL) Environmental Lead
- Scoping Group Formed

# Environmental Records Working Group

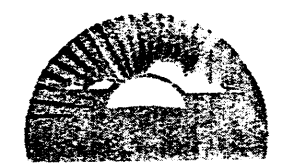
- Contractor Representatives
  - Records management specialists
  - Environmental technical experts



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# Records Management Roles

- Knowledge of Background
  - Requirements
  - Scope
  - Issues
- Familiar with Goals and Objectives



# Environmental Experts' Roles

- Knowledge of Regulations and Laws
- Provide Technical Input
- Translate
- Review Characterizations
- Review Schedules

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# Phase I

- Define Environmental Information
- Define Waste Management Information
- Environmental vs. Waste Management

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**Environmental Information** All information related to the status of, or impacts on the environment. *{in vi•ern ment•el 'in•fer'ma•shen}*

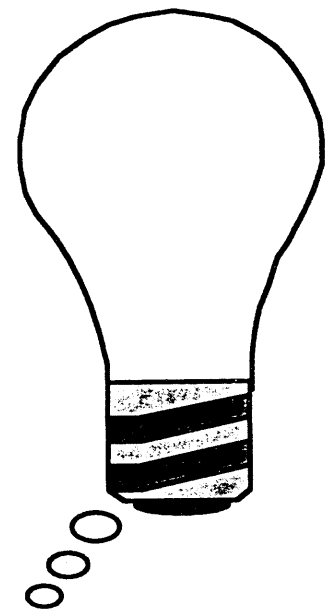


# Waste Management Information Information pertaining to the characterization or management of waste. *{'wast 'man•ij•ment 'in•fer'ma•shen}*



# Brainstorm

- Facilitated Brainstorm Discussion
  - Focus
  - Key ideas
  - Considered all suggestions
- "Marriage" Between Two Sides
- Identified Environmental Categories



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# Environmental Categories

- Waste Management
- Environmental Restoration
- Environmental Monitoring
- Regulatory Permitting



# Environmental Categories (cont)

- Environmental Oversight
- Technology Development & Adaptation
- Reporting Releases to the Environment
- Administration

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# Phase I - Results

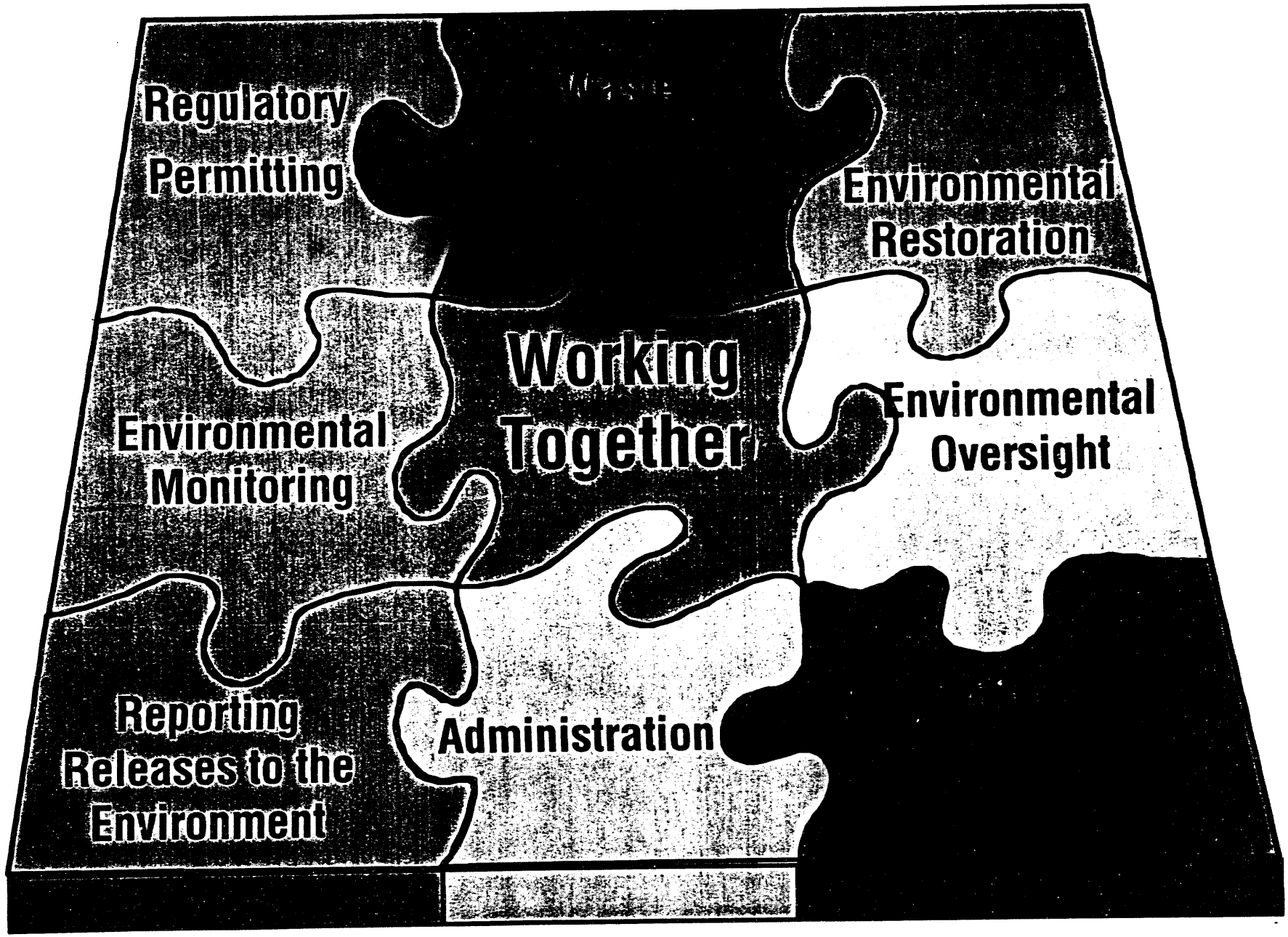
- Responsibility Shift to DOE-HQ
- Preliminary Outline Sent to DOE-HQ
- Issued by DOE-HQ to Field

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# Phase II

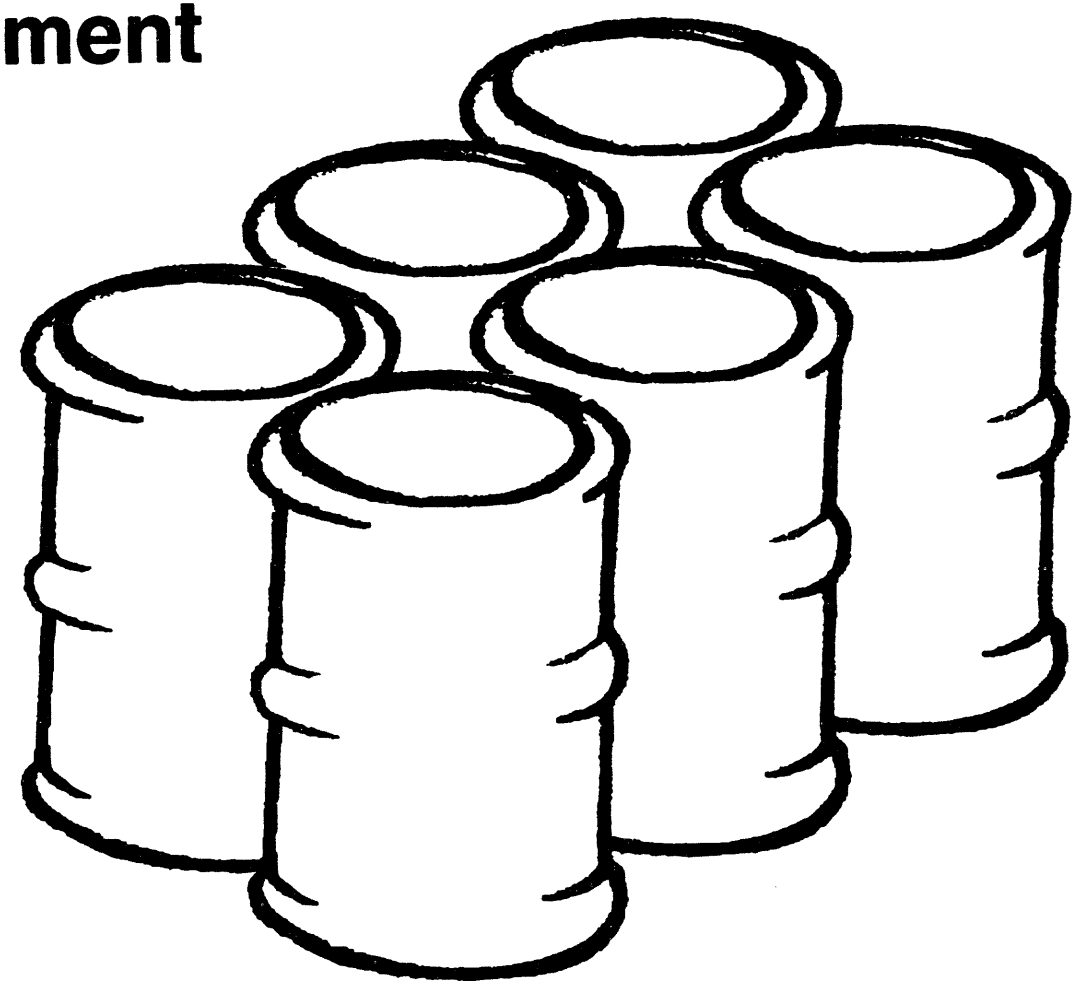
- Determine Phase II Scope
  - Expand each category
  - "User friendly" information
- Discuss Group's Objectives
  - Develop nonspecific guideline
  - Long-term role as reviewers of draft schedules

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Regulatory
Permitting
Environmental
Restoration
Working
Together
Environmental
Monitoring
Environmental
Oversight
Reporting
Releases to the
Environment
Administration

# Waste Management

- Generation
- Transportation
- Treatment
- Disposal



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# Environmental Restoration

- Remedial and Corrective Actions
- Decontamination and Decommissioning (D&D) of Facilities
- Surveillance and Maintenance of Facilities
- Treatment, Storage, or Disposal (TSD) Units
- Program Management and Support

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# Environmental Monitoring

- Monitoring Environmental Media
- Monitoring Activities Near Facilities
- Environmental Surveillance



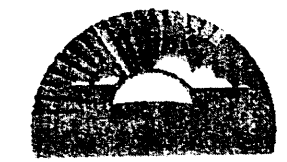
# Regulatory Permitting

- Treatment, Storage, and Disposal (TSD) of Resource Conservation and Recovery Act of 1976 (RCRA)/Dangerous Waste
- Water Discharges
- Solid Waste Handling (Solid Waste Landfill Permitting)
- Permitting Configuration Control (Permit Modification)

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# Environmental Oversight

- Environmental Training
- Appraisals, Self Assessments, Inspections
- Air Emissions
- Environmental Audits
- Independent Review Group (IRG) Evaluations
- Document and Readiness Reviews
- Operational Environmental Monitoring



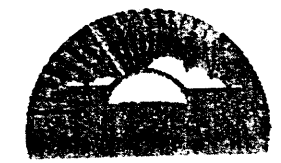
# Technology Development & Adaptation

- Development and Testing Processes
- Review and Analysis of Technologies from Outside Sources
- Technology Adaptation
- Technology Support

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# Reporting Releases to the Environment

- Spills and Releases
- Chemical Inventories
- Annual Reports to the Regulators



# Administration

- Planning
- Budgeting
- Management Control
- National Environmental Policy Act of 1969 (NEPA) Documentation
- Regulatory Guidance
- Community Relations

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# Value Added

- Enhanced Relationships
- Bridging the Gap
- Shared and Expanded Knowledge
- Continuing Resource
- Gained Credibility
- "A Guide for Inventorying and Scheduling Hanford Site Environmental Records"



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# RECORDS MANAGEMENT TRAINING AT PANTEX PLANT

**Donna Heard Rose**
**PANTEX PLANT**

Donna Heard Rose

Donna has 19 years experience in Information and Records Management, eighteen of which have been spent as department head and consultant. Her experience has included the design and implementation of records systems, micrographics source document filming, COR, CAR, Forms Management, Vital Records, Records Retention, Library Services and relational database systems that covered the life cycle concept of information. Donna has a BA from Southeastern Oklahoma State University and is also a CRM candidate.

# RECORDS MANAGEMENT TRAINING AT

# PANTEX PLANT



"Personnel who participate in managing, designing, developing, operating, or maintaining records systems are trained to a level commensurate with the records management activity performed."

*DOE Order 1324.5A*



# Two levels of Records Management Training

* Analyst Training

* Records Organization (RO/URC0)



## Analyst Training Goals

* Overview of RM programs & technology
* Certification
* Easy grading
* Facilitate independent thinking



# Analyst Training

## Association of Records Managers and Administrator (ARMA)'s

## "Introduction to Records and Information Management" (Home Study Course)



# Analyst Training

*Records Management Systems*
*Staffing*
*Inventory & Analysis*
*Retention & Legal Considerations*
*Active & Inactive Records Management*
*Indexing Rules & Classification Systems*
*Manual Records Storage & Retrieval*
*Image Technology*
*Vital Records*
*Archives Management*
*Correspondence, Directive & Copy Management*
*Forms & Reports Management*
*Computer-Based Records Management Systems*
*Records Control - Audits and Reports*
*Records Security*
*Reports Disaster Prevention & Recovery*
*Records Management Manual*



## Analyst Training Program

- ✓ Overview of RM programs & technology
- ✓ Certificate upon completion
- ✓ Grading performed by ARMA Headquarters staff
- ✓ Independent thinking promoted by use of case studies



## Two levels of Records Management Training

✓ Analyst Training

* Records Organization (RO/URCO)



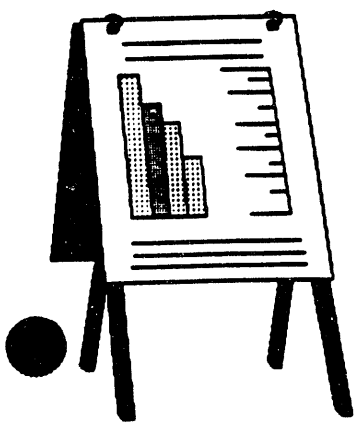
# Pantex Records Management Manual

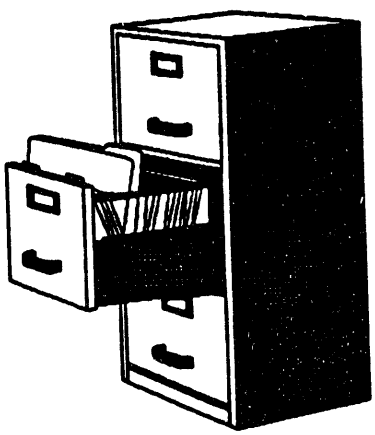
* Documentation of Pantex Records Management Program

  ✓ One stop reference on responsibilities
  ✓ One stop reference on program elements
  ✓ One stop reference on retention schedules
  ✓ One stop reference on records terminology
  ✓ One stop reference on records management forms

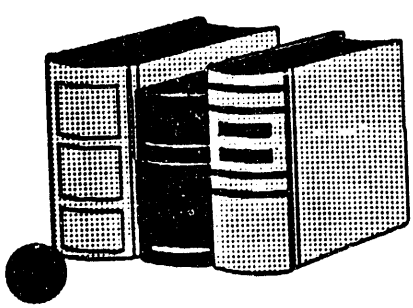
PANTEX
PURSUIT OF EXCELLENCE

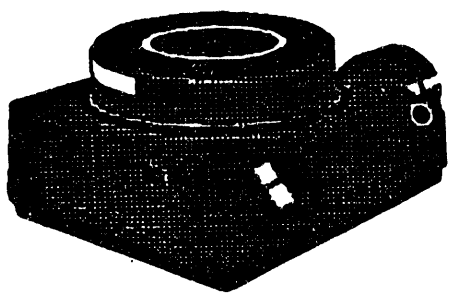
# PANTEX PLANT RECORDS MANAGEMENT MANUAL











MNL-RM0001
3/94

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11.3 DOE Form 1324.10, "Records Inventory and Disposition Schedule (RIDS)" *

11.4 PX-422, "Record Transfer and Control Document" *

11.5 PX-422B, "Notice of Records To Be Destroyed"

11.6 PX-925, "Classified Document Receipt" (Information copy only - 4 part form)

11.7 PX-2436, "Records Storage Retrieval Request"

11.8 PX-2288, "Vital Records Data Form" *

11.9 SF-115, "Request for Record Disposition Authority"

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* These forms are available in WordPerfect format.

# RO/URC Training:

* Classroom
  - ✓ Lecture

* Simulation for
  - ✓ Records Series Identification
  - ✓ Records scheduling
  - ✓ Record of Holding
  - ✓ Records Transfer & Control
  - ✓ Vital Records Identification

PANTEX
PURSUIT OF EXCELLENCE

# Records Officer (RO)
# Unit Records Custodian (URC)
# Training Goals

- Basic Concepts of RM
- Preparation of RIDS
- Transferring Inactive Records to the Records Center
- Vital Records Program

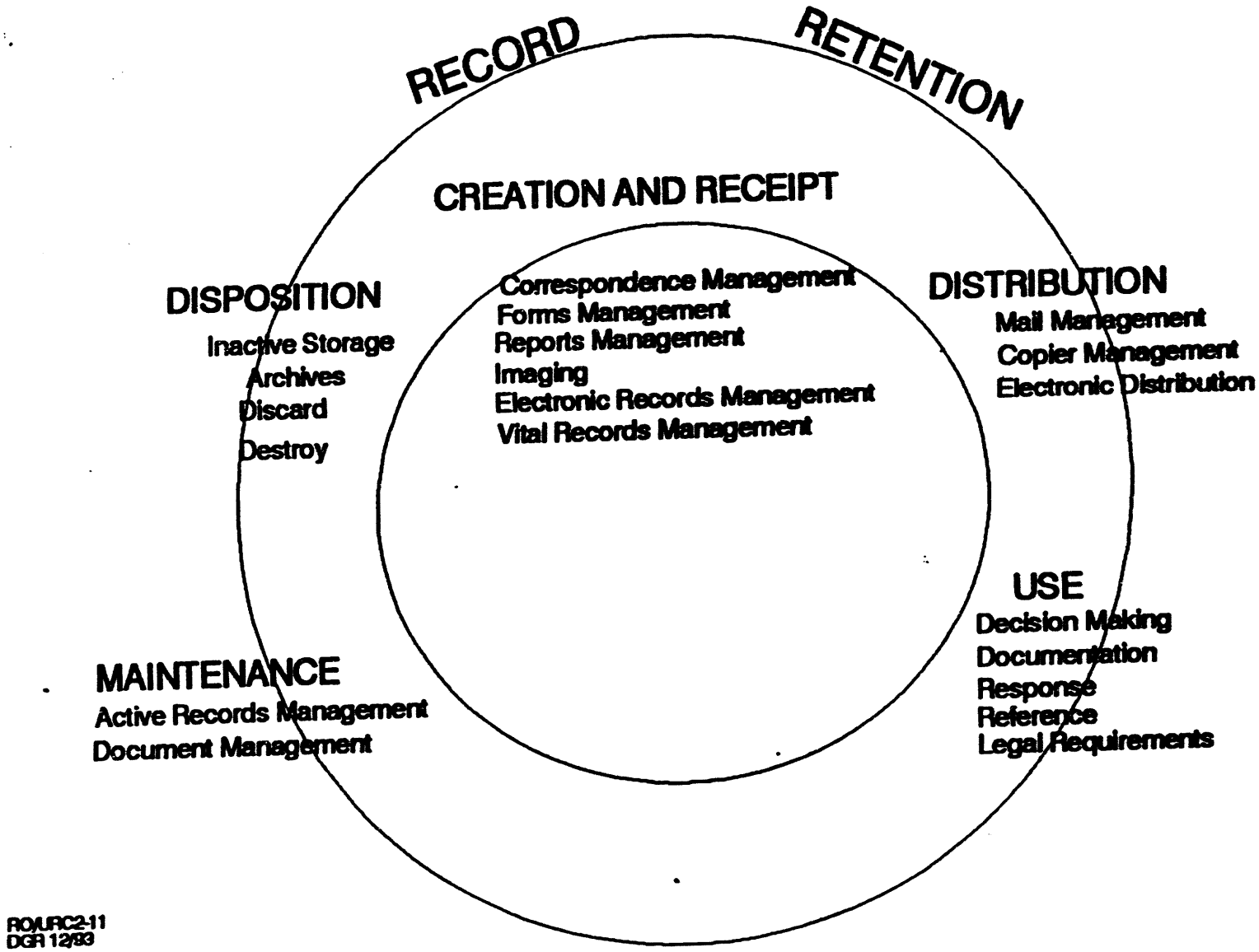


# RO/URC Training Class

- **Basic Concepts of RM (Module 1 & 2)**
  - ✓ History of NARA
  - ✓ Record vs Non-record
  - ✓ Life Cycle Concept
  - ✓ Life Cycle Programs
  - ✓ Record Series



# RECORDS RETENTION COVERS THE LIFE CYCLE OF A RECORD




RO\URC2-11
DGR 12/93

## Group Exercise - Module 2

## Buried Alive

1. As a group, define employee attitudes that created the following problems at GFX Corporation and identify why these attitudes may have existed:

   A. Company documents store in Charlie's Garage.

   B. Destruction of documentation ".... before we're in the soup".

   C. Gaps in the Records

   D. "Just in case" - save it.

   E. Quality assurance purging or sanitization of records

   F. Stop button procedure for destruction didn't work

2. Explain in general terms why the retention program failed.

**Record your reasons on the flip chart sheet provided**

**Choose someone to speak for your group**

# RO/URC Training Class

- **Preparation of RIDS (Module 3 & 4)**

  ✓ Research of Records Series Disposition

  ✓ Using the GRS

  ✓ Using the DOERS (1324.2A)

  ✓ Epidemiology Records

  ✓ Unscheduled Records

  ✓ Transfer Instruction

PANTEX
PURSUIT OF EXCELLENCE

# RIDS Exercise
## Lesson 3

Your company is an M&O Contractor for the Department of Energy. You have just completed the inventory for the annual RIDS; the list is attached. All entries on the inventory are records for the company.

Use Section 7 (Department of Energy Order 1324.2A "Records Disposition") and Section 8 ( National Archives and Records Administration "General Records Schedules) of the Records Management Manual to complete this exercise.

For each record series:

Research the Disposition Authority write the authority (GRS or DOERS) and citation in block 8 of the RIDS form.

Write the disposition instruction in block 9 of the RIDS form.

(05-90)
EFG (05-90)
(All other copies are obsolete)

# U.S. DEPARTMENT OF ENERGY
# RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS)

OMB CONTROL NO. 1910-1700

[ ] DOE
[X] Contractor

Page 1 of ____

Public reporting burden for this collection of information is estimated to average 1 1/2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, AD-241.2-GTN, Paperwork Reduction Project (1910-1700), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1700), Washington, DC 20503.

| 3a. Organizational Unit (Creating or Custodial Unit) | 3b. Routing Symbol | 3c. Bldg & Rm No. | 4. Date |
|---|---|---|---|
| ADMINISTRATIVE SERVICES\Anyone's guess | 699 | 12-X | |

5. Signatures (of appropriate personnel)

Prepared by _____ Records Liaison Officer _____ Date _____

Approved by _____ Records Officer Approval _____ Date _____

| 6. Item No. | 7. Filing Series Title, Description, and Location of File, and Inclusive Dates | 8. Disposition Authority | 9. Authorized Disposition Instructions | 10. Transfer Instructions |
|---|---|---|---|---|
| 1 | Personnel Folders by active alpha 1940-current | | | |
| 2 | Time and Attendance by payroll date 1/93-12/93 | | | |
| 3 | Time and Attendance by payroll date 1/94-current | | | |
| 4 | Equipment History by inventory number 1940-current | | | |
| 5 | Car/Truck Maintenance Records by vehicle number 1/86-current year | | | |
| 6 | Records Holding - Pantex Plant - by year 1986-1993 | | | |
| 7 | Input sheet for inventory control by batch number 1/93-current | | | |
| 8 | Videos Time Management Training by company none | | | |
| | | | | |

# RO/URC Training Class

- **Preparation of Report of Records Holding (Module 4)**

  ✓ Completion of the form

  ✓ How to measure volumes

  ✓ How reorganization effects this report

  ✓ Destruction volumes

PANTEX
PURSUIT OF EXCELLENCE

# RO/URC Training Class

- **Transferring Inactive Records to the Records Center (Module 5)**

  ✓ How RIDS help with Inactive Records Transfer

  ✓ Completion of transfer forms

  ✓ Identification of Epidemiology records

  ✓ Records Retrieval

  ✓ Records Destruction

PANTEX PURSUIT OF EXCELLENCE

# "KEYS TO POWER"

* Research retention periods in the GRS and the DOERS.

* Evaluate the records volumes; large volume records are possible transfer items.

* If the retention period is longer than five years, the records are possible transfer items.

* If the record series match the criteria in 2 & 3, the records should be transferred.

## Exercise Lesson 5

### PX-422 "Records Transfer & Control Document"

You have just completed making the RIDS for 1993; and noticed there are documents that need to be destroyed or transferred to storage.

Each years records series listed on the RIDS is one box of records.

Write your recommended action beside the corresponding numbers listed below.

Complete a PX-422 for records series to be transferred to the inactive records center.

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

# RO/URC Training Class

- **Vital Records Program (Module 6)**

  ✓ Rights & Interests Records

  ✓ Emergency Operating Records

  ✓ Identification of Vital Records

  ✓ Scheduling and Rotation of Vital Records

PANTEX
PURSUIT OF EXCELLENCE

PX-2288
10/93

# VITAL RECORDS DATA FORM

| Title of Record: | Date 10/26/93 |
|---|---|

| Classification _____<br>Record Location _____ | Replacement Frequency | Organization accountable for Record: _____ |
|---|---|---|

Record Format: ___ Paper ___ Microfilm ___ Microfiche
___ Aperture Card ___ Diskette ___ Other

Description of Record

Vital Record Type:

_____Emergency Operating (DOE 5500.7B) _____ Rights & Interests (DOE 1324.8)

| ___ Record to be included in Vital Records Inventory<br>___ Record to be deleted from Vital Records Inventory | Justification: (List DOE Order, Standard, CFR citations, etc.) |
|---|---|

Submitted by:

Department _____

Dept. Number _____

Submitter's Name _____

Manager's Name _____

DO NOT WRITE BELOW THIS LINE

Evaluation & Recommendations: (To be completed by Records Management and Emergency Management)

Storage Location _____

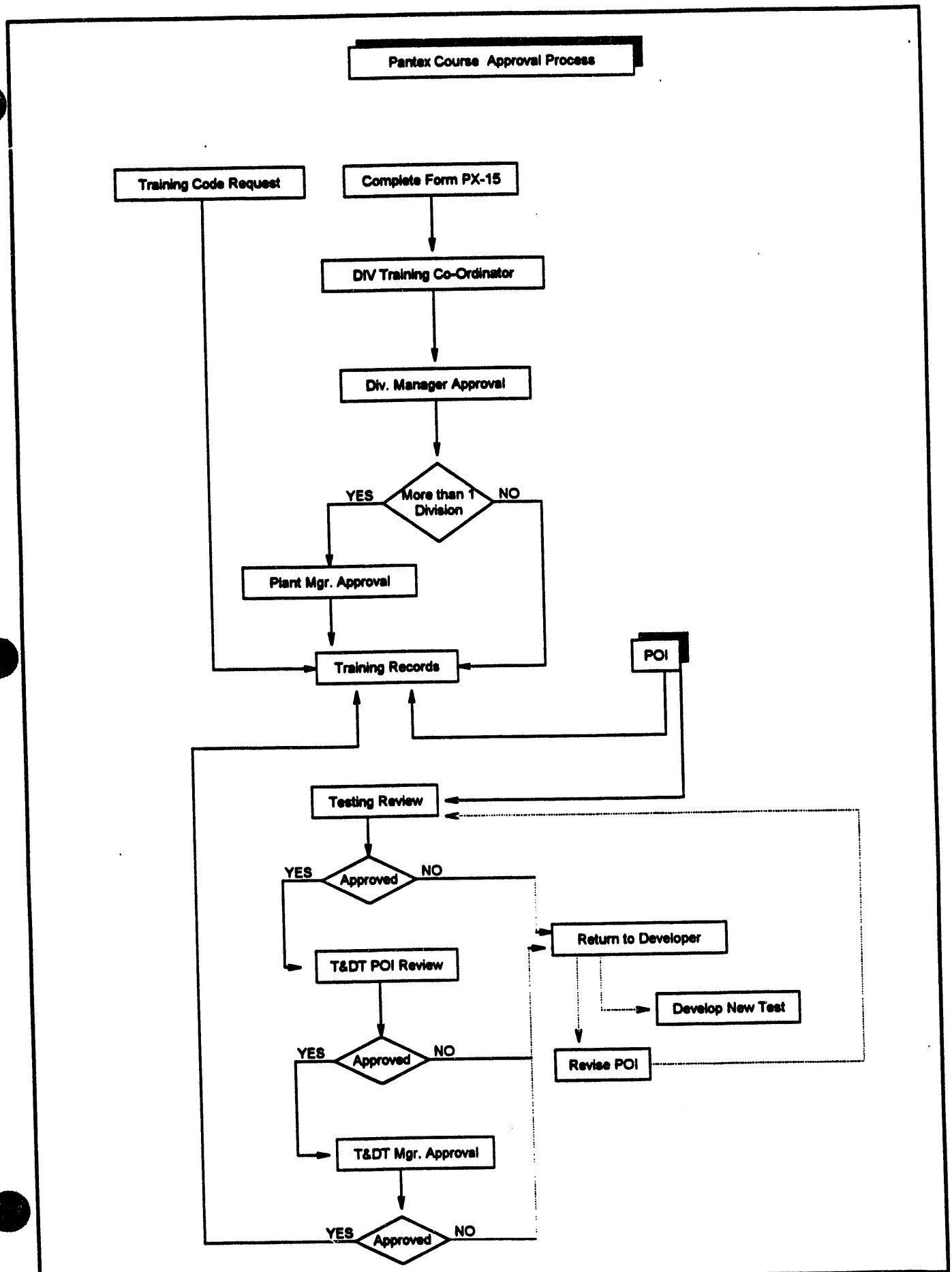
Protection Method _____

Retrieval Method _____

| ___ Approved<br>___ Disapproved | Records Mgmt. Section | Date |
|---|---|---|

Emergency Management Acknowledgement: Date:

_____ _____




N:\frflow\classdev.flow

# Records Officer (RO)
# And
# Unit Records Custodian (URC)
# Training
# Evaluation Questionnaire




Course: ROUR Training  Course Date _____

Instructor: _____  Training Location_____

We need your evaluation of the training that you have just completed. Please indicate your responses to the statements below by circling the following number using the following scale:

0 = N/A Not Applicable nor observed
1 = SD Strongly Disagree
2 = D Disagree
3 = N Neutral
4 = A Agree
5 = SA Strongly Agree

| | | N/A | SD | D | N | A | SA |
|---|---|---|---|---|---|---|---|
| 1. | **Program Content:** | | | | | | |
| a. | This training was relevant to my responsibilities. | 0 | 1 | 2 | 3 | 4 | 5 |
| b. | The training was well organized. | 0 | 1 | 2 | 3 | 4 | 5 |
| c. | The training objectives were clear to me. | 0 | 1 | 2 | 3 | 4 | 5 |
| 2. | **Training Material:** | | | | | | |
| a. | The information provided in texts and handouts was adequate. | 0 | 1 | 2 | 3 | 4 | 5 |
| b. | The text and handouts were easy to use. | 0 | 1 | 2 | 3 | 4 | 5 |
| c. | The visual aids were of good quality. | 0 | 1 | 2 | 3 | 4 | 5 |

| 4. Training Methods: | | N/A | SD | D | N | A | SA |
|---|---|---|---|---|---|---|---|
| a. | The lectures were well organized and informative. | 0 | 1 | 2 | 3 | 4 | 5 |
| b. | I participated in classroom discussions. | 0 | 1 | 2 | 3 | 4 | 5 |
| c. | Classroom discussions were useful for clarifying ideas. | 0 | 1 | 2 | 3 | 4 | 5 |
| d. | There was an adequate number of training exercises. | 0 | 1 | 2 | 3 | 4 | 5 |
| e. | Training exercises were useful in clarifying information. | 0 | 1 | 2 | 3 | 4 | 5 |
| f. | There was enough time spent on individual exercises. | 0 | 1 | 2 | 3 | 4 | 5 |
| g. | Exams and quizzes were relevant to the training. | 0 | 1 | 2 | 3 | 4 | 5 |
| h. | Exams and quizzes reinforced the training material. | 0 | 1 | 2 | 3 | 4 | 5 |

**COMMENTS:**

# Pantex Records Management Training

1994

✓ Analyst Training

✓ Records Organization (RO/URC0)

1995

* General Employee Training



# THE VALUE OF HISTORICAL RECORDS AND CORPORATE MEMORY IN ENVIRONMENTAL RESTORATION WORK

**Barbara Swenson**

# Value of Using Historical Information in Environmental Restoration Work

- Possible prevention of duplicate research/ testing/sampling/analysis
- Evidence of prior work done
- Cost savings
- Allows for indexing of historical environmental records

# Reasons Why Historical Records Are Not Always Used in Environmental Records

- Lack of knowledge regarding records existence
- Inability to locate or retrieve valuable historical records
- Records have been destroyed
- No corporate knowledge to provide guidance to relevant records
- Records are not maintained adequately or are too fragile to be handled, which prohibits access

# Popular Myth that Historical Environmental Records Are Non-Existent

- Major focus had been on manufacturing
- Environmental business is more recent
- Lack of knowledge regarding existence of environmental records

# Types of Records Available at Rocky Flats for Environmental Restoration Work

## On-Site Files

- Classified Files in Vault Storage
- Unclassified Files
- Engineering Project Files
- Engineering Drawing Files
- Correspondence Files
- Waste Management Files
- Weapons Files
- Waste Shipment Files
- Analytical Reports for both Production and Environmental Activities
- Microfilmed Files
- legal Files
- Incident and Property Loss Files
- Radiation Contamination Incident Files
- Purchasing Files
- Photography Files
- Property Utilization and Disposal Files
- Special Project Files
- Personal Files from Previous Employees

## Off-Site Files (Unclassified Only)

- Personnel Files for Previous Employees
- Health Files (Including x-ray records) for Previous Employees
- Engineering Drawing Files
- Engineering project Files
- AEC/ERDA/DOE Records (filed according to the AEC filing system)
- AEC/ERDA/DOE Guidance and Orders
- Air Monitoring and Sampling Files
- Dosimetry Records
- Special Project Files
- Federal, State, and Local Standards
- Guidance and Nationally Recognized Standards (such as National Bureau of Standards Handbook 52)
- Radiation Contamination Incident Files
- Personal Files from Previous Employees

# INVENTORYING AND SCHEDULING RECORDS YOU CAN'T SEE

Catherine Pasterczyk, CRM
SANDIA NATIONAL LABORATORY

Laurie Cady
MILLICAN & ASSOCIATES

Catherine Pasterczyk (pronounced PAS-TER-CHECK)

Cathy is a Senior Technical Information Specialist at Sandia National Laboratories. She was awarded the Bachelor of Science in Applied Mathematics and Biology from Brown University and a Master of Science in Library Science from the University of Kentucky. She has been employed at Sandia since 1987, working first in the Technical Library, then in Pollution Prevention and Environmental Monitoring, and for the last few years in Recorded Information Management. She received her CRM designation last year and is looking forward to attending the University of New Mexico School of Law this fall.

Laurie Cady

Laurie is a Records Manager with Millican and Associates, a Records Management consulting firm. She has been a Records Manager since 1979 with emphasis in banking and insurance. She has successfully implemented records retention schedules, installed and managed a computer assisted retrieval (CAR) system with multiple applications, and overseen property and record inventories and the development of record tracking systems. She has been employed by Millican and Associates since January, 1993 and is currently involved in Sandia National Laboratories Records Inventory Project. She is coordinating the Defense Programs' Records Retention Schedule development.

# Inventorying and Scheduling Records You Can't See

Presented by
Catherine E. Pasterczyk, CRM, SNL
and
Laurie Cady, M&A

for the 1994 Department of Energy
Records Management Conference
June 20-24, 1994, Charlotte, NC

This work performed at Sandia National Laboratories supported by the
U.S. Department of Energy under contract DE-AC04-94AL85000

# Hither Come the Requirements

- 36 CFR § 1222.48
  Data created or received and maintained for the Government by contractors



Millican and Associates and Sandia National Laboratories



SAND93-3934C

# Hither Come the Requirements

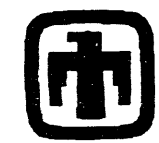
- 36 CFR § 1228.22 Developing records schedules

  - determine functions and activities

  - prepare inventory including description of medium, location, volume, dates, informational content and use



Millican and Associates and Sandia National Laboratories



SAND93-3934C

# Hither Come the Requirements

- how long do they need it

- recommended disposition instructions
  assemble, submit







SAND93-3934C

# Seeing the Records

The person taking the inventory **should**

sample the contents of a few folders in the series to determine the general kind of documentation in it and the range of the subject content



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# The "Unseeables"

- Classified, Privacy Act, comfort level
- Technically incomprehensible
- Not eye legible or no equipment
- Foreign language
- Locked filing cabinet
- "We don't have any records."
- "No one here remembers why we have these or what they were used for."



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# Why See the Records?

One route to understanding the documents

BUT NOT THE ONLY ROUTE

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# How to do it: Phase 1

- Identify areas to be inventoried
- Identify knowledgeable personnel
- Identify activities
- Identify records generated by activities
  Why, What, Who, Where, How



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# How to do it: Phase 2

- Draft series
  Work with knowledgeable personnel
  Define record
  Define value
  Why?
  How is it used?

  Define components
  Determine meaningful retention







# How to do it: Phase 2A

- Test against users
- Revise, revise, revise
- Get new knowledgeable eyes to review
- Revise, revise, revise







SAND93-3934C

# Benefits

- Understanding
- Trust
- Buy-in
- Partnerships
- Workable Implementation



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# OCRWM RECORDS AWARENESS PROGRAM

Jean Watterson
TRW VIENNA, VA
Hans Ebner
TRW LAS VEGAS, NV

Jean Watterson

Jean is a Staff Engineer for the User Interface and Implementation Services Department for the Vienna, Virginia office of TRW Environmental Safety Systems, the Management and Operating Contractor for the Office of Civilian Radioactive Waste Management. She has 16 years experience in training, and holds a Training Certificate from California State University, Long Beach. Jean has been employed by TRW for the past 8 years and has been involved in a variety of integrated information system design and support efforts.

Hans Ebner

Hans is a Senior Records Managment Advisor to the YMSCO/OCRWM Records Manager for the Las Vegas, Nevada office of TRW Environmental Safety Systems, the Management and Operating Contractor for the Office of Civilian Radioactive Waste Management. He has over 20 years experience in records management, document control, and training. He has an Associate's degree from Macomb County Community College in Michigan and holds several certifications in the nuclear records management field. He has been a member of NIRMA since 1982 and presently serves as the Vice President of Services for the Association for Configuration and Data Management (ACDM).

# OCRWM RECORDS AWARENESS PROGRAM

Presented By Jean Watterson and Hans Ebner

## ABSTRACT

The OCRWM Records Awareness Program is an ongoing effort that was initially developed and implemented in response to a 1992 report generated by the GAO entitled: DOE Management: Better Planning Needed to Correct Records Management Problems. This report was a review of the status of the Department of Energy's (DOE) actions in response to a 1988 NARA evaluation of DOE's records management program. The GAO report concluded that, "the Department has not developed plans or set specific target dates to ensure that its line managers and contractors complete all the actions necessary to respond to NARA's concerns."

In January of 1994 OCRWM launched its Records Awareness Program. The program consisted of a Records Awareness Month where key aspects of records management were highlighted throughout the month; mandatory training sessions that were developed to more formally outline and reinforce recordkeeping requirements; a Natural Working Group, formed with the intent of improving and standardizing file management practices throughout the program; and the implementation of a Records Awareness Hotline. The program was a huge success and has been instituted in various organizations program-wide.

Several benefits have been gained from the initiation of the OCRWM Records Awareness Program. "Records management" is no longer a scary word, stronger relationships have been formed between the Records Management organization and other organizations within the program, and the identification of issues and records related problems has become easier.

# THE OCRWM

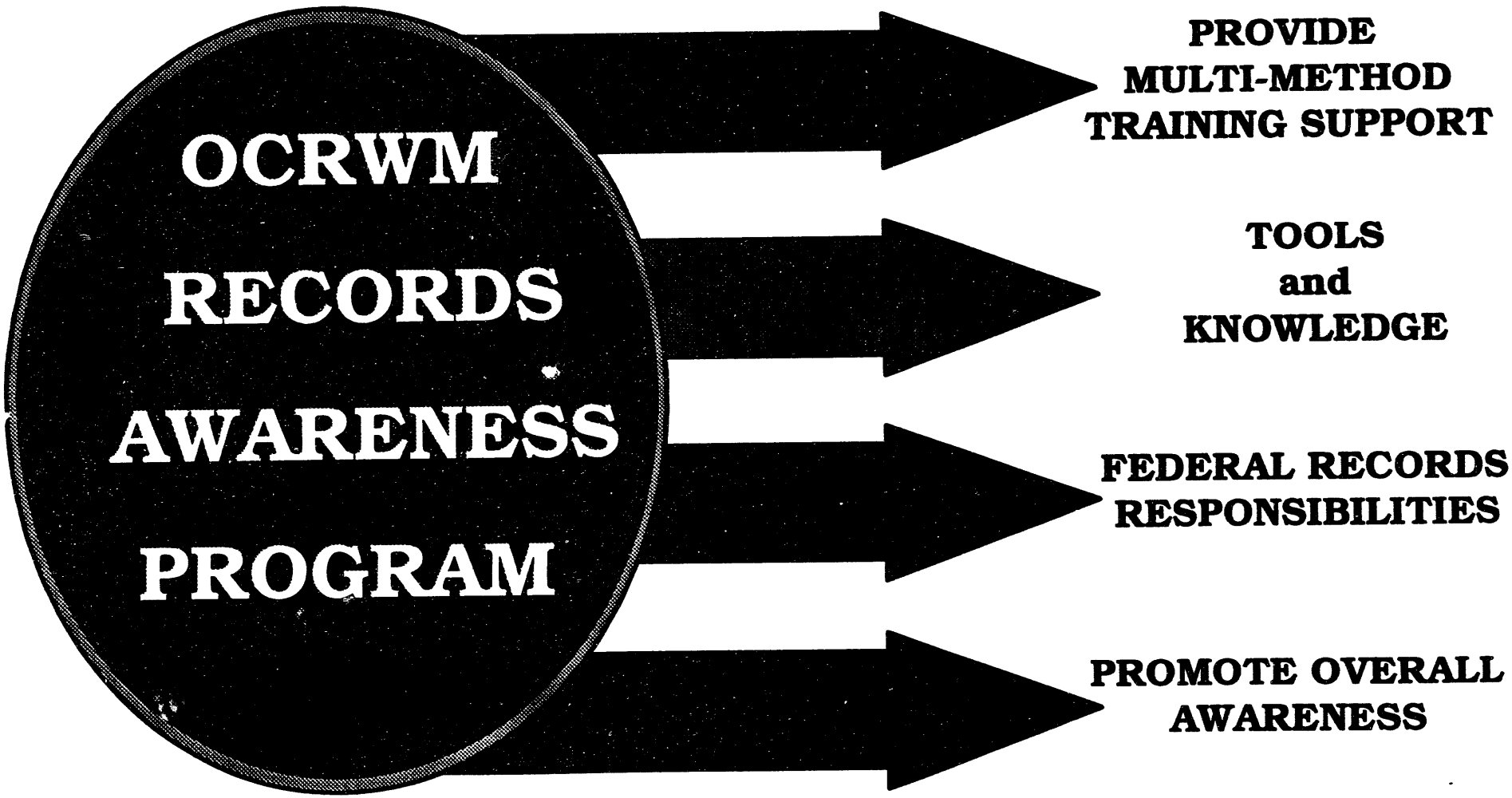
# RECORDS AWARENESS

# PROGRAM

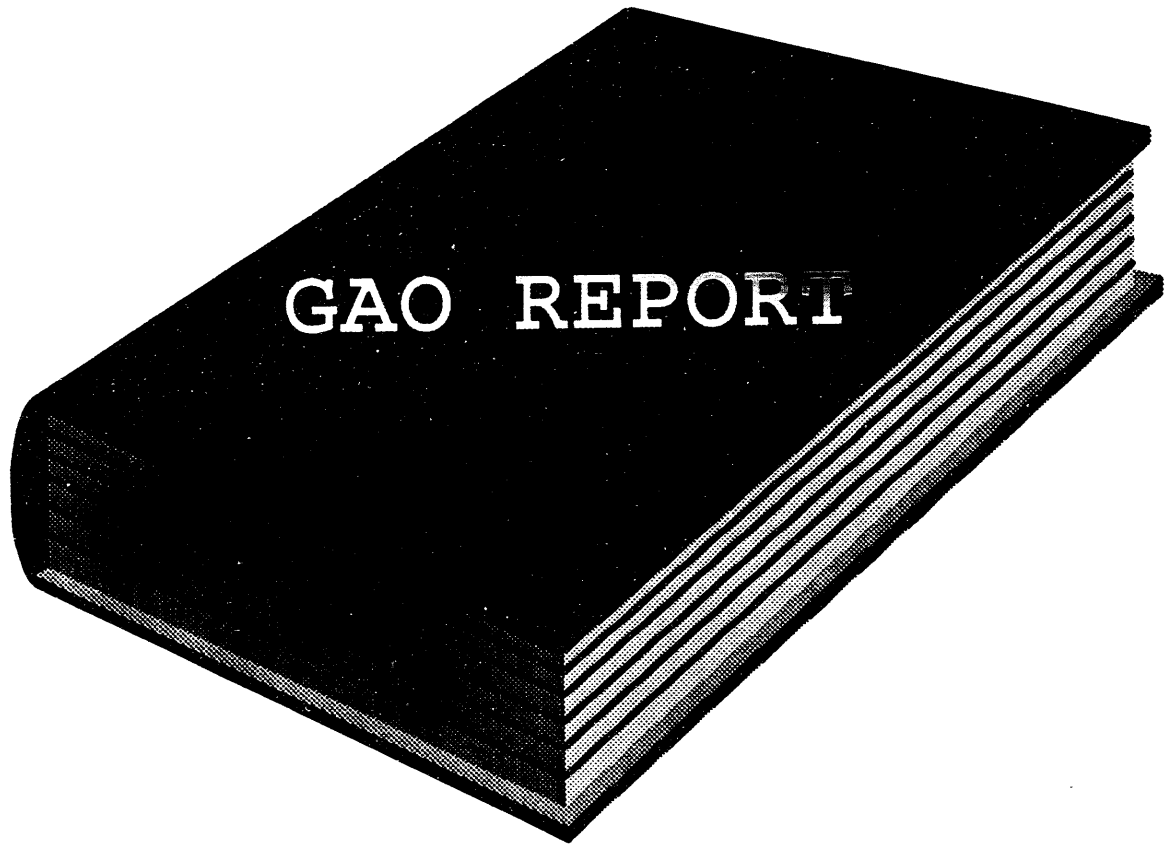



**Jean Watterson**
**Hans Ebner**

# PURPOSE


OCRWM
RECORDS
AWARENESS
PROGRAM
PROVIDE
MULTI-METHOD
TRAINING SUPPORT
TOOLS
and
KNOWLEDGE
FEDERAL RECORDS
RESPONSIBILITIES
PROMOTE OVERALL
AWARENESS

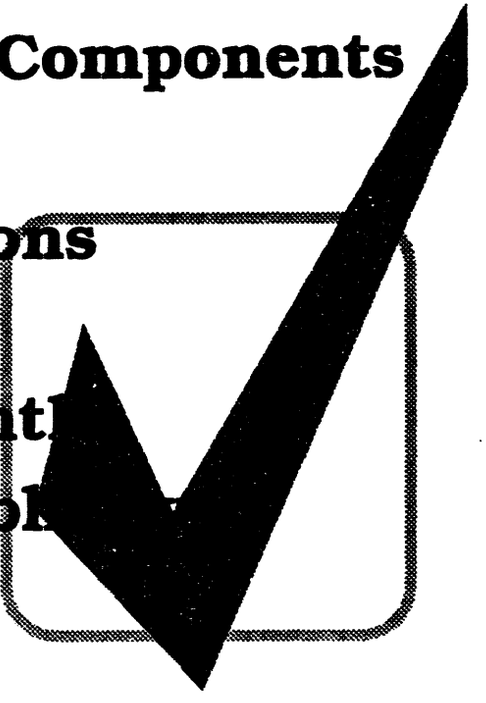
# WHAT STARTED IT ALL?




**May 1992**
**DOE MANAGEMENT: Better Planning Needed to Correct Records Management Problems**

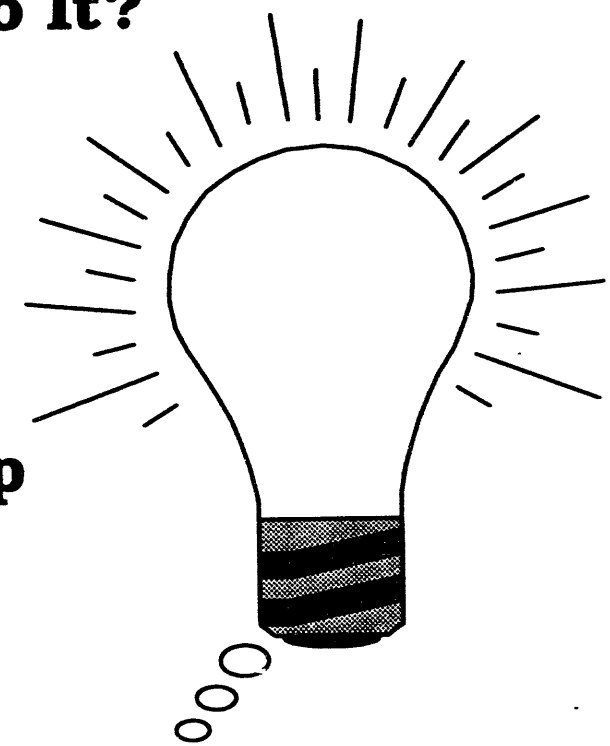
# HOW OCRWM DID IT

- **Records Awareness Program Components**
  - **Executive Briefings**
  - **Mandatory Training Sessions**
  - **Activities**
    - » **Records Awareness Mont**
    - » **Publicity! Publicity! Pub**
    - » **Natural Working Group**



# HOW YOU CAN DO IT!

- **Records Awareness Program Development**
  - **Planning Phase**
    - » **What Do You Want to Accomplish?**
    - » **How Do You Want to Do It?**
    - » **Budget**
    - » **Personnel Resources**
    - » **Publicity**
  - **Implementation Phase**
    - » **Get By In From the Top**
    - » **Coordination Mania!**
    - » **Create Momentum**



# LESSONS LEARNED



# BENEFITS ACHIEVED



# RECORDS MANAGEMENT CONTRACTOR RESPONSIBILITIES *and the* LAW



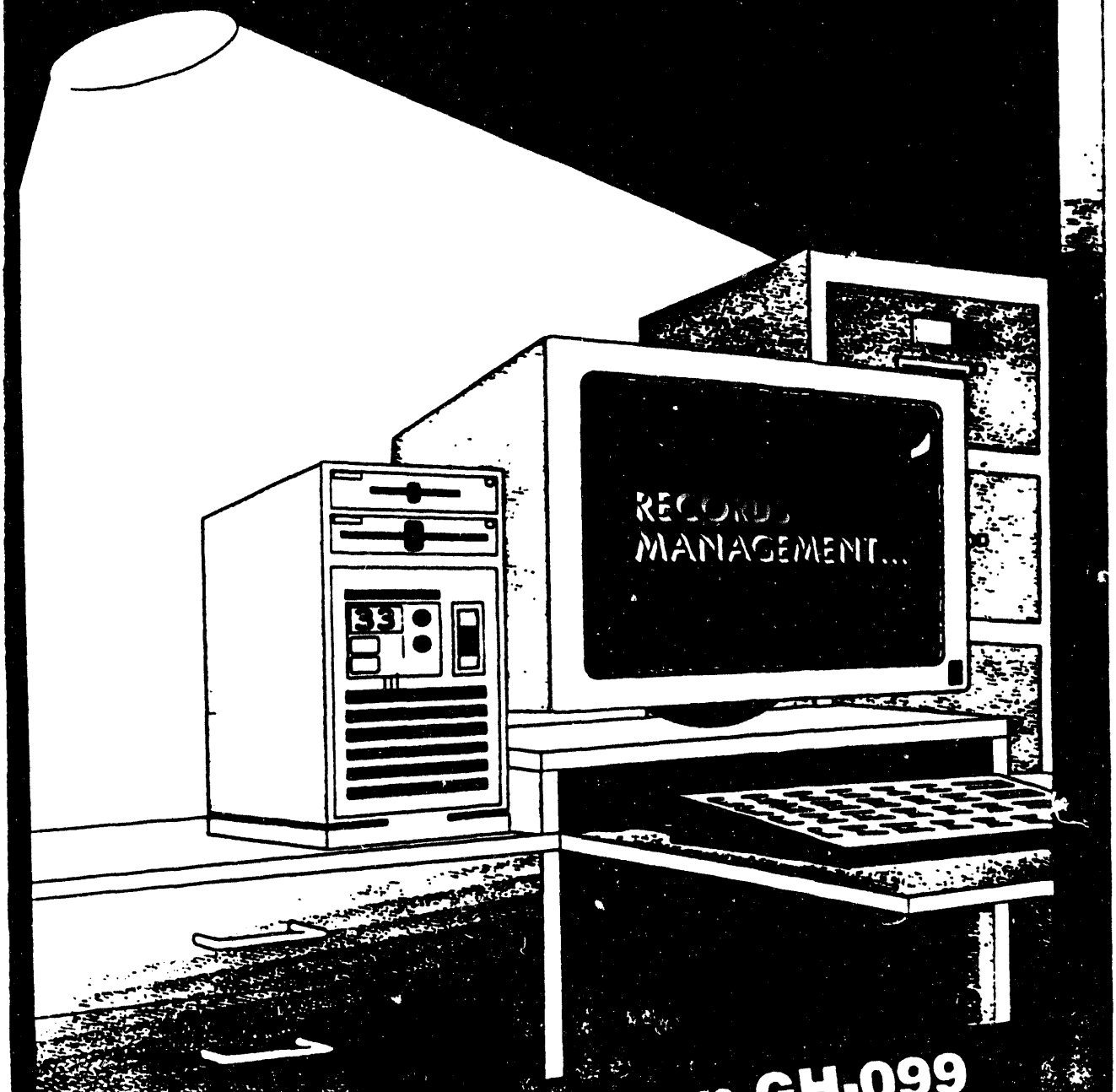
Refreshments Served

**January 12, 1994**

10 - 11 am
Videoconference
Center

Guest Speaker: **CHARLIE BRETT** from Nat'l Archives

# "Technology In The Records Management Process"



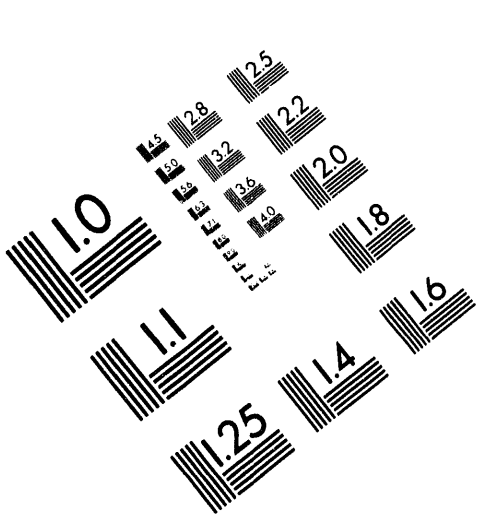

**OPEN HOUSE - Room GH-099**

**- Demos**

**Thursday, January 13th, 1994**

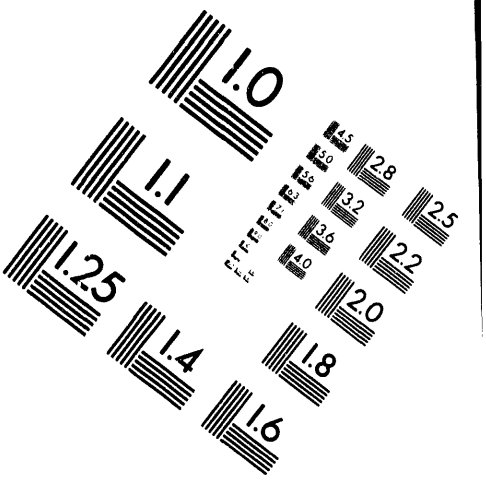
**11:30 am - 2:00 pm**

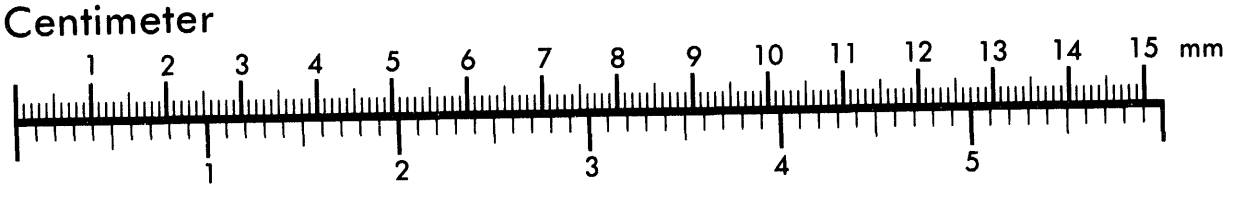
REFRESHMENTS PROVIDED!

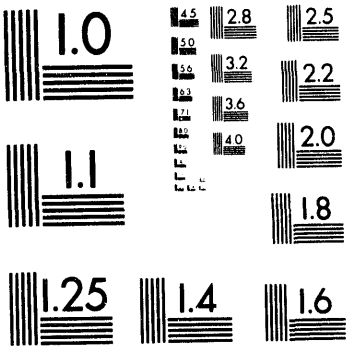


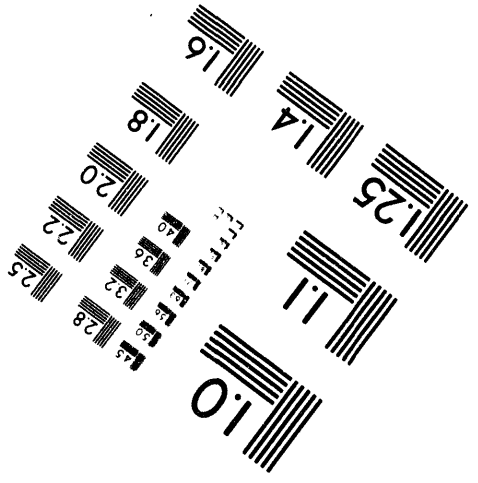


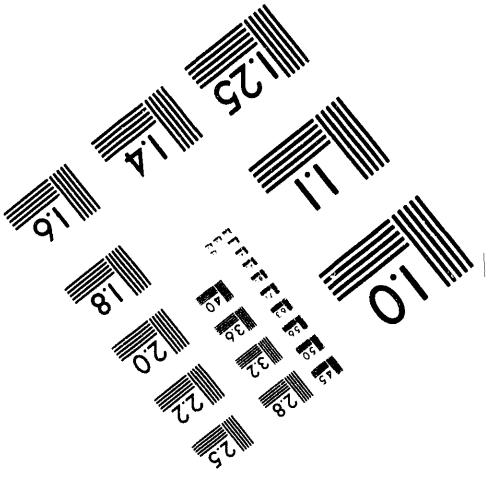
**Association for Information and Image Management**
1100 Wayne Avenue, Suite 1100
Silver Spring, Maryland 20910
301/587-8202









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BY APPLIED IMAGE, INC.

7 of 10

# RECORDS CENTER RELOCATION: A MOVING EXPERIENCE

**Peggy Warner**
**GEO-CENTERS, INC.**

Peggy Warner

Peggy has over 20 years of various management experience with 12 years experience in records and information management of major program size. Her areas of expertise include development of requirements-based policies and procedures for the operation and maintenance of record centers, management of NQA-1 quality assurance records, and the assimilation of company/project acquired documents.

From 1988 to present Peggy has been associated with the Department of Energy's Office of Civilian Radioactive Waste Management (OCRWM) Yucca Mountain Site Characterization Project, the Waste Isolation Pilot Plant, and the Greater Confinement Disposal.

She has an MA and a BS in education.

# "A Moving Experience"

RECORDS MANAGEMENT RELOCATION

by Peggy J. Warner
GEO-CENTERS, INC., contracted to
Sandia National Laboratories
Nuclear Waste Management Program

June 1994

So your manager has just notified you that the company is going to move, boy aren't you excited. The department personnel are thrilled that they will have new offices and probably new furniture. You begin to realize just what effort you will be required to put forth in relation to those that are so excited about having a new office. UGH!

But by the same token, this is a tremendous opportunity to conduct a great Public Relations program and to locate records that you know are "out there somewhere".

The intent of this presentation is to provide notes from which you will be facilitated in planning at a very detailed level. Many helpful hints of an operational nature will be provided. Please understand that every relocation is different and that this presentation provides only personal experience from this speaker.

## Well, What Do You Do Now?

It makes no difference whether your move is to the room next door or to a new city, the planning and implementation process is the same. The following outline and detailed information is provided as a "think stimulator". Take each section and prepare an outline that you can check off as issues and non-issues for your specific relocation. Begin your planning around the final issues list that you prepare.

## Basic Relocation Activity Outline

Planning

Public Relations

Packing

Shipping

Unpacking

Cleanup

Documentation/Statistics

Celebration/Open House

## Planning

a. Establish a Team: Planning - Lead (use an analytical who will ensure that all details are addressed), Move - Lead (use a driver who will make on-the-spot decisions, use expressives to get the job done with little or no direction)

b. Public Relations: communicate every facet to all personnel to obtain buy-in from records management staff and user's, presentations at all meetings just to keep user's informed, prepare flyers, E-mail notices, etc.

c. Timing/Schedule: how many days can you be out-of-service, no audits/ assessments or major Project deadlines should occur at this time, does the move require evening and weekend work, two or three days or longer, are you working around holidays and do they coincide with the vendors and union holidays (eg. your new equipment not available because it is on the vendors truck but the truck is locked inside the warehouse yard because they took Friday off and your company took Thursday), schedule each activity within the move and publish the schedule, highlight changes

d. Phone/Computer Service: when is it turned off at the old location and when turned on at the new location (overlap this timeframe when possible to ensure phone and database access), obtain a dedicated computer systems person for one full day (as a minimum) to ensure that you are up and fully functioning

e. Budget/Cost: what is the limit for: new equipment, moving of lights/ computers/ phones/power outlets/, overtime, additional labor (union, non-union), movers equipment (truck, cart, dolly, protective padding), special equipment moving costs (eg. fire proof safes)

f. Volume: calculate the actual volume from a detailed inventory (every desk drawer, file cabinet drawer/shelf, closets, forgotten storage rooms), donations, integrate, add from other locations, count accurately (plan for open spaces, inserts of other records,donations) also use direction cards placed on the boxes which will clarify the new intended location

g. How Are Records Presently Managed: buckets/containers, open shelving file folders, three ring binders, lateral/vertical files, space saver movable units (are these going to be moved or are you moving into them)

h. Space Planning/Floor Design: prepare to scale drafted floor plans (include: open space, various layouts, maintain the master of each and work from copies under some form of document control), activity flow, ensure that equipment will fit through doorways and hallways throughout the loading area to the new location, visibility into shelving and cabinets, lighting (can you move lights or have additional installed), floor loads (safes, shelving heights), support pillars by diameter size, phone lines, computer ports, outlets, fire extinguishers/exits, work/reference area for users (tables, chairs, bulletin board, photocopier, computer, phone), shelving must meet safety/fire requirements ( 18" from sprinkler head above shelving, plastic buckets/containers may increase fire combustibles), microfilm/machine readable media area (how many reader printers, scanning equipment, electrical outlets, computers, lighting for these work areas may need to be at the station rather than ceiling), storage area, recycle box/barrel locations, vendors are a great resource for planning/space allocation/design detail

i. Safety: training (hold documented sessions for lifting/carrying techniques/ stepstool and ladder use, cover loose cords, clearly identify floor electrical/phone outlets), safety equipment (lumbar belts, safety glasses, gloves), first aid (paper cuts, staple tears, dust in eyes, smashed fingers)

j. Staff for Packing/Unpacking: who are you able to utilize and what experience do they have, are they from records management or are they company internal/other (maintenance, custodial, volunteers from within the department), contracted services (union, non-union, day labor)

k. Interfaces: computer support (backup programs and databases, park hard drivers, packing for shipment, installation, testing to ensure all programs are functional) ES&H, purchasing, facilities (design), movers (internal, external, union), project management (those planning the remainder of the move), maintenance (ladders, extension cords, heat control, elevator/loading dock/door access), security (badging, open doors, off duty access)

l. Filing Equipment: use present (serious planning), new (vendor installation timing is critical), mixed (old and new), who provides, staffing for tear down and installation (bolt and unbolt) make sure they know the requirements for tools and parts, fire safes (may require special contract for movers and how many movers per safe, floor space design for weight load and door swing space, entry door width, elevator weight load and door width)

m. Handling Process: empty shelves/cabinets, box, identify box to new location, identify shelving/cabinets, color layout of space and shelving (post and give to supervisors/leads), provide a color code for furniture as well as boxes, use one color for each area

n. Loading Boxes/Equipment on Trucks: boxes on first = off last, cabinets on first=off last - this means that you must make certain that the item that you want off of the truck first is the last item onto the truck or work very close with the movers. Be certain that your directions are very specific.

o. Moving Equipment: dollies, three shelf carts (11 plastic buckets front and back), box moving cart and pallet (specifically constructed for moving and ease of unloading by Silver Hammer Construction of Albuquerque, NM), hand truck (fort lift), motorized fork lift

p. Boxing: three ring binders (do not stand on the narrow front opening with the spine up = papers fall out as the weight of other boxes spring the binder open), be sure all items placed into a box are in the order that you wish to place directly from the box to the shelf or drawer, load boxes as you wish to unload and fill with a packing material when needed, place a weight restriction of 30 lbs. for safety sake and box strength at the seams

q. Shipping: what various size boxes are required, tape, labels, inventory detail, rolling carts, box moving carts, truck size (union, non-union), loading dock access (will trucks fit), availability (all day, certain hours, do you have heavy delivery traffic), freight or passenger elevator availability (can we dedicate one to moving the record center), what are the working hours of the movers and helpers (determine start/stop/lunch/breaks/ holidays for each day of the move)

The following areas of the "outline" will receive further detail.

**Public Relations**

a. Management Support: managerial signatures at the highest levels on any general memos or notices, request invitations to speak at all manager and department meetings

b. Managers meetings: discuss the timing of the move and interfaces with any major projects you may need to support

c. Department meetings: discuss the timing, when will services stop and when with they begin, what directions do you wish to give for the packing and receipt of donations, do you want filing materials submitted prior to the move = how much time will it take to file all materials before you move

d. E-Mail notices: keep the user's informed, send messages under a managers auspices

e. Flyers: prepare eye-catching flyers to post in major collection areas (coffee areas and restrooms) which will provide simple yet clear messages regarding your needs (when to send donations) and when the record center will be closed/open

f. Interface Activities: how to support user needs during the move - have someone specifically assigned to locate and fill emergency requests, computer moves are crucial - be certain that management dedicates the right person(s) to support you to ensure the least downtime, working with the movers - communicate several times a day and have management support on standby for dispute resolution

## Packing

Staff Personal Items: remember that your staff will have personal needs, their desks or workstations are their homes, build in enough time for packing prior to your major center activity

Supplies: box quantity and sizes (supplies, records, odd shaped records), strapping tape, labels for the new location (floor, room number), labels for contents, identification of specific location within the room (accounting, contracts, series 50, GCD, microfilm room), place any specific numbers on the box, stuffing material to fill for partial boxes (not peanuts or other loose items)

## Shipping

where to assemble boxes for mover pick-up, how high can they be stacked (about 5 is safe), will the movers load them so that they will be in box order for you to unpack without handling the boxes more than once, who will pick them up, timing is everything, what happens is they don't pick them up - do you have more room to assemble more boxes, how will the movers load their equipment, will the loading compliment your need to locate boxes while they are stacked (eg. 1st box on + last box off), labels on everything where you can see them, movers stack or unload in the order you need to open the boxes, shipper forms, do you have to move the boxes from the truck or dock or is that in the moving contract

is a loading dock available and can it be dedicated to your needs, will the movers trucks fit at the dock or in the loading area, is the freight elevator available, what is the access route to your old location and the new location, does the mover deliver to your room location or the hallway or just to the building, are you dealing with (a) reputable office and/or record center moving companies, (b) the lowest bid company, (c) your company paid personnel, and (e) union

## Unpacking

Opener: one who locates and opens boxes and ensures that the correct box is given to the Schlepper, need a number of box knives

Schleppers: those who move the boxes from the stack area to the unpacking team, be sure to have a cart or dolly, also removes unpacked boxes (cut apart and pile in stacks)

Unpacker: box opening (unloads boxes and pass to Shelver), be sure to have a chair or stool to place the box on to save back strain

Shelver: knows the needed shelving space and order of materials to be shelved, watches for space needed flags (open space for growth or to insert other records), places material onto shelves

Staff Personal Items: this comes last, the users are number one at this time thus the center must be fully operational before the staff may unpack, however, make certain that support personnel have done their jobs (computers and phones are installed)

## Cleanup

clean up your area each day (you will have loose tape, broken boxes and lids), will you save and recycle or destroy boxes

save and recycle: remove loose tape, remove or cover labels, break the box down, place boxes and lids into box carton (same number of boxes and lids), who will remove the boxes, do you need them back at the packing site to use in the remainder of your move

discard: break boxes down, pile up in "neat" piles of 20 - 25, tape the set together with moving tape, identify for trash/recycle, place at pick-up site, will the movers move them

note: If good cleanup is planned and implemented as you work, you will reduce risk of injury and portray a well coordinated and planned effort to your managers and user group. You want to be fully operational and have a happy stress free staff.

## Documentation/Statistics

Statistics: calculate the linear feet of record center collection, retain a listing of the: number of boxes packed and unpacked, weight of average box, number of boxes of donations received, other items (machine readable media)

Pictures: take pictures and/or video (before and after for new and old space, vendor installation activities, moving day's, open house, etc.)

Planning Documentation: retain a file of floor designs, planning assignments, schedules, purchase or work orders, meeting notes, copies of flyers

Lessons Learned: document your problems and resolutions as you go, after the move sit as a team and discuss necessary changes should you have the good fortune to plan a move again

## Celebration/Open House

Team Recognition:

a. during the move: bring in pizza or breakfast items, let the staff dress crazy (as long as it is not out of control), you may be able to allow loud music if you are away from other departments, work with management to let the team go home early on the third day of a long move (they will be tired and running out of enthusiasm), request that upper management walk through and praise the efforts (maybe even bring refreshments)

b. after the move: hold an open house with pictures and statistics of the move to"toot" your horn and to introduce your new facility to the users, also a way to thank them for their help and understanding, schedule attendance at department meetings to present results of your efforts and to provide training relative to any changes in policies or practices

# "A Moving Experience"

RECORDS MANAGEMENT RELOCATION

by Peggy J. Warner, Manager
Records and Information Management Systems
GEO-CENTERS, INC., contracted to
Sandia National Laboratories
Nuclear Waste Management Program

June 21, 1994

Additional handout materials.

Attachment 1a

Sandia National Laboratories

Albuquerque, New Mexico 87185

date: June 25, 1993

to: Distribution

from: Leigh Lechel, 6352

subject: Move Information - Supplement III

**UPDATE:** For those of you in the "first wave" who have been developing floor plans and getting ready to move,

1. MORE BOXES ARE ONE THE WAY!
2. BDM only has one size of white board (4'X6'), so if your white board(s) can be dismounted from your wall easily, please plan to bring it with you. If you can't use it in your new office, someone else may want it.
3. The "first wave" is still scheduled to being on July 6. The organizations in the first wave will be moved in the following groupings:

   a. 6331
   b. 6121, 6303, 6305, 6306, and 6352 (WIPP only),
   c. 6343, 6345, 6347, 6348
   d. 6342
   e. Miscellaneous and temporary offices 6300, 6319, 6351, 6352 (you know who you are).

   We are still negotiating with the movers to determine the total number of offices that can be moved on a day. So, the "first wave" could last as long as July 12, allowing up to two days for each grouping. You will be advised of the final decision as soon as it is made.

**MOVE DAY AND POST-MOVE DAY INSTRUCTIONS:**

1. The move crews have been given specific instructions to place the furniture the each office EXACTLY as it is shown on the floor plan. They will be up against short deadlines to load and unload, so THEY WILL NOT BE ABLE TO ASSIST THE STAFF IN REARRANGING THE FURNITURE ONCE IT IS IN PLACE ACCORDING TO THE FLOOR PLAN. However, YOU may rearrange it until you are satisfied and comfortable.

Attachment 16



a. It appears that the staff associated with the laboratory facilities will not move until the end of September; they could even possibly be delayed until the next fiscal year.

b. IF WE CAN GET THE TECHNICAL LIBRARY AND RECORD CENTERS MOVED AND OPERATIONAL BY LABOR DAY, the staff supporting Yucca Mountain could begin moving as early as July 26th, with the technical library and record centers to follow.

c. If we cannot get the technical library and record centers moved and operational by Labor Day, those facilities and the staff supporting Yucca Mountain will move immediately following the YM Project Office audit that is scheduled for the week of September 13th.

That's all I know....

Distribution: Staff in NWM Center

Attachment 2a

# SCHEDULE FOR LIBRARY MOVE

**TUESDAY, SEPT. 7**

Team #1
Box WIPP Records-Begin boxing Library

Team #2
Box duplicate SANDs in basement and end of hall
If time, begin duplicates on library wall

**WEDNESDAY, SEPT. 8**

Team #1
Box Library

Team #2
Box Duplicate SANDs on Library wall

Movers (PM)
Move boxes from basement and end of hall
Move cabinets from basement and end of hall
Begin moving boxes from library

**THURSDAY, SEPT. 9**

Team #1
Complete boxing Library

Team #2
Begin unboxing and shelving at BDM

Movers
Move boxes from library
Move chairs, computers, etc
break down "steel case" unit and reassemble at BDM

**FRIDAY, SEPT. 10**

Team #1
Unbox and reshelve

Team #2
Unbox and reshelve

Movers
Complete move from SNL
Move SANDs from Tech Reps
Move boxes from GEO-CENTERS

Attachment 2b

# TEAMS

**WEEK 1 September 7-10**

| TEAM #1 | TEAM #2 |
|---|---|
| Eileen | Donna |
| Eloise | Emelda |
| Kevin | Gail |
| Michelle | Iris |
| Nina | Matt |

**WEEK 2 September 13-17 (AUDIT WEEK)**

| TEAM #1 | TEAM #2 |
|---|---|
| Eileen | Donna |
| Glenda | Emelda |
| Kevin | Iris |

AS AVAILABLE
Eloise
Gail
Matt
Michelle
Nina

Meeting to discuss the move and your role in it is tentatively scheduled for Wednesday, September 1 at 1:00PM. Location to be announced.

Attachment 3a

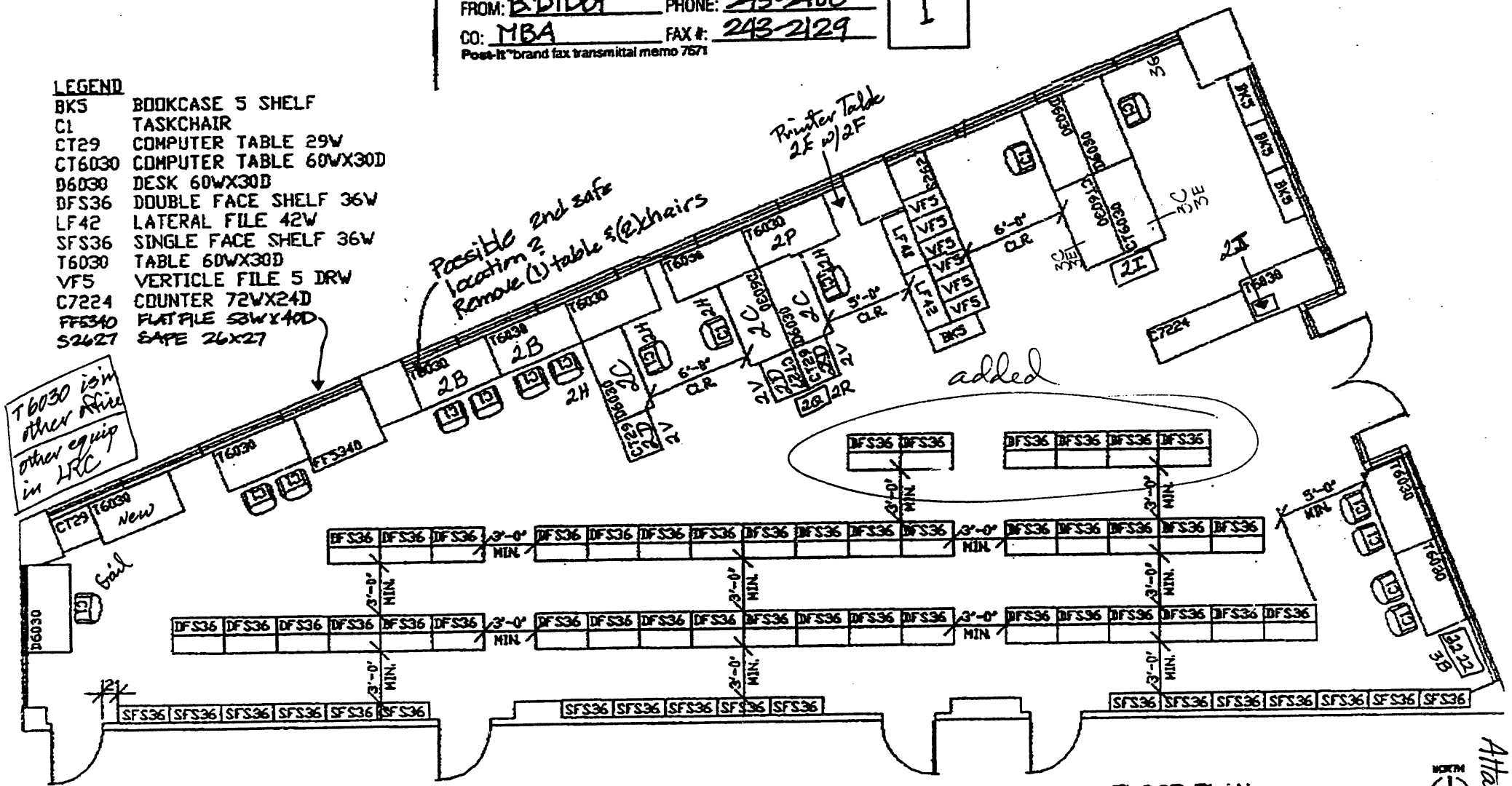
FAX TRANSMITTAL MEMO

TO: PEGGY WARNER
DEPT: GEOCENTERS FAX #: 242-9491
FROM: B DIDDI PHONE: 243-2400
CO: MBA FAX #: 243-2129
Post-it™ brand fax transmittal memo 7671

NO. OF PAGES 1

LEGEND

| | |
|---|---|
| BKS | BOOKCASE 5 SHELF |
| C1 | TASKCHAIR |
| CT29 | COMPUTER TABLE 29W |
| CT6030 | COMPUTER TABLE 60WX30D |
| D6030 | DESK 60WX30D |
| DFS36 | DOUBLE FACE SHELF 36W |
| LF42 | LATERAL FILE 42W |
| SFS36 | SINGLE FACE SHELF 36W |
| T6030 | TABLE 60WX30D |
| VF5 | VERTICLE FILE 5 DRW |
| C7224 | COUNTER 72WX24D |
| FF5340 | FLATFILE 53WX40D |
| S2627 | SAFE 26X27 |




BDM - RESOURCE LIBRARY

FLOOR PLAN
2nd Floor NW Corner 1/8" = 1'-0"

Attachment 3a

Attachment 3b

# MOVING THE TECH LIBRARY

| | | |
|---|---|---|
| Number of boxes needed | 785 | Room 3005 |
| Number of boxes needed (w/WIPP) | 885 | |

| | | |
|---|---|---|
| Shelving inches available | 14,040" | (390 shelves X 36"/shelf) |
| Required shelving inches | 8,190" | (546 boxes X 15"/box) |
| Expansion inches available | 5,850" | |

| | | |
|---|---|---|
| Shelves available | 390 | (65 units X 6 shelves/unit) |
| Shelves needed | 227.5 | (8,190" / 36"/shelf) |
| Expansion Shelves available | 162.5 | |

| | | |
|---|---|---|
| Storage inches required | 3,885" | (259 boxes X 15"/box) |
| Storage shelves required | 108 | (3,885" / 36"/shelf) |
| Storage shelving units required | 18 | (108 shelves / 6 shelves/unit) |

## FURNITURE TO MOVE

1 Vertical map case
1 Flat map case
6 microform cabinets (15"x 17"x 6")
1 Counter (3 Sections, 2 desks w/overhead)
4 Ames units (28 36" shelves)
3 Ames units (24 30" shelves)
5 Spacesavers (5 on 4th floor blg 823)
2 Spacesavers (room B-103 blg 823)
3 Personal computers w/harddrives
2 Printers
1 Fan
1 Library Cart

## MISCELLANEOUS

One shelf of oversize photo albums (WIPP)
Approximately 1300" of storage needed are for WIPP reports cureently stored at Tech Reps (Library PA duplicates)

Dup. Sand Doc. — 3rd floor Room 3238

DRMS Room 2335 and 2422

Attachment 4a

DATE: 6/23/93

TO: See Distribution Below

FROM: Peggy Warner
Chair, Information Center Relocation QAT

SUBJECT: Design Update and Request for Furniture Input

New Management direction has been issued to the Chair to incorporate the ES&H Library into the design of the new BDM Information Center. Planning has taken place between the effected Library leads and the enclosed color-coded floor plan is provided for your review.

Service counter and desk space needs were increased by four (4) and a need to add five (5) double sided shelf units was also identified.

The YMP map cabinet will need to find a new home. Additionally, the lateral cabinets from the basement of Bldg. 823 may need to be relocated as the Library requires access to a convenience copier which we hope may be located in the area designated as 2411 (secretarial pod).

Please note that one room has been designated to house all SNL project Proprietary Records. This room may be keyed and of course the specific access list(s) will be required. We will need to determine if the cabinets already have individual locks, if so the room will not require keying.

My intent at this time is to request that key locks or punch-codes be placed on the main double door entrance and the rear single door entrance. Additionally, based on the previous paragraph, a locking device may be required on the Proprietary door. The office doors that open into the hall will be blocked off and will not require keys (verbal approval of Nancy Finley, ES&H Coordinator for 6300). These rooms will exit through the Information Center.

Please review the plan and the present furniture layout. I have attached a copy of the numeric code for the furniture. We will need to identify what we presently have to move to BDM, or move to the 2nd floor, and furniture that we need to obtain.

We will not meet this Friday, rather check your calendars for Wednesday morning the 30th, 8:15 am to 9:30 am. Please bring your furniture evaluation with you to the meeting.

Distribution:

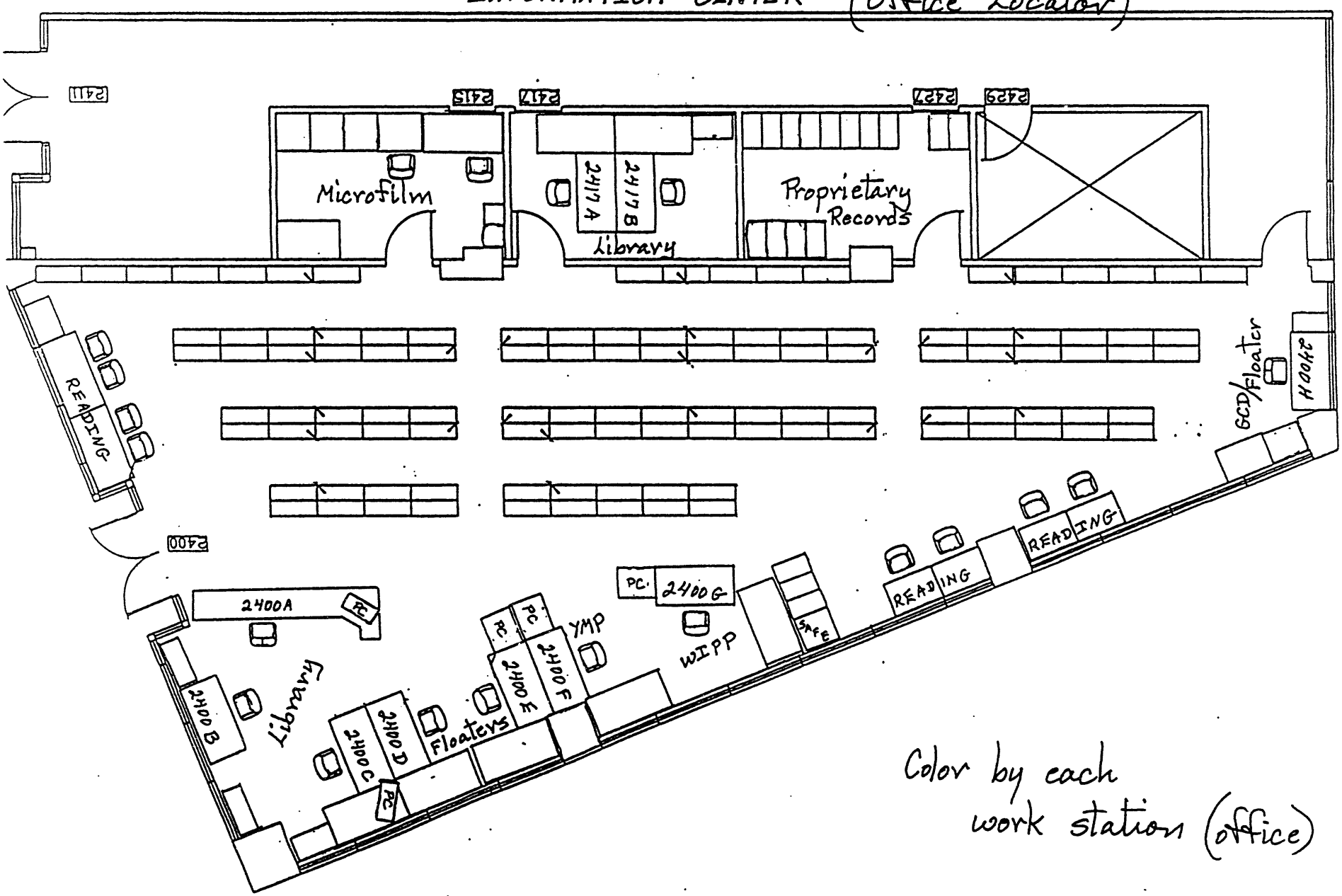
with attachment

K. Harrison, GCD, Org. 6331
N. Garcia, YMP, Org. 6352
P. Covington, WIPP, Org. 6306
G. Sweatt, Library, Org. 6300
R. Varga, TRUWaste, Org. 6900
L. Llull-Kaczor, ES&H Org. 7044

without attachment

Org. 6352 S. Sharpton
Org. 6352 L. Lechel
Org. 6300 N. Finley

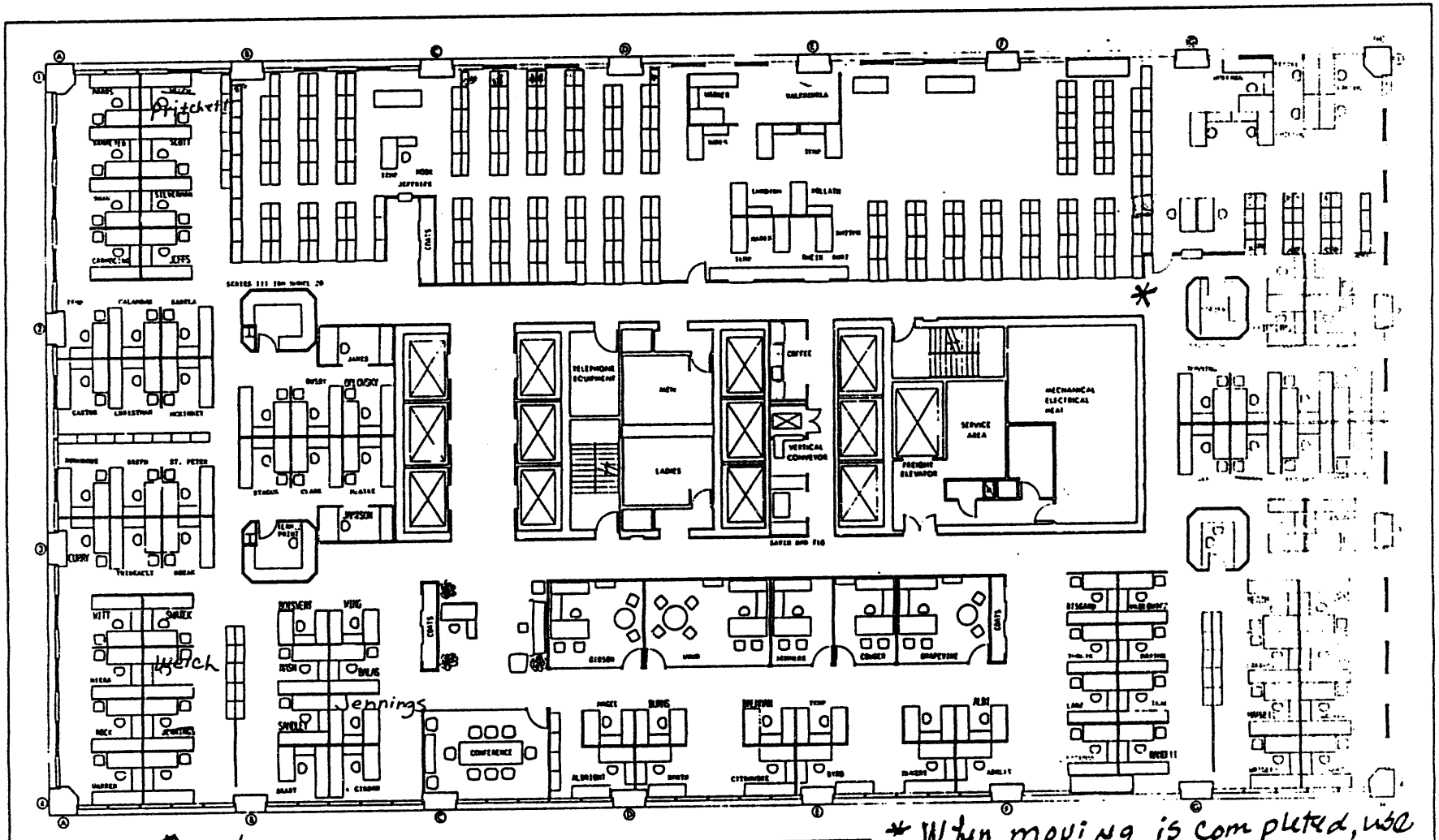
# INFORMATION CENTER (Office Locator)




Color by each work station (office)

8/12/93

Attachment 4b




Move to CC 4

Leave on 8th fl

Remove to Storage or use parts as necessary

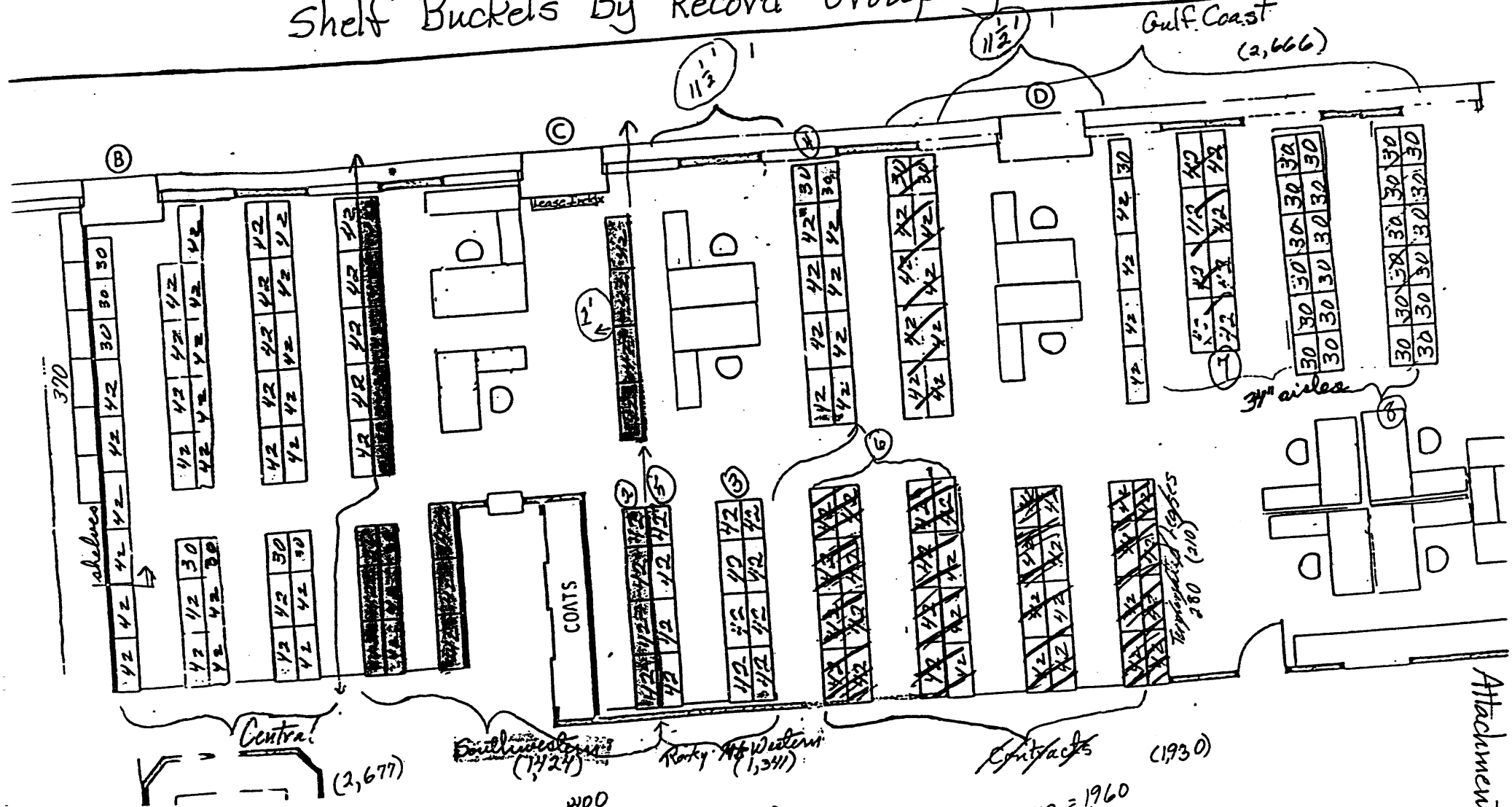
* When moving is completed, use the left over Singles to erect a single row of files to house acquisition area until their new space is remodeled.

Overview of Shelving To: Move, Leave, Store

Attachment 5a

buckets + 35% increase projected

# Shelf Buckets By Record Grouping




24×70 = 1680
28×49 = 1,372
3,052

34×70 = 2,380
4×49 = 196
2,576

20×70 = 1,400
2×49 = 98
1,498

20×70 = 1,400
2×49 = 98
1,498

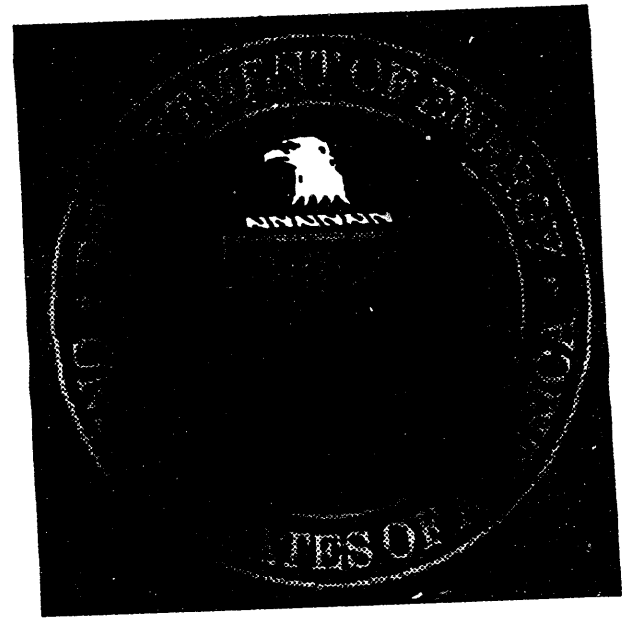
28×70 = 1,960

Attachment 5b

# THE NEW DOE

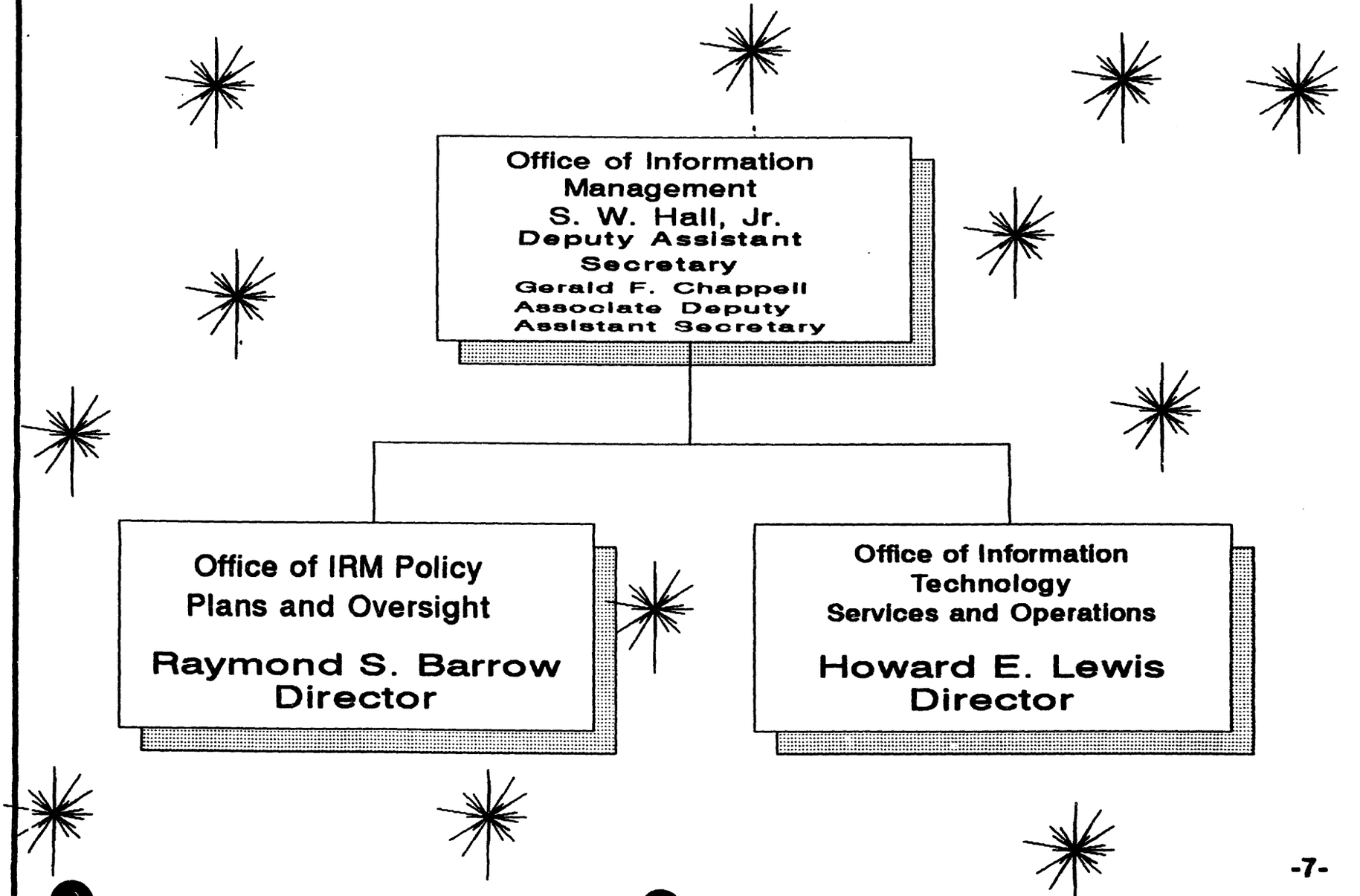
**Dr. Steven Galson**
**DOE-HQ**

# United States Department of Energy

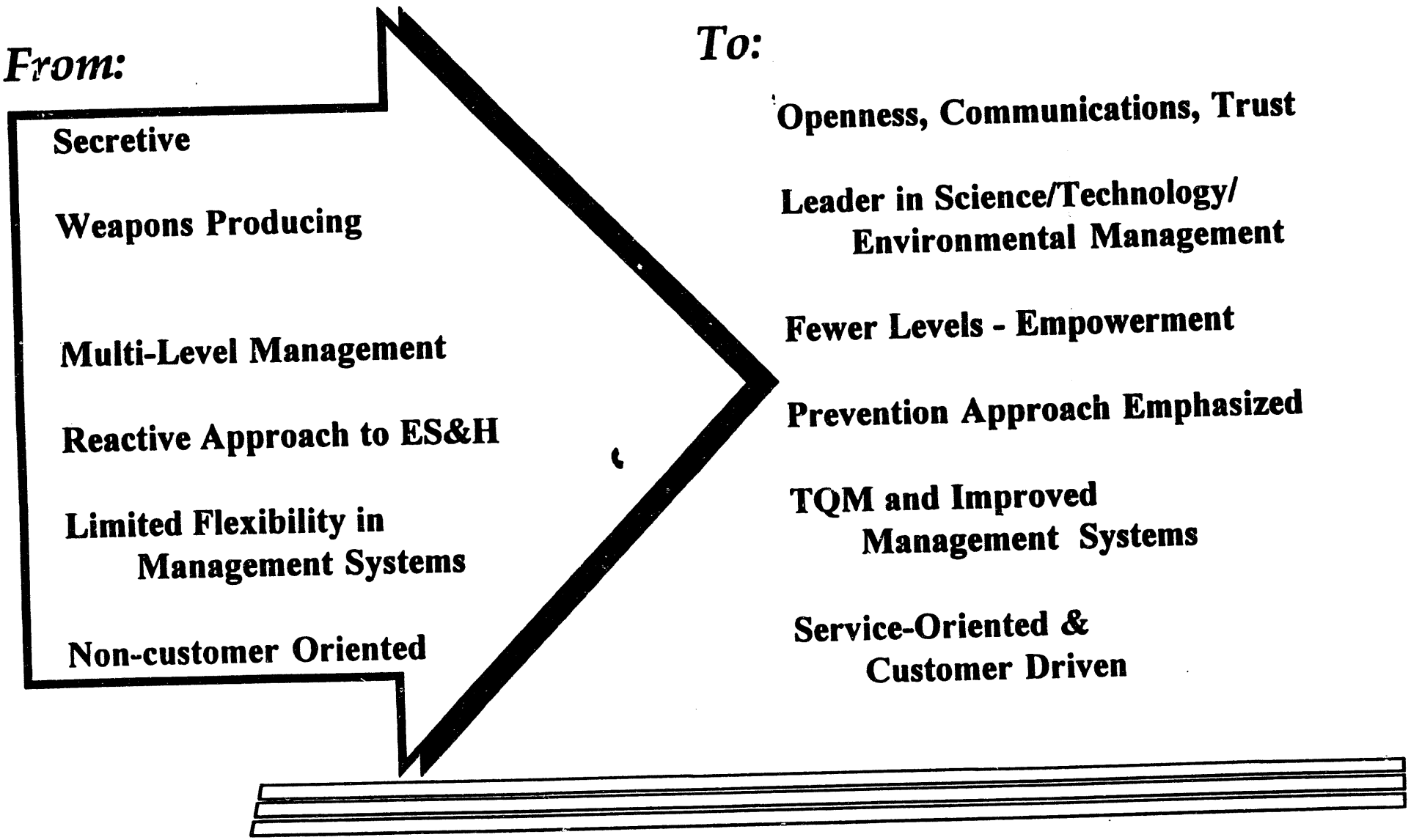


## *Deputy Assistant Secretary for Information Management*

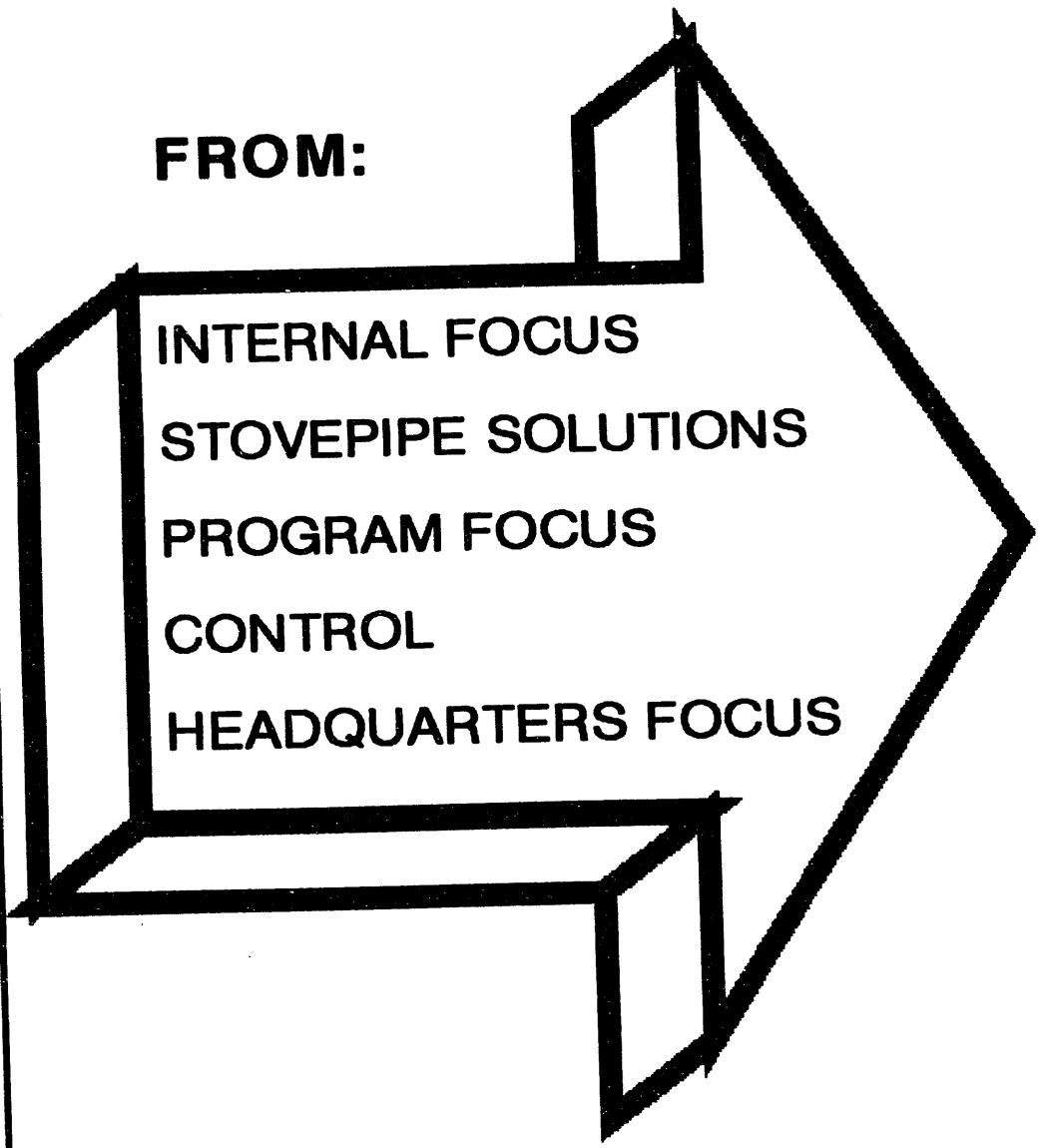
# Information Management



# *Changing the Way We Do Business*



# INFORMATION MANAGEMENT - A CULTURAL CHANGE



**FROM:**

INTERNAL FOCUS

STOVEPIPE SOLUTIONS

PROGRAM FOCUS

CONTROL

HEADQUARTERS FOCUS

**TO:**

EXTERNAL FOCUS

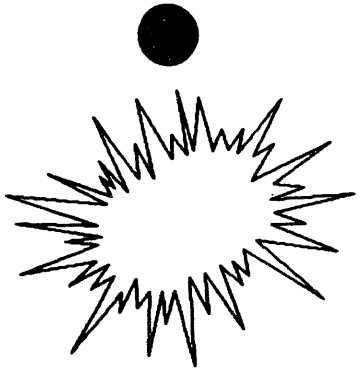
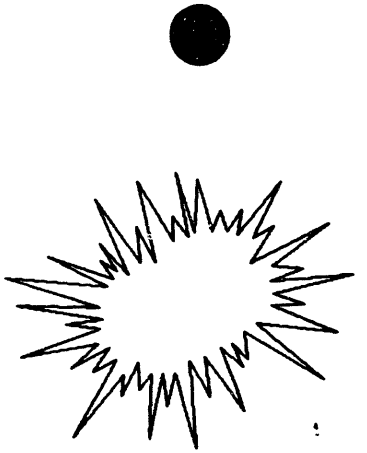
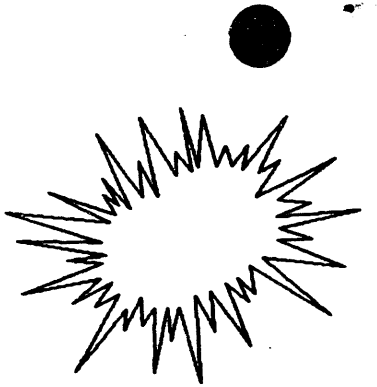
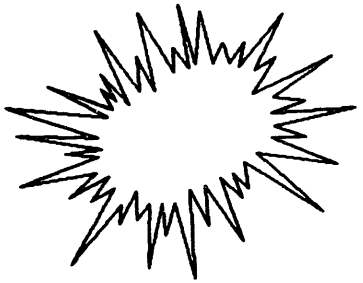
ENTERPRISE SOLUTIONS

COLLABORATIVE FOCUS

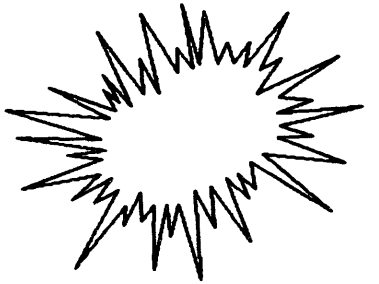
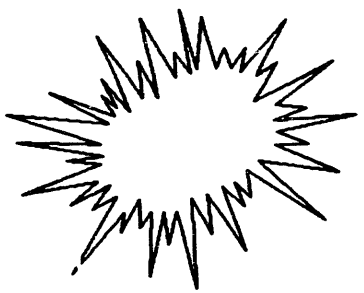
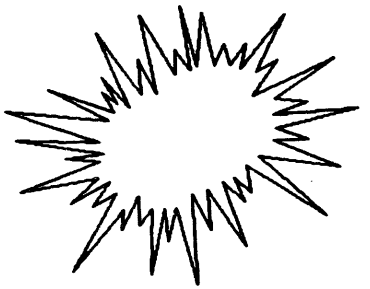
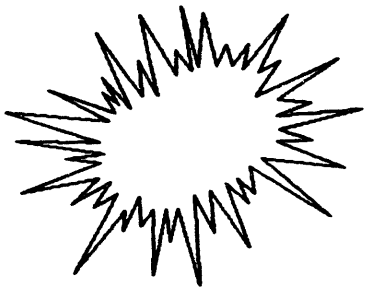
ASSISTANCE/STANDARDS

DEPARTMENT FOCUS

HR INFORMATION MANAGEMENT

# CONGRATULATIONS !!!

# SIGNALS OF CHANGE

- **NPR** — Creating A Government that Works Better and Cost Less Reengineering through Information Technology (ISBN 0-16-042011-3)
- **GAO** — Executive Guide - Improving Mission Performance through Strategic Information Management and Technology (GAO/AIMD-94-115)
- **DOE** — Strategic Plan - Fueling a Competative Economy
- **IM** — Strategic Plan - Information: The Fuel for Success
- **Records** — Roadmap To The Year 2000

# FEEDBACK

- Budget Summit 1996 - Balancing the checkbook
- Information Management
- How Much - How Many
- Give Us A Bid

# PROPOSED E-MAIL RULE AND IT'S IMPLECATIONS

**Tom Dercola**
**DOE-HQ RECORDS MANAGMENT DIVISION**

[SLIDE 1]

PROPOSED STANDARDS FOR MANGLING

FEDERAL RECORDS CREATED OR RECEIVED ON

ELECTRONIC MAIL (E-MAIL) SYSTEMS

Well, I just wanted to see if you're awake out there. Let's get the right view graph up there.

[SLIDE 2]

PROPOSED STANDARDS FOR MANAGING

FEDERAL RECORDS CREATED OR RECEIVED ON

ELECTRONIC MAIL (E-MAIL) SYSTEMS

[SLIDE 3

This is me, my organization, telephone and fax number, in case you want to blow off some steam later on.

Feel free to do so...I have voice mail!

A PRESENTATION BY

THOMAS P. DERCOLA

RECORDS MANAGEMENT DIVISION

OFFICE OF IRM POLICY, PLANS, AND OVERSIGHT

U. S. DEPARTMENT OF ENERGY

WASHINGTON, DC

JUNE 1994

Some of you who were at last year's Conference may recall my speech to you about the Armstrong case. I told you how I was no expert on electronic records or E-mail, but the boss had asked for a synopsis about the case and so I did one.

That then qualified me to come talk to 250 people last year.

My assignment to prepare for and to do that speech reaffirmed my belief in a fundamental law:

**[SLIDE 4]**

NO GOOD DEED GOES UNPUNISHED

Fortunately, your kind reaction to the speech turned punishment into reward, and for that I'm grateful to you.

At about this same time last year, as I was struggling with Armstrong in preparing to talk to you at the Conference, my good friend Doug was struggling, too. We had both worked an SPCA (Society for the Prevention of Cruelty to Animals) yard sale in order to help raise some money for what he called "the ani-mules." Well somebody had donated an old riding mower for us to sell. It didn't run and probably hadn't for several years. So Crazy Doug, who's a pretty good handy man, declared he would fix the thing, so that we could sell it to somebody at the yard sale.

Well, although we got a couple of fish to nibble, nobody would take the bite. The 2-day yard sale being over with, we were faced with getting rid of all of the leftover junk, so the club officers just told Doug to take the thing home...he could have it; they didn't want it. Kind hearted but Crazy Doug whipped out a hundred buck donation and carried the mower on home.

I believe he used it once, semi-successfully. Then, on using it the second time, the thing kept sputtering and conking out. Try as he may he could not get that thing to run and to stay running. It was one of those deals where he'd get it started, drive 10 feet, and it would cut off. Finally, after about 10 mounts and dismounts off of that bad boy, Doug went to his garage, got a sledge hammer, and literally destroyed the thing right where it stood in his front yard. But that wasn't enough...he got ye ol' gasoline can, drenched the hapless mower, set it ablaze, then walked back into his house while his neighbors nodded their heads knowingly. We talked later about the fact that around that time last year we both reaffirmed Murphy's Law...that No Good Deed Goes Unpunished.

A couple of weeks ago, while we were reminiscing about the riding mower incident, I mentioned that I was getting ready to go to another DOE Records Conference - this time in Charlotte. Doug, who

is a heavy metal music lover and an air guitar player (which means he "plays" guitar as if he has one in his hands, but doesn't), asked me if I was going to speak again. I told him that I was, and I mentioned the title of the subject I was going to talk about. Well, he paused a bit, scratched his chin, and finally came out with his opinion: "Sounds awful damned dry to me. I mean dry, man! Like, scorching dry."

I tried to give him a little more detail about the subject, but I could see his eyes glazing over, so I stopped. Finally, he looked at me with that devilish grin of his and said in an equally devilish voice: "Sounds like you all are gonna... Tiptoe Through the Dry-y-y Tortugas..." Well, like some things he says to me, it went right over my head...It sounded like he was talking about a mixed drink or something. That phrase stayed with me for days after our conversation...Tiptoe through the Dry-y-y Tortugas. The more I said it, the more I liked it.

**[SLIDE 5]** TIPTOE THROUGH THE DRY TORTUGAS

So, ladies and gentlemen, that's what we're going to do this morning...In honor of my disinterested friend Doug, we're going to Tiptoe Through the Dry-y-y, the very dry-y Tortugas.

Oh, by the way, I later found out that the Dry Tortugas are some islands near Florida...but, that's OK...I still like it...and I still like Crazy Doug.

- This presentation will focus on proposed standards from the National Archives and Records Administration (NARA) concerning managing Federal records which are created or received on electronic mail (or E-mail as it is commonly called).

- The standards will become part of NARA's current regulation on the management of electronic Federal records

- If you're familiar with the issues surrounding the legal case usually referred to as the "Armstrong Case," you'll recognize some of the principles which came out of the decisions in this case.

- I'll try to give you my reaction and the reaction of others to the proposed NARA standards.

- And, finally, I hope to have time at the end for your questions and comments.

[SLIDE 6]

WHY BOTHER WITH STANDARDS?

- Tremendous increase in E-mail use
- Last year DOE Headquarters estimated that it had over 35 different communications systems.
- OMB indicated at NARA's recent Records Administration Conference in Washington, DC, that their goal is to have 100% connectivity for all Federal employees by the end of FY96.
- NARA is concerned that they are losing permanent records of the Government which are associated with the use of E-mail systems.
- The "Armstrong Case" decisions reaffirmed the general recognition that the Federal Records Act applies to electronic records.
- Impetus of the decisions in Armstrong et. al. vs. Executive Office of the President forces NARA to "get with it" in issuing these standards.

[SLIDE 7]

THE ARMSTRONG CASE

- A series of court decisions going back to the end of the Reagan Administration (1989)
- Scott Armstrong and others sued Reagan (later Bush), the Archivist of the United States (Don Wilson), and the National Security Council (I'll abbreviate the defendants and simply lump them in under the term "the White House:"
  - To stop the imminent destruction of "White House" materials located in their PROFS E-mail system
  - Plaintiffs alleged that some materials were Presidential Records and some were Federal records, and could not be destroyed without U.S. Archivist's approval.

- o A feisty District Court Judge Charles Richey - who obviously had been traumatized years ago by the illegal actions taken by Government officials in the Watergate fiasco - :

  - Barred the new Bush Administration from destroying the White House PROFS system backup tapes

  - He declared that the White House had violated the Federal Records Act in their handling of E-mail

  - He said that the White House recordkeeping practices were "arbitrary and capricious"

  - He found that the U. S. Archivist did not do his job under the law, which was to notify Congress of the possible destruction of Federal records at the White House; and to notify the Attorney General of the U.S. in order to get the Justice Department to intervene in the matter.

- o On appeal the White House:

  - was ordered to preserve unaltered backup tapes

  - was allowed to clear their computers for the incoming Clinton Administration

- o The case is still ongoing to resolve compliance issues between the litigants.

[SLIDE 8]

THE CASE - NARA'S PERSPECTIVE

Although all Agency comments on the proposed E-mail standards have not yet been received and analyzed by NARA, at their recent Records Administration Conference in Washington they informally advised Agencies that there are at least three major areas in the Court decisions which Agencies will certainly need to deal with:

- o Preservation of "transaction and receipt data"

- o Agency training

- o Internal Agency monitoring of E-mail standards implementation

[SLIDE 9]

PRESERVATION OF "TRANSMISSION AND RECEIPT DATA"

- The District Court judge ruled, and his ruling was affirmed on appeal, that a hardcopy printout of an E-mail message - a message which is deemed to be a Federal record - is not sufficient substitute, if you will, for the electronic record unless "transmission and receipt data" is present in the printout. So, if you're printing out your E-mail records and deleting the electronic version, without also printing out transmission and receipt data, you have not preserved the entire Federal record. In effect, you have broken the law.

- The District Court judge invoked the basic question or principle which was established by Senator Howard Baker during the Watergate Hearings, and that is:

  What did President Nixon know, and when did he know it?

  In the case at hand, the question translates to:

  What did they (the E-mail sender and the receiver) know, and when did they know it?

AGENCY TRAINING

- The judge declared that E-mail system users must be sufficiently trained by the Agency so that E-mail records will be properly created, maintained, used, and dispositioned.

AGENCY MONITORING

- The judge also declared that E-mail system usage must be monitored by the Agency in order to be sure that electronic Federal records are properly managed.

So, these are just three of the areas which NARA recently and informally highlighted as being worthy of Agency concern.

[SLIDE 10]

I can assure you that DOE and the Other Agencies have other concerns as well - but, more about that later.

**[SLIDE 11]**

In drafting these proposed standards and putting them out for comments, NARA is learning a lesson:

"If you try to please everybody nobody will like it."

**[SLIDE 12]**

The proposed standards will be found in:

36 CODE OF FEDERAL REGULATIONS
PART 1234 -- ELECTRONIC RECORDS MANAGEMENT
PROPOSED ADDITION OF AN APPENDIX A -- MANAGING FEDERAL RECORDS IN ELECTRONIC MAIL SYSTEMS

Let's take a section-by-section trip through the Dry Tortugas.

But before we begin, let me say that the proposed standards as published by NARA have a lot of should, will, must, or shall attached to what they're saying...and I recognize that a "should" has a different imperative than a "shall or will." However, because of the limited amount of time I have to discuss these standards, I'm going to ignore the differences. I'm sure that we and other Agencies will be commenting to NARA about the lack of consistency with their shoulds and shalls, but for now I'll just talk to the substance of the standards.

Section 1. Introduction

- Standards cover documents created or received by a Federal agency E-mail system
- Standards will supplement NARA guidance already out there:
  - 36 CFR 1234
  - Managing Electronic Records (1992)
  - General Records Schedule 20, Electronic Records; and
  - GRS 23, Records Common to Most Offices

[SLIDE 13]

Section 2. Definitions

- Electronic Mail System
- Electronic Record
- Electronic Mail Message
- General Records Schedule
- Nonrecord Material
- Permanent Record
- Preserved Record
- Records
- Recordkeeping System
- Records Management
- Records Schedule
- Security Backup
- System Backup
- Temporary Record
- Transmission and Receipt Data

[SLIDE 14]

Section 3. Records Management Responsibilities

- Federal Records Act: Agencies must:
  - Create and maintain adequate and proper records
  - Schedule for disposition those records no longer needed
- Laws and regulations apply to all records, regardless of the media used
- E-mail must be managed according to law
- An Agency-wide program to manage E-mail records must be developed and implemented
- All features of E-mail systems must be periodically evaluated
- The Records Management Program must provide for procedures to make sure that recordkeeping and disposition requirements are met:
  - before a new E-mail system is approved; or
  - before any enhancements to a current system is approved

[SLIDE 15]

Section 4. What Are Federal Records?

- o Legal definition of records (Federal Records Act) covers documentation "regardless of physical form or characteristics"
  - Paper, film, disk, magnetic tape, and so on
  - Recording method (i.e., whether recorded manually, mechanically, or electronically) is irrelevant to the definition of a record
- o Conditions which must be met to qualify as a record:
  - Document is made or received under Federal law or in connection with transacting public business; and
  - Document is preserved or appropriate for preservation.
    - -- Preserved means it's filed, stored, or maintained systematically
    - -- Appropriate for preservation means that, if it isn't already, it should be filed, stored, maintained systematically
  - The document provides evidence of agency activities or has informational value

So, how are you feeling about the standards so far?

[SLIDE 16]

"If you're feeling good don't worry -- you'll get over it"

[SLIDE 17]

Section 5. Record Status of E-mail Messages

- o Agencies must provide E-mail users with information to help them distinguish records from nonrecord materials
- o Not all E-mail meets the legal definition of records
- o E-mail message is not excluded as a Federal record simply

because it is found elsewhere in hardcopy or electronic format.

- o Multiple copies of E-mail might <u>all</u> be records if used for different purposes, or if filed in different files

**[SLIDE 18]**

<u>Section 5 (Continued). Record Status of E-mail Messages</u>

- o NARA recommends redesign of current E-mail systems, or design of future systems which will:
  - allow users to tag messages as record/nonrecord
  - automatically default to a record determination, with user required to intervene if the document should be deemed nonrecord
  - automatically analyze message contents according to specified rules contained in the system in order to prompt the user to make record/nonrecord decisions (so-called "artificial intelligence" system)

**[SLIDE 19]**

"Anything you try to fix will take longer and cost more than you thought."

**[SLIDE 20]**

<u>Section 5 (Continued)</u>

- o Categories that would probably qualify as records:
  - information developed preparing position papers, reports, or studies
  - information on official actions taken
  - conveying information on programs, policies, decisions, and agency transactions
  - documenting oral communications during which policies were discussed; or other official activities were

transacted.

**[SLIDE 21]**

Section 6. Transmission and Receipt Data

- "Necessary" transmission data must be preserved with the E-mail message to make the record complete and understandable
- Agency should determine the transmission data which will provide "adequacy of documentation"
- If the message is a Federal record, then the transmission data is record material as well
- Agency should specify when users must request a receipt or acknowledgement to be sure that there is adequate and proper documentation of agency activities
- Receipts and acknowledgements associated with Federal records should be maintained for the same period as the record itself

**[SLIDE 22]**

Section 7. Draft Documents

- Preliminary drafts must be maintained as records if:
  - they contain unique information such as annotations or comments
    - -- that explain the making or execution of policies, decisions, actions, or responsibilities; and
    - -- they were circulated or made available to others for approval, comment, action, recommendation or follow-up, or to keep the staff informed about Agency business
- Each substantive change in a draft might qualify the new document as a new record which should be saved

[SLIDE 23]

Section 8. Directories and Distribution Lists

- Where E-mail systems identify users by codes or nicknames, or consolidate users in a distribution list, the directories of these codes, nicknames, and distribution lists must be retained.

[SLIDE 24]

Section 9. Calendars

- Users should be advised that calendars, indexes of events, and task lists are Federal records if they meet the criteria in Federal law.
- NARA publication, Personal Papers of Executive Branch Officials: A Management Guide, notes that Freedom of Information Act case law regarding "agency records" is the best guidance for determining record status of calendars.
  - Most calendars are disposable under GRS 23, Item 5
  - Calendars of high level officials must be specifically scheduled for disposition in an approved Agency schedule

[SLIDE 25]

Section 10. External Communications Systems

- Internet and other commercial network services
  - Protocols used which are not subject to Agency modification
  - Agency still obligated to preserve records created/received on such systems
  - Agency must take "reasonable steps" to capture transmission and receipt data which the agency needs

[SLIDE 26]

Section 11. Maintenance of Federal Records Created By An E-mail System

- o E-mail records must be maintained in an "appropriate recordkeeping system" which will:
  - Permit easy and timely retrieval
  - Facilitate making record/nonrecord distinctions (if not previously made)
  - Retain records in usable format until authorized disposition date
  - Permit transfer of permanent records to the National Archives
- o NARA recommends Agencies use electronic recordkeeping systems
- o System backup tapes are not suitable
- o Agencies should provide for regular backups to guard against system failure or loss through accidental erasures.

[SLIDE 27]

Section 11 Continued).

- o NARA perceives Agencies having 4 basic options for E-mail record maintenance
  - A. Maintenance on the E-mail system itself
  - B. Maintenance in an electronic recordkeeping system other that the E-mail system
  - C. Maintenance in a paper recordkeeping system
  - D. A combination of the above

[SLIDE 28]

Section 11. (Continued)

A. Maintenance on the E-Mail System

- Can be used if the system has an adequate recordkeeping feature
- Where the system is not designed or adaptable as a recordkeeping system (which is usually the case), E-mail records must be copied or moved to an "appropriate recordkeeping system"

B. Maintenance in an electronic recordkeeping system other than the E-mail system

- Separate recordkeeping system must allow for segregation of permanent and temporary records
- System must have sufficient storage capacity
- Storage can be off-line (e.g., optical disk; mag tape)
- Optical disk
  - Agency can store temporary and/or permanent records on optical disk, but they must convert permanent records back to an "acceptable" archival storage medium prior to transfer of the permanent records to NARA custody

[SLIDE 29]

Section 11 (Continued)

C. Maintenance in paper recordkeeping systems

- Used when
  - Agency does not have technological capability for an electronic recordkeeping system; or
  - Agency decides its current use of E-mail is best served by using both electronic and paper recordkeeping systems
- Transmission and receipt data must also be printed when necessary to make the record complete

- NARA must appraise both the paper and the electronic records before any electronic records are deleted. The reason for this is so that they can decide whether the records are permanent or temporary; and in the case where they deem them to be permanent, they can make a determination on the "best" format - paper or electronic - which would best serve for historical or research use

- NARA strongly recommends the use of electronic recordkeeping systems

[SLIDE 30]

Section 12. Disposition of E-mail Records

- Cannot delete/dispose of E-mail records without NARA authority (GRS or Agency schedule)

- Applies to original E-mail records in the system, and to those forwarded to a recordkeeping system

- Electronic records must be scheduled, even if some information is recorded in another medium (including paper printouts)

- Electronic records might have a different disposition authorization than the paper records with the same information

[SLIDE 31]

Section 12 (Continued)

A. Disposition of the E-mail system records

- For E-mail system having its own recordkeeping feature

  - users must be instructed on sending the record on the computer screen to the E-mail recordkeeping facility

- For E-mail system not having a recordkeeping feature

  - user should be instructed to send the record on the screen to the separate recordkeeping system

  - In this case, NARA considers the version remaining on the screen or in the user's mailbox to be appropriate for deletion after it has been preserved elsewhere

  - GRS 23 will be revised to provide this general

authorization to delete the record on the "live" E-mail system once the necessary preservation steps have been taken by the user

- There is currently no authorization by NARA to do this

[SLIDE 32]

Section 12 (Continued)

B. Disposition of records in recordkeeping systems

- o E-mail records incorporated into a recordkeeping system that includes other electronic records from other sources or systems must be managed according to the records schedule which covers the recordkeeping system
- o Where E-mail records are maintained in an exclusive recordkeeping system, they are to be separately scheduled
- o Agencies maintaining records in paper and electronic formats need NARA approval before disposing of either format

[SLIDE 33]

Section 13. Security of E-mail

- o E-mail records must be protected from unauthorized alterations or deletions
- o Regular backups of messages stored on-line to off-line media should be done to guard against system failures or accidental erasures

[SLIDE 34]

Section 14. Training Employees

- o Employees must be familiar with the legal requirements for records on E-mail systems
- o Agency directives must provide sufficient guidance so that users can distinguish between records and nonrecords on E-mail systems

o Agency should provide records management training on this

[SLIDE 35]

Section 15. Monitoring Implementation of Recordkeeping Guidance for the E-mail System

o Agencies must monitor users accuracy in making record/nonrecord determinations

o Systems should be reviewed periodically for conformance to procedures

- Audit or review of representative samples of E-mail
- Staff interviews
- As part of internal records management program evaluations

o Reports on the results of review activities should be made available to NARA upon request

[[[[[[[[ BLANK SCREEN BLANK SCREEN BLANK SCREEN ]]]]]]]]

Early, Random Comments/Concerns Expressed to NARA (per NARA RACO '94)

o According to NARA, to date no one has said to them that they are doing this thing "just right"

- Either NARA has "gone too far" or "they haven't gone far enough" with these proposed standards

o Here are some questions/comments NARA has gotten formally and informally:

1. How does one make proprietary E-mail software do what needs to be done to follow these standards?

2. How does one deal with authentication issues, such as electronic signaturing, formatting, and the maintenance of the record's integrity as it flows through and is manipulated by system users and the system itself?

3. Do Agency systems already in place have to be changed because of these standards?

4. Why are backups not acceptable for use as a recordkeeping system?

5. Isn't it bad records management for NARA to tell Agencies, when they intermingles their E-mail records into a recordkeeping system containing other kinds of electronic records, that the Agency should schedule that recordkeeping system en masse, without regard to the differing values of the records contained in the catch-all recordkeeping system?

6. More guidance is needed from NARA on what is meant by "adequacy of documentation."

7. NARA should put more emphasis on "creation control" to alleviate problems before they happen.

8. NARA already has regulations on electronic records management. Why single out E-mail?

9. Can NARA provide a model or models for Agencies to consider using?

10. Does NARA <u>really want all this stuff</u>?

11. Will NARA issue a checklist for Agencies to use when monitoring their own compliance with these standards?

12. Since it is litigation which has driven the issuance of these standards, can NARA modify them based upon the comments they receive?

13. Will NARA offer an omnibus contract which Agencies can tap into to purchase their E-mail systems?

14. Wouldn't Agency monitoring of E-mail activity be in violation of the Federal wiretapping law?

15. The emphasis of the Armstrong case was on records at a very high level in the Government. The case doesn't seem very relevant to the majority of E-mail records in an Agency.

16. As in most issues tackled by the Government, the bureacratization of E-mail will cause its ultimate demise.

<u>Concluding Remarks</u>

The DOE Records Management Division solicited comments on the proposed standards through our Records Management Program Coordinators in the Operations Offices and Headquarters, and from

others.

We haven't received what I would call a lot of comments. They were received too close to the time of the Conference to be able to present a detailed analysis.

However, I believe that I can sum up the majority of comments to NARA which I have looked at so far from the Field and Headquarters Elements:

[SLIDE 36]

"If you fool around with a thing for very long you will SCREW IT UP."

Also, I've had a chance to talk to a few vendors "off line," and I believe they've adopted a motto to guide their dealings with the Agencies as a result of the proposed standards:

[SLIDE 37]

"It is morally wrong to allow suckers to keep their money."

As for DOE Headquarters, we have already become proactive on this matter, and we have enthusiastically adopted our own motto with respect to responding to our customers in the matter of these proposed standards:

[SLIDE 38]

"When in doubt, mumble -- when in trouble, delegate."

And finally, I've talked to a number of DOE folks who don't seem to be concerned about any of this. For you, I've prepared a special motto:

[SLIDE 39]

"If everything seems to be going well, you obviously don't know what the Hell is going on."

I don't know about you, but as for me, I plan on taking a slow boat to the Dry-y----y Tortugas!

Thanks for your attention today. That concludes my remarks.

Are there any questions or comments?

# PROPOSED STANDARDS FOR MANGLING FEDERAL RECORDS CREATED OR RECEIVED ON ELECTRONIC MAIL (E-mail) SYSTEMS

# PROPOSED STANDARDS FOR MANAGING FEDERAL RECORDS CREATED OR RECEIVED ON ELECTRONIC MAIL (E-mail) SYSTEMS

# TOM DERCOLA

RECORDS MANAGEMENT DIVISION

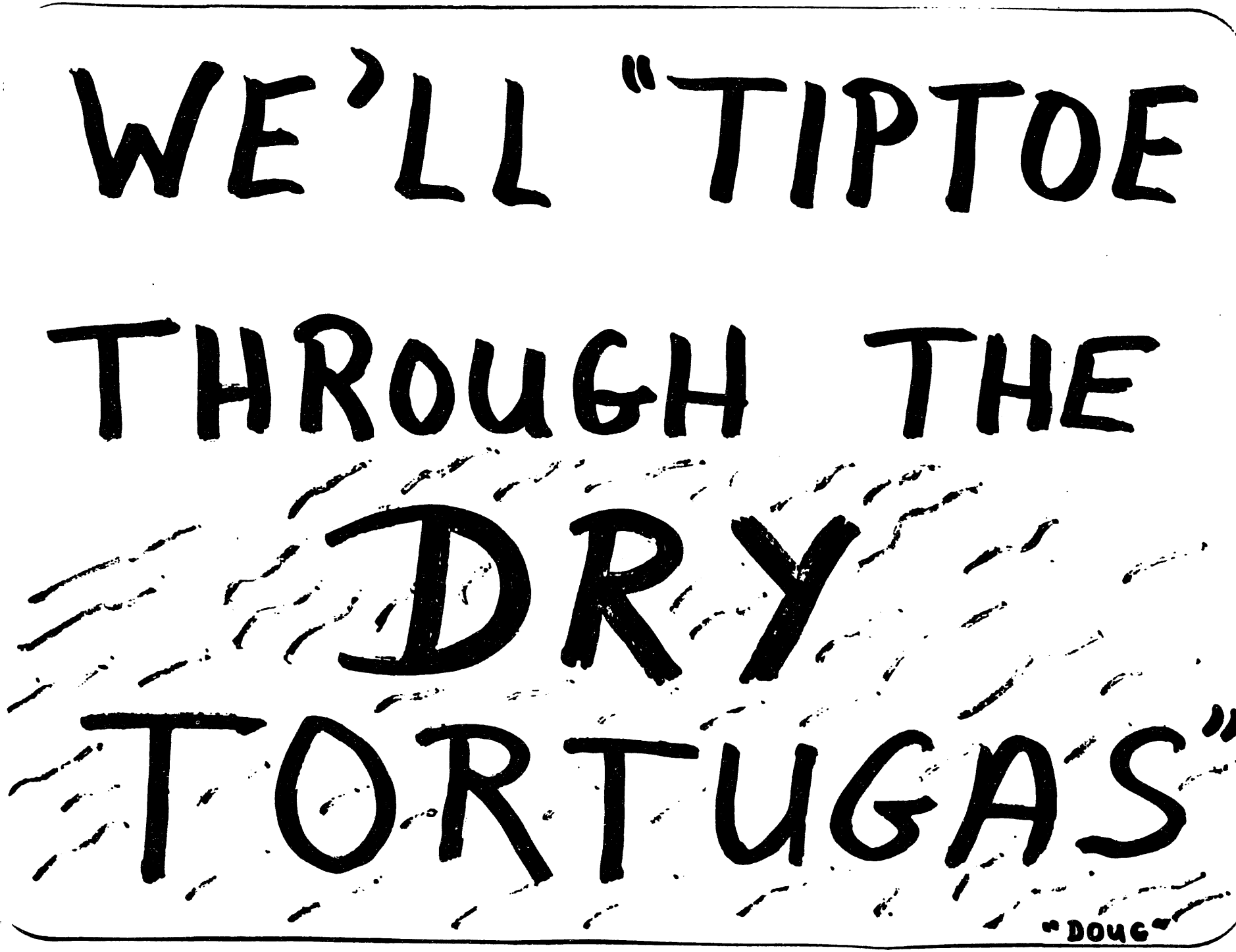
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NO GOOD DEED GOES UNPUNISHED

"MURPHY"


WE'LL "TIPTOE
THROUGH THE
DRY
TORTUGAS"
"DOUG"

(6)

# STANDARDS — WHY BOTHER?

★ TREMENDOUS INCREASE IN USE

★ SYSTEMS PROLIFERATING

★ GOAL: 100% CONNECTIVITY

★ NARA CONCERN: PRESERVATION

★ AGENCY CONCERN: INFO. MNGMT.

★ IMPETUS OF "ARMSTRONG" CASE

# "ARMSTRONG" CASE

- SERIES OF COURT DECISIONS
- "WHITE HOUSE" WAS SUED TO STOP E-MAIL DESTRUCTION
- DISTRICT COURT PLAYS HARDBALL WITH "WHITE HOUSE"
- "WHITE HOUSE" APPEALS DECISION
- CASE CONTINUES...

# IMPACT OF ARMSTRONG ON AGENCIES —

## NARA SEES 3 MAJOR PROBLEMS:

1. PRESERVING "TRANSMISSION/RECEIPT" DATA
2. TRAINING
3. AGENCY MONITORING

# PRESERVING "T/R" DATA

- HARDCOPY PRINTOUTS NOT SUFFICIENT
- WHAT DID THEY KNOW AND WHEN DID THEY KNOW IT?

## AGENCY TRAINING

- USERS MUST KNOW "RECORDS"

## AGENCY MONITORING

- AGENCY WATCHDOGGING OF E-MAIL RECORDKEEPING

(10)

NARA WILL GET
(AND EXPECTS)
AN EARFULL
FROM AGENCIES

IF YOU TRY
TO PLEASE
EVERYBODY,
NOBODY WILL
LIKE IT

"MURPHY"

# 36 CODE OF FEDERAL REGULATIONS

## PART 1234 - ELECTRONIC REC'S MNGMT.

## APPENDIX A -- MANAGING FEDERAL RECORDS ON ELECTRONIC MAIL SYSTEMS

### SECTION 1. INTRODUCTION

- STANDARDS COVER DOCUMENTS ON E-MAIL SYSTEMS
- SUPPLEMENTS NARA GUIDANCE

# 36 CFR 1234 - APPENDIX A

## SECTION 2. DEFINITIONS

- E-MAIL SYSTEM
- ELECTRONIC RECORD
- E-MAIL MESSAGE
- GENERAL RECORDS SCHEDULES
- NONRECORD MATERIALS
- PERMANENT RECORD
- PRESERVED RECORD
- RECORDS
- RECORDKEEPING SYSTEM
- RECORDS MNGMT.
- RECORDS SCHEDULE
- SECURITY BACKUP
- SYSTEM BACKUP
- TEMPORARY RECORD
- TRANSMISSION AND RECEIPT DATA

# SECTION 3. RM RESPONSIBILITIES

- ✓ COMPLY WITH FEDERAL RECORDS ACT
- ✓ COMPLIANCE REGARDLESS OF MEDIA
- ✓ MANAGE E-MAIL ACCORDING TO LAW
- ✓ AGENCY PROGRAM REQUIRED
- ✓ E-MAIL SYSTEM EVALUATIONS
- ✓ RM PROGRAM MUST PROVIDE FOR "UP FRONT" INVOLVEMENT WITH NEW OR ENHANCED SYSTEMS

# SECTION 4. WHAT ARE FED'L RECORDS?

- LEGAL DEFINITION COVERS DOCUMENTS "REGARDLESS OF PHYSICAL FORM OR CHARACTERISTICS"
- QUALIFYING CONDITIONS FOR A RECORD
  - ✓ MADE/RECEIVED UNDER FED'L LAW OR IN CONNECTION WITH PUBLIC BUSINESS
  - ✓ DOCUMENT PRESERVED OR APPROPRIATE FOR PRESERVATION
  - ✓ PROVIDES EVIDENCE OR INFORMATION

IF YOU'RE FEELING GOOD, DON'T WORRY -- YOU'LL GET OVER IT

"MURPHY"

# SECTION 5. RECORD STATUS OF E-MAIL MESSAGES

→ PROVIDE HELP TO USERS TO RECOGNIZE "RECORDS"

→ NOT ALL E-MAIL IS RECORD MATERIAL

→ E-MAIL MSG. NOT EXCLUDED AS FED'L RECORD SIMPLY BECAUSE A COPY IS LOCATED ELSEWHERE

→ MULTIPLE COPIES MIGHT ALL BE "RECORDS"

## SECT. 5 (CONTINUED)

- NARA recommends systems design/redesign to:
  - Allow users to "tag" records
  - Automatically default to record determination
  - Artificial Intelligence capability to assist in record determination

ANYTHING YOU
TRY TO FIX
WILL TAKE LONGER
AND COST MORE
THAN YOU THOUGHT

"MURPHY"

SECT. 5 (Cont'd)

- PROBABLY RECORDS:
  - INFO. developed for position papers, reports, studies
  - Info. on official actions taken
  - Info. on programs, policies, decisions, transactions
  - Documenting oral conversations

# SECT. 6. TRANSMISSION/RECEIPT DATA

→ PRESERVE "NECESSARY" TRANSMISSION DATA WITH E-MAIL MESSAGE

→ AGENCY DETERMINES TRANSMISSION DATA NEEDED

→ IF MSG. = RECORD, THEN TRANS. DATA IS, TOO

→ AGENCY SPECIFIES NEED FOR RECEIPT DATA

→ RECEIPT DATA MAINTAINED FOR SAME PERIOD AS RECORD

# SECT. 7. DRAFT DOCUMENTS

- PRELIMINARY DRAFTS ARE RECORDS IF "UNIQUE" ANNOTATIONS/COMMENTS
  - EXPLAIN FORMULATION/EXECUTION OF POLICIES, DECISIONS, ACTIONS, ETC
  **AND**
  - WERE CIRCULATED OR MADE AVAILABLE TO OTHERS FOR INPUT/OK OR INFORMATION TO STAFF
- EACH "SUBSTANTIVE" CHANGE TO DRAFT MIGHT QUALIFY NEW DRAFT AS A RECORD

# SECT. 8. DIRECTORIES AND DISTRIBUTION LISTS

E-MAIL SYSTEMS IDENTIFYING USERS BY CODES OR NICKNAMES, OR CONSOLIDATING THEM ON DISTRIBUTION LISTS —

MUST RETAIN DIRECTORIES OF

THE CODES
THE NICKNAMES
THE DISTRIBUTION LISTS

# SECT. 9. CALENDARS

- ADVISE USERS THAT CALENDARS MIGHT BE RECORDS

- FOIA CASE LAW BEST GUIDANCE FOR RECORD DETERMINATION (NARA PUB. "PERSONAL PAPERS OF EXEC. BRANCH OFFICIALS: A MANAGEMENT GUIDE")

- MOST DISPOSABLE UNDER GRS 23
- MUST SCHEDULE CALENDARS OF TOP OFFICIALS

# SECT. 10. EXTERNAL COMMUNICATIONS SYSTEMS

- COMMERCIAL NETWORK SERVICES; INTERNET
  - PROTOCOLS : AGENCY CANNOT MODIFY
  - AGENCY MUST PRESERVE RECORDS
  - AGENCY MUST CAPTURE TRANSMISSION/RECEIPT DATA

# SECT. 11. MAINTENANCE OF FED'L RECORDS CREATED BY AN E-MAIL SYSTEM

- RECORDS MAINTAINED IN "APPROPRIATE RECORDKEEPING SYSTEMS"
  - ✓ EASY/TIMELY RETRIEVAL
  - ✓ HELPS MAKE RECORD DETERMINATIONS
  - ✓ RETAINS RECORDS UNTIL DISPOSITION
  - ✓ PERMITS PERMANENT RECORD TRANSFER TO NARA
- RECOMMENDATION TO USE ELECTRONIC RECORDKEEPING SYSTEMS
- SYSTEM BACKUPS UNSUITABLE RECORDKEEPING SYS.
- AGENCIES SHOULD DO REGULAR BACKUPS

## SECTION II (CONTINUED)

NARA PERCEIVES 4 OPTIONS FOR MAINTENANCE

1. ON THE E-MAIL SYSTEM
2. SEPARATE ELECTRONIC SYSTEM
3. PAPER SYSTEM
4. COMBINATION

## SECT. II. (CONTINUED)

### A. MAINTENANCE ON E-MAIL SYSTEM

- OK IF RECORDKEEPING FEATURE ADEQUATE
- NOT OK: MOVE/COPY RECORDS TO "APPROPRIATE" SYSTEM

### B. MAINTENANCE IN "OTHER" RECORDKEEP'G SYS.

- MUST ALLOW SEGREGATION OF PERM./TEMPORARY
- SUFFICIENT STORAGE
- OK FOR OFF-LINE STORAGE
- OPTICAL DISK
  - OK TO STORE PERMANENT/TEMPORARY
  - PERMANENT GOES TO OTHER MEDIUM B/4 TRANSFER TO NAT'L ARCHIVES

## SECTION II. (CONTINUED)

### C. MAINTENANCE IN PAPER RECORDKEEPING SYSTEM

- USED WHEN AGENCY HAS NO ELECTRONIC RECORDKEEPING SYSTEM; OR
- AGENCY DECIDES TO USE PAPER AND ELECTRONIC
- PRINTOUT TRANSMISSION/RECEIPT DATA
- NARA APPRAISES BOTH MEDIA BEFORE ELECTRONIC IS DELETED
- NARA STRONGLY RECOMMENDS ELECTRONIC RECORDKEEPING SYSTEM

# SECT. 12. DISPOSITION OF E-MAIL RECORDS

- CANNOT DELETE/DISPOSE WITHOUT NARA AUTHORITY (SCHEDULE)
  - APPLIES TO E-MAIL RECORD IN SYSTEM OR IN OTHER RECORDKEEPING SYSTEM
- MUST SCHEDULE EVEN IF INFO. IS FOUND IN ANOTHER MEDIUM (PAPER)
- DISPOSITION AUTHORITIES MIGHT DIFFER BETWEEN MEDIA

## SECTION 12. (CONTINUED)

## A. DISPOSITION OF E-MAIL SYSTEM RECORDS

- FOR SYSTEMS <u>WITH</u> RECORDKEEPING FEATURE:
  - USERS TRAINED TO SEND RECORDS TO IT
- FOR SYSTEMS <u>WITHOUT</u> RECORDKEEPING FEATURE:
  - USERS TRAINED TO SEND RECORDS TO SEPARATE SYS.
  - ON-SCREEN OR MAILBOX VERSION
    - -- DELETE AFTER PRESERVED ELSEWHERE
  - GRS 23 TO BE REVISED TO PERMIT
    - -- NO CURRENT AUTHORITY TO DO THIS

## SECTION 12. (CONTINUED)

## B. DISPOSITION OF RECORDS IN RECORDKEEPING SYSTEMS

- WHERE E-MAIL IS "MIXED" WITH OTHER ELECTRONIC RECORDS, THE SCHEDULE FOR THE RECORDKEEPING SYSTEM APPLIES
- WHERE E-MAIL IS IN SEPARATE SYSTEM, IT IS SCHEDULED SEPARATELY
- MAINTENANCE OF PAPER AND ELECTRONIC FORMATS NEEDS NARA OK BEFORE DISPOSING EITHER VERSION

# SECTION 13. SECURITY OF E-MAIL

- PROTECT FROM UNAUTHORIZED ALTERATION OR DELETION
- DO REGULAR BACKUPS

# SECTION 14. TRAINING EMPLOYEES

- ✓ FAMILIARIZE EMPLOYEES WITH LEGAL REQUIREMENTS
- ✓ DIRECTIVES MUST GUIDE USERS TO MAKE RECORD/NONRECORD DETERMINATIONS
- ✓ AGENCIES MUST TRAIN

## SECTION 15. MONITORING IMPLEMENTATION OF RECORDKEEPING GUIDANCE...

- ★ AGENCIES MONITOR RECORD/NONRECORD ACCURACY
- ★ REVIEW SYSTEMS PERIODICALLY
  - SAMPLING
  - STAFF INTERVIEWS
  - RM EVALUATIONS
- ★ REVIEW RESULTS AVAILABLE TO NARA

IF YOU FOOL AROUND WITH A THING FOR VERY LONG YOU WILL

# SCREW IT UP

"MURPHY"

IT IS
MORALLY WRONG
TO ALLOW SUCKERS
TO KEEP
THEIR MONEY

"MURPHY"

# WHEN IN DOUBT, MUMBLE — WHEN IN TROUBLE DELEGATE

"MURPHY"

IF EVERYTHING SEEMS TO BE GOING WELL, YOU OBVIOUSLY DON'T KNOW WHAT THE HELL'S GOING ON

"MURPHY"

# THROUGH THE LOOKING GLASS: INFORMATION, INTERNET AND THE INFORMATION HIGHWAY

**Kate Polesovsky &**
**Mary Ellen Winter**

Kate Polesovsky
NREL
1617 Cole Blvd
Golden, CO 80401

Presentation is titled **Through the Looking Glass**

Joe Chervenak
Manager, Library Services Section
NREL
1617 Cole Blvd
Golden, CO 80401

**Kate Polesovsky**

Kate Polesovsky is a Senior Information Scientist at the National Renewable Energy Laboratory. Responsibilities include managing the Records Management Program and the Information Management Program. At NREL, Ms. Polesovsky has participated on numerous project teams including information systems, database development projects, and Internet projects. Ms. Polesovsky has fifteen years experience in information storage and retrieval systems. She received her Masters in Library and Information Science at the University of Maryland, College Park.

**Mary Ellen Winter**

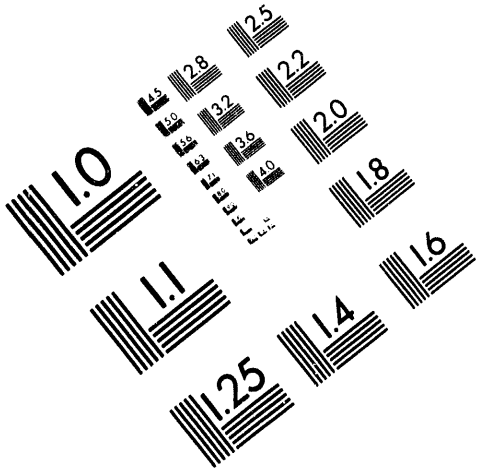
Mary Ellen Winter is a Computer User Support Analyst at the National Renewable Energy Laboratory. Responsibilities include the implementation of Windows applications on the Lan, technical assistance and project planning. Ms. Winter has 11 years experience in Systems Development and Integration, especially with PCs. She holds two post-graduate degrees, one in Computer Programming from Denver University and the other in Information Systems from Regis University.

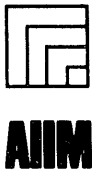
# Through the Looking Glass

## Organizing Electronic Information for Internal and INTERNET Access

by Kate Polesovsky and

Mary Ellen Winter

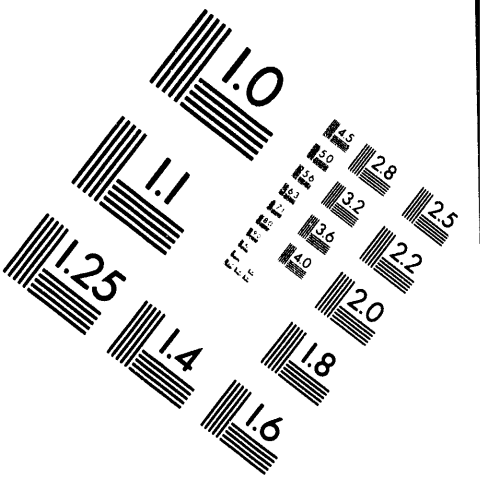


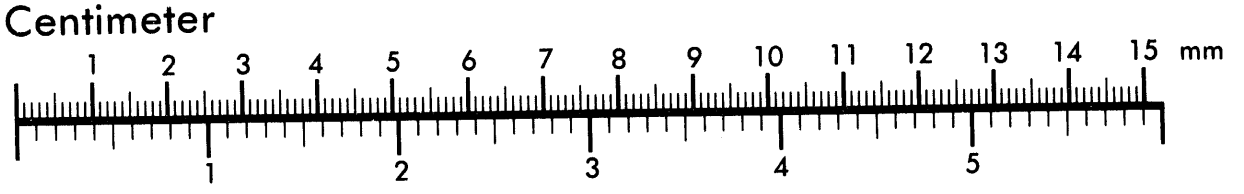


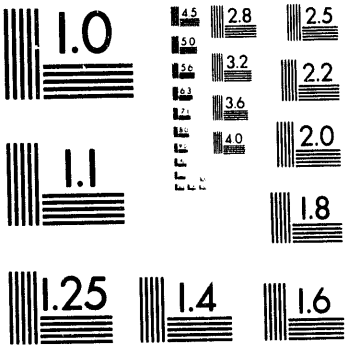
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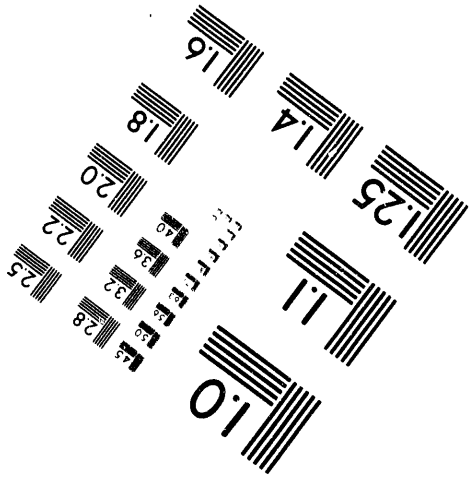
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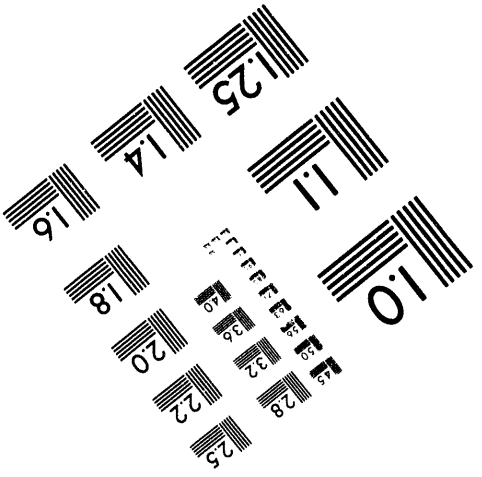
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8 of 10

# Through the Looking Glass

- Historically, the INTERNET'S primary usage has been
  - information discussion groups for sharing ideas/comments
  - dissemination of information by sharing electronic files
  - wide-audience with differing technical skills

# Through the Looking Glass

- Today, the INTERNET usage is exploding
  - new protocols and tools are being developed
  - no longer just a discussion and file transfer resource
  - monitoring the changes is difficult
  - presents new opportunities for sharing information

# Through the Looking Glass

- At NREL, the information we share on the INTERNET is as important to us as a our internal systems
  - information organized by subject
  - external access is restricted to some data sets
  - information must remain current
  - efforts should remain coordinated to avoid duplication/mistakes

# Through the Looking Glass

- This year three projects came together to help us work through these issues
  - Bulletin Board project, establishment of a Laboratory BBS
  - Windows Implementation project for LAN
  - Graphical User Desktop project

# Through the Looking Glass

- The Bulletin Board project
  - brought together a team from across the Laboratory
  - established a focus group for collaborative efforts
  - developed a home page with links to Laboratory data
  - INTERNET presence (WWW and gopher)

# Through the Looking Glass

- Additionally,
  - the INTERNET provided a conduit to internally share information across platforms
  - gave researchers, computer programmers, information scientists and managers something in common

# Through the Looking Glass

- The team will continue
  - to meet to work on issues
    - standards
    - training
    - structure of data
    - push the envelope
  - they will be a resource to the service groups that maintain our INTERNET resource

# Through the Looking Glass

- The Windows Implementation project
  - involves the provision of Windows based tools on a network of Novell LANS
  - acquisition of network hardware and workstation upgrades

# Through the Looking Glass

- implementation continued -
  - scope includes installation of applications software
    - network printing
    - Work Perfect 6.0a
    - cc:Mail 2.02
    - Xerox Docutech
    - network scheduler
    - electronic spreadsheet

# Through the Looking Glass

- Technical Services Division has responsibility for
  - identification of resources
  - establishment of standard configurations and requirements
  - training
  - installation and maintenance procedures

# Through the Looking Glass

- Standard configurations/minimum requirements assumptions

  - multi-server implementation of the Windows applications

  - centralized shared server for information systems, CD-ROM products

  - integration of networked Macintosh users into cc:mail and scheduling

# Through the Looking Glass

- Specific tasks include
  - standardizing Novell network servers
  - configuring applications volume on all servers
  - consolidating cc:mail
  - procuring software and licenses

# Through the Looking Glass

- Specific tasks continued -

- installation

- upgrading local workstation hardware

- testing/training

# Through the Looking Glass

- The graphical user interface project
  - intuitive user front-end
  - access to NREL corporate information by subject points (icons)
  - reduction in duplication of effort
  - facilitates access to electronic information
  - provides for sharing information of Lab-wide value

# Through the Looking Glass

- Demonstration

# Through the Looking Glass

- Conclusion

  - internal and external information needs are similar

    - internal users are more technical
    - external audience is not quantifiable
    - computer use sophistication is varied in each group

# Through the Looking Glass

- Conclusion continued-
  - physicists, chemists, biologists, and computer programmers can understand keyword/indexing issues
  - team approach is essential
  - infrastucture needs to exist to support all access points to information
  - people at all levels want and need this type of access

# FOIA AND THE PRIVACY ACT

Jane Greenwalt
OAK RIDGE OPERATION OFFICE

Jane Greenwalt

Jane has been the FOIA/Privacy Act Officer and Authorizing Official for DOE Oak Ridge Operations since 1986. Jane has ultimate responsibility for releasability of government records at DOE ORO and those in custody of its M&O contractors. Jane successfully manages the requests as they become more complex and increase in number yearly.

# FREEDOM OF INFORMATION AND PRIVACY ACTS

Jane Greenwalt
FOIA/Privacy Act Officer
U.S. Department of Energy
Oak Ridge Operations Office

This session will include a discussion of the historical background of the Freedom of Information and Privacy Acts; statement of the provisions and exemptions of both acts; distinction between appropriate and inappropriate responses to requests under both acts; attention to the interface between the two acts and the penalty provisions of both; and the contractors' role in responding to requests.

A POPULAR GOVERNMENT WITHOUT POPULAR INFORMATION OR THE MEANS OF ACQUIRING IT, IS BUT A PROLOGUE TO A FARCE OR A TRAGEDY OR PERHAPS BOTH. KNOWLEDGE WILL FOREVER GOVERN IGNORANCE, AND A PEOPLE WHO MEAN TO BE THEIR OWN GOVERNORS, MUST ARM THEMSELVES WITH THE POWER KNOWLEDGE GIVES.

JAMES MADISON

. . . THE THRUST AND STRUCTURE OF THE FOIA, VIRTUALLY EVERY RECORDS POSSESSED BY A FEDERAL AGENCY MUST BE MADE AVAILABLE TO THE PUBLIC IN ONE FORM OR ANOTHER, UNLESS IT IS SPECIFICALLY EXEMPT FROM DISCLOSURE OR SPECIALLY EXCLUDED FROM THE FOIA'S COVERAGE IN THE FIRST PLACE.

"THE BASIC PURPOSE OF (THE) FOIA IS TO ENSURE AN INFORMED CITIZENRY, VITAL TO THE FUNCTIONING OF A DEMOCRATIC SOCIETY, NEEDED TO CHECK AGAINST CORRUPTION AND TO HOLD THE GOVERNORS ACCOUNTABLE TO THE GOVERNED."

# FREEDOM OF INFORMATION ACT

## A DISCLOSURE STATUTE

1. DISCLOSURE IS THE RULE, NOT THE EXCEPTION.

2. ALL INDIVIDUALS ARE ENTITLED TO ACCESS.

3. THE GOVERNMENT ALWAYS HAS THE BURDEN OF JUSTIFYING WITHHOLDING.

4. REQUESTER CAN GET RELIEF IF ACCESS IS DENIED BY APPEALING.

# AGENCY RECORDS

AGENCY: DEFINED AS ALL FEDERAL EXECUTIVE AGENCIES. EXCLUDES CONGRESS AND JUDICIARY DOES NOT INCLUDE STATE RECORDS.

RECORD: DEFINED AS DATA COMPILATION REGARDLESS OF FORM.

IF IT CAN BE REPRODUCED, IT IS A RECORD

POSSESS AND CONTROL

I.E., WE MAY POSSESS, BUT NOT CONTROL

# EXEMPTION 1

EXEMPTION 1 OF THE FOIA, 5 U.S.C. § 552(b)(1) PROTECTS FROM DISCLOSURE NATIONAL SECURITY INFORMATION CONCERNING THE NATIONAL DEFENSE OR FOREIGN POLICY, PROVIDED THAT IT HAS BEEN PROPERLY CLASSIFIED IN ACCORDANCE WITH THE SUBSTANTIVE AND PROCEDURAL REQUIREMENTS OF AN EXECUTIVE ORDER.

# EXEMPTION 2

THE COURTS HAVE INTERPRETED THE EXEMPTION TO ENCOMPASS TWO DISTINCT CATEGORIES OF INFORMATION: (a) INTERNAL MATTERS OF A RELATIVELY TRIVIAL NATURE, SO-CALLED "LOW 2" INFORMATION, AND (b) MORE SUBSTANTIAL INTERNAL MATTERS THE DISCLOSURE OF WHICH WOULD ALLOW CIRCUMVENTION OF A STATUTE OR AGENCY REGULATION, SO-CALLED "HIGH 2" INFORMATION.

# EXEMPTION 3

EXEMPTION 3 OF THE FOIA INCORPORATES THE DISCLOSURE PROHIBITIONS THAT ARE CONTAINED IN VARIOUS OTHER FEDERAL STATUTES. AS ORIGINALLY ENACTED IN 1966, EXEMPTION 3 PROTECTED INFORMATION "SPECIFICALLY EXEMPTED FROM DISCLOSURE BY STATUTE."

# EXEMPTION 4

EXEMPTION 4 OF THE FOIA PROTECTS "TRADE SECRETS AND COMMERCIAL OR FINANCIAL INFORMATION OBTAINED FROM A PERSON [WHICH IS] PRIVILEGED OR CONFIDENTIAL."

5 U.S.C. § 552(b)(4).

# EXEMPTION 5

EXEMPTION 5 OF THE FOIA PROTECTS "INTER-AGENCY OR INTRA-AGENCY MEMORANDUMS OR LETTERS WHICH WOULD NOT BE AVAILABLE BY LAW TO A PARTY WHICH IS IN LITIGATION WITH THE AGENCY." 5 U.S.C. § 552(b)(5).

# DELIBERATIVE PROCESS PRIVILEGE

THE MOST COMMONLY INVOKED PRIVILEGE INCORPORATED WITHIN EXEMPTION 5, . . . "TO PREVENT INJURY TO THE QUALITY OF AGENCY DECISIONS."

# EXEMPTION 6

PERSONAL PRIVACY INTERESTS ARE PROTECTED BY TWO PROVISIONS OF THE FOIA, EXEMPTION 6 AND 7(C).

EXEMPTION 6 PERMITS THE GOVERNMENT TO WITHHOLD ALL INFORMATION ABOUT INDIVIDUALS IN "PERSONNEL AND MEDICAL FILES AND SIMILAR FILES" WHERE THE DISCLOSURE OF SUCH INFORMATION "WOULD CONSTITUTE A CLEARLY UNWARRANTED INVASION OF PRIVACY."

5 U.S.C § 552(b)(6).

# EXEMPTION 7

EXEMPTION 7 OF THE FOIA, AS AMENDED, PROTECTS FROM DISCLOSURE "RECORDS OR INFORMATION COMPILED FOR LAW ENFORCEMENT PURPOSES."

# EXEMPTION 8

EXEMPTION 8 OF THE FOIA COVERS MATTERS THAT ARE "CONTAINED IN OR RELATED TO EXAMINATION, OPERATING, OR CONDITION REPORTS PREPARED BY, ON BEHALF OF, OR FOR THE USE OF AN AGENCY RESPONSIBLE FOR THE REGULATION OR SUPERVISION OF FINANCIAL INSTITUTIONS." 5 U.S.C. § 552(b)(8).

# EXEMPTION 9

EXEMPTION 9 OF THE FOIA COVERS "GEOLOGICAL AND GEOPHYSICAL INFORMATION AND DATA, INCLUDING MAPS, CONCERNING WELLS." 5 U.S.C. § 552(b)(9).

# 10 C.F.R. § 1004.1
# PURPOSE AND SCOPE

TO THE EXTENT PERMITTED BY OTHER LAWS, THE DOE WILL MAKE RECORDS AVAILABLE WHICH IT IS AUTHORIZED TO WITHHOLD UNDER 5 U.S.C. § 552 WHENEVER IT DETERMINES THAT SUCH DISCLOSURE IS IN THE PUBLIC INTEREST.

# CONCLUSION

* ALWAYS FORWARD FOIA REQUESTS TO FOIA OFFICER IMMEDIATELY UPON RECEIPT.

* ENTER ONLY FACTUAL RECORDS INTO AN OFFICIAL FILE.

* DON'T CREATE A RECORD TO ANSWER A REQUEST, REMEMBER THE ACT ONLY COVERS RECORDS ALREADY IN EXISTENCE.

* EVEN THOUGH A RECORD IS EXEMPT, WE HAVE THE DISCRETION TO DISCLOSE.

* ONCE IT'S RELEASED IT LOSES ITS CONFIDENTIALITY.

# THE PRIVACY ACT OF 1974

## 5 U.S.C. §552A

### §552A. RECORDS MAINTAINED ON INDIVIDUALS

..."RECORD" MEANS ANY ITEM, COLLECTION, OR GROUPING OF INFORMATION ABOUT AN INDIVIDUAL THAT IS MAINTAINED BY AN AGENCY.

..."SYSTEM OF RECORDS" MEANS A GROUP OF ANY RECORDS UNDER THE CONTROL OF ANY AGENCY FROM WHICH INFORMATION IS RETRIEVED BY THE NAME OF THE INDIVIDUAL OR BY SOME IDENTIFYING NUMBER, SYMBOL, OR OTHER IDENTIFYING PARTICULAR ASSIGNED TO THE INDIVIDUAL.

..."ROUTINE USE" MEANS, WITH RESPECT TO THE DISCLOSURE OF A RECORD, THE USE OF SUCH RECORD FOR A PURPOSE WHICH IS COMPATIBLE WITH THE PURPOSE FOR WHICH IT WAS COLLECTED.

## GOVERNMENT CONTRACTORS

WHEN AN AGENCY PROVIDES BY A CONTRACT FOR THE OPERATION BY OR ON BEHALF OF THE AGENCY OF A SYSTEM OF RECORDS TO ACCOMPLISH AN AGENCY FUNCTION, THE AGENCY SHALL, CONSISTENT WITH ITS AUTHORITY, CAUSE THE REQUIREMENTS OF THIS SECTION TO BE APPLIED TO SUCH SYSTEM.

# OAK RIDGE ASSOCIATED UNIVERSITIES
# CONTRACT NO. DE-AC05-76OR00033
# MODIFICATION NO. M139

§ C.(5)(F) THE CONTRACTOR SHALL DESIGN, DEVELOP, OR OPERATE THE FOLLOWING SYSTEMS OF RECORDS ON INDIVIDUALS TO ACCOMPLISH AN AGENCY FUNCTION TO WHICH THE REQUIREMENTS OF THE PRIVACY ACT, 5 U.S.C. § 552(A), ARE DEEMED APPLICABLE:

| DOE SYSTEM NUMBER | TITLE |
|---|---|
| 33 | PERSONNEL MEDICAL RECORDS |
| 35 | PERSONNEL RADIATION EXPOSURE RECORDS |
| 36 | STATISTICAL ANALYSIS USING PERSONNEL SECURITY QUESTIONNAIRE (HEALTH AND MORTALITY STUDY) |
| 40 | CONTRACTOR EMPLOYEES INSURANCE CLAIMS |
| 71 | THE RADIATION ACCIDENT REGISTRY |
| 72 | THE DEPARTMENT OF ENERGY RADIATION STUDY REGISTRY |
| 73 | THE US-DTPA REGISTRY |

IF DOE REQUIRES THE CONTRACTOR TO DESIGN, DEVELOP, OR MAINTAIN ADDITIONAL SYSTEMS OF GOVERNMENT-OWNED RECORDS ON INDIVIDUAL TO ACCOMPLISH AN AGENCY FUNCTION, THE CONTRACTING OFFICER, OR DESIGNEE, SHALL SO NOTIFY THE CONTRACTOR IN WRITING AND SUCH PRIVACY ACT SYSTEM SHALL BE DEEMED ADDED TO THE ABOVE LIST WHETHER INCORPORATED BY FORMAL CONTRACT MODIFICATION OF NOT. THE PARTIES SHALL MUTUALLY AGREE TO A SCHEDULE FOR IMPLEMENTATION TO THE PRIVACY ACT WITH RESPECT TO EACH SUCH SYSTEM.

# CONTRACT NO. DE-AC05-76OR00001
# MODIFICATION NO. M102

§ C.1(B)(3)(D) THE CONTRACTOR SHALL DESIGN, DEVELOP, OR OPERATE THE FOLLOWING SYSTEMS OF RECORDS ON INDIVIDUALS TO ACCOMPLISH AN AGENCY FUNCTION TO WHICH THE REQUIREMENTS OF THE PRIVACY ACT, 5 USC § 552(A), ARE DEEMED APPLICABLE:

| DOE SYSTEM NUMBER | TITLE |
|---|---|
| 5 | PERSONNEL RECORDS OF FORMER CONTRACTOR EMPLOYEES |
| 33 | PERSONNEL MEDICAL RECORD |
| 35 | PERSONNEL RADIATION EXPOSURE RECORDS |

THE CONTRACTOR SHALL PERFORM THIS REQUIREMENT IN ACCORDANCE WITH THE CLAUSE OF THE CONTRACT ENTITLED PRIVACY ACT. IT IS UNDERSTOOD THAT COMPLIANCE WITH THE PRIVACY ACT WILL REQUIRE CERTAIN CHANGES TO THE CONTRACTOR'S CURRENT RECORD IMPLEMENTATION OF THE REQUIREMENTS OF THE PRIVACY ACT AND ACHIEVE COMPLIANCE NO LATER THAN OCTOBER 1, 1991.

"(B) THE PURPOSE OF THIS ACT [ENACTING THIS SECTION AND NOTES SET OUT UNDER THIS SECTION] IS TO PROVIDE CERTAIN SAFEGUARDS FOR AN INDIVIDUAL AGAINST AN INVASION OF PERSONAL PRIVACY BY REQUIRING FEDERAL AGENCIES, EXCEPT AS OTHERWISE PROVIDED BY LAW, TO--

"(1) PERMIT AN INDIVIDUAL TO DETERMINE WHAT RECORDS PERTAINING TO HIM ARE COLLECTED, MAINTAINED, USED, OR DISSEMINATED BY SUCH AGENCIES;

"(2) PERMIT AN INDIVIDUAL TO PREVENT RECORDS PERTAINING TO HIM OBTAINED BY SUCH AGENCIES FOR A PARTICULAR PURPOSE FROM BEING USED OR MADE AVAILABLE FOR ANOTHER PURPOSE WITHOUT HIS CONSENT;

# PRIVACY ACT STATEMENT

SECTION 6311 OF TITLE 5 TO THE U.S. CODE AUTHORIZES COLLECTION OF THIS INFORMATION. THE PRIMARY USE OF THIS INFORMATION IS BY MANAGEMENT AND YOUR PAYROLL OFFICE TO APPROVE AND RECORD YOUR USE OF LEAVE. ADDITIONAL DISCLOSURES OF THE INFORMATION MAY BE: TO THE DEPARTMENT OF LABOR WHEN PROCESSING A CLAIM FOR COMPENSATION REGARDING A JOB CONNECTED INJURY OR ILLNESS; TO A STATE UNEMPLOYMENT COMPENSATION OFFICE REGARDING A CLAIM; TO FEDERAL LIFE INSURANCE OR HEALTH BENEFITS CARRIERS REGARDING A CLAIM; TO A FEDERAL, STATE, OR LOCAL LAW ENFORCEMENT AGENCY WHEN YOUR AGENCY BECOMES AWARE OF A VIOLATION OR POSSIBLE VIOLATION OF CIVIL OR CRIMINAL LAW; TO FEDERAL AGENCY WHEN CONDUCTING AN INVESTIGATION ON YOU FOR EMPLOYMENT OR SECURITY REASONS; TO THE OFFICE OF PERSONNEL MANAGEMENT OR GENERAL ACCOUNTING OFFICE WHEN THE INFORMATION IS REQUIRED FOR EVALUATION OF LEAVE ADMINISTRATION; AND TO THE GENERAL SERVICES ADMINISTRATION IN CONNECTION WITH ITS RESPONSIBILITIES FOR RECORDS MANAGEMENT.

WHERE THE EMPLOYEE IDENTIFICATION NUMBER IS YOUR SOCIAL SECURITY NUMBER, COLLECTION OF THIS INFORMATION IS AUTHORIZED BY EXECUTIVE ORDER 9397. FURNISHING THE INFORMATION ON THIS FORM, INCLUDING YOUR SOCIAL SECURITY NUMBER, IS VOLUNTARY, BUT FAILURE TO DO SO MAY RESULT IN DISAPPROVAL OF THIS REQUEST.

IF YOUR AGENCY USES THE INFORMATION FURNISHED ON THIS FORM FOR PURPOSES OTHER THAN THESE INDICATED ABOVE, IT MAY PROVIDE YOU WITH AN ADDITIONAL STATEMENT REFLECTING THOSE PURPOSES.

"(3) PERMIT AN INDIVIDUAL TO GAIN ACCESS TO INFORMATION PERTAINING TO HIM IN FEDERAL AGENCY RECORDS, TO HAVE A COPY MADE OF ALL OR ANY PORTION THEREOF, AND TO CORRECT OR AMEND SUCH RECORDS;

"(4) COLLECT, MAINTAIN, USE, OR DISSEMINATE ANY RECORD OF IDENTIFIABLE PERSONAL INFORMATION IN A MANNER THAT ASSURES THAT SUCH ACTION IS FOR A NECESSARY AND LAWFUL PURPOSE, THAT THE INFORMATION IS CURRENT AND ACCURATE FOR ITS INTENDED USE, AND THAT ADEQUATE SAFEGUARDS ARE PROVIDED TO PREVENT MISUSE OF SUCH INFORMATION;

"(5) PERMIT EXEMPTIONS FROM THE REQUIREMENTS WITH RESPECT TO RECORDS PROVIDED IN THIS ACT ONLY IN THOSE CASES WHERE THERE IS AN IMPORTANT PUBLIC POLICY NEED FOR SUCH EXEMPTION AS HAS BEEN DETERMINED BY SPECIFIC STATUTORY AUTHORITY; AND

"(6) BE SUBJECT TO CIVIL SUIT FOR ANY DAMAGES WHICH OCCUR AS A RESULT OF WILLFUL OR INTENTIONAL ACTION WHICH VIOLATES ANY INDIVIDUAL'S RIGHTS UNDER THIS ACT."

# C R I M I N A L  P E N A L T I E S

## --IMPROPER DISCLOSURE--

SUBSECTION (I)(1) OF THE ACT PROVIDES THAT A FEDERAL EMPLOYEE WHO WILLFULLY DISCLOSES INFORMATION SUBJECT TO THE PRIVACY ACT OR RULES PROMULGATED UNDER IT SHALL BE GUILTY OF A MISDEMEANOR AND FINED UP TO $5,000.

# CRIMINAL PENALTIES

## --FAILURE TO PUBLISH A SYSTEM NOTICE--

SUBSECTION (I)(2) OF THE ACT PROVIDES THAT AN AGENCY OFFICER OR EMPLOYEE WHO WILLFULLY MAINTAINS A SYSTEM OF RECORDS WITHOUT PUBLISHING A SYSTEM NOTICE AS REQUIRED BY SUBSECTION (E)(4) OF THE ACT SHALL BE GUILTY OF A MISDEMEANOR AND FINED UP TO $5,000.

# CRIMINAL PENALTIES

## --FALSE PRETENSES--

SUBSECTION (I)(3) OF THE ACT PROVIDES THAT ANY PERSON WHO KNOWINGLY AND WILLFULLY REQUESTS OR OBTAINS ANY RECORD CONCERNING AN INDIVIDUAL FROM AN AGENCY UNDER FALSE PRETENSES SHALL BE GUILTY OF A MISDEMEANOR AND FINED UP TO $5,000.

## KEEP AN ACCURATE RECORD OF:

THE DATE, NATURE, AND PURPOSE OF EACH DISCLOSURE OF A RECORD TO ANY PERSON OR TO ANOTHER AGENCY (EXCEPT FOR DISCLOSURES MADE FOR A CIVIL OR CRIMINAL LAW ENFORCEMENT ACTIVITY IF THE ACTIVITY IS AUTHORIZED BY LAW); AND

THE NAME AND ADDRESS OF THE PERSON OR AGENCY TO WHOM THE DISCLOSURE IS MADE

(THIS SHOULD BE RETAINED FOR AT LEAST 5 YEARS OR THE LIFE OF THE RECORDS, WHICHEVER IS LONGER, AFTER THE DISCLOSURE IS MADE.)

# BEHAVIORAL CONSIDERATIONS: CONVERTING RM TO ELECTRONIC IMAGING ENVIRONMENT

JoAnn Constantini

# A GUIDE TO A HAPPY LIFE

- No one will ever get out of this life alive. Resolve therefore to maintain a reasonable set of values.
- Take care of yourself. Good health is everyone's major source of wealth. Without it, happiness is almost impossible.
- Resolve to be cheerful and helpful. People will repay you in kind.
- Avoid angry, abrasive people. They are generally vengeful.
- Avoid zealots. They are generally humorless.
- Resolve to listen more and talk less. No one ever learns by talking.
- Be chary of giving advice. Wise men don't need it and fools don't heed it.
- Resolve to be tender with the young, compassionate with the aged, sympathetic with the striving and tolerant of the weak and the wrong. Sometime in life, we will have been all of these.
- Do not equate money with success. There are many rich people who are miserable human beings. What counts most about success is the way we achieve it.

# DOCUMENT CONTROL AND RECORDS MANAGEMENT ISSUES IN CONFIGURATION MANAGEMENT

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**STONE & WEBSTER, BOSTON**

Bob Vecchiarello

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Bob has Bachelor's degrees in Accounting and Data Systems Management and a Masters of Business Administration. He is currently a member of the Nuclear Information and Records Management Association and a member of NIRMA's Configuration Management Committee.

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# DOCUMENT CONTROL AND RECORDS MANAGEMENT ISSUES IN CONFIGURATION MANAGEMENT

**Robert N. Vecchiarello**

**Stone & Webster Engineering Corporation**

***ABSTRACT***

***Records and Information Managers serve a number of users and often do so with limited resources and with a poor definition of the user's actual needs. Recent emphasis on Configuration Management and the importance of design bases information to support the modification of existing facilities has resulted in the emergence of the Design engineer as a major user of our services. Records and Information Management programs that were designed solely to support the archiving of historical information often cannot provide easy identification and retrieval of the information and records needed to support design engineering functions. This paper identifies some of the typical problems encountered by design engineering organizations when attempting to locate and retrieve design bases information to support modification of a client's facility. It also provides recommendations to make the records and information management programs more responsive to their needs.***

## INTRODUCTION

In it's role as a Design Engineering firm, Stone & Webster has been involved in a number of facility modification projects for various commercial and government clients. Most of these projects included facilities involved in highly regulated activities. In many cases we found that the client records and information management organizations were not able to provide us with ready identification and access to original design bases information. This information is required to ensure that the modified facility will continue to comply with the approved design criteria and applicable regulatory requirements and commitments.

Before discussing some of the typical situations we have encountered and their solutions, it would be appropriate to review a classical approach to Configuration Management and identify the importance of accurate and timely documentation and information.

## CONFIGURATION MANAGEMENT OVERVIEW

A working definition of Configuration Management, as it pertains to a facility, is:

> *An integrated management process that identifies and documents the physical and functional requirements of a facility, and ensures that the facility is designed, constructed, operated, maintained and modified in accordance with the established requirements.*

The major concept set forth by this definition is that the functional and physical requirements for a facility are documented and that these requirements govern the facility through out its life cycle.

The typical Configuration Management Program contains four essential elements. These elements include:

- Identification
- Change Control
- Status Accounting
- Verification

Configuration Identification includes all of the processes that :

1. Identify and document the requirements to which the facility must be designed, built, operated and maintained.

2. Identify and document those portions of the facility (Configuration Items) critical to its safe and reliable operation. Changes to Configuration Items must be designed and installed with care to ensure that the modified facility continues to comply with approved requirements.

3. Identify and designate, as Configuration Documents, the documents and data bases that contain the information necessary to design, construct, operate and maintain the facility in accordance with the established requirements. Approved changes to the facility are reflected in the current revisions of these documents.

4. The establishment of Baselines which delineate the different phases of the facility's life cycle. The approved configuration is reflected in the baseline documentation. As-built documents are considered to be the approved baseline. As changes are approved and implemented in the facility, the affected as-built documents are revised. The current approved baseline may be reflected in the latest as-built plus change documents that have been installed within the facility but not yet incorporated into the affected documents.

Change Control is the heart of the Configuration Management process. The basic philosophy is that once a baseline has been established (i. e., a document has been approved) no change may be made to the document or the system, structure or component that it represents with without prior approval. Change control includes formal processes that:

1. Identify and fold into the change control program all potential sources of change.

2. Ensure each proposed change is reviewed by participating organizations so that the full impact of the change is identified and included in the change documentation.

3. Each change is reviewed and approved by authorized personnel from the participating organizations.

4. Each change and all activities to implement the change are described in a formal change documentation package.

5. Ensures that each change is implemented, inspected, tested, accepted, personnel trained and all affected documents have been revised to reflect the installed change prior to closure.

The Status Accounting function provides up to date information concerning the configuration of the facility and the documentation that defines and supports the approved configuration of the facility. This information may be contained in manual or computer based information systems. The information contained in these systems includes:

1. Current revision level of configuration documents and outstanding changes to these documents.

2. Identification of regulatory commitments that affect the configuration of the facility.

3. The status of every proposed change from inception through ultimate disposition.

4. Tracking of discrete activities necessary to implement and close the approved change.

Configuration Verification is accomplished in many ways. It may include:

1. Programmatic Assessments.

2. Audits of specific processes.

3. Design Reviews for individual changes or the facility as a whole.

4. Inspection during and after change installation.

5. Testing of the changed system or structure.

6. Facility walkdowns to verify the accuracy of as-built documents.

TYPICAL PROBLEMS

Any discussion about document control and records management problems with regard to Configuration Management would be incomplete without discussing NUREG/CR-5147. This NUREG documents the results of an evaluation of the findings from a series of inspections conducted by the Nuclear Regulatory Commission (NRC) at a number of commercial nuclear power plants. The most interesting result of this evaluation is that the majority of findings at these facilities are directly related to the lack of documentation to support the as-built configuration of the facility and the inability to readily identify and retrieve design bases information concerning the inspected safety systems. These findings are consistent with Stone & Webster's experience with the majority of our clients.

Specific examples of documentation related problems that Stone & Webster has encountered include:

- Inadequate distribution of documents containing design bases and other configuration related information. As a result, users obtain uncontrolled copies of documents and continue to use them after the documents have been revised.

- Difficult to readily identify the current approved revision of design documents. This condition is usually caused by poor document revision control practices and a lack of up to date and accessible document indexes or logs.

- "As-built" documents do not accurately reflect the true configuration of the facility. There are many causes to this type of a situation but generally it is directly attributable to an excessive backlog of installed changes to the facility that have not been incorporated to the affected documents.

- Outstanding changes that have not been incorporated to the affected documents are not adequately identified nor linked to the documents that they affect. This type situation is usually caused by a lack of integrated information systems.

The typical records retrieval problems include:

- Inability to locate records that are identified in indexes, logs, and data bases. Usually a result of poor records collection practices or failure to retrieve "loaned out" records.

- Inability to retrieve stored records in a timely manner. Many of the required records are often from the facility's design and construction phase. These records may still be in the possession of the original design and construction firms. If turned over to the facility owner, they may have been packaged and moved to off-site or remote storage locations to make room for operational phase records in the primary storage facility.

- The existing level of record indexing does not facilitate easy identification and retrieval. This common problem results from the approach that the organization placing the records into the storage facility will identify the indexing necessary for them to retrieve the records when required. Often we find that due to organizational changes over time the submitting organization no longer exists and its personnel transferred, taking their "organizational" memories with them.

- Records are stored in other than ideal conditions often resulting in record deterioration. Deterioration has been observed in all storage media including microfilm.

- Poor records organization in the storage facility. Records stored by record type or by releasing organization often require multiple retrievals in order to assemble all of the information concerning a specific subject or activity.

## IDEAL SITUATION

The ideal records management program is one that adequately merges the historical focus of the program with the concept that while inactive some of these records are not "dead" yet. Records could be classified into two types:

- Results oriented - These are records that prove certain activities were accomplished. These records are generally retrieved either in response to an audit or when doing root cause determination to isolate the cause of a problem.

- Requirements oriented - These are records that identify the requirements and that translate these requirements into manufacturing, installation, testing and maintenance instructions. This type of record will be in demand throughout the facility's life no only to resolve problems but also as the basis for future facility modifications.

Requirement-oriented records important to the design engineer include:

- Licensing Records
- Specifications
- System Descriptions
- Calculations
- Drawings and Diagrams
- Technical Reports, Evaluations, and Analyses

The essential features of an ideal document control program include:

- Timely distribution of documents after release for use.
- Document information systems that are up to date and accessible to users so that the current authorized revision of each document is readily identifiable.
- Processes that allow for the easy identification of approved document changes that have not yet been incorporated to the affected document.
- Application of a graded approach to change incorporation to affected documents. The timeliness of change incorporation should be based on the relative importance of the affected document.

The essential features of a responsive records management program include:

- Pro-active approach to records collection. With the increased use of contractor support for the design, construction and modification of facilities, it is important that the records organization get involved early in the project to define the processes for records turnover.
- Improve the timeliness of retrieval. Identify the records with a high retrieval history or retrieval potential and maintain these records in the on-site storage facility. Records with low potential for retrieval should be shipped out to the more remote storage locations.
- Expand the level of indexing for stored records to improve identification and retrieval of requirements oriented records.
- Improved records storage. If current funding levels preclude physical improvements to existing facilities, then increased record inspection frequency is a viable alternative.
- Organization of stored records based on subject or topic rather than submitting organization or record type. This concept can be achieved through improved indexing techniques rather than by physical arrangement.

**SUMMARY**

The records necessary to support design engineering functions include applicable codes and standards, engineering calculations, design and procurement specifications, and technical reports, evaluations and analyses. These requirements oriented records provide essential date to define a facility's design bases and support future modifications.

Proper management of engineering and design records will assist in the identification, control and evaluation of proposed changes to each facility and its design bases. It is imperative that the records and information systems facilitate both the identification and retrieval of the required records and records related information.

# ELECTRONIC EXCHANGE - ROADMAP TO THE YEAR 2000

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# ELECTRONIC EXCHANGE - ROAD MAP TO THE YEAR 2000

**by**
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The new digital technologies provide magnificent opportunities for innovation; innovation in communication, how we view and handle records and documents, the work-place as well as in our own personal lives.

These technologies also bring new challenges to records managers; how are records to be accessed and retrieved in an environment characterized by a multiplicity of varying electronic formats? How will these electronic records be provided in terms of presentation, that is, will it be paper, microfiche, CD-ROM, magnetic media or braille? Will these records always be accessible; do we need to be concerned about our ability to access a record that is frozen in a particular proprietary format that may have five version changes since that particular record was created? While some of us may not need to be concerned about these issues in the short-term, these issues are out there and they are going to impact, with some force I suspect, how the business of Records Management is conducted in the year 2000.

**The Department of Energy, Office of Scientific and Technical Information is taking the lead to ensure accessibility and** exchangability of Scientific and Technical Information through the implementation of standards like the Standard Generalized Markup Language (SGML) within the Department of Energy, Scientific and Technical Information community.

The objective of this paper is to describe specific issues and concerns that are very relevant to Records Managers in this new digital environment that we are rapidly moving to and, perhaps, provide some directions in how we can ameliorate some of the more onerous pitfalls that we may find along the way.

The technological advances in digital telecommunications have created a dizzying number of ways to communicate at extremely high speeds over long distances. The reason is that computers pass data back and forth at rates that would quickly tire the most talkative person. In this country, supercomputers linked by the fastest parts of Internet can communicate at a theoretical 45 megabits per second. Although inefficiencies mean this rate is not quite reached in practice, the network's speed is already comparable to the 20 megabits or 80 megabits a second at which data typically move about within a single computer.

Networks are the tools to let users, as well as machines communicate. Networks are moving electronic mail, multimedia

mail, graphics, video, audio full-text information and data in tremendous quantities and in a babel of formats. The Internet is the world's largest computer network linking several million people through more than 750,000 hosts scattered all over the world. Meanwhile, we, on the whole, treat this glut of full-text information as if it were something other than processable data, something that is not sympathetic to a structured and managed approach.

We generate sophisticated and complicated structures and algorithms to process and manage data in the way that we would like and to look the way we would like. Databases of data residing in fields and records wait to be combined or joined in ways governed by some preexisting algorithm and structure. Worldwide reservation systems, ATMs, and targeted mailing lists (the Publishing Clearing House Sweepstakes for example) are a few of the ways we automate textual information. This is just the way we process and manipulate data. We are, however, swamped with unmanageable quantities of full-text information, so much so that our computers, who are neural networking behind our backs, are holding seminars on the network on how to deal with difficult and inefficient users and asking embarrassing questions as to how do we plan to manage this proliferation of electronically generated full-text information.

**The format of choice for electronically generated full-text information seems, whether by choice or default, to be the** American Standard for Information Interchange (ASCII). We are seeing the beginnings of an explosion of electronic full-text documents accessible on-line, through the Internet, and via other information transport media. These documents, however, are linear strings of words and pictures, with no inherent organization below the file level. There are currently two to three hundred electronic serials currently in existence, ranging from scholarly reviews to electronic newspapers.

With the advent of World-Wide-Web and Mosaic, and other evolving technologies oriented toward publishing full-text electronic documents, we will see at least 5,000 to 20,000 electronically accessible electronic serials and millions of electronic documents that can be read electronically, and this is, of course, in addition to their dissemination via paper and other means. With our relatively short experience with the World-Wide-Web and Mosaic, we can certainly extrapolate that there will be a flood of electronic versions of every conceivable here-to-fore printed matter that was ever written, from the classics to comics.

The current methods of managing this information is through bludgeoning it with computer resources; massive database storage to hold massive indexes, massive CPU time to search, an analysis

group to index and determine keywords, rekeying data to create abstracts, massive network bandwidth that is required to access a paragraph contained in a book that contains five hundred pages (you can't just have the paragraph, you have to download the entire book). Unlike the data that I referred to before, the great majority of this information is encoded in unstructured, linear ASCII. If you didn't know, to a computer. ASCII is just a bunch of meaningless code mashed together in a peculiar way; there is no way for a computer to discriminate between an author, a paragraph, an abstract or a summary, for example - in other words the things that would make sense to a computer are simply not there. We seldom manipulate text below the file level, that is, we find the document file we want, access it and then cut and paste or rekey information into our other documents.

There really isn't a whole lot there that a computer can discern from ASCII unless it is subject to the kind of computer resource bludgeoning I was referring to earlier . We certainly want to process ASCII text in the same way that we process data, look at all the computer resources that we expend on it to do it now, but we do not seem to see the connection that those automatable techniques used to process data can also be used to process text. The information that resides in our scientific journals, in our academic dissertations and research journals is extremely valuable information that requires accessibility for use and reuse over time and the way we currently access and process that full-text information is, sad to say, archaic.

While ASCII is one of the few universal standards that is application and platform independent, what about all those other text formats? If you ever pulled down the Format menu in the Save As Window in your favorite wordprocessor you will find a list of text formats, some of which, you never even heard of before, that are tied to a particular software application and a particular version of that software. The software industry seems to be insistent upon continuing to produce new proprietary formats, in their quest to become the next defacto industry standard, with new iterations every six months, that communicate with a couple of versions downward of their own software and not with anyone else.

Anyone who has shared full-text documents electronically can relate to the difficulties of taking another persons information and accessing it through your brand of word-processing software to find an unstructured jumble puzzle of words and the, sometimes, hours it takes to rekey or convert and re-arrange words so that the structure of the document makes sense. We spend entirely too much, otherwise productive, time engaged in our second jobs of engineering conversion or translation strategies to go from one wordprocessing format to another, so that we can ensure that we did not lose the Courier 10cpi bolded font and structure that we wanted.

We spend an inordinate amount of time and money worrying about formats, when it is the information, the content, that is of paramount importance. We slavishly, and on cue, pull out our wallets for the latest iteration of Brand X word processing software, probably because it has conversion software for the latest iteration of Brand Y, that your colleague insists on using, and has the latest fonts that you enjoy using when writing memorandums to your boss.

With the appearance of so many dissemination alternatives to arrive on the scene, for example: paper, on-line via the Internet, magnetic media, and CD-ROM to name a few, are we going to reformat and reconstitute the information to satisfy each of these alternatives? Unfortunately the answer, now, seems to be yes.

Flexibility in communication is required now that there are so many digital alternatives to how we can create and disseminate information.We cannot be limited to single use documents, made on brand X wordprocessor; it is too expensive to take that information and use it elsewhere; we want to use an reuse that information without digging up a vintage wordprocessor application to unlock it. The information in documents become, in effect, frozen in a way that does not allow reuse or analysis. With the capability to communicate and collaborate with our colleagues across the globe,or even from office to office, there must be a standard to share and exchange information that is software application and platform neutral. We want to have the capability of storing documents in a database and formatting them in electronic form, in printed form or even in braille.

It is a rather grim picture that I have painted of the way we currently exchange and access information - sad and true. But as my Irish father would say - there is hope for us yet.

To get into document based information through software tools, there must be structure identified in the document in an explicit and machine-readable way. These documents should be accessible across heterogeneous computing platforms and applications and subject to a standard methodology for determining a document content model, a syntax for describing the model and marking document contents. Standard Generalized Markup Language was developed to remedy this rather grim scenario I have so dismally painted here.

SGML was designed by Dr. Charles Goldfarb to enable and facilitate the exchange of documents in an environment where the expectation is that computing platforms and software applications are different and the informational value of these documents can be maximized in an automated processing environment. One of the primary driving forces behind the development of SGML was to free publishers from the autocratic and arbitrary rule of expensive

proprietary languages. Another impetus was the desire to create electronic products without repetitious editorial effort, that is, to prepare content once in a form that is suitable for both printed and electronic documents. Additionally, the growing recognition that information may well last longer than the computer or software used to produce the information.

SGML is an international standard (ISO 8879) and it is also a Federal Information Processing Standard (FIPS 152). It has been adopted by the legal and financial community, the automotive industry, the commercial airline industry, the Security and Exchange Commission, the pharmaceutical industry, the Department of Defense and, of course, the Department of Energy, to name a few.

While SGML is not a specific set of tags, it is, rather, a methodology and a language for describing the structure of a document. Any document can be described in terms of structure and SGML can describe any document that has structure. SGML is inherently flexible because it can describe any document structure. An SGML document consists of only three elements: the SGML Declaration, the Document Type Definition and the Document Instance. The SGML Declaration establishes the character set and syntax that will be used to describe the document; it lets the user to determine the base character set, the data encoding method (ASCII is the most commonly used) and the maximum length of the tag names for example.

The Document Type Definition, or DTD, describes the structure and content elements of a document. An application, that complies with the SGML standard, interprets and processes the tags and text contained in the document. The DTD also establishes the relationship between tags that occur in a document. There are also tags that may qualify the meaning in a tag. These attribute tags add intelligence to the data in an SGML document. For example an attribute tag may be a classification for a particular portion of text; only those portions of text with an appropriate classification may be read by someone with the commiserate level of clearance and need-to-know in an electronic document, for example. The Document Instance is the marked-up document. These pieces of an SGML application can reside physically together or separately. While the SGML standard addresses text only, graphical information is dealt with via external entity references.

To establish a productive SGML system, a number of things must be considered. An SGML system refers to a suite of computer applications that address the creation, processing and production of SGML applications. An input system is required for creating SGML documents. This can entail a simple ASCII text editor (difficult but possible) or one of the editing applications specifically designed for creating SGML document instances. There

are a number of these on the market today; WordPerfect, Datalogic, ArborText and SoftQuad are all making SGML editing applications that are easy to use and keep the SGML encoding aspects of the process behind the scenes where it belongs. An SGML parser is also necessary for validating the SGML document instance against the structural rules established in the Document Type Definition. We have been using a public domain parser called SGMLS and most SGML editors have a parser bundled with the their editing software.

A Document Type Definition describes the structural rules associated with specific classes of documents. There are a number of Document Type Definition creation applications also being marketed today. For example Near & Far by Microstar is a Document Type Definition utility in which the practitioner is called a Computer Aided Document Engineer. This is a rather important sounding title for someone that creates Document Type Definitions. SoftQuad, Frame and Interleaf, to name a few, also have Document Type Definition utilities that ease this process.

A means to translate the document instances into a specific output application is also necessary. This is taking the SGML document instance and creating a formatted output. The formatted output could be a paper document or an electronic document viewed over the Internet. While the output specification standard is yet to be resolved by the international standards bodies, there are a number of approaches being taken to address this area. Electronic Book Technologies, Westinghouse Pathways, Interleaf's Worldview and Adobe Acrobat, to describe the short list, all have the necessary technology to create formatted representations of the SGML data. We are finding SGML does allow multiple output alternatives without a great deal of difficulty associated with the conversion process. For example we took an SGML document and created a Hypertext Markup Language (HTML) document for viewing through Mosaic, processed the same SGML document through the Interactive Authoring and Display System (a hypermedia SGML viewer) and, in addition, created a WordPerfect paper document, all from the same SGML source document.

SGML is still an emerging technology; the SGML products that are being developed by vendors are still immature children waiting to come of age. When they reach the maturity of products like MicroSoft Word or Novell's WordPerfect, we will see the same sophistication without the view into the complexity of what is really occurring behind the Windows interface. When the makers of proprietary software recognize our need for interoperable applications, this will enable us to share our information effortlessly and freely. When we are not driven to freeze our information in proprietary formats, then, and only then, can we say that we own the information we create.

The issues that have been described here are nudging the publishing vendor community and the user community slowly to 'open' solutions, such as SGML. As a community that has a stake in the life-cycle management of documents, Records Managers will play a key role in whether or not we travel the enlightened path to Open Standards or whether we travel down the road of proprietary standards to a destination that will never be achieved.

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# ELECTRONIC EXCHANGE - ROAD MAP TO THE YEAR 2000

Robert Donohue
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# OBJECTIVES

- ISSUES AND CONCERNS RELEVANT TO DOE RECORDS MANAGERS
- IDENTIFY THE PITFALLS AND PROVIDE ALTERNATIVE DIRECTIONS

- THE INTERNET IS MOVING TREMENDOUS QUANTITIES OF INFORMATION IN A BABEL OF FORMATS

- YET WE TREAT THIS INFORMATION AS SOMETHING OTHER THAN MACHINE-PROCESSABLE DATA

- WE CAN PROJECT THAT 5,000 TO 20,000 SERIALS AND MILLIONS OF DOCUMENTS WILL BE ACCESSIBLE VIA ELECTRONIC MEANS

- HOW WE CURRENTLY PROCESS FULL-TEXT INFORMATION DOES NOT MAKE SENSE TO A COMPUTER

- THE MULTIPLICITY OF TEXT FORMATS CREATES OBSTACLES TO ACCESSIBILITY FOR USE AND REUSE OVER TIME.

- TOO MUCH TIME AND MONEY IS SPENT WORRYING ABOUT CONVERTING PROPRIETARY FORMATS WHEN IT IS THE INFORMATION THAT IS IMPORTANT

- FLEXIBILITY IS REQUIRED SINCE THERE ARE MANY DIGITAL ALTERNATIVES AS TO HOW WE CAN CREATE, STORE AND DISSEMINATE ELECTRONIC DOCUMENTS

- WE WANT THE CAPABILITY OF STORING DOCUMENTS IN A DATABASE AND FORMATTING THEM IN ANY WAY DESIRED

- TO GET INTO DOCUMENT BASED INFORMATION THERE MUST BE STRUCTURE IDENTIFIED TO BE MACHINE READABLE

- DOCUMENTS MUST BE ACCESSIBLE ACROSS DIFFERENT COMPUTING PLATFORMS AND APPLICATIONS

- THERE MUST BE A STANDARD WAY OF CREATING THESE DOCUMENTS

- STANDARD GENERLIZED MARKUP LANGUAGE WAS DESIGNED TO FACILITATE THE EXCHANGE OF DOCUMENTS

- FREE PUBLISHERS AND USERS FROM THE ARIBITRARY RULE OF PROPRIETARY LANGUAGES

- CREATE ELECTRONIC DOCUMENTS WITHOUT REPETITIOUS EDITORIAL EFFORT

- THE RECOGNITION THAT THE INFORMATION WILL LAST LONGER THAN THE APPLICATION OR PLATFORM THAT CREATED IT

- STANDARD GENERALIZED MARKUP LANGUAGE IS AN INTERNATIONAL STANDARD (ISO - 8879) AND A FEDERAL INFORMATION PROCESSING STANDARD ( FIPS 152)

- SGML HAS BEEN ADOPTED BY A BROAD CROSS SECTION OF GOVERNMENT AND PRIVATE INDUSTRY

- IT IS A METHODOLOGY FOR DESCRIBING THE STRUCTURE OF A DOCUMENT

- AN SGML APPLICATION CONSISTS OF THREE : SGML DECLARATION; DOCUMENT TYPE DEFINITION; DOCUMENT INSTANCE

## AN SGML SYSTEM INCLUDES:

- SGML EDITOR
- SGML PARSER
- DTD UTILITY
- SGML DELIVERY SYSTEM

# SGML IS STILL AN EMERGING TECHNOLOGY

- RECOGNIZES OUR NEED FOR INTEROPERABILITY

- UNFREEZES OUR INFORMATION FROM PROPRIETARY FORMATS ALLOWING US TO ACCESS IT OVER TIME

- RECORDS MANAGERS WILL PLAY A KEY ROLE IN DECIDING WHICH PATH WE TAKE

  - THE ENLIGHTENED PATH - ONE IN WHICH THE LIFE-CYCLE MANAGEMENT OF RECORDS IS ASSURED THROUGH THE USE OF OPEN SYSTEMS APPLICATIONS - SUCH AS SGML

  - THE PATH OF PROPRIETARY STANDARDS WHERE THE GOAL OF LIFE-CYCLE MANAGEMENT OF RECORDS WILL NEVER BE ACHIEVED

# CONFIGURATION INFORMATION MANAGEMENT: QUALITY AND COST SAVINGS

**Michael Morris**
**MILLICAN & ASSOCIATES, INC.**

Michael Morris

Michael of Millican & Associates, Inc. is a Registered Professional Engineer and has an M.S. in Nuclear Engineering and a B.S. in Mechanical Engineering. He has over 20 years of management and technical experience in nuclear plant engineering, strategic planning and control, integrating information systems plans with corporate strategy, and formulating and implementing modern information systems. He has been intimately involved in the configuration management programs at four commercial nuclear power plants and the information and records programs at three Department of Energy sites.

# Configuration Information Management: Quality & Cost Savings

## DOE Records Management Conference

Michael L. Morris
Millican & Asociates, Inc.

June 23, 1994

# CONFIGURATION MANAGEMENT

**Configuration Management, in simple terms, is keeping your Records/Engineering documentation consistent with the physical world.**

**Many elements are associated with Configuration Management, but one key to effective Configuration Management is a set of systemic controls to keep information up-to-date and accurate.**

# RECORDS MANAGEMENT

## OLD RULE

- Records Management is Filing Archival Records away in Records Centers

## NEW RULE

- Records Management is the Foundation for Enhancing and Preserving Information

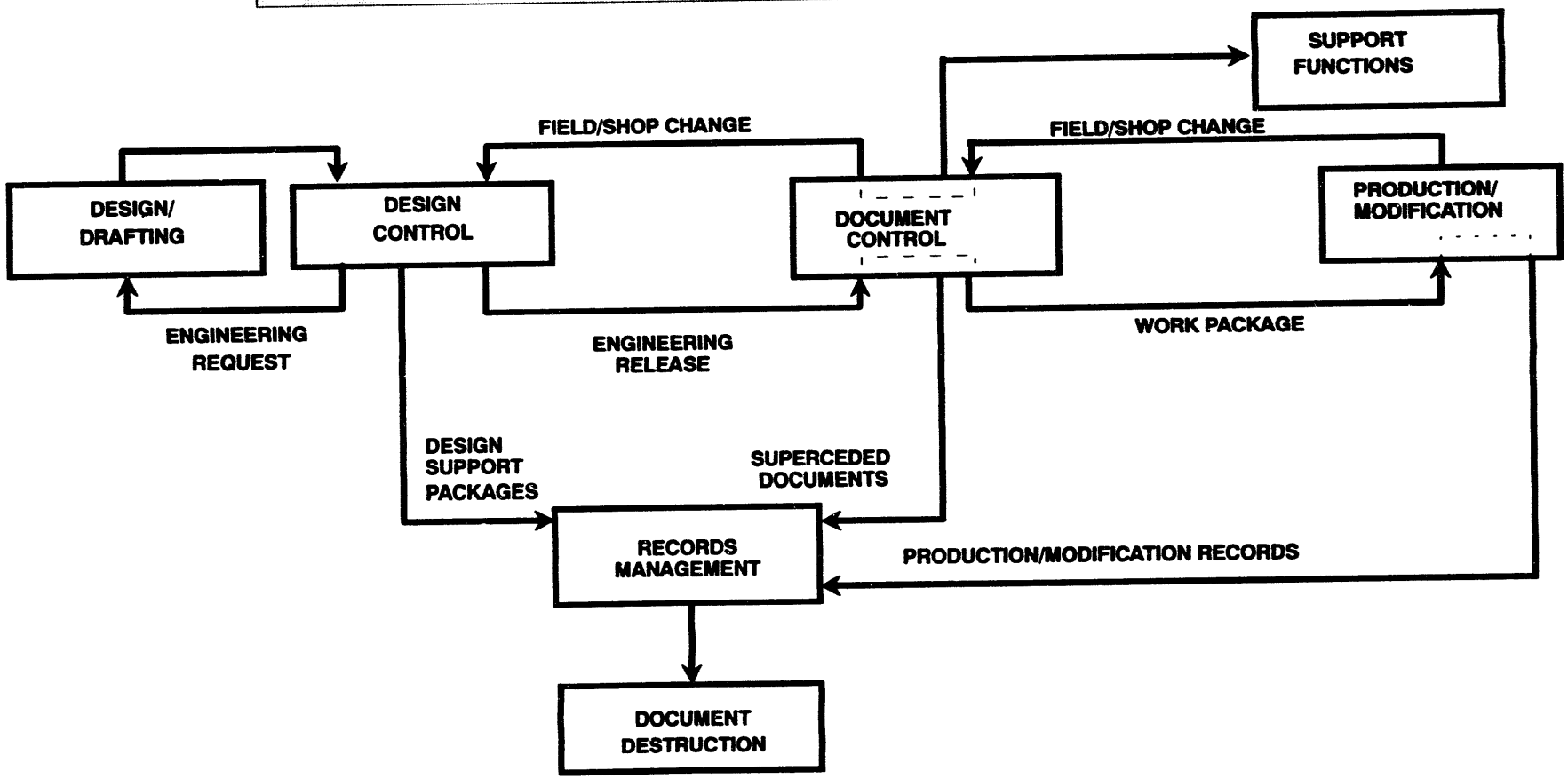
# CURRENT DRIVERS

- Speed of Access/Mission Critical Decisions
- Competitive Advantage
- Technology/Re-engineering
- Remote Access to Information
- Storage Space
- Regulations

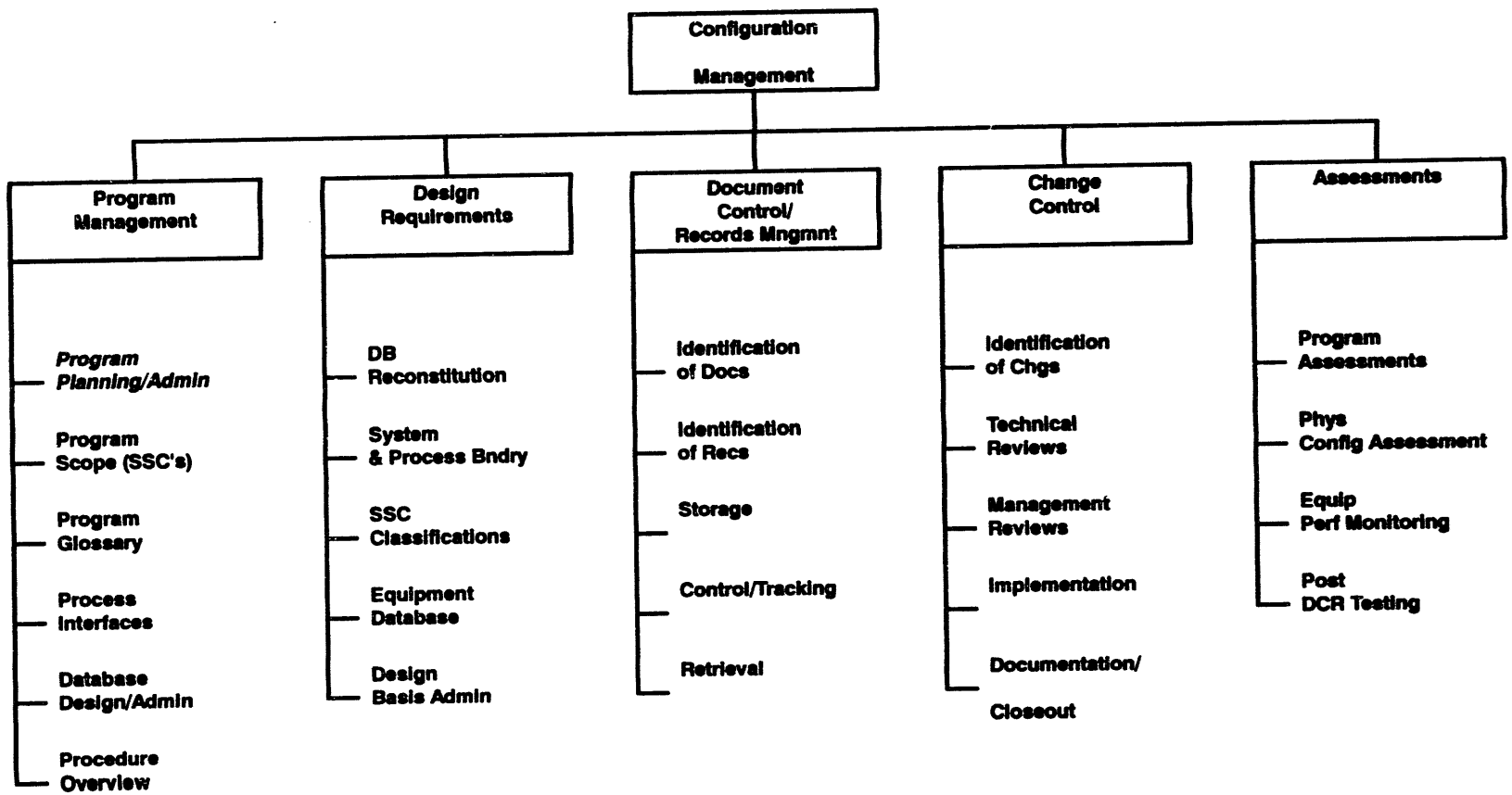
# WHAT DOES CM MEAN TO RM?

- Configuration Management critically depends on Records Management
- Opportunity to link to mission critical activities
- Justification for funding RM program enhancements
- Primary responsibility many times given to technical organizations

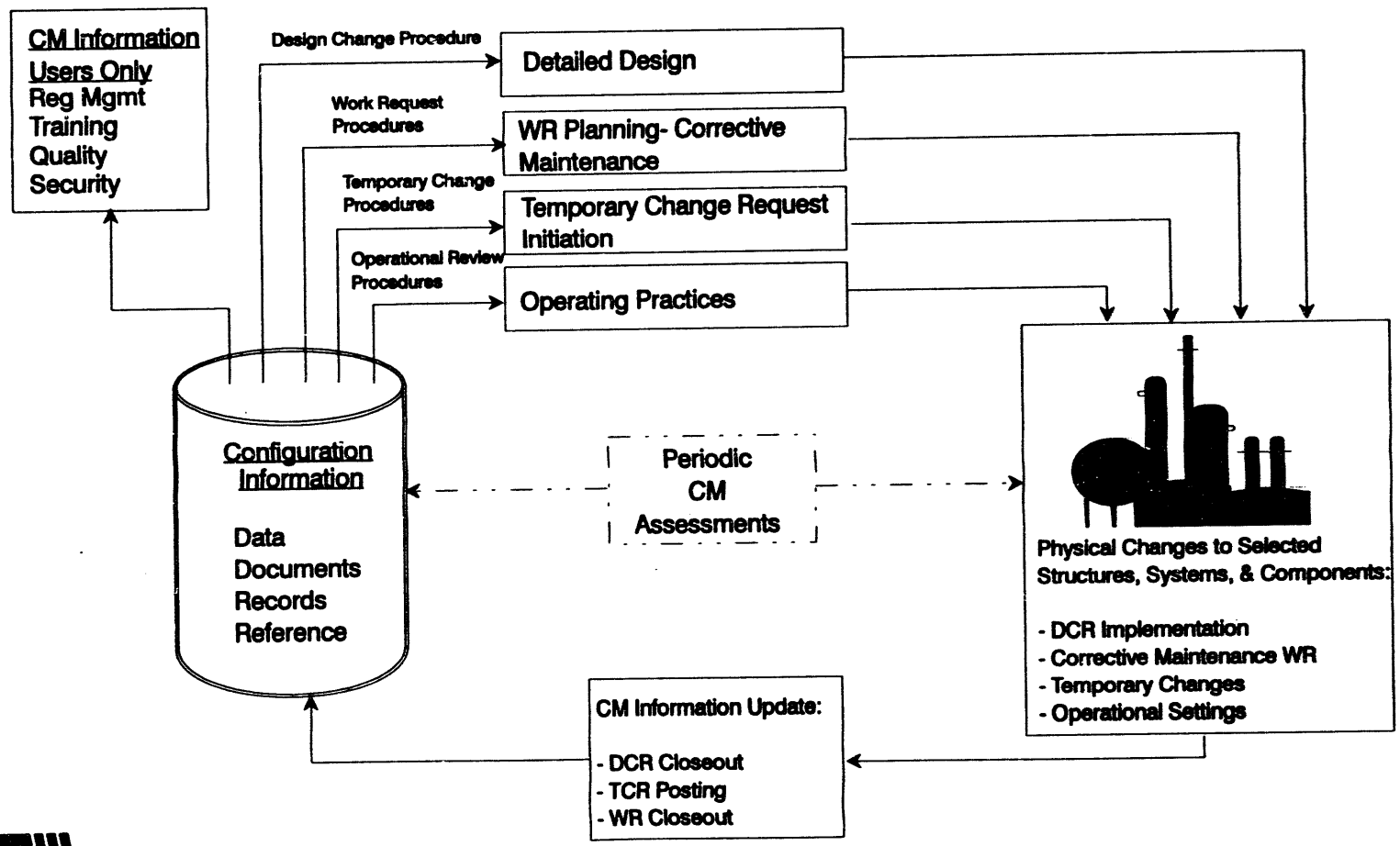
# ENGINEERING DOCUMENTATION SYSTEMS



# CONFIGURATION MANAGEMENT
## PROGRAM ELEMENTS

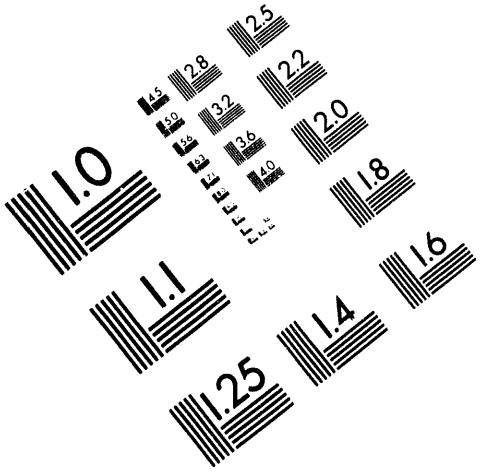


# CONFIGURATION MANAGEMENT SCHEMATIC



# Focus on Process

| Requirement (ANSI N45.2.11 thu ECP 4.14) | Documents | Information Sources Data | Records | Reference |
|---|---|---|---|---|
| 1. Basic functions of each structure, system, and component. | Design Basis Documents<br>USAR<br>USAR Updates in Process<br>Drawings | Design Basis Index<br>USAR (Zyindex) | Design Support Pkgs | CFR |
| 2. Performance requirements such as capacity, rating, system output. | Design Basis Documents<br>Drawings | | Test Results | |
| 3. Codes, standards, and regulatory requirements. | USAR<br>USAR Updates In Process | USAR (Zyindex)<br>Commitment Tracking | Inspection Reports<br>Construction Records | Industry Codes<br>CFR |
| 4. Design conditions such as pressure, temperature, fluid chemistry,and voltage ( including the requirements imposed by the EQ plan. | Drawings<br>EQ Plan<br>USAR/Tech Specs<br>Design Basis Documents<br>Vendor Manuals<br>Engineering Specifications<br>Analysis/Calculations<br>USAR Updates in Process | Equipment Database | Operating Logs<br>Performance Tests | |
| 5. Loads such as seismic, wind, thermal and dynamic | USAR<br>Analysis/Calculations<br>USAR Updates in Process | Analysis/Calculations<br>(Computerized) | Site exploration studies | USGS Data<br>U. S. Weather Service |
| 6. Review the proposed modifications impact on existing plant equipment. | Drawings<br>Vendor manuals<br>EQ Plan<br>Design Basis Documents<br>Ops/Maint Procedures | Equipment Database | Work Requests<br>Failure Reports | |

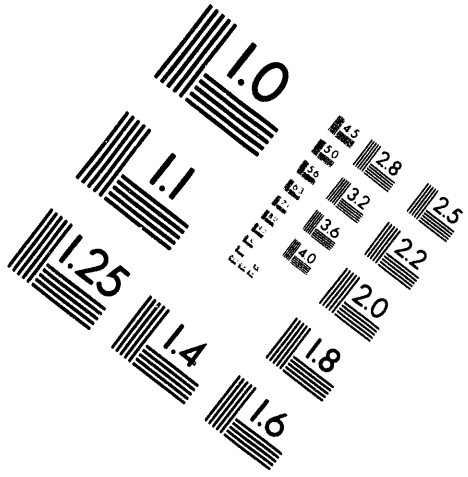


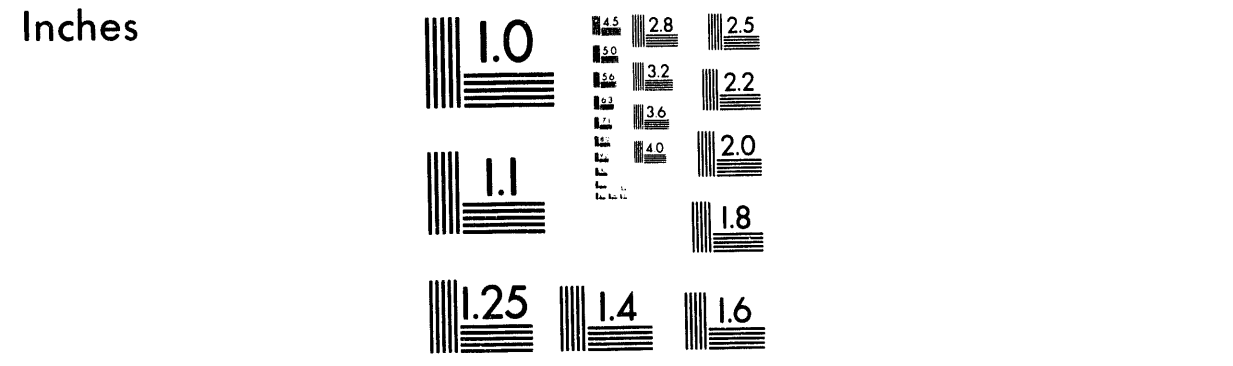


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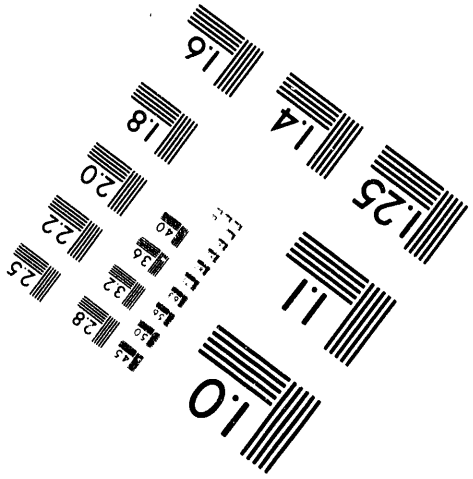
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Silver Spring, Maryland 20910

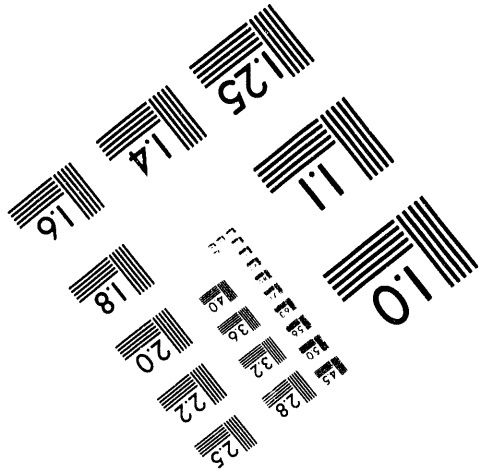
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# Information Control & Use

| Information Source | Location(s) | Access | Media | Owner | Retrieval Tool | Change Control | Statusing Tracking Tool |
|---|---|---|---|---|---|---|---|
| **Documents** | | | | | | | |
| Administrative Control Directives (1) | RESOURCE CENTER | SELF | HARDCOPY | VAR | HARDCOPY INDEX/PITS/PPFIS | ACD 2.2/NAD 5.1 | NONE |
| Analysis/Calculations (manual) | QA VAULT | VAULT ASSISTANT | HARDCOPY AND MICROFILM | NES | DBDS | GNP 4.3.4 | NONE |
| Appendix R Design Description & Fire Protection Program Analysis (1) | RESOURCE CENTER | SELF | HARDCOPY | FIRE PROT | HARDCOPY INDEX | NONE | NONE |
| Design Criteria Documents | RES. CENTER | SELF | HARDCOPY | NEC | DBDS | NAD 5.2.7 | N/A |
| Drawings (2) | RESOURCE CENTER | REVIEW APERTURE CARD | MICROFILM | NEC | DRAWINGS DB | NAD 5.1 | EQUIP DB |
| **Data** | | | | | | | |
| Analysis/Calculations (computer) | NES TRAILER | PC OUTSIDE K. HOOP'S OFFICE | ELECTRONIC | NES | CAPTOR/DAPPER | GNP 4.3.4 | |
| Commitment Tracking | RESOURCE CENTER (REPORTS) | SELF HARDCOPY | HARDCOPY | LICENSING | HARDCOPY INDEX | NAD 5.25 | |
| DCR Tracking (2) | RESOURCE CENTER (WORKSTATION) | REPORTS FROM DCR CLERK | ELECTRONIC | PROJECT MGNT | TRACKING DB | NAD 4.3 | |
| Design Basis Database | WORKSTATION | SELF | ELECTRONIC | NEC | DB DATABASE | GNP 5.27.7 | |
| **Records** | | | | | | | |
| Audit Results (2) | QA VAULT | VAULT ASSISTANT | HARDCOPY | QA | HARDCOPY INDEX | QA DIRECTIVES | |
| Budget Information (2) | RESOURCE CENTER | SELF HARDCOPY | HARDCOPY | VAR BUDGETING | HARDCOPY INDEX | NONE | |
| DCR Information (2) | QA VAULT | VAULT ASSISTANT | HARDCOPY | ENGINEERING | HARDCOPY INDEX | NAD 4.3 | |
| **Reference** | | | | | | | |
| CFR(1) | RESOURCE CENTER | SELF/HARDCOPY | HARDCOPY | NONE | HARDCOPY INDEX | NONE | |
| Codes & Standards (1) | RESOURCE CENTER | SELF/HARDCOPY | HARDCOPY | NONE | HARDCOPY INDEX | NONE | |

# Summary

Configuration Management provides an opportunity for Records Managers to:

- More closely link RM with mission critical functions.
- Significantly reduce the costs of CM related functions: Engineering, Maintenance, & Operations.
- At the same time, improve the quality of performance.
- Aid in funding RM needs which alone are difficult to justify.

# RECORDS MANAGERS AND NOW INFO. MANAGERS; ENSURING QUALITY OF INFO IN DATA BASES

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*Presented at the American Society for Quality Control*
*46th Annual Quality Congress, May, 1992, Nashville, Tennessee.*

# AUDITING ENVIRONMENTAL DATA SYSTEMS

Jeffrey C. Worthington, Director of Quality Assurance; Stephen A. Coll, Staff Associate; TechLaw, Inc,; 12600 West Colfax, Suite C310, Lakewood, Colorado 80215; 1991.

## ABSTRACT

The purpose of environmental data collection is typically to produce data of known and documented quality which are scientifically sound and legally defensible. The performance of quality assurance audits assists both data producers and data users in the assessment of the ability of field and laboratory personnel to produce data that meet that purpose.

The areas that are reviewed by the authors have included both technical criteria and evidence criteria. Many existing audit programs do not address issues regarding integrity of computer-resident data. In the past ten years, there has been a trend to use computers in both data acquisition and data use. Computers may also be used to develop and submit data deliverables on disk format or via direct electronic transfer.

Because of the increasing use of computers in data collection efforts, and concerns regarding use of computers to report fraudulent data to the Federal government, the Environmental Protection Agency (EPA) Office of Information Resources Management (OIRM) has been addressing these issues through development of Draft Good Automated Laboratory Practices (GALP).

In order to assist quality assurance professionals interested in conducting audits of computer-resident data (in environmental data systems), the authors have developed an audit approach based on the requirements provided in the Draft GALP and their experience in conducting over one hundred-fifty quality assurance audits. This approach includes a summary of requirements, a checklist, and plans for corrective action.

## INTRODUCTION

In the past, the primary area of concern to data users was integrity and correctness of the scientific method used to obtain data. Environmental data is collected both in the field during observations and monitoring of all media as well as in laboratories when samples are submitted for analyses. These data often then reside in an environmental data system (EDS) of the user's own design. They ultimately may then be input into larger data systems for reporting to government agencies.

Environmental data users rely on data integrity and data authenticity in verifying compliance to regulations, determining violations, characterizing environmental conditions, monitoring changes in the environment, and developing exposure levels for specific substances.

With the increasing use on computers, quality assurance professionals have recognized the need to monitor the quality of not only the method of acquiring environmental data, but also the EDS.

The Draft GALP, which were developed specifically for environmental laboratories, are referenced as a starting point in this paper for planning and conducting audits of EDSs.

The following Text section includes a discussion of EDSs, a review of Draft GALP, proposed requirements for use during EDS audits, a method to develop a checklist, an approach to planning and conducting EDS audits, and a proposed method for developing EDS audit reports and implementing corrective action.

## TEXT

*Environmental Database Systems*

EDSs typically consist of computer software, computer hardware, and data resident in computer memory or stored in retrievable format (e.g., disks or tapes). Private parties, government agencies, and contractors may invest a great deal of resources, both time and money, in developing EDSs and collecting environmental data that are entered into EDSs.

After hardware is purchased, software is selected or designed to meet needs of EDS users. Data may be entered into EDSs through the following means: entering data directly; uploading stored data in retrievable format delivered to EDS physical location; accessing data remotely and uploading the data to the EDS; and acquiring data directly via link to environmental monitoring devices.

The data in each EDS may also be reported to other systems at some time in the future.

*Review of GALP*

The Draft GALP was developed by the EPA OIRM. Rick Johnson of OIRM directed several contractors in surveying of the use of computers in laboratories as well as research into methods used by other industries (e.g., banking) to ensure the integrity of computer-resident data.

The Draft GALP was designed to assure a high standard of quality for computer-resident laboratory data produced in support of EPA programs. They are a union of two of EPA's directives. The Draft GALP extend regulations that govern laboratory management practices, Good Laboratory Practices (GLP), to automated operations by incorporating EPA's established principles for protecting integrity of computer-resident data.(1)

Procedures are recommended in Draft GALP for laboratories to follow in automating their operations to assure that computer-resident data are accurate and acceptable. The December 1990 Draft GALP document is divided into two sections. Section I is the good automated laboratory practices. Section II includes Draft GALP implementation guidance. The following is a review of Section I of the Draft GALP document, which covers the following general areas:(1) Personnel, Laboratory Management, Responsible Person, Quality Assurance Unit, Facilities, Equipment, Security, Standard Operating Procedures, Software, Data Entry, Raw Data, Records and Archives, Reporting, and Comprehensive Ongoing Testing.

For each of the above areas, the Draft GALP include specific guidance and describes specific responsibilities. Many of the requirements proposed in this paper are based directly on information provided in the Draft GALP. The information has been modified to be consistent with EDSs that may not be in the laboratory. The information was also re-ordered to be more consistent with the chronological conduct of an audit.

*Development of Requirements*

Information organized in the Draft GALP was used as the basis for requirements proposed here. Some requirements were added by the authors and those Draft GALP requirements which were specific to laboratories have been either deleted or modified to include EDSs. The requirements are proposed in two parts. Part 1 is Procedures and includes sections on management and personnel, physical systems, software and data integrity, and documentation. Part 2, is Written Standard Operating Procedures.

**Part 1 - Procedures**

*Management System and Personnel*

1. Management personnel shall ensure that a "Responsible Person" is designated to be responsible for all EDS functions. (These functions are provided in requirement 4.)

2. Management personnel shall ensure that a Quality Assurance Unit oversees EDS functions. (Quality Assurance Unit responsibilities are provided in requirements 10 and 11.)

3. Management personnel shall receive reports of quality assurance inspections or audits of EDSs and take corrective actions that demonstrate any deficiencies have been corrected.

4. The roles and responsibilities of the Responsible Person shall include but not be limited to: ensuring there are sufficient personnel with adequate training and experience to supervise, conduct, design, and operate the EDS; verifying the continued competency of staff who design or use the EDS through documentation of training, work performance reviews, and demonstration of requisite skills; assessing potential security risks and implementing necessary security procedures; developing and updating complete and accurate written SOPs for the EDS which are readily available to all staff; and correcting and documenting the correction of all problems with the EDS.

5. The EDS shall be operated by sufficient personnel with adequate training and experience to supervise, conduct, design, and operate the system.

6. Training records shall be maintained for personnel operating the EDS.

7. Work performance reviews and skill tests shall be routinely conducted for personnel operating the EDS.

8. Problems with the EDS shall be identified and corrected. The corrective action(s) shall be documented.

9. A comprehensive test of overall EDS performance, including documentation review, shall be conducted at least once per year. The tests shall be documented and available for inspection by the Quality Assurance Unit.

10. The Quality Assurance Unit shall maintain current written EDS SOPs.

11. The Quality Assurance Unit shall perform inspections of the EDS and submit properly signed records of each inspection to both management and the Responsible Person including the following:

    Specific items reviewed during the audit, determinations that deviations from written SOPs were made with proper authorization and approval, determinations of system output accuracy, person performing the inspection, findings and observations of problems, recommended corrective action(s), dates for any planned re-inspections.

*Physical System*

12. The facility used to house the EDS shall have provisions to regulate environmental conditions (e.g., temperature, humidity, adequacy of electrical requirements) adequate to protect the EDS against data loss due to environmental problems.

13. Adequate storage capability shall be provided to ensure storage of raw data, including archives of computer-resident data.

14. EDS equipment used in the generation, measurement, or assessment of environmental data shall be of appropriate design and adequate capacity to function according to specifications.

15. EDS equipment shall be suitably located for operation, inspection, cleaning, and maintenance.

16. EDS equipment shall be installed according to manufacturer's recommendations. Acceptance testing of new EDS equipment shall be performed and documented.

17. Personnel responsible for testing, inspecting, cleaning, and maintaining EDS equipment shall be designated.

18. Routine maintenance of EDS equipment shall be scheduled, conducted, and documented.

19. Non-routine repairs shall be documented in an EDS maintenance logbook and shall include but not be limited to the following information:

    How and when the problem(s) occurred, remedial action(s) taken in response to the problem(s), acceptance criteria to ensure return of the repaired system, the name of the person who performed the non-routine repair(s).

20. Backup and recovery procedures which ensure that EDS operating instructions can be recovered after a system failure shall be performed on a routine basis.

*Data Integrity and Software*

21. Personnel responsible for EDS hardware and software security shall demonstrate that security procedures have been established for EDS data based on the following criteria:

    - Designation of EDS confidential data requiring protection from unauthorized disclosure.
    - Designation of EDS data whose integrity must be protected from unintentional error or unintentional fraud.
    - Determination that the EDS performs time-critical functions which may directly impact data quality, EDS monitors quality control criteria critical to timely release of environmental data, or EDS generates reports critical to timely data submission.

22. Physical access to areas where secure EDSs are located shall be limited to those personnel with specifically documented authorization.

23. Software for secure EDSs shall limit access to both data and functions for those personnel with specifically documented authorization utilizing appropriate software security techniques (e.g., log-ons, restricted passwords, call-backs on modems, voice prints, fingerprints, etc,).

24. EDS operational integrity shall be protected from the introduction of external programs/software (e.g., to prevent introduction of viruses, worms, etc.).

25. The individual responsible for direct data input shall be identified at the time of data input.

26. The identify of any monitoring equipment or environmental analysis instrument transmitting data to the EDS shall be identified. The time and date of transmittal shall be recorded.

27. Any change in data entries shall not obscure the original entry, shall indicate the reason for the change, shall be dated, and shall identify the individual making the change.

28. The accuracy of manually entered data, electronically transferred data, and data acquired from instruments shall be verified through inspection. The inspection shall be documented.

*Documentation and Reporting*

29. Raw data collected, analyzed, processed, or maintained on an EDS are subject to records storage and records retention requirements. Raw data are defined as data that cannot be easily derived or recalculated from other information. EDS raw data shall be identified.

30. Documentation records for any activity relating to the EDS shall include:

    Identification of the activity; person responsible for recording the activity; the date of the activity; and the organization responsible for the EDS.

31. EDS records shall be kept in a sequentially numbered logbook (bound or unbound).

32. Report documents produced by the system shall be inspected on a routine basis to ensure accuracy of the information reported.

33. Data that is electronically reported shall be inspected on a routine basis to ensure accuracy of the information reported.

34. Data that is electronically reported shall be provided on standard magnetic media (i.e., magnetic tapes or floppy disks) and shall adhere to standard requirements for record identification, sequence, length, and content.

35. Archives for orderly storage and expedient retrieval of all raw data, documentation, and records generated in the design and operation of the EDS shall be maintained.

36. Archives storage conditions shall minimize potential deterioration of documents or magnetic media in accordance with the requirements for the retention period and the nature of the document or magnetic media.

37. An individual shall be designated in writing as a Records Custodian for the archives.

38. Only personnel with documented authorization to access the archives shall be permitted this access.

**Part 2. Written Standard Operating Procedures**

39. Written standard operating procedures (SOPs) shall be accurate.

*Management System and Personnel*

40. Written standard operating procedures shall include, but not be limited to describing all procedures listed in the previous 39 requirements. The authors recommend that auditors develop specific requirements for the written SOPs which include the same detail as proved in requirement 1 through 38. This approach, while it does appear redundant, will facilitate the audit process by allowing the auditors to make a distinction between procedural nonconformances and written SOP nonconformances.

*Development of a Checklist*

The example checklist (See Attachment 1) is divided into the following sections:

> Participants and Pre-Audit Information; Management and Personnel Review; Physical System Review; Archive System and Documentation Review; and Written SOP Review.

All the requirements detailed in the previous section are addressed somewhere in the checklist. The specific requirement that applies to each question is indicated on the checklist. The checklist was designed to follow the flow of a typical audit.

This checklist is presented in a condensed format. Individuals who wish to use this checklist or develop their own modification should add a "source field" to each question so that the auditor may indicate how the information was determined during the audit. The checklist should also be expanded in length to allow sufficient room to respond in writing, to each question.

*Planning and Conducting Audits*

An auditor intending to conduct an audit of an EDS should prepare for the audit by performing the following tasks:

> Contact the individual responsible for the EDS; request copies of written SOPs for the EDS; provide a copy of the checklist to the attendees; describe the planned sequence of the audit to the auditees; answer questions regarding the audit following review of the checklist by the auditees; discuss and agree on a method for demonstration of corrective action; agree to determine any potential corrective action measures at the conclusion of the audit rather than at a later time; schedule a date(s) to conduct the audit; and review the written SOPs.

The auditor should plan to conduct the audit in the following order:

- *Pre-audit meeting with management personnel and other personnel designated by the managers.* The auditor should encourage the attendance of the Responsible person, the Quality Assurance Officer, and other personnel who work directly with the EDS.

  During this meeting, the auditor should describe the purpose of the audit, the specific areas that will be covered, and the plan for conducting the audit. during this meeting, the auditor should attempt to complete those areas of the checklist that are of a general nature such as the physical security and general layout of the EDS hardware.

- *Audit of EDS hardware and software.* The auditor should then proceed to the location of the EDS, inspect the EDS for the security procedures (both physical and software), and become familiar with the system. The auditor should be able to complete most of the checklist during this part of the audit. Auditors should be encouraged to involve EDS personnel in completion of the checklist and should share any observations regarding nonconformances to EDS requirements. This approach will ensure that there are no surprises at the conclusion of the audit and will promote an atmosphere for open communication. All auditors should ensure that the audit does not become a confrontational event.

- *Review of written SOPs.* If the auditor has not obtained the written SOPs previous to the audit, the auditor should carefully review the SOPS to ensure that they meet EDS requirements. In any event, the SOPs should be reviewed to determine if they are accurate, describing the actual procedures witnessed by the auditor during the review of the EDS.

- *Debriefing.* During the debriefing at the conclusion of the audit, the auditor should provide a summary of all nonconformances observed during the audit and review of the written SOPs. Each nonconformance should be enumerated carefully during this oral debriefing. If possible the auditor should consider developing a brief preliminary summary report to provide to the auditees during this debriefing. A plan for corrective action should be agreed to at the conclusion of the debriefing.

*Reports and Corrective Action*

The written report should provide a concise summary of those areas audited and the nonconformances identified during the audit. The report should specify both the method and a time frame for a corrective action response.

Corrective action responses can typically be broken down into three specific categories.

### Procedural Corrective Action

Procedural nonconformances should be corrected by the manager providing information regarding the correct procedures to EDS staff in an oral or written form followed by a written record of observation that the procedures is now done correctly. This record should be maintained by the Quality Assurance Manager in an Observation Log (see Attachment 2).

### Written SOPs Corrective Action

Written SOP nonconformances should be corrected by updating or revising the SOPs and providing a copy of the new SOPs with any changes highlighted.

### Documentation Corrective Action

Documentation nonconformances should be corrected by developing new documentation and providing the new examples.

## CONCLUSION

The importance of the integrity of data resident in EDSs is often overlooked by quality assurance professionals when planning and conducting field and laboratory operations involving environmental data. An approach to ensuring data quality which includes the considerations provided in the requirements section of this paper should facilitate resolution of any potential issue regarding EDS data integrity.

## FOOTNOTES

[1]Scientific Systems Staff, "Draft Good Automated Laboratory Practices," Office of Information Resources Management, U.S. Environmental Protection Agency, Research Triangle Park, North Carolina, December 28, 1990.

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Office of Information Resources Management, U.S. Environmental Protection Agency. "Draft Good Automated Laboratory Practices." Research Triangle Park, North Carolina: Scientific Systems Staff, 28 December 1990.

LCS: 345:70:000

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# ENVIRONMENTAL DATA SYSTEM
# QUALITY ASSURANCE AUDIT
# CHECKLIST

## I. PRE-AUDIT MEETING

**Audit Date:** _____

**Organization:** _____

**Address:** _____

_____

_____

**Phone:** _____

**EDS System:** _____

**Comments:** _____

_____

_____

**Participants:**

| EDS Auditees | Title | Phone |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |

**Audit Team:**

| Auditors Name | Title/Org. | Phone |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

## II. PERSONNEL SUMMARY (name & experience)

**EDS Manager:** _____

**Responsible Person:** _____

**Quality Assurance Unit Person:** _____

**Records Custodian:** _____

**Source:**

## III. MANAGEMENT SYSTEM REVIEW

1. **Who is the manager with overall responsibility for the EDS?**

_____

_____

**Source:**

2. **Has the manager designated a "Responsible Person"(01)?**
**Who is the Responsible Person?**

_____

_____

**Source:**

3. Does the manager ensure a Quality Assurance Unit oversees EDS functions(02)?

How? _____

Source:

4. Does the manager receive quality assurance and inspection reports(03)?

How? _____

Source:

5. Does the manager take corrective action to demonstrate deficiencies have been corrected(03)?

How? _____

Source:

6. Does the Responsible Person ensure(04)?:

o Sufficient personnel are available to perform EDS activities?
o Personnel have adequate training and experience?

How(05)? _____

Source:

7. Does the Responsible Person verify continued competency of staff through(04)?:
   o Training documentation (05)?
   o Work performance reviews (09)?
   o Skill tests?

   Is the EDS operated by sufficient personnel with adequate training and experience to supervise, conduct, design, and operate the system ,05)?

   Describe: _____

   _____

Source:

8. Has the Responsible Person conducted a security assessment(04)?

   How? _____

   _____

Source:

9. Has the Responsible Person implemented security procedures?

   How? _____

   _____

Source:

10. Has the Responsible Person developed SOPs(04)? _____

    Are they available to staff(04)? _____

    Comments: _____

    _____

    _____

Source:

11. Does the Responsible Person correct and document the correction of problems with the ESD(04)? _____

How? _____

_____

Source:

12. Is a comprehensive test of overall ESD performance conducted at least once per year(09)?

Describe the test: _____

Is the test documented? _____

Does the test include documentation review? _____

Source:

13. Who is the Quality Assurance Unit(QAU) person?

_____

Source:

14. Does the QAU maintain current written EDS SOPs(10)?

Comment: _____

_____

_____

Source:

15. Does the QAU perform routine inspections(11)?
At what frequency?

Does the inspection record include: _____
o Specific items reviewed? _____
o Written SOP deviation review? _____
o Data accuracy and data report check? _____
o Name of inspection person? _____
o Findings? _____
o Recommended corrective action? _____
o Re-inspection times? _____

Describe the items reviewed during the inspection: _____
_____
_____
_____

Source:

PHYSICAL SYSTEMS

16. Describe the physical layout of the EDS?
_____
_____
_____
_____

Source:

17. Describe provisions to regulate environmental conditions(12)?
_____
_____
_____

Source:

18. Describe the on-line storage capability(13)? _____

Describe the storage capability(13)? _____

_____

Is the storage adequate? _____

_____

Comments: _____

_____

_____

Source: | |

19. Describe the design of the EDS and the capacity(14)? _____

_____

Does the system meet required specifications? _____

_____

Source: | |

20. Does the physical layout of the EDS allow for reasonable (15)?

- o Operation? _____
- o Inspection? _____
- o Cleaning? _____
- o Maintenance? _____

Source: | |

21. Can the facility demonstrate that the equipment was installed according to manufacturer's recommendations(16)? _____

How? _____

Describe any deviations and why. _____

Source:

22. Has acceptance testing of new EDS equipment been performed(16)?

Describe _____

Source:

23. Who is responsible for(17):

o Testing? _____
o Inspection? _____
o Cleaning? _____
o Maintenance? _____

Comments: _____

Source:

24. How is routine maintenance scheduled, conducted, and recorded(18)?

_____

_____

Source:

25. Are non-routine repairs recorded in an EDS Maintenance Logbook(19)?

Does the logbook contain(19)?
- o How and when problems occurred?
- o Remedial actions taken?
- o Acceptance criteria?
- o Repair person?

Comment: _____

_____

_____

Source:

26. Are backup and recovery procedures for EDS operating systems in effect(20)?

_____

_____

How often is the backup performed? _____

Comment: _____

_____

_____

Source:

## DATA INTEGRITY AND SOFTWARE

27. Describe physical access security relative to the EDS(22)? _____

_____

Comment: _____

_____

_____

_____

Source: | |

28. Describe software security measures relative to the EDS(23)? _____

_____

Comment: _____

_____

_____

Source: | |

29. Does the EDS have(21):

o EDS confidential information? _____
o EDS data requiring protection from unintentional error or fraud? _____
o Time-critical functions? _____

Source: | |

30. Do the security procedures demonstrate the appropriate limited access(21,22,23)?

_____

_____

_____

Source: | |

31. Is EDS operational integrity protected from the introduction of external programs/software(24)? _____

_____

How? _____

_____

Source:

32. Is the person responsible for data input identified at the time of data input?

Describe: _____

_____

_____

_____

Source:

33. Is the identity of any monitoring equipment or environmental analysis instruments transmitting data to the EDS identified(26)?

Are time and date of transmittal recorded?

Comment: _____

_____

Source:

34. Does the EDS maintain a record of data changes including(27):

- o The original data? _____
- o Reason for the change? _____
- o Date of change? _____
- o Person responsible for change? _____

Comments: _____

Source:

35. Is the accuracy of the following verified and recorded(28):

| | VERIFICATION | DOCUMENTATION |
|---|---|---|
| Manual Data Entry? | _____ | _____ |
| Electronic Transfer? | _____ | _____ |
| Data Acquisition? | _____ | _____ |

Comments: _____

Source:

36. Can the facility identify "raw data"(29)?

Comment: _____

Source:

37. List all documents where information regarding the EDS may be recorded.

| NAME OF DOCUMENT | ACTIVITY RECORDED |
|---|---|
| | |
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| | |
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| | |
| | |
| | |

Source:

38. Do all the documents include(30):

- o Identification for the activity? _____
- o Person responsible? _____
- o Date? _____
- o Organization name? _____
- o Maintained in logbook(31)? _____

Source:

39. **Are the following outputs routinely reviewed to ensure accuracy:**

o Hardcopy reports(32)? _____
o Electronic deliverables(33)? _____

How? _____

Comment: _____

Source:

40. **Describe the media used for electronic deliverables(34).**

Comment: _____

Source:

41. **Who is the Records Custodian(37)?**

Source:

42. Are the following routinely archived(35):

o Raw data?
o Documents?
o EDS design/operating records?

How? _____

Source:

43. Describe the archive storage conditions(36).

Source:

44. Who has access to the archives(38)? _____

Is this documented? _____

Source:

## WRITTEN SOP REVIEW

**45. Written Standard Operating Procedures Review**

| TITLE | ACCURATE? | MEETS REQUIREMENTS? |
|---|---|---|
| Management roles and responsibilities(40) | | |
| Responsible person roles and responsibilities(41) | | |
| EDS Operation & Maintenance(42) | | |
| Quality Assurance Unit Roles and Responsibilities(43) | | |
| Physical System(44) | | |
| Backup Procedures(45) | | |
| Data Integrity and Security(46) | | |
| Data Editing(47) | | |
| Raw Data(48) | | |
| Documentation(49) | | |
| Archive(50) | | |

Comments: _____

_____

_____

_____

_____

_____

_____

| Source: | |
|---|---|

**46. Additional Comments:**

## 47. Findings and Recommendations

| Checklist Item | Finding Recommendation |
| --- | --- |
| | |

# WIPP RECORDS SCHEDULING LESSONS LEARNED

**Bill Fellers**
**WESTINGHOUSE -WIPP**

Bill Fellers

Bill is a Senior Administrative Specialist for Westinghouse - Waste Isolation Division-Waste Isolation Pilot Plant in Carlsbad, New Mexico. He has worked in records management for over 9 years, specifically in DOE-sponsored facilities. He holds an undergraduate degree in Business Administration.

# WIPP RECORDS INVENTORY STATUS AND LESSONS LEARNED

1994 DOE Records Management Conference
Charlotte, North Carolina
June 22, 1994

Bill Fellers
Project Records Services
Waste Isolation Pilot Plant
P.O. Box 2078
Carlsbad, NM 88221
(505)234-7506

## ABSTRACT

The Waste Isolation Pilot Plant (WIPP) is a research and development project of the U.S. Department of Energy (DOE) for the disposal of low-level TRU waste. This first-of-a-kind project was authorized by Congress in 1979 in response to the national need for long-term, safe methods for disposing of radioactive by-products from our country's defense programs. The DOE's WIPP Management and Operating (M&O) contractor, Westinghouse-Waste Isolation Division (WID), completed a M&O records and epidemiological inventory to satisfy DOE initiatives. The scope of work was to plan and implement a complete records inventory of approximately 24,000 linear feet of active and inactive records. Methodology for planning and implementing the records inventory will be discussed.

**This work was performed at the Waste Isolation Pilot Plant by Westinghouse Electric Corporation-Waste Isolation Division for the U.S. Department of Energy under Contract DE-AC04-86AL31950 (DOE/WIPP-94-2009)**

## EXECUTIVE SUMMARY

The DOE and their M&O contractors are tasked to conduct a complete inventory of their record and nonrecord materials, and to develop site-specific records disposition schedules. The General Records Schedules (GRS) issued by the National Archives and Records Administration (NARA), and DOE Order 1324.2A, Records Disposition, are the documents providing guidance for and requiring the development and maintenance of Records Inventory and Disposition Schedules (RIDS). In 1978, use of the GRS became legally mandatory, and the disposal authorizations contained within must be used by a federal agency to the greatest extent possible. Because the GRS does not cover all agency records, it must be supplemented with documents that are unique to certain agencies. Changes to disposal authorizations contained in the GRS as well as the addition of agency specific document types or filing series require approval by NARA. DOE Order 1324.2A contains schedules unique to the DOE and has been approved by NARA. Adoption of the GRS or DOE Order 1324.2A for WIPP does not require further NARA approval. Document types or filing series not contained in the GRS or DOE Order 1324.2A must be maintained until the WIPP RIDS receives NARA approval.

The objective of the activities described in this presentation is to communicate the methodology and lessons learned from collecting data on all WID program records and nonrecord material at the WIPP.

## THE INVENTORY PROCESS

Why Does WIPP Need a Records Inventory?

- A meaningful retention schedule comes from a good inventory
- WID is the steward for WIPP generated inactive records
- It is a DOE requirement

Project Details

- Approximately 800 WID employees at WIPP at the initiation of the inventory project
- 24,000 linear feet of active/inactive records (estimate)
- WID contracted to plan and implement a comprehensive one-time records inventory with E.J. Riley, Inc.
- Total volume inventoried-26,800 feet of active/inactive records
- The project was completed on schedule and within budget

Objective

The objective of the activities for the inventory of WID records was to collect data on all WID program record and nonrecord materials. The records inventory was a complete and accurate survey of WID's organizational records, which serve as a foundation for the generation of a WIPP site-specific retention schedule.

Scope

The inventory covered records maintained by all of the WID organizations. All file, work stations, and records generators were inventoried and included the following:

- Record and nonrecord material
- Privileged and controlled documents
- Audiovisual records

  Correspondence files
- Permanent and nonpermanent records
- Reference material

WID inventoried current records first. The inventory placed attention on unique Program records, especially those likely to be permanent records. WID put less emphasis on the administrative or housekeeping records held in all offices that are scheduled in the GRS or DOE Order 1324.2A.

## METHODOLOGY

Inventory Staff Augmentation and Training

WID augmented staffing for the inventory project as outlined below:

- One project manager
- One senior records professional
- Two records technicians

Training was conducted with the records technicians in principles and practices of conducting a records inventory. The augmented staff concept was used because of the cost effectiveness and lessons learned from experience on similar projects. WID concentrated on extracting raw data during the inventory process rather than making record classification and disposal decisions during the inventory activity.

Inventory Team Mobilization and Orientation

WID presurvey and preinventory considerations included the briefing of personnel conducting the inventory. The inventory team was familiarized with the following aspects of the organization for which the records review is being conducted:

- WID organizational charts and functional statements (i.e. scope of work/deliverables)
- WID record keeping requirements and practices
- Laws and regulations pertaining to the WIPP
- Time period the organization has been working on program activities
- WID organization's subcontractors and any other suppliers who may be providing records to the program
- WID technical documents that may define/discuss records types such as procedures, work instructions, technical work plans, etc.
- Copies of any WID RIDS that are currently used

WID Organization Orientation

The WID Project Records Services Group teamed with the inventory contractor for briefing and establishing liaisons for scheduled organizations to be inventoried. When the inventory was completed, WID conducted follow-up interviews to identify any concerns of the inventoried organizations.

Inventory Implementation

The primary elements of the initial phase of the RIDS development included an inventory of all documents, records and nonrecord material, generated within WID as well as a documented interview with the record generators. These primary elements are further composed of attributes or information considered necessary in determining the document retention, and disposition. Examples of information collected during the inventory phase included:

- A description of the purpose and use of the documents
- A physical description of the records container and volume
- A sampling of the container contents
- Media

- Record copy validation
- Inclusive dates of the documents in a given filing series
- The filing arrangement/organization
- Resource Conservation and Recovery Act, rights and interests, vital records, quality assurance, and epidemiologic classification

Examples of additional information collected during the interview phase included:

- The record generator's opinion on the use and purpose of the documents
- The value of the filing arrangement
- The existence of finding or filing aids
- The procedural or regulatory requirements governing the generation of the documents
- Any existing retention and disposition requirements

## LESSONS LEARNED

Key success factors for completing this project on time and under budget are as follows:

- WID communication of the scope and purpose of the inventory to the M&O employees was essential for creating cooperative customers.
- Process improvements were achieved during the inventory, primarily, due to the environment created by WID and continuous inventory team training.
- WID conducted a graded approach to inventorying administrative records common to each office which resulted in a reduction in redundant inventory activities.
- WID prepared a specific and detailed scope of work for the inventory team which resulted in a clear and concise deliverable product.
- WID initiated a pilot records inventory with the inventory team to validate the process before going to the WID organizations.
- WID reviewed a status of the cost and schedule of the project on a weekly basis, which resulted in achieving contract completion on time and under budget.

- Up-front inventory team training was essential for ensuring each team member was producing a uniform product.

- The role of the inventory project manager was focused to quality control, training and scheduling which resulted in clear performance expectations of the job position.

- A project approach has been developed for planning and analysis activities throughout the life cycle of the project, which will lead to the development of specific products...a WIPP site-specific retention schedule!

# MANAGING POTENTIALLY CONTAMINATED RECORDS: HANFORD AND FERNALD

**Brian Sprouse**
**WESTINGHOUSE HANFORD COMPANY**
**Carol Willis**

Brian Sprouse

Brian is a Records Management Specialist with Westinghouse Hanford Company in Richland, Washington. His expertise is in the design and implementation of records management programs and systems. He is currently a team leader in the Laboratory Data Management group at Westinghouse Hanford Company which is developing data management programs for the Processing and Analytical Laboratories Department. His recent accomplishment is the design of a records management solution for radioactively contaminated records.

He is also a consultant to many companies and organizations and has worked on records systems for a variety of Westinghouse organizations including Westinghouse Idaho Nuclear Company. Brian received the 1990 George Washington Signature Award of Excellence for his involvement with administrative records and training.

Brian has been a member of the Association of Records Managers and Administrators for over 11 years and received the Columbia Basin Chapter Member of the Year award in 1990. He received his associate's degree from Columbia Basin College and is pursuing a bachelor's degree at Eastern Oregon State College.

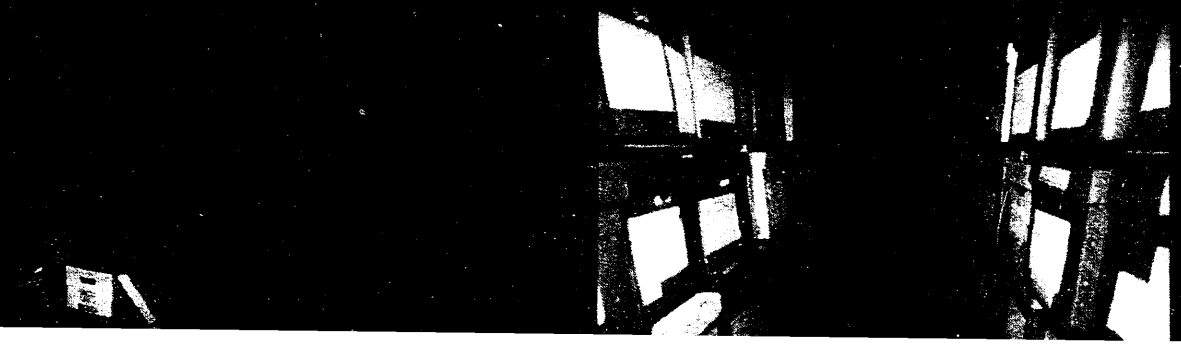
# FERNALD ENVIRONMENTAL MANAGEMENT PROJEC
# CONTAMINATED RECORDS REPORT

Current Acti

Historic Records Sec

...n former pr...

...fied approxi... pro...ssed



# FERNALD ENVIRONMENTAL MANAGEMENT PROJECT
# CONTAMINATED RECORDS REPORT

## Process Flo

FHR Team make appointments ord holde

Reviewers evaluate records for historical value on offic

Non-historical records not collected

Historical Records

- Significant/Marginal
  - Records passing rad survey (Trash M
    - reviewed for classification markings
    - sent to Forest Park for processing
      - folder indexing
      - document review
      - duplicate search
      - significant records imaged
      - inclusion into historical databa

- Non-Significant
  - Folder level index o ted
  - Documents sent to sto

# FERNALD ENVIRONMENTAL MANAGEMENT PROJECT
# CONTAMINATED RECORDS REPORT

## Plan

Original plan was for exte oxes to be and-sc
ministrative side

ermined ch page be monitor assure

Change proposal generated requesting additional $967,000 for scanning
indiv ocuments

# OCRWM RIDS: LESSONS LEARNED

Angela Tayfun & Margie Shepherd
TRW VIENNA, VIRGINIA

Angela Tayfun

Angela is the Records Manager for TRW Environmental Safety Systems, the Management and Operating Contractor for the Department of Energy's Office of Civilian Radioactive Waste Management in Vienna, Virginia. She is responsible for records management special projects, including the Records Inventory and Disposition Schedules (RIDS), quality assurance records management, records management planning, and procedure development. She is a graduate of Michigan State University and is a Certified Records Manager, with 20 years of experience in records and office systems management. Angela is currently the President of the Northern Virginia ARMA chapter.

Margie Shepherd

Margie is the Document and Records Center Manager for TRW Environmental Safety Systems, the Management and Operating Contractor for the Department of Energy's Office of Civilian Radioactive Waste Management in Vienna, Virginia. She is responsible for the acquisition, receipt and handling, and packaging of program records and the distribution of controlled and managed documents. She is a graduate of the University of Maryland and has 15 years of library and records management experience.

U. S. Department of Energy

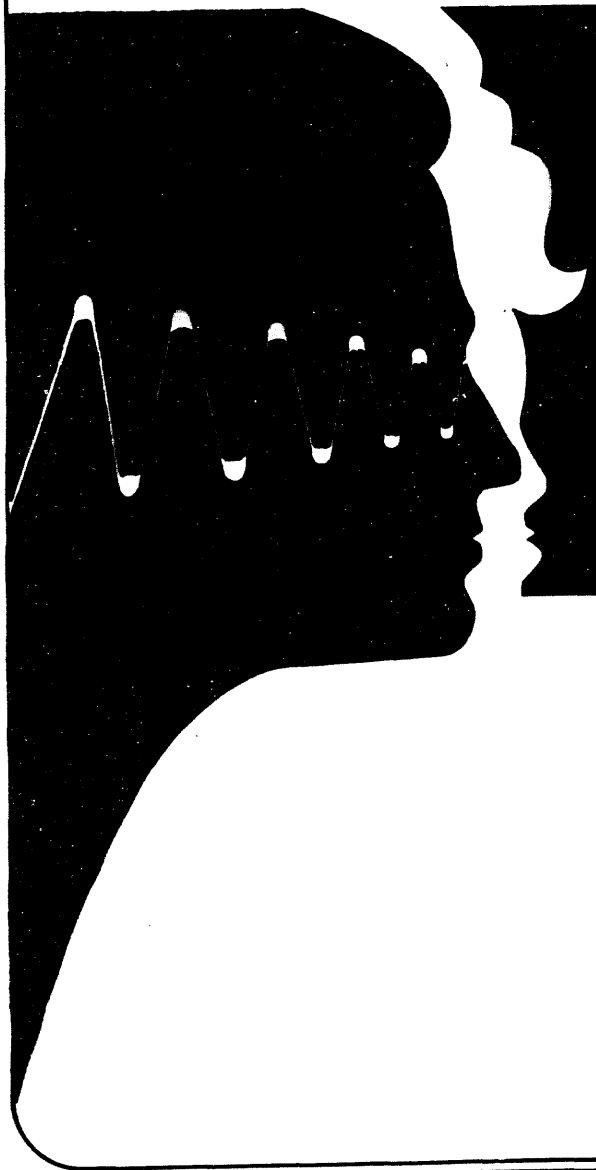
Environmental Restoration and Waste Management

Office of Waste Management

# File Classification Code

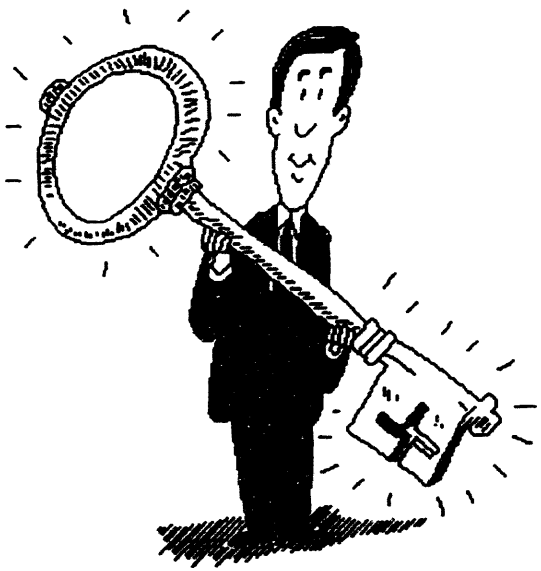
*for*

# Office of Waste Management



# Overview

# A Standardized Filing System



## Is the Key...



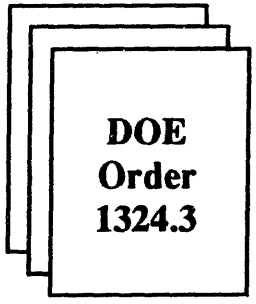
## ...To Document Retrieval

- Provides Consistent Accessibility to Documentation
- Provides Consistency of Filing to Ensure File Integrity
- Promotes Timely Retrieval
- Integrates and Complies with Records Activities & Quality Records
- Incorporates Current Systems

# What Is File Classification Code

1. *Systematic Document Management*
2. *Promotes Integrity & Accuracy by Consistency*
3. *Facilitates Rapid Document Retrieval Across OWM*
4. *Maintains Compliance*
5. *A System Based on the DOE Orders & OWM Implementing Documents*
6. *Follows Subject Codes of DOE Order 0000.1A*

# DOE Order 1324.3

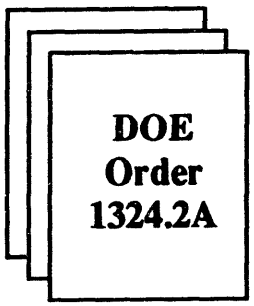



## Files Management

Departmental Files Shall be Organized in Order To:

- Locate Required Records Rapidly
- Assure Complete Records
- Facilitate Selection and Retention of Archival Records
- Disposition Noncurrent Records Promptly

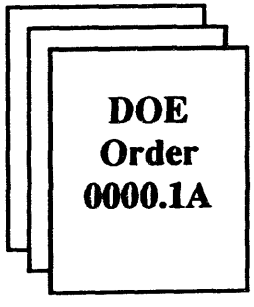
# DOE Order 1324.2A




## Records Disposition

- Managers are Accountable for Records Management Programs in Their Organizations
- Department Records Shall be Created, Maintained, and Used, in Effective, Efficient, and Authorized Manner
- Records Inventory Disposition and Schedule (RIDS) Routine Scheduled Disposition

# DOE Order 0000.1A

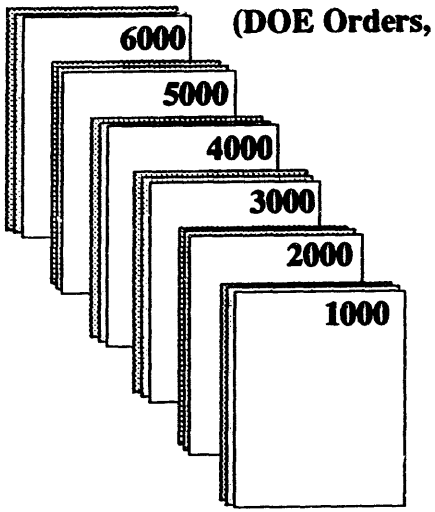


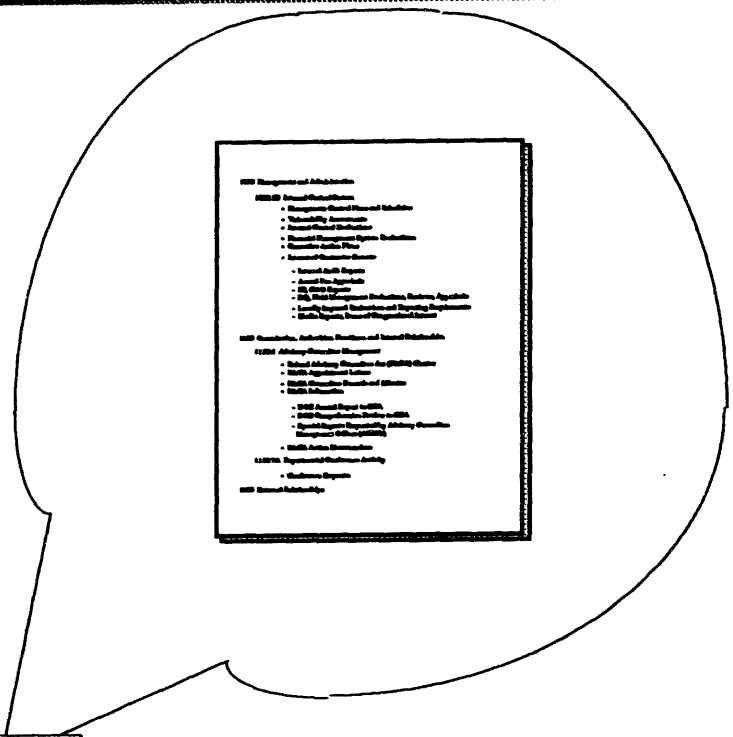

## Standard Subject Classification System

- Provides Codes for Documents and Records by Subject
- Intended for use Throughout DOE in Numbering, Referencing, and Filing Various Types of Departmental Documents
- May use Codes in Electronic Data Processing

# File Classification Code and Master Documents List

# Master Documents List



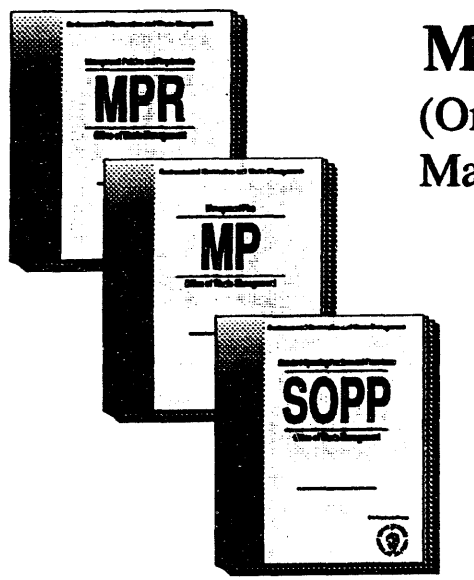



*Required Documents*

**Master Documents List**

**The Master Documents List is the documents generated as a result of implementing requirements in the DOE Orders, Notices, etc.**

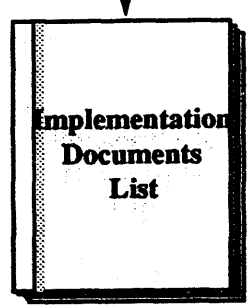
# Implementation Documents




## Management System Documents

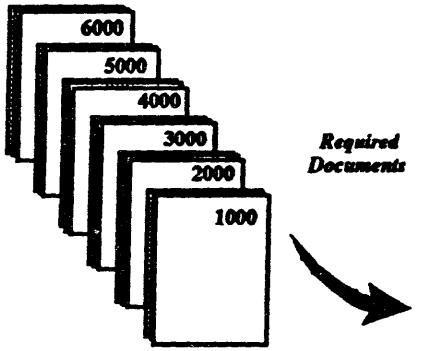
(Order Implementing Documents - defines how the Management System is to be implemented)

*Implementation Documents*




**Implementation Documents are products from implementing the management system.**

**DOE Directives**
**(DOE Orders, Notices, etc.)**

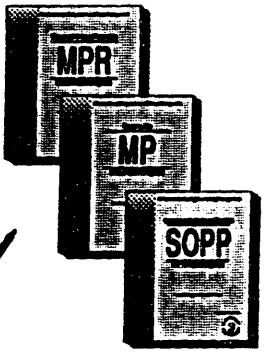


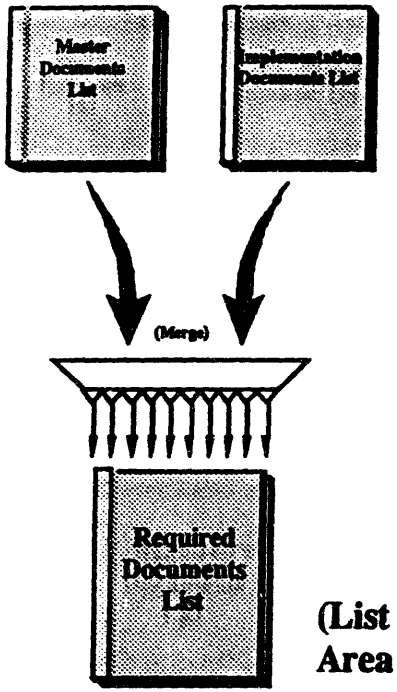

*Required Documents*

**The Required Documents List is a result of merging the DOE Documents List and the Implementation Documents Lists together.**

**Management System Documents**
**(Order Implementing Documents)**

*Implementation Documents*



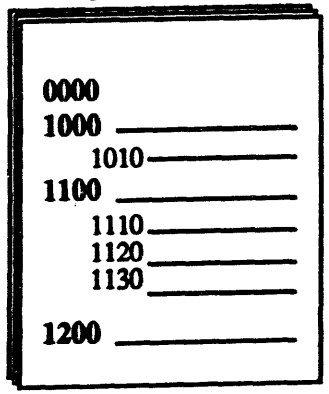




*Step Three*

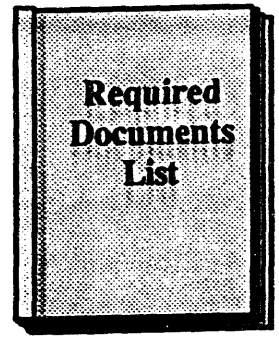
**(List has been organized by the Subject Area Experts.)**

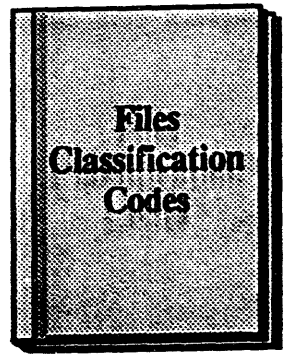
# How: Match Required Documents with the DOE Order Structure

**DOE Order 0000.1A**
**Standard Subject Classification System**




- *Provides Codes for Documents and Records by Subject*
- *Intended for use Throughout DOE in Numbering, Referencing, and Filing Various Types of Departmental Documents*
- *May use Codes in Electronic Data Processing*




**A file guide will be produced to provide a dictionary to identify file locations.**

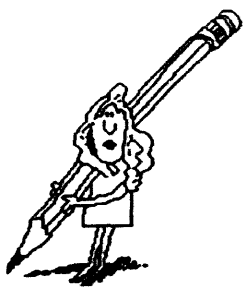
*Step Four*

# Subject Classification Codes

DOE 0000.1A
8-14-79

Attachment 2
Page 1

| | |
|---|---|
| 0000 | CLASSIFICATION CODES, CHECKLISTS, AND INDEXES |
| 1000 | MANAGEMENT AND ADMINISTRATION - GENERAL |
| 1010 | Determination and Transfer Orders |
| 1100 | ORGANIZATION, AUTHORITIES, FUNCTIONS, AND INTERNAL RELATIONSHIPS |
| 1110 | Appointments and Designations |
| 1120 | Field Facilities |
| 1130 | Committees, Conferences, Boards, Panels, Groups |
| 1200 | EXTERNAL RELATIONSHIPS |
| 1210 | Public Relations |
| 1220 | Congressional Relations |
| 1230 | Intergovernmental Affairs |
| 1240 | International Relations |
| 1250 | Energy Education Programs |
| 1260 | Business/Labor Relations |
| 1270 | Interagency Relations/Agreements |
| 1280 | Memorandums of Understanding |
| 1290 | Consumer Affairs |
| 1300 | MANAGEMENT SYSTEMS AND STANDARDS |
| 1310 | Management Studies, Analyses, and Surveys |
| 1320 | Paperwork Management |
| 1321 | Directives Management |
| 1322 | Forms Management |
| 1323 | Reports Management |
| 1324 | Records Management |
| 1325 | Correspondence Management |



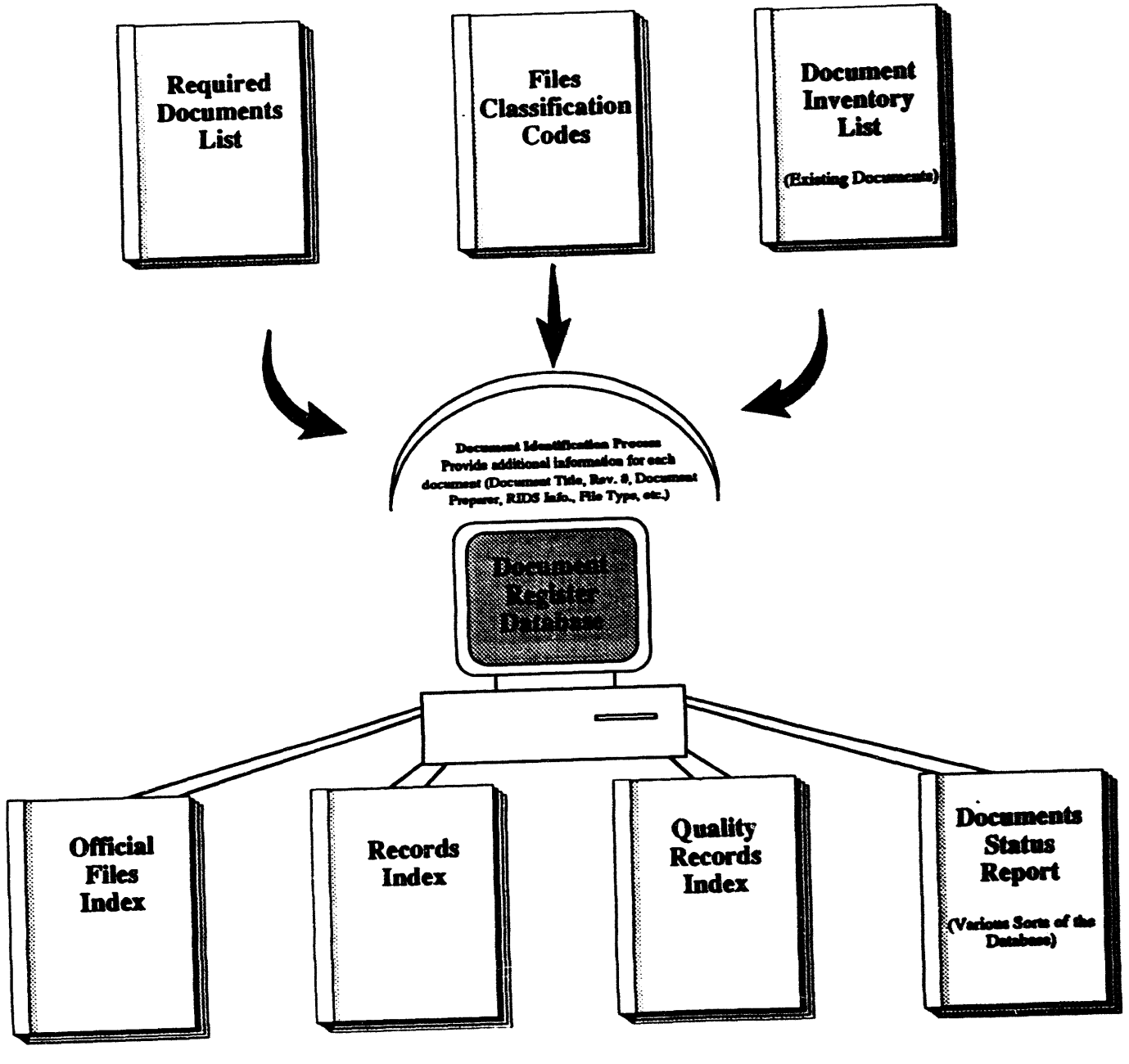
# Proposed File Classification Codes Based on DOE Order 00001.A



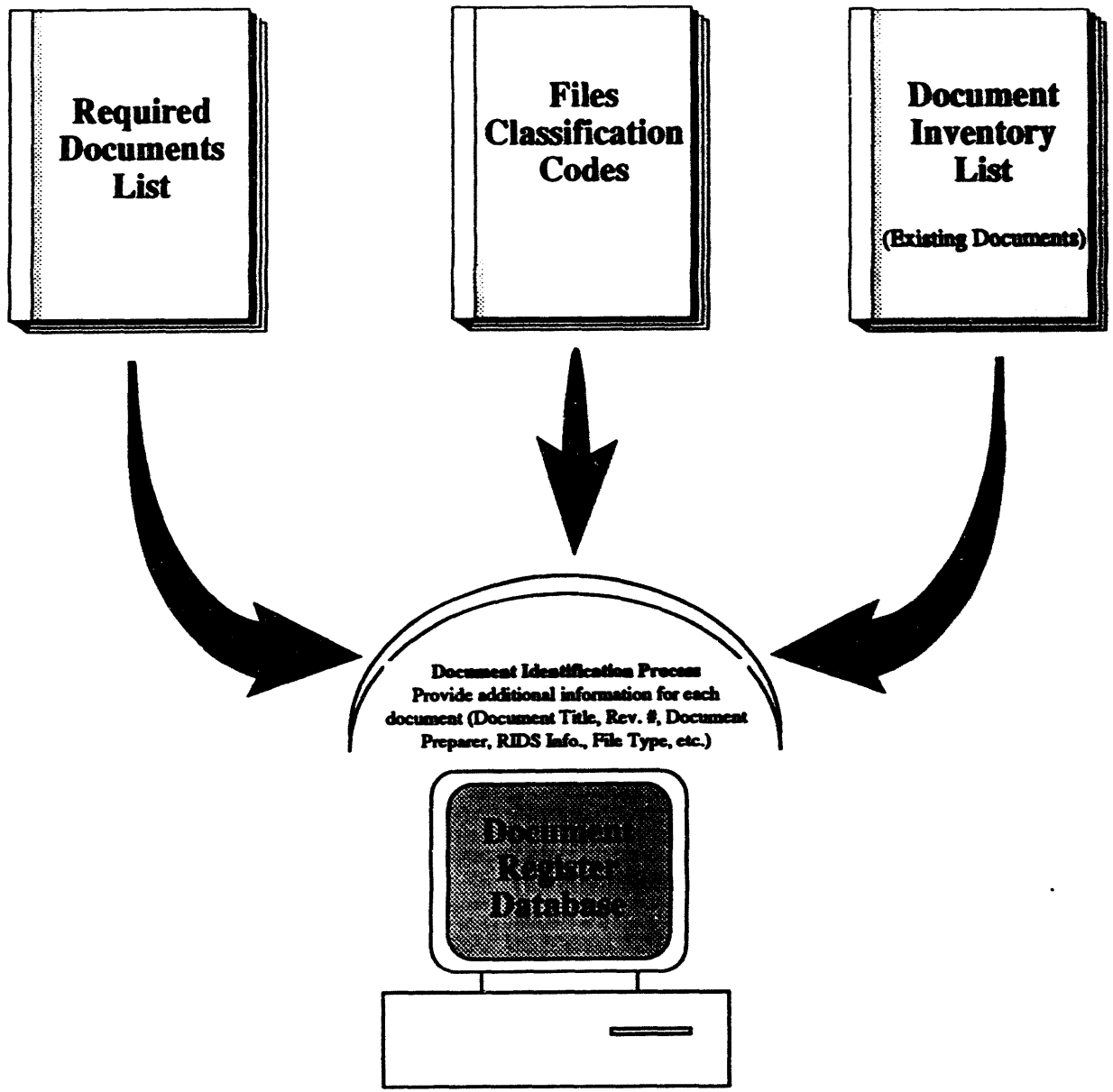
| | | |
|---|---|---|
| 0000 | | CLASSIFICATION CODES, CHECKLISTS, AND INDEXES |
| 1000 | | MANAGEMENT AND ADMINISTRATION - GENERAL |
| 1010 | | Determination and Transfer Orders |
| *1020* | | *Briefings and Presentations* |
| *1030* | | *Fact Sheets (Concerning Administration duties)* |
| *1040* | | *Secretarial Posture Statement* |
| | *1041* | *Reports to Secretary* |
| *1050* | | *Program Optimization System (POS)* |
| *1060* | | *Key Word List* |
| *1070* | | *Issue Papers* |
| 1100 | | ORGANIZATION, AUTHORITIES, FUNCTIONS, AND INTERNAL |
| 1100 | | Appointments and Designations |
| 1111 | | Delegation of Authority |
| 1120 | | Field Facilities |
| 1130 | | Committees, Conferences, Boards, Panels, Groups |
| *1140* | | *Federal Advisory Committees (FAC)* |
| 1200 | | EXTERNAL RELATIONSHIPS |
| 1210 | | Public Relations |
| *1211* | | *State and Tribal Government Working Group* |
| *1212* | | *Keystone* |
| *1213* | | *Five-Year Plan Stakeholders* |
| *1214* | | *Indian Nations/Indian Issues* |
| *1215* | | *Priority System External Review* |
| *1216* | | *News Media Text Briefings* |
| 1220 | | Congressional Relations |
| 1230 | | Intergovernmental Affairs |
| | *1230.01* | *General Services Administration (GSA)* |
| | *1230.02* | *State* |
| | *1230.03* | *Local* |
| *1231* | | *External Boards and Committees* |
| | *1231.01* | *Advisory Committees for Nuclear Safety (ACNFS)* |
| | *1231.01* | *Defense Nuclear Facilities Safety Board (DNFSB)* |
| | *1231.03* | *National Regulatory Commission (NRC)* |
| | *1231.04* | *Advisory Committee for Nuclear Waste (ACNW)* |
| | *1231.05* | *Office of Civilian Radioactive Waste Management (RW)* |
| | *1231.06* | *FACA* |
| 1240 | | International Relations |
| | *1240.01* | *International Visits* |
| 1250 | | Energy Education Programs |
| 1260 | | Business/Labor Relations |

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# Documents Register Database

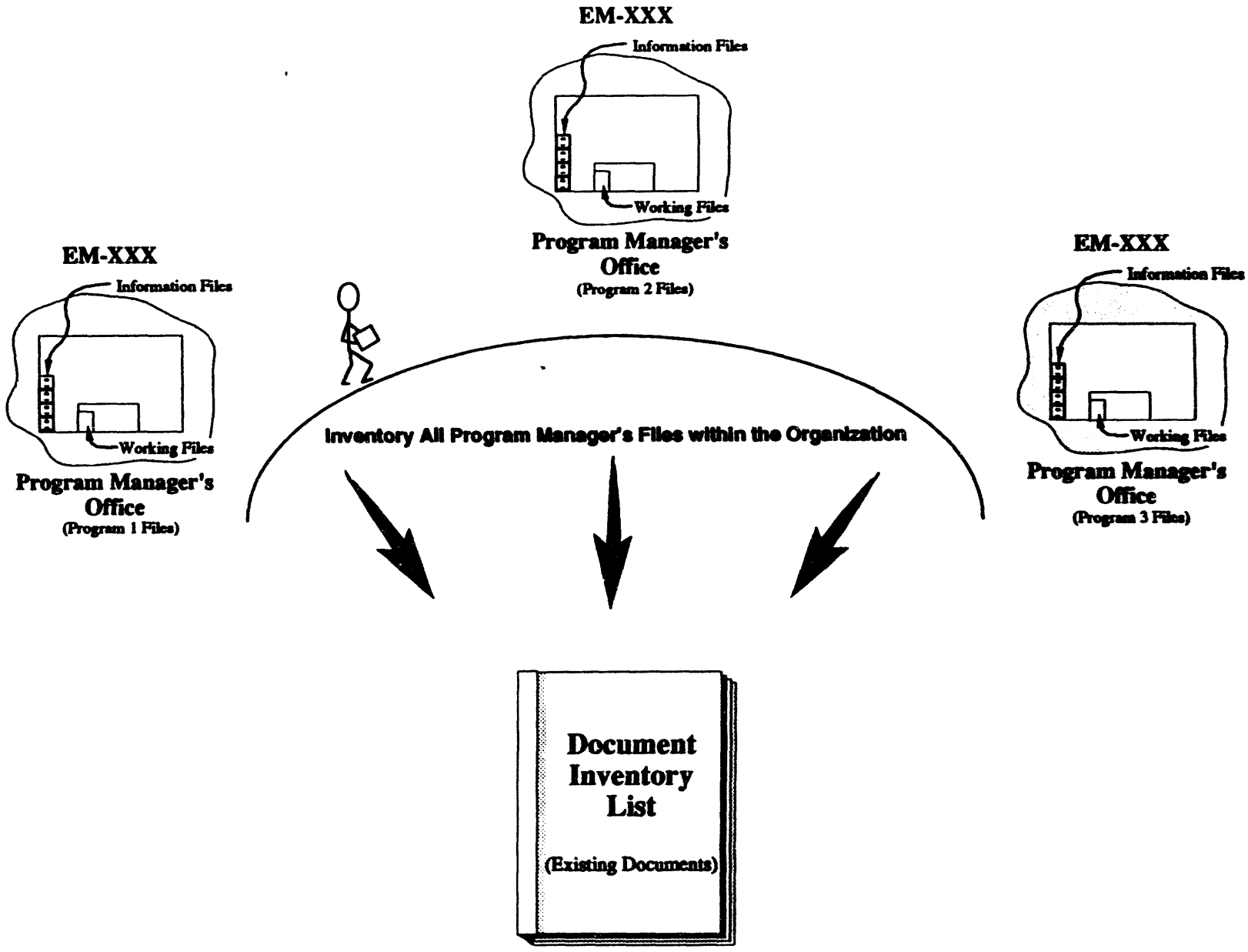


# Document Register Database

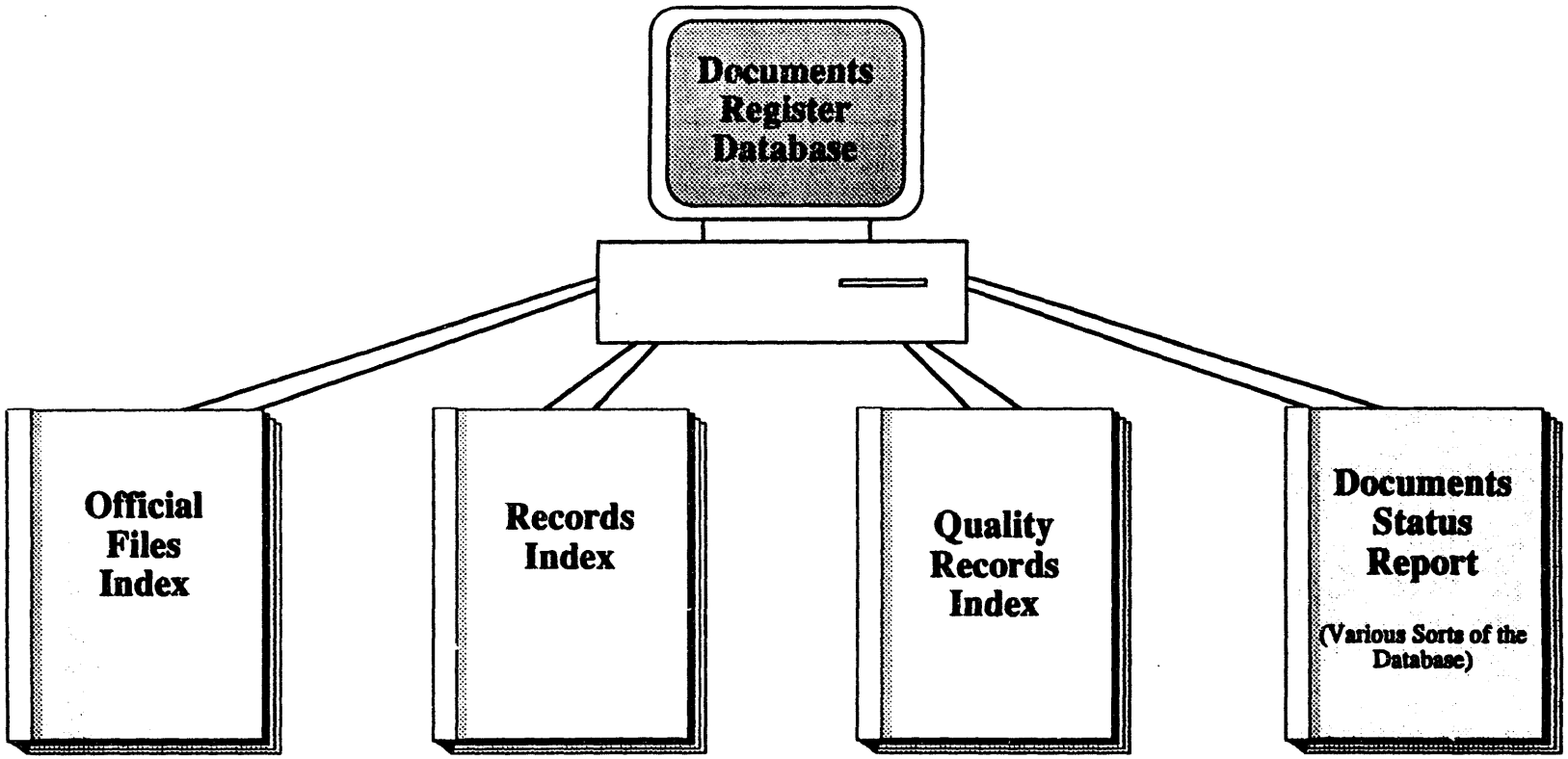



A documents register is a composite database of required documents, implementing documents, and existing documents

# Document Inventory List



# Document Register Products

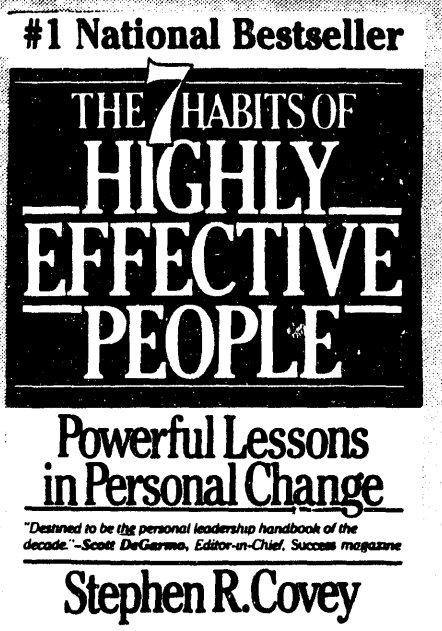


# COVEY'S 7 HABITS: AN OVERVIEW

Carol Rehkop & Sandra Foster

# THE 7 HABITS OF HIGHLY EFFECTIVE PEOPLE

## DOE YMP TRAINING DEPARTMENT




## SEVEN HABITS OVERVIEW


**101 Convention Center Drive.**

**Las Vegas, Nevada 89109**

**Training Center(702) 794-7216**

**Carol Rehkop (702) 794-7967**

# The 7 Habits of Highly Effective People

- Describe our challenge: "Change the way we (DOE) do business"
- Discuss Quality Implementation
- Focus on Covey's 7 Habits as tools for Personal and Public Victory

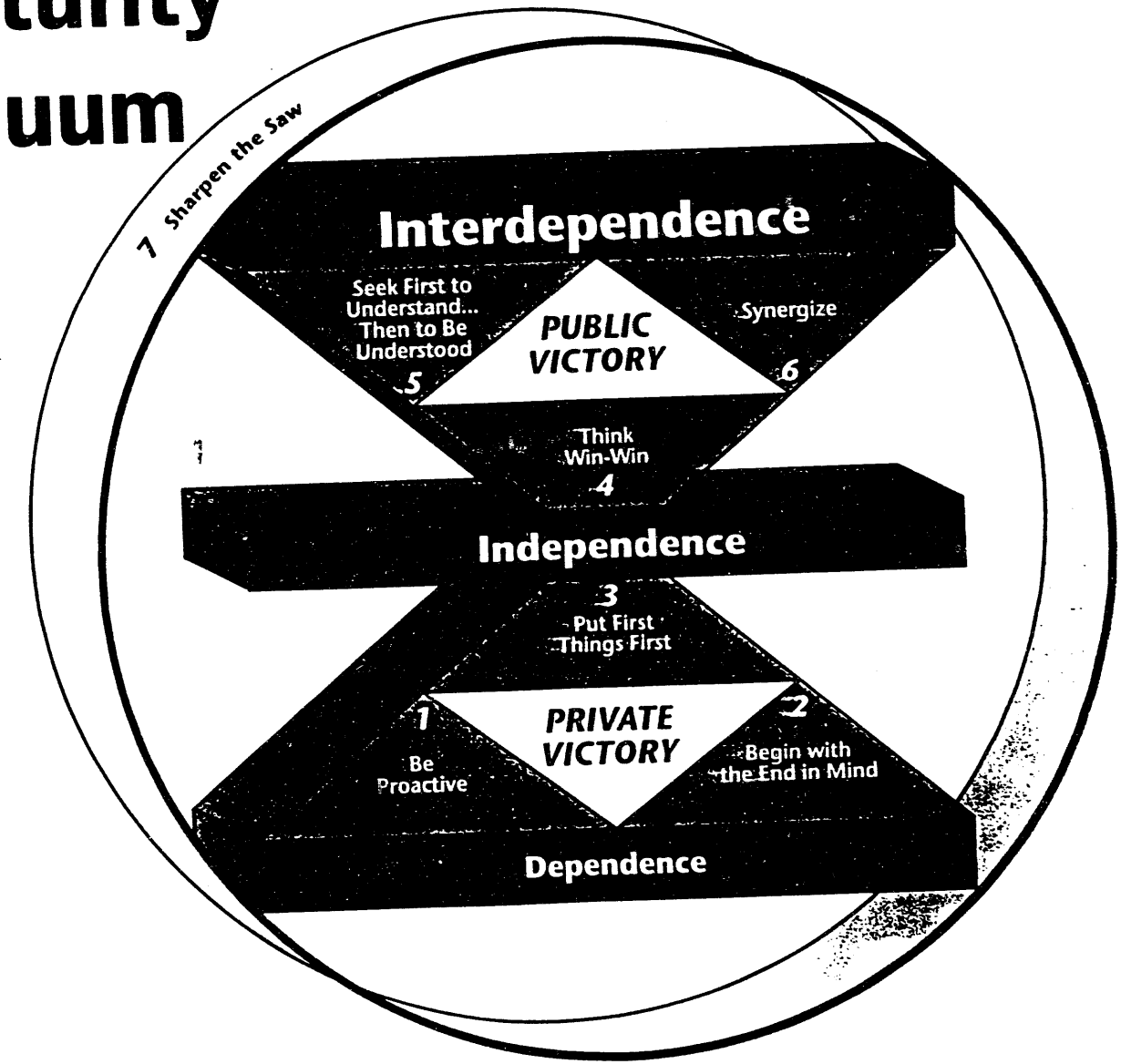
# The 7 Habits Of Highly Effective People

## Covey Research Results:

- In USA for first 150 years, success built on character ethics
  - Integrity Humility
  - Fidelity Courage Justice

- Last 50 years, success built on the personality ethic
  - Success as a function of personality

# The Maturity Continuum



# The 7 Habits Of Highly Effective People

1. Be Proactive
2. Begin With The End In Mind
3. Put First Things First
4. Think Win-Win
5. Seek First To Understand
6. Synergize
7. Sharpen The Saw

# The 7 Habits Of Highly Effective People

"The significant problems we face cannot be solved at the same level of thinking we were at when we created them."

Albert Einstein

# E = P + PC

**Effectiveness**

**=**

**Production**

**+**

**Production Capabilities**

# Effectiveness means preserving and enhancing our assets

*Skills*

Facilities

Time

PEOPLE

Equipment



Training

Money

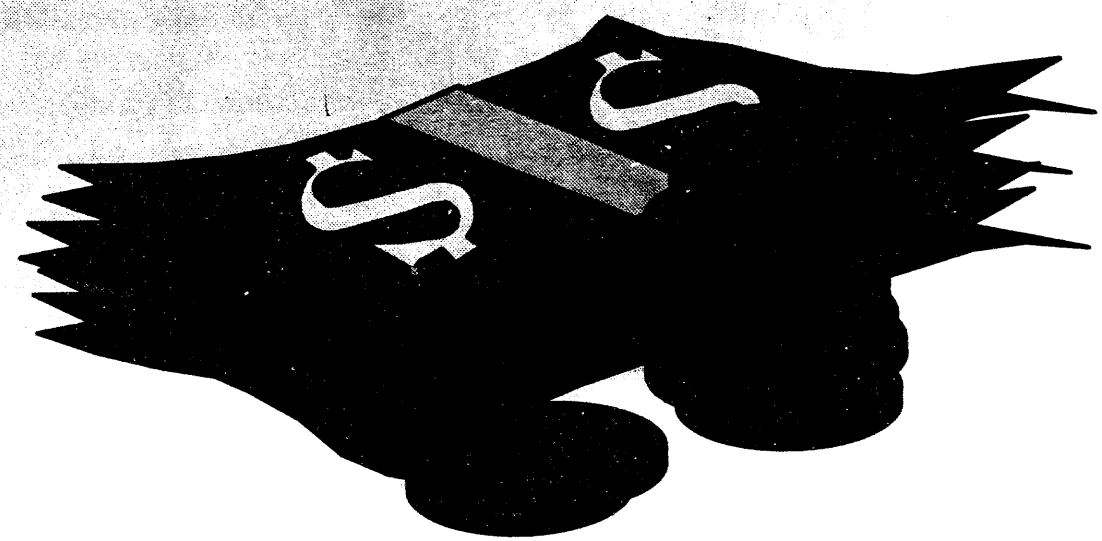
Tools

Talents

Teamwork

# Emotional Bank Account

**Symbol of the amount of TRUST that has built up is a relationship**



# The 7 Habits Of Highly Effective People

**Keeping a commitment or promise is a major deposit.**

**Breaking one is a major withdrawal .**



**Stephen R. Covey**

# HABIT #1: BE PROACTIVE

## Habit Of Personal Vision

- Awareness of the space between what has happened to us (stimulus) and our response to it.
- In this space lies our own freedom to choose our response -- to direct our own lives.



# HABIT #2: BEGIN WITH THE END IN MIND

## Habit of Personal Leadership

- Effective people cultivate the habit of vision, purpose, and mission.
- You need a sense of what your life is about and how you want to live it.
- You decide ahead of time how you generally want the day, the meeting, or the quality of a relationship to be.

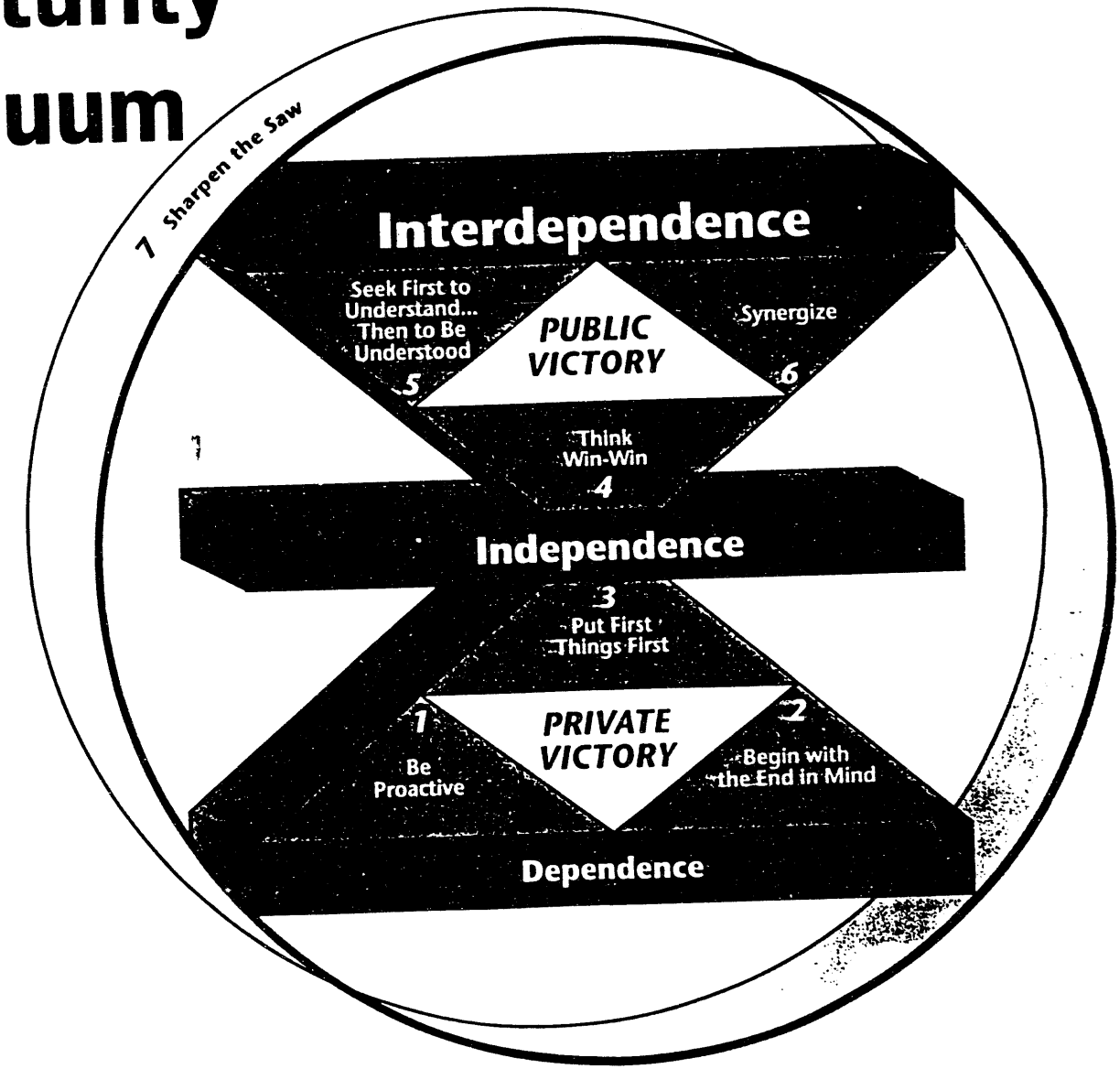
# HABIT #3: PUT FIRST THINGS FIRST

## Habit of Personal Management

- Habit of integrity, discipline, and keeping commitments.

- It is the willingness to act upon those things which we have determined are "first."

# The Maturity Continuum



# HABIT #4: THINK WIN/WIN

## Principles Of Interpersonal Leadership

- Combine courage with consideration (even when you are certain you know what should be done, what the decision should be, or what we want).
- Win-Lose -- Contest of wills when you don't want to give in.
- Lose-Win -- You capitulate because you need acceptance.

# HABIT #5: SEEK FIRST TO UNDERSTAND

## Principles Of Empathic Communication

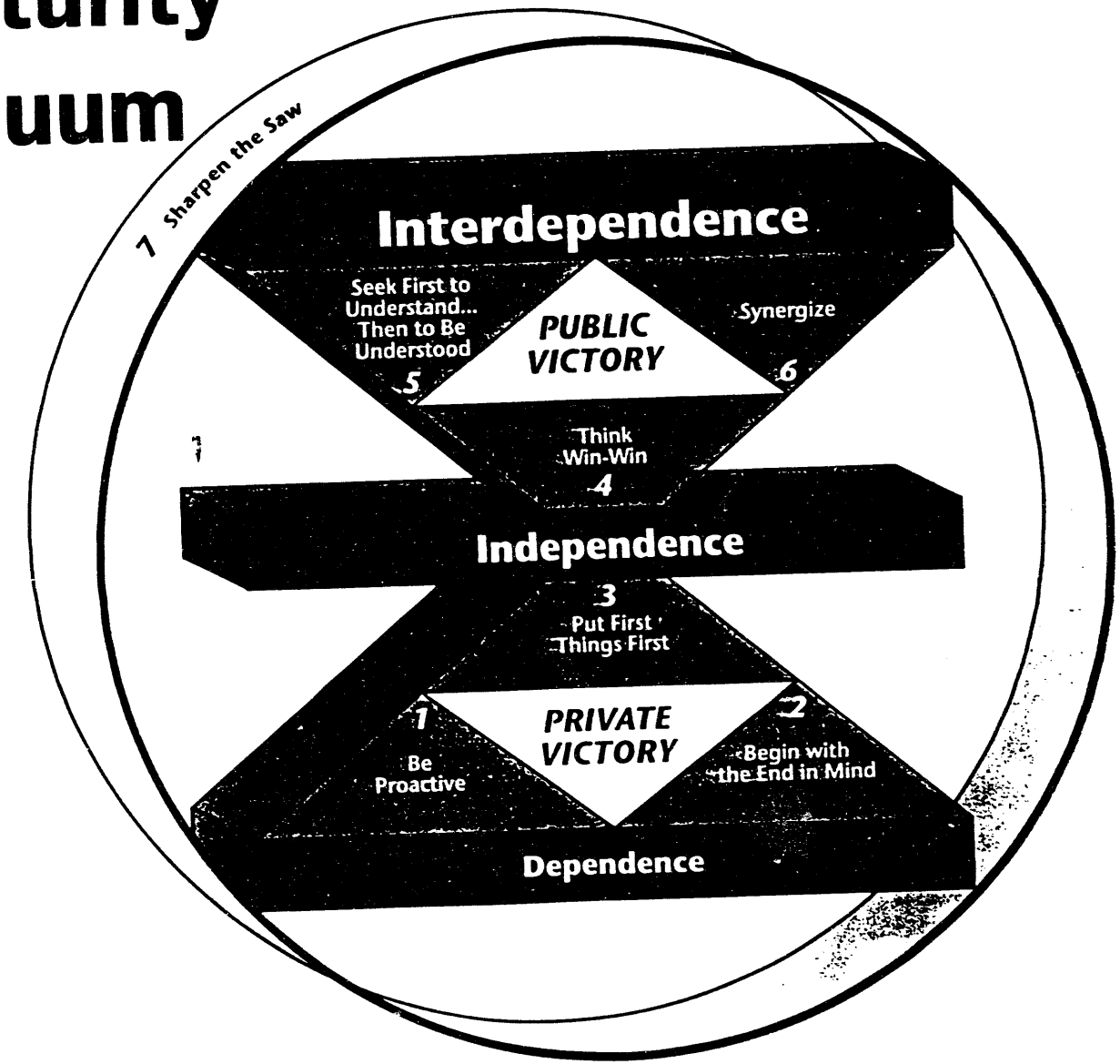
- This is most difficult when you feel you are misunderstood.
- Subordinate your need to be understood.
- Work to get into the frame of mind and heart of the other person.
- Listen emphatically

# HABIT #6: SYNERGIZE

## Principles Of Creative Cooperation

- Optimize -- look in the same direction -- search for a third alternative.
- Value differing perceptions, feelings, and experiences.
- Create something better.

# The Maturity Continuum



# HABIT #7: SHARPEN THE SAW

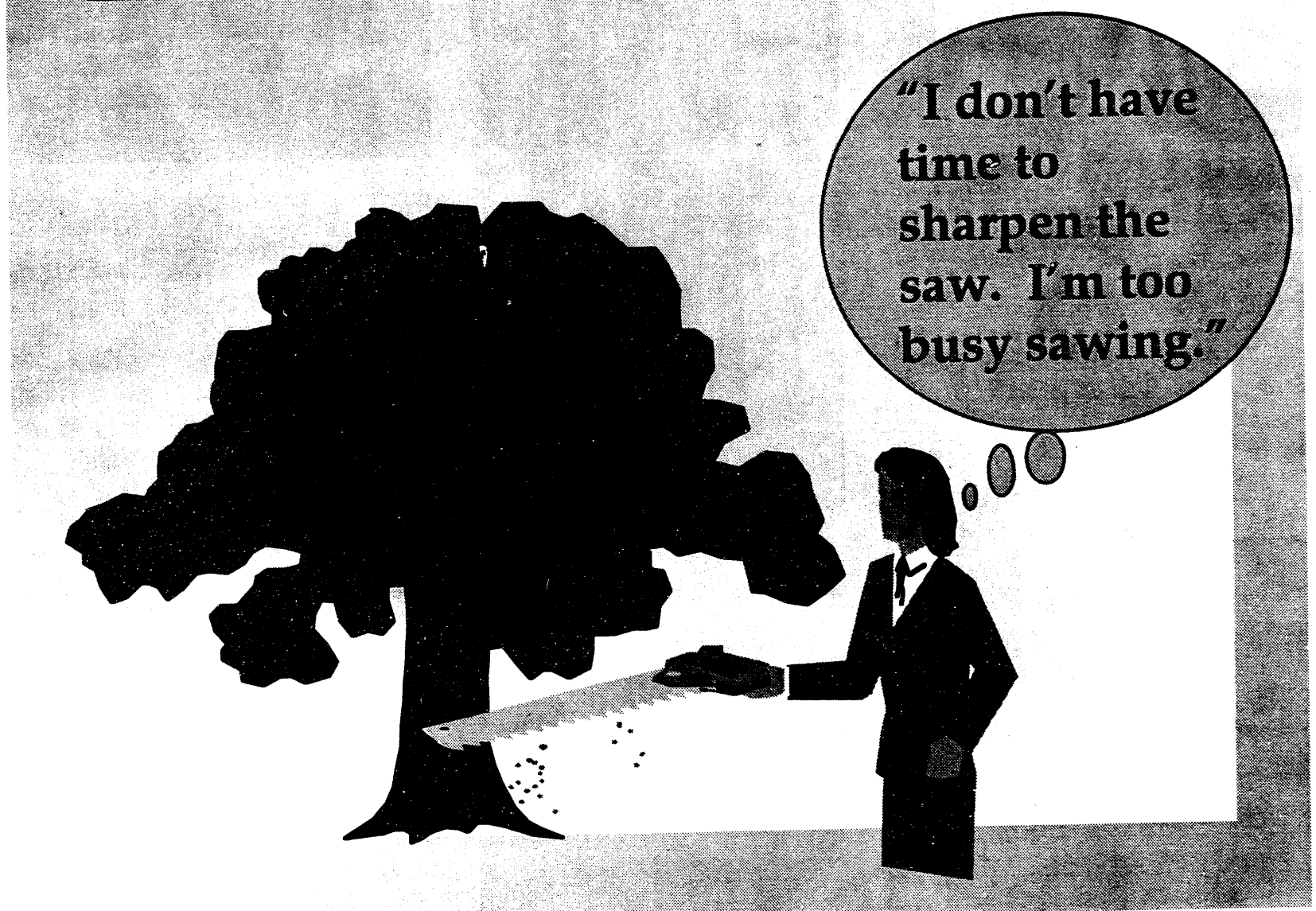
## Principles Of Balanced Self Renewal

- Use your unique gifts and endowments to renew yourself and renew your relationships.
- This counteracts entropy -- the tendency of all things to eventually break down.
- You work better, faster, wiser.
- You can sidestep negative energy.

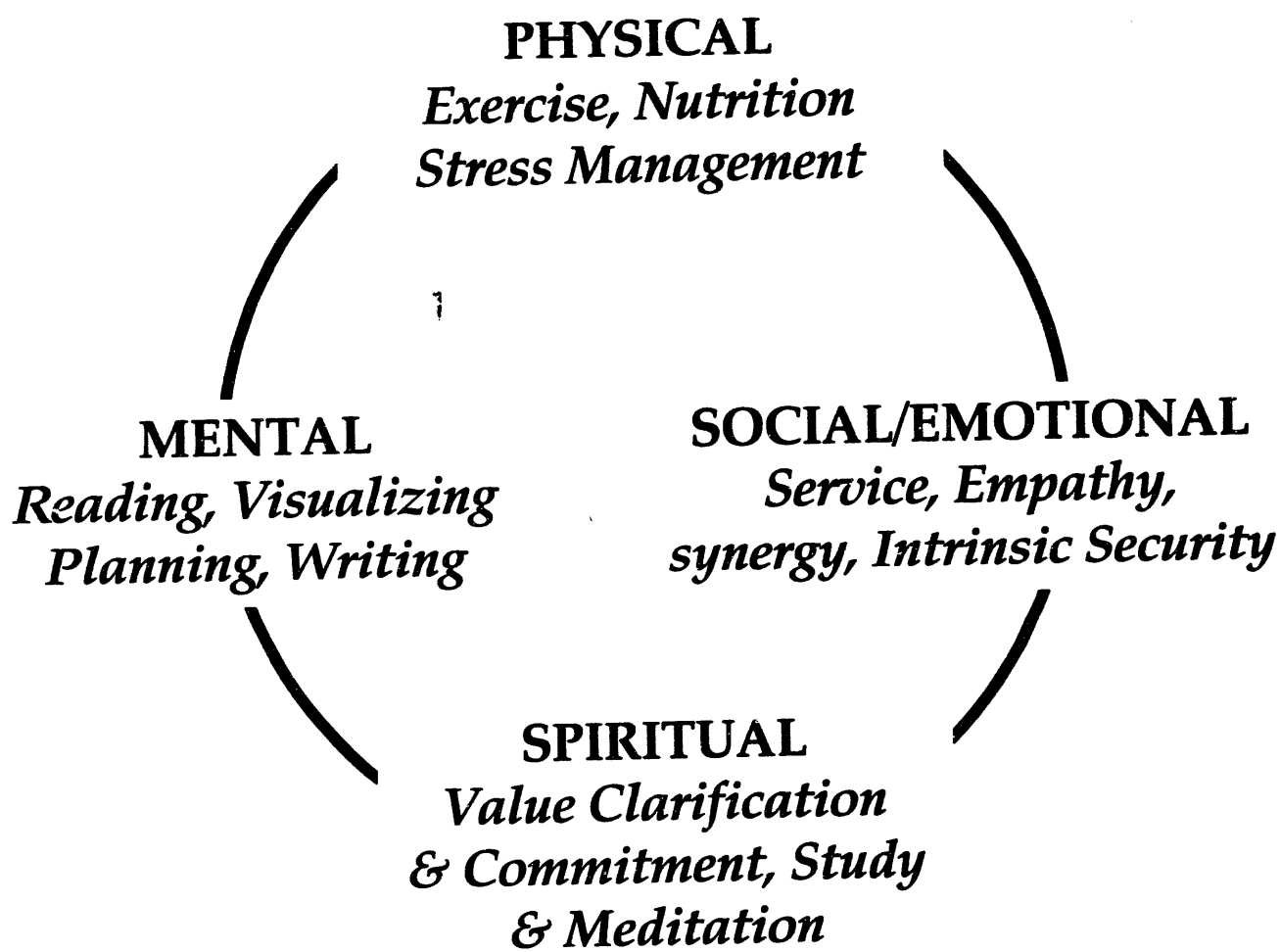
*"As a man thinketh in his mind so he is."*

*Familiar Quote*

# SHARPEN THE SAW



# FOUR DIMENSIONS OF RENEWAL



# Quality Journey

**Covey's Seven Habits teaches each traveler to:**

- **Value diversity.**
- **Listen to understand.**
- **Focus on results.**

# WHAT DO THESE 22 HISTORIANS WANT WITH DOE ANYWAY?

Dr. Page Putnam Miller
NATIONAL COORDINATING COMMITTEE FOR THE PROMOTION OF HISTORY
Dr. Stanley Goldberg
James David
Betsy Scroger
Joe Sinisgalli

Page Putnam Miller

Page has served for the 14 years as director of the National Coordinating Committee for the Promotion History, a national advocacy office supported by 50 historical and archival organizations. She received her Ph.D in American History from the University of Maryland in 1979.

In 1984, she received a Distinguished Service Award from the Society of American Archivist for her work in restoring independence to the National Archives by separating it from the General Services Administration. In 1989, she wrote Developing a Premier National Institution: A Report From the User Community to the National Archives which has served as an effective advocacy tool and helped to share the debate over future directions for this important national institution.

NATIONAL COORDINATING COMMITTEE
FOR THE PROMOTION OF HISTORY

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Putnam Miller

Historical Association
of American Historians
American Archivists
History Association
Theta
Historical Association
Military History
Historians of
Foreign Relations
History Education
Committee on Women
orical Profession–
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Science Society
the History of Technology
Political Science Association
Conf. of Women Historians
Peace Research in History
History Society
Association for
Local History
Group for
European History
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ican Historical Association
History Society
Library Association–
History Round Table
of State Humanities Councils
History in the
Government
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hives Assembly
Association for the
of Medicine
for Documentary Editing
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and Records Administrators
of Genealogical Societies
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Regional Archives Conf.
Society for Legal History
Studies Association
America's Military Past
History Association
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Georgia Archivists
Industrial Archeology
Association for Women
Council of Learned Societies
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ordinating Committees
Missouri
Montana
New Hampshire
New Jersey
New Mexico
North Carolina
North Dakota
Ohio
Oklahoma
Pennsylvania
Texas
Utah
Vermont
Wisconsin

# NCC Briefing Sheet on Systematic Declassification - January 6, 1994

**ISSUE:** The revision of federal information policy to make most historical records over 25 years old available to policy makers, scholars, and the public so that all can learn from the past to shape better policies for the future.

**BACKGROUND:** Traditionally, scholars and policy makers writing about foreign policy related events have relied heavily on federal records, which, in most cases, were open for research after thirty years. Responding to the voluminous backlog of World War II documents and the growing number of classified documents, President Richard Nixon issued in May, 1972 Executive Order 11652, which established a systematic declassification process. Under this order, all classified material was to be systematically reviewed thirty years from the date of origin. Agencies provided guidelines for the declassification of their documents. Extensions beyond the thirty years were permissible only at the request of the head of the originating agency. But, subsequent orders under President Carter, Executive Order 12065, and President Reagan, Executive Order 12356, introduced new definitions and established more complicated guidelines for declassification. Most significantly, the Reagan order eliminated a time table, or benchmark, at which time all but the most sensitive records should be declassified. This has resulted in a clogged system, with large numbers of documents over 30 years old unavailable to the public and approximately one trillion classified document held by the federal government. On April 26, 1993, President Clinton issued a Presidential Directive calling for a revision of the Reagan Executive Order on declassification that was issued in 1982. The task force with responsibility for revision the executive order are currently working on their third draft.

**KEY POINTS:**

1. American foreign policy after World War II is poorly understood by both policy makers and the public. This is partly due to the fact that the federal government has withheld the sources necessary for writing fair and comprehensive histories of this period. It is in the best interest of the country to have its contemporary history written by individual with access to the primary documents. It is most important that "alleged "history not be based on privileged information and biased memoirs.

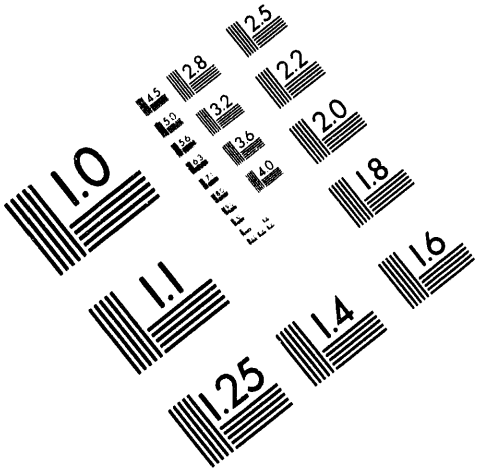
2. The present state of overclassification and limited declassification makes it difficult to protect appropriately classified information from leaks and to serve efficiently public requests. Congressional reports, pending legislation which addresses problems with the federal declassification policy, and statements by the U.S. Archivist all indicate that current policy is unworkable and needs revision.

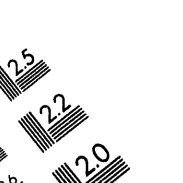
3. The financial burden of implementing an extensive page-by-page declassification review of all older records is enormous. The National Archives recently estimated that the average cost of declassifying a page through systematic review is $.07, but through mandatory or FOIA review is $.75 a page. Even systematic review for all older material, considering the enormous amount, is still prohibitively expensive.

4. The thawing of the Cold War provides an appropriate time for a new approach to dealing with historic records over 25 years old. Historians support a "balancing test" that puts emphasis on both the public's need to know and the risk of disclosure of information.

5. The Freedom of Information Act and the mandatory review are inadequate substitutes for automatic review. Sound research methodology by serious scholars requires general access to the records. The researcher frequently does not know specifically what is available relating to his or her topic and could not initiate a specific FOIA request.

6. The National Archives is in danger of being a storage vault of largely unavailable information. Currently 40% of the textual records accessioned annually have to undergo a review for declassification and 70% of these records are over 30 years old.

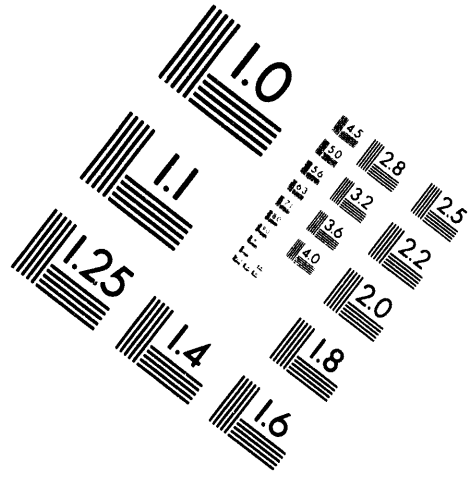


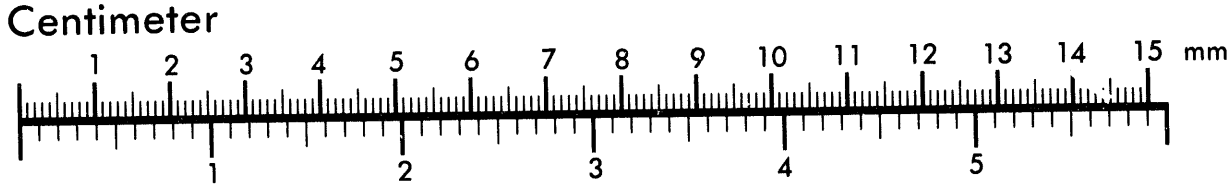


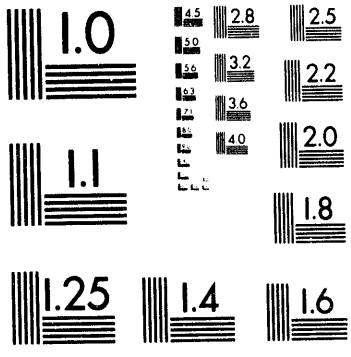
**Association for Information and Image Management**

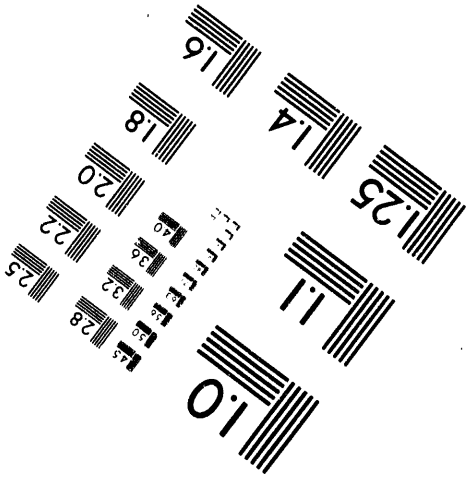
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Silver Spring, Maryland 20910

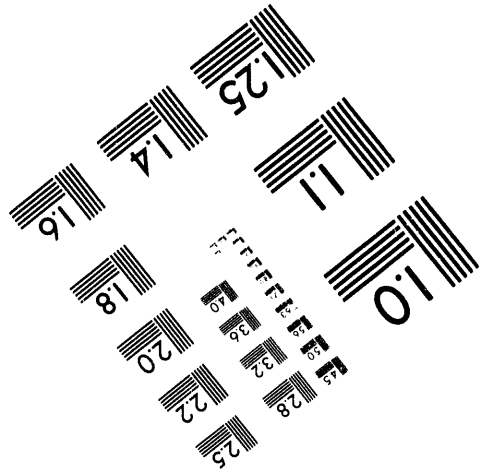
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10 of 10

NATIONAL COORDINATING COMMITTEE
FOR THE PROMOTION OF HISTORY

*Administrative Offices:* 400 A STREET SE
WASHINGTON, DC 20003/(202) 544-2422

Miller

Association
American Historians
Archivists
Association

Association
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Vermont
Wisconsin

# NCC Briefing Sheet on Declassification
April 12, 1994

**ISSUE:** The revision of national security classification policy to make most historical records over 25 years old available to policy makers, scholars, and the public so that all can learn from the past to shape better policies for the future.

**BACKGROUND:** On March 17 the National Security Council and the Information Security Oversight Office sent to federal agencies a third draft of a new Executive Order that would significantly reform current policies on secrecy. Responding to President Clinton's April, 1993 Presidential Directive to revise Executive Order 12356, this draft would declassify large amounts of material over 25 years old.

The major breakthrough in this draft is the provision that "within four years from the date of the issuance of this Order, all classified information more than 25 years old shall be automatically declassified whether or not it has been reviewed." The enormous backlog of old material has accumulated because of a policy of page by page and line by line review of all records that have been classified. With this costly policy in effect and with dwindling resources for the systematic review of classified records, large amounts of post World War II records remain classified. Consequently, scholars have not had access to many of the documents crucial to writing accurate and objective accounts of a large part of twentieth century U.S. history.

The March 17 draft gives agencies a grace period of four years to identify records over 25 years old that would cause harm if released. Using seven specific criteria, an agency head may exempt specific information from automatic declassification by preparing a written justification explaining why this information must remain classified for a longer period of time. A copy of the justification would then go to an Interagency Security Classifications Appeals Panel that "may direct the agency not to exempt the information or to designate the information for automatic declassification at an earlier date than recommended." If a good faith effort is made to follow this order and to create a more open climate, after four years, presumably in 1998, all but the most sensitive records that were created during or before 1973 will be opened.

## Key Points Raised By the March 17 Revision of the Executive Order

1) The provision calling for automatic declassification of documents over 25 years old, even if the records have not been reviewed, represents a major new approach to secrecy and if implemented would greatly increase access to historical documents.

2) The provision for a four year grace period to allow agencies to identify records that are most sensitive and should remain classified is a realistic and reasonable approach. However, it is crucial that implementing language accompany the order that would establishment benchmarks to ensure that during the four year period, there is timely progress toward meeting the four year deadline for automatic declassification.

3) This draft is to be commended for a return to a "balancing test" that puts emphasis on both the public's need to know and the risk of disclosure of information.

4) The provisions protecting foreign government information are too broad. The State Department's Advisory Committee on Historical Diplomatic Documental has recommended that the sentence exempting foreign government information from automatic declassification in Section 3.4 be strengthened to state: "reveal information that would demonstrably cause exceptionally grave damage to the current relations between the United States and a foreign government."

5) Many provisions in the draft contain vague language that could result in the order being subverted, and its provisions nullified. If the exemptions from automatic declassification are too broadly interpreted, if the requirement for the justification of extensions results in boiler plate language that can be used on vast quantities of records, or if the Interagency Security Classifications Appeals Panel fails to scrutinize the exceptions to declassification, then the old system of secrecy will prevail. Implementing language must be very specific to guard against the subversion of the process.

6) While this draft has been strenghtened by including some mechanisms for oversight, the order would be stronger if the membership of the Interagency Security Classification Appeals Panel Review Panel included two distinguished scholars, from among those who currently have security clearances and serve on agency historical advisory boards.

**Action Needed:** As the Clinton Administration receives comments from agencies on the March 17 revision of Executive Order 12356, on Classified National Security Information, it is important for professional associations and those outside of government to register their comments. Send comments on the March 17 revision of the Executive Order to Steven Garfinkel, who is heading the task force responsible for the revision. His address is: Steven Garfinkel, Director, Information Security Oversight Office, 750 17th Street, NW, Suite 530, Washington, DC 20006.

# IT'S NOT OVER UNTIL THE PAPERWORK IS DONE.
# A PANEL DISCUSSING RECORDS MANAGEMENT ISSUES AND CONCERNS WHEN A SITE IS CLOSED OR TRANSFERED.

**Orville R. Pratt, SAIC AL**
**Cathy Marciante, DOE OR**
**Bonney Ramsey, DOE SSCP**
**Sharon Evelin, DOE HQ GTN**
**David Keller, SAIC AL**
**Cheryl Kirkwood, EG&G Mound**
**Susan Law, JACOBS ENGINEERING UMTRA**
**Barbara Compton, PTI, INEL**

"It's Not Over With Until The Paperwork is Done."

A Panel Discussing Records Management Issues and Concerns when a Site is Closed or Transfered.

Participants are:

Orville R. Pratt, SAIC / DOE AL

Cathy Marciante, DOE SSCP / OR

Bonney Ramsey, KIRA / DOE SSCP

Sharon Evelin, DOE GQ GTN

David Keller, SAIC / DOE AL

Cheryl Kirkwood, EG&G, Mound Applied Technologiers

Susan Law, Jacobs Engineering / DOE UMTRA

Barbara Compton, PTI / INEL

Presented at:

The DOE Annual Records Management Conference.

Charlotte, North Carolina.

June 20 - 23, 1994.

"It's Not Over With Until The Paperwork is Done."

The efforts in the Records Management initiative have been directed to the inventory and scheduling activities. Recent events involving Records Management activities relate to the closing of major sites, personnel changes including layoffs or complete reorganizations, transfer of technology or manufacturing processes and abrupt changes in missions. All of these events involve some aspect of intervention by Records Management personnel in an attempt to prevent the loss of information in a unstable environment.

The panel of Records Management professionals represent a cross section of current closure activities, some of which are still in progress. They have been assembled to present their experiences with Records Management concerns when physical site shut down or some variation of a process or operation is transferred to another site. In addition, they are willing to share some of the solutions to the problems that have proved successful in the environment.

In the context of this presentation, the term 'closure' means a planned and orderly closing of a operation at a specific site. The resulting effect of the closure is that a facility will have its function and inventory dispersed to other sites. The latter are usually noted as receiver sites and the former as the donor site. In some cases of closure, such as the termination of the Superconducting Super Collider Project, there is no receiver site that will carry on the activity. Internal reorganizations are also a form of closure and transfer when considering Records Management, issues and that type of closure will also be addressed.

The intent of the presentation will be to stimulate interest in an issue which has been limited in previous discussions. In prior conferences and years we were all seeking tips and techniques on how to perform the inventories and get Records Management issues off ground zero and

make it a part of the daily activity for each organization. The problems and concerns of site closures or transfers and Records Management concerns were alluded to but other priorities, namely the awareness training, inventory and Epidemiologic topics, claimed available resources. Closure activities, including large transfer projects, became a reality during the last year and more loom on the horizon. In some cases the closure or transfer activity is not waiting for the formalized methods alluded to in the various Records Management programs. When this happens, Records Managers are challenged to maintain control by dealing with the donor site personnel providing the records. In many cases, these people are considered short-term employees facing a reduction in manpower. In addition the Records Manager is also challenged at the receiving site, dealing with users of information and still maintaining the integrity of the record series.

The panel is composed of records management professionals dealing with a broad spectrum of closure activities. Closure activities represented for this meeting are:

1. Contractor Consolidation at INEL.
2. Contractor to Contractor Changes - UMTRA
3. Topics concerned with DOE Reorganizations.
4. Closure of the Superconducting Super Collider.
5. DOE Reconfiguration - Mound Facilities.
6. DOE Headquarters Experiences and Contract Issues.

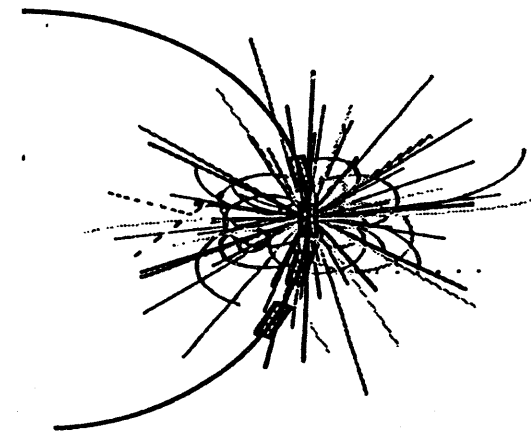
Each of the participants received a generic guide for points to addressed. This was done to help guide the presentations and to maintain some continuity in our limited time frame.

The six general points of interest are:

1. Contract Considerations
2. Management Involvement
3. Type of Transfer Process
4. Known Problem Areas
5. The Implementation
6. The End Point - Defined or Floating

In general, any type of closure operation is extremely complex. The preservation of any type of records relating to the activities and operations prior to the closure will present a challenge to the Records Manager. As will be described in the following presentations, the sooner the records manager is involved in the process, the better control for Records Management concerns is realized.

# SUPERCONDUCTING



# SUPER

# COLLIDER

# PROJECT

# OVERVIEW

**SCOPE:** The Superconducting Super Collider was to have been the world's highest energy accelerator: a proton-proton collider with an energy of twenty trillion electron volts (TeV) per beam, a premier international laboratory for high energy physics research, and a major resource for science education.

**DATE:** Concept originated in 1982 at a Summer Study on Elementary Particle Physics and Future Facilities. Became a Presidential initiative on 1/27/87. Texas site selected in 11/88. Construction began on October, 1990.

**$$$$:** Pre-termination estimated Total Project Cost - $8,299,100,000

**DUE DATE:** "On budget, on line, for 1999"

# CLOSE-OUT

**SCOPE:** Accumulation and archiving of all records documenting the Superconducting Super Collider Project

To make readily available the documentation necessary for Site Restoration

**DATES:** Close-out of Prime Contract by September, 1995 and completion of Site Restoration by October, 1997

**$$$$:** Congress approved $640M for project termination of which $35.5M was designated for document close-out and records related issues

# CONTRACT CONSIDERATIONS SPECIFIC TO RECORDS MANAGEMENT

**PROBLEMS:**

- **No mention of closure or transfer process**
- **Detail (lack of) - contract left open to interpretation**
- **Ownership of records not defined**
- **Additional costs generated by contract modifications**

**SOLUTION:**

**WELL WRITTEN CONTRACT THAT IDENTIFIES RECORDS MANAGEMENT CONCERNS**

# HIGH LEVEL MANAGEMENT INVOLVEMENT

**PROBLEM:**

*Contractor:* **Minimal until termination (little or no buy-in)**

*DOE Oversight:* **Untimely response to DOE requests**

**Little DOE control over laboratory buy-in to RM**

**SOLUTION:**

*Locally:*

- **Emphasize the value of the RM program**
- **Support RM program at highest level**
- **Provide funding to "work" the program**
- **See contract overhead (slide)**

*From Afar:*

- **Generate standard contract language in the FAR**
- **Encourage management liability for RM**

# TRANSFER PROCESS

- FRC visit
- Volume
- One location
- Media (two locations)
- FRC visit to site
- Monthly monitoring of progress - daily guidance as necessary
- OSTI Connection
- Schedule - SF 115 (permanent retention with 25 year DOE ownership)
- Transfer

# CURRENT STATUS

**Records are being collected and indexed. Transfer process will begin soon. NOTE:** ***Records will continue to be generated beyond termination due to the on-site restoration. Estimated completion date is October, 1997.***

**Additionally, records necessary for on-site restoration, as well as determination of SSC assets, will need to be retained.**

# LESSONS LEARNED

- Clearly written contract is mandatory
- Well developed RM program would have been helpful

RECOMMENDATIONS:

- Team development (Contractor as well as DOE) consisting of personnel in contracting, legal, records/administrative, scientific/technical, and ADP
- High level internal management awareness and support is crucial
- Visit FRC
- Volume/media
- Develop schedule
- Negotiate transfer

# ADDITIONAL NOTES

- **Because of termination, 2800 employees were reduced to 950 in just four months**
- **Morale problem due to termination**
- **Reassignments to tasks for which employees are not trained or have improper backgrounds**
- **Loss of valuable information, not properly documented, due to attrition**
- **Records will need to be retained on site for litigation, Texas issues, site restoration and use of SSC assets**

# Organization and the Transfer of Record Ownership

David Keller

## AL Records Center (ARC)

- ARC maintains inactive records for the DOE/AL organizations
- Been in operation for over 30 years
- Many records have not been handled for as long as 30 years
- All ARC operations are manual
- Organizations complete an SF-135 to transfer records to the Center

## Problems Identified

- Facility, cited schedules, documentation, nonrecords
- Current organizational owners could not be identified, names didn't exist - No Transfer of Ownership

## Ownership issues

- Two organizations consolidated into one
- One organization divided into several organization
- Programs terminated
- Organizations dissolved

## Impacts

- Were unable to find many owners
- No body wanted to take responsibility
- Not a management priority
- Difficulty in assessing the value with limited knowledge of the records purpose

## Immediate Actions

- Interviewed long time employees
- Reviewed old organizational charts
- Reconstructed organization evolution

## Continuing Actions

- Develop an automated system to include tracking of organization name changes
- Proceduralize the process, assign responsibility
- Take proactive role, keep on top of changes

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# Countdown At The Mound Weapons Facility

Prepared by
Cheryl A. Kirkwood
Records Management Officer

for the
1994 Department of Energy
Records Management Conference

May 16, 1994

# Countdown at the Mound Weapons Facility

## Presented by

## Cheryl A. Kirkwood

***Biographical Sketch***

Cheryl Kirkwood has been employed by EG&G Mound Applied Technologies for nine years. Cheryl is Mound's Records Management Officer, serving as the point of contact for all document requests and transfers during Reconfiguration. She directs the Records Inventory Project, Inactive Records Holding Program, and the Vital Records Program.

# Countdown at the Mound Weapons Facility

***What is Non-Nuclear Reconfiguration?***

Non-Nuclear Reconfiguration is an effort to realign weapons design and manufacturing elements of the Department of Energy into a smaller, less costly operation, focused on maintaining the enduring stockpile while retaining the skills and resources required to sustain weapons production competency.

Reconfiguration restructures the Weapons Complex, consolidating a design and manufacturing system that evolved through a 40-year period at multiple geographic locations influenced by the business cultures of independent Management and Operating contractors.

***Reconfiguration Scenario***

- **February 1991**
  DOE announces a Reconfiguration Study for the Nuclear Weapons Complex.
- **December 1991**
  DOE announces its "preferred option" to consolidate non-nuclear weapons work at Kansas City.
- **December 1992**
  GAO investigation finds significant fault with the DOE plan.
  Mound's emphasis shifts to commercialization.
- **March 1993**
  Secretary O'Leary requests an independent study of the Reconfiguration Plan.
- **May 1993**
  Secretary O'Leary endorses the general plan for reconfiguration.
- **September 1994**
  All production and stockpile evaluation work ceases at Mound.
- **October 1994**
  DOE Ohio Field Office to be operational at Mound.
- **FY 1995**
  Mound will be transferred from DP to EM funding.

***Document Transfer***

While the transfer of manufacturing technologies used in weapons production to new locations presents many technical challenges, the redeployment of associated documents is equally challenging. The documents provide the information and guidance necessary to support the weapons stockpile. **These documents are the primary records of the nation's nuclear competence.** As a police officer told our Manager of Reconfiguration many years ago, "This ticket will be the best knowledge about this event in the future."

Budgetary constraints have driven production cessation and disposition schedules to be dramatically accelerated at several donor sites. This acceleration has required donor sites to implement records disposition activities before the Records Management Activity Transfer Group (RMATG) guidance can be fully institutionalized.

In addition, loss of key personnel due to Federal Law 3161, which provides for retirement incentives and voluntary severance incentives, means that many pieces of information never documented due to the nature of WR activities' emphasis on "schedule compliance at all costs" may not be recorded. These key personnel may leave the organization, taking with them years of undocumented information. Most records are still in their office areas, not in inactive storage. Subsequently, when an employee terminates employment with the company, much of the knowledge leaves with the employee. Frequently, the information is left behind with no one to provide ongoing "Corporate" knowledge of the technology.

***Records Management Activity Transfer Plan***

Technical and Program Management involvement began early in the Reconfiguration process. However, many decisions were made without completely evaluating the impact on donor and receiver sites. Many programs were divided, with components going to several receiver sites. This causes the donor site to either "split" the product definition and information structure or duplicate the records so that the records needed are provided to each receiver site. Duplication of the records package is very labor- and cost-intensive.

In every case we have a designated receiver site, under the same DOE regulations; therefore, physical certification of the receiver sites is not an issue.

Each donor and receiver site, in concert with DOE/AL and DOE/HQ, selected representatives to form the RMATG. This group worked diligently for approximately eight months writing a Records Management Activity Transfer Plan that provides guidelines for the actual documentation transfer. Much time and hard work were focused on a plan that could meet the toughest challenges. This plan was implemented throughout the complex in August of 1993.

A security plan was also written for DOE/HQ approval for the transfer of large quantities of classified records. At the time of issuance of this plan, a "final resting place" had not yet been chosen to receive all donor site records.

***Designated Point-of-Contact for All Records Transfers***

In addition to the RMATG, each donor and receiver site designated a single point-of-contact for Records Management. All requests for document transfers are coordinated through these individuals. An example of the documentation package for a small electrical cable, which is 6" long, 2" wide and 0.1" thick, follows:

- 156 Sets of Paper Drawings
- 18 Specifications
- 5 Data Forms
- 64 Procedures
- 21 Manuals
- 243 Aperture Card Sets
- 8 Product Indices
- 8 Bills of Material

*Common Concerns*

Problems are often unique to the donor or receiver sites although there are some joint issues and concerns. Some examples are:

1. Incomplete data can result due to the lack of automation in managing active records. In many cases no electronic Records Management program exists.

2. Inadequate scheduling occurs. Sometimes this is because DOE and General Records Schedules are too broadly written resulting in varying interpretations of schedules between sites. Often the normal retention schedules for WR records, "Life of Program plus 6 months," are confusing to records holders due to the nature of weapon dismantlement issues. In addition, what may have been of value to the donor site may not prove to be of value to the receiver site because of a change in mission, product design, or differences in receiver site management practices.

3. Some sites have varying quantities of records potentially contaminated with radioactive materials. Where will these records be stored and maintained and who will take responsibility for them? The Federal Record Centers (FRC) are not equipped to handle contaminated records and are limited as to the type and amount of classified records they can receive. Transfer of ownership will need to be made from the donor to a receiver for records in FRCs. The receiver site must have the ability to determine specific information stored at FRCs for reference and retrieval capability.

4. A Memorandum of Understanding is being developed between DP and EM concerning "orphan records" (records left over from the DP mission that are no longer required by current and future programs).

5. Mound currently has a litigation case that is still in the "discovery" stage that will require any receiver site to assume legal responsibility for Mound's record maintenance and retrieval any time during the litigation.

6. Donor site employee morale has been affected. It is very difficult for an employee who has spent many years working very hard to produce a product for the defense of our country to see it all taken away.

7. Donor sites often have multiple individuals at one receiver site requesting the same information from the donor site. It has become very important to educate employees at both donor and receiver sites concerning the single point-of-contact process and to enforce it. For example, on six different occasions Mound provided the same set of 300 facility drawings to a receiver site because they had either been misplaced or misdirected by the receiver site.

8. Another problem concerns incorporating changes into records. Do we incorporate changes into existing manuals and drawings and republish before we transfer them, or do we send current issues of these records and the Advance Change Order? Mound has found each receiver site to have a preference. Mound currently has no funding for incorporating changes to existing Weapons records.

*Summary*

To summarize, the working relationships between a donor site and receiver sites play a key role in successfully accomplishing the reconfiguration transfer process. Overall, Mound feels that the Reconfiguration Transfer project is going smoothly, although fast-paced and hectic in some instances.

Is there an end to this madness you ask? Yes, we do see a defined end, even though completion dates are constantly changing requiring Mound to re-evaluate our resource needs, funding issues, and negotiation with receiver sites. However, will the funding end before the nuclear competence is successfully transferred?

*Acknowledgements*

I would like to thank Scott Burkhardt of EG&G, Rocky Flats, and Mike Caponetto of Allied-Signal, Kansas City, for their valuable contribution of information for this presentation.

## CONTRACT CONSOLIDATION - WHEN FIVE BECOME ONE

The Idaho National Engineering Laboratory (INEL) is undergoing a major change. Currently there are five M&O contractors working at the site. These five contracts will be consolidated under one contract. For many years each M&O has operated as a separate entity.

Although, in the records management arena, we have been working together for years, we each ran our own separate program. So it will be a major change for us also.

I am here to talk to you in very general terms in the period of mid-May about what is happening as these companies consolidate.

**CONTRACT CONSIDERATIONS:**

Our contract has not been awarded yet, so we have not seen the wording in it. However, different parts of the RFP included the following:

This part of the bid addresses the close out of the old contracts:

> DEAR 970.5204-AL 92-8R OWNERSHIP OF RECORDS NOTICE
>
> In addition to its audit and inspection rights under the contract, the Government must ensure that records, including those generated under the contract relating to employee welfare, (such as safety, health, and fringe benefits), the facilities condition, and environmental impacts, be retained under special conditions, including transfer to the Government or a successor contractor, at such time as the contractor might conclude operation of the facility. Accordingly, special records retention standards, described at DOE Order 1324.2A, Records Disposition, will apply to any resulting contract. However, the contractor may be allowed to assert ownership of certain records under conditions set forth at the clause entitled "ownership of Records." Should the offeror identify a need to assert ownership of certain

records under a contract resulting from this solicitation, its proposal must identify such records and provide supporting rationale for its assertion.

This part of the bid requests the following information for the new contract:

Planning, designing, and implementing an effective information management program that fully supports complex programs with an emphasis on the management of corporate data, systems integration, network management, communications connectivity, on-line database management, computer security, and hardware and software technology management. This shall include evaluating the need for, and implementing, a long term policy for the provision of supercomputer capabilities for support of technology programs.

Although these two references do not specifically mention the nuts and bolts of how this transfer will take place, I believe that it will give records management personnel some leverage as we address transfer issues.

**MANAGEMENT INVOLVEMENT**

Each contractor was required to write a "transition plan" for their respective company. Most of these plans included records issues (usually written about a specific area i.e. safety, occurrence reports, personnel or storage) and may or may not have been written upon the request of, or consultation with, the records personnel. These plans were written/approved at a senior staff level. At this point, we have not had much experience to rate them helpful, neutral or a hinderance. We are just beginning the process of implementation.

**TYPE OF TRANSFER PROCESS**

TBD

**KNOWN PROBLEM AREA**

There are several issues that we have and are struggling with:

Some transition plans contained instructions to managers that said: "Copy .....(records) and send to corporate." The concern is that in some processes, companies have "cradle to grave" liability. Their "fix" was to copy those types of records and send them to corporate.

We were able to convince them that they could not indiscriminately copy and send records off site.

However, the problem is now back in our court. We are tasked to find an answer for this type of scenario.

Each of the five companies has an active drawer full of "chemical tracking" records. After the contract is awarded, these five drawers will be moved into one system. As they become inactive, these records will be boxed and stored in an inactive facility. Twenty-five years from now, one company needs access to their piece of that record series. How do I, today, assure them that they will find them - find them intact, under a name and search criteria that will be readily available.

We know that when the contract consolidates, there will be considerable movement of personnel across the site and they may or may not take records with them. They may be doing the same job, but at a different location or they may be assigned an entirely new job. In either scenario, what happens to the records.

The INEL Records Management Group decided to do some awareness training right away, before everyone goes into panic mode. We wrote a series of articles in our INEL Newsletter suggesting that personnel should do the following things in preparation for the change.

- First, we asked them to either complete or update their inventories.
- Second, we asked them to document their file plans.
- Third, we advised them:
    - if they move to another location and take their records with them they must update their inventories and notify Records Management.
    - if they are transferred and do not take records, they do not just turn out the light and leave. They must:
        - Give a copy of their inventory and their file plan to their manager/supervisor
        - Notify Records Management that they are no longer responsible for those files

**IMPLEMENTATION**

As of May we have not done any actual transfer (combining) of records series, nor will we be able to until the contract is awarded. We are hoping for several months to transition over to the new contractor and during that time we can give some guidance and recommendations.

**END POINT**

We are stable now, but once this contract is awarded we will become a moving target - and a fast-moving one.

# "IRM VISION 21, INFORMATION RESOURCE MANAGEMENT INTO THE 21ST CENTURY"

PROVIDE A COMMON FOCUS AND DIRECTION

PROVIDE AN INFRASTRUCTURE WHICH IS WELL UNDERSTOOD

ALLOW FLEXIBILITY TO ACCOMMODATE CHANGING NEEDS OF USERS

FOCUS ON MANAGEMENT OF INFORMATION ITSELF

# IDAHO OPERATIONS OFFICE

MORE COHESIVE AND COORDINATED APPROACH

COMPLEX AND DIVERSE IRM REQUIREMENTS DICTATED

PLANNING IN A LOGICAL AND EFFICIENT MANNER

PROVIDE MUTUALLY SUPPORTING SERVICES

# IDAHO NATIONAL ENGINEERING LABORATORY

TO DEVELOP, DEMONSTRATE, DEPLOY, AND TRANSFER ADVANCED ENGINEERING TECHNOLOGY AND SYSTEMS TO PRIVATE INDUSTRY TO IMPROVE U.S. COMPETITIVENESS AND SECURITY, THE EFFICIENT PRODUCTION AND USE OF ENERGY, AND THE QUALITY OF LIFE AND THE ENVIRONMENT WORLDWIDE.

# INEL INFORMATION RESOURCE BOARD

## DEVELOP AND IMPLEMENT POLICY RECOMMENDATIONS REGARDING SITE-WIDE IRM MATTERS TO THE IDAHO OPERATIONS OFFICE

# INEL - IRM VISION

WE WILL BE RECOGNIZED AS PROACTIVE PROVIDERS OF THE BEST IRM LEADERSHIP AND SERVICES IN THE GOVERNMENT WITH HIGH QUALITY, TIMELY, AND COST-EFFECTIVE INFORMATION SERVICES RESPONSIVE TO CUSTOMER'S CURRENT AND FUTURE REQUIREMENTS.

# OBJECTIVES

## INSTITUTIONALIZATION

IRM WILL BE RECOGNIZED AS A MAJOR CONTRIBUTOR IN ACHIEVING THE DEPARTMENT'S MISSION OBJECTIVES AND IS FUNCTIONALLY ESTABLISHED THROUGHOUT ALL DEPARTMENT ELEMENTS AND THE DOE CONTRACTOR COMMUNITY.

## CUSTOMER RELATIONS AND SATISFACTION

THE IRM FUNCTION, BY PROVIDING INFORMATION MANAGEMENT, LEADERSHIP, AND RESOURCES IN A HIGH QUALITY, TIMELY AND COST-EFFECTIVE MANNER, IS RECOGNIZED AS A RESPECTED PARTNER BY CUSTOMERS IN THE DEPARTMENTAL ELEMENTS AND CONTRACTORS IN THE ACHIEVEMENT OF THEIR DIVERSE MISSIONS

## REGULATIONS, POLICY, AND STANDARDS

THE IRM FUNCTION PLAYS A MAJOR ROLE IN INFLUENCING THE FEDERAL GOVERNMENT'S IRM REGULATORY ENVIRONMENT. IRM INTERNAL POLICIES AND STANDARDS SUPPORT IRM VISION 21.

## TECHNOLOGY

A PROACTIVE IRM TECHNOLOGICAL INFRASTRUCTURE IS IN PLACE THAT EFFICIENTLY AND EFFECTIVELY FULFILLS THE VARIED INFORMATION REQUIREMENTS OF THE DIVERSE DOE COMMUNITY.

# ISPG CHARTER

## PURPOSE

DEFINE STRATEGY

ENCOURAGE ITS IMPLEMENTATION

FOSTER COOPERATION AND COMMUNICATION BETWEEN ORGANIZATIONS

## RESPONSIBILITIES

IDENTIFY A COMMON VISION FOR IRM ACTIVITIES

DEVELOP IRM PLANNING STRATEGIES FOR EACH IDENTIFIED IRM ACTIVITY THAT WOULD SUPPORT THE SHORT AND LONG RANGE PLANNING NEEDED AT THE INEL

ESTABLISH, COORDINATE, AND SUPPORT STRATEGIC PLANNING SUBGROUPS

FACILITATE COMMUNICATION

SERVE AS A DECISION-MAKING BODY PROVIDING NEAR AND LONG TERM DIRECTION

EVALUATE AND DOCUMENT PROGRESS TO ASSURE SUCCESS OF THE INEL MISSION

# ISPG ELEMENTS
# SUBGROUPS

TELECOMMUNICATIONS

DATA ADMINISTRATION

COMPUTER SECURITY

TECHNOLOGY ASSESSMENT

RECORDS MANAGEMENT

HARDWARE

SOFTWARE

# RECORDS MANAGEMENT TASKS

PROMOTION, AWARENESS, AND TRAINING

UNIFORM FILE CODE

DISASTER PREPAREDNESS AND RECOVERY

SPECIAL INTEREST

TECHNOLOGY

SELF ASSESSMENT

# TASKS COMPLETED/IN PROGRESS

SEVERAL SITE TRAINING PROGRAMS

POSTER CAMPAIGN

ARTICLES IN THE INEL NEWS

UNIFORM FILE CODE

RECORDS DISASTER RECOVERY PLAN

ELECTRONIC RECORDS GUIDELINE

IMPLEMENTATION OF VERSATILE

# OTHER ISPG TASKS

PLANNING DOCUMENTS
- IRM 1996 CALL
- SITE PLAN
- IRM STRATEGIC PLAN
- IMPLEMENTATION PLAN

MISCELLANEOUS
- OCCUPATIONAL MEDICAL PROGRAM
- HAZARDOUS CHEMICAL TRACKING SYSTEM
- SITE WIDE TRAINING SYSTEM
- STUDIES ABOUT THE USE OF THE CRAY AND IBM3090

# LESSONS LEARNED

ADDRESS IMPLEMENTATION/FUNDING ISSUES EARLY

ADDRESS HIERARCHY, MAINTENANCE/DISTRIBUTION OF DOCUMENTS

LEARN TO BE FLEXIBLE

MORE PROGRAM INVOLVEMENT

BE MORE AGGRESSIVE

# BENEFITS
## PARTNERSHIPS - PARTNERSHIPS - PARTNERSHIPS

IRM INTEGRATED APPROACH

ABILITY TO WORK IN A TEAM ENVIRONMENT

UPGRADING OF SKILLS/EDUCATION

INCREASED COOPERATION/COMMUNICATION

RECOGNITION AND REWARDS

# THE FAR SIDE OF RECORDS MANAGEMENT

Anna Nusbaum

**Presentation Materials NOT available at time of printing**

# THE FAR SIDE OF RECORDS MANAGEMENT

**Anna Nusbaum**

# R & D RECORDS

Mary Wilson Haider
ARGONNE NATIONAL LABORATORY

Mary Wilson Haider

Mary has been the Argonne National Laboratory Records Coordinator since February 1991 and is responsible for developing a laboratory-wide program for the identification, retention, and disposition of ANL's records. This includes providing oversight by assisting in policy development and providing procedures, training, and consulting as required by ANL employees and management.

# LIFE CYCLE
# OF
# RESEARCH AND DEVELOPMENT RECORDS

## *THE RESEARCHER'S PERSPECTIVE*

# TODAY'S ROADMAP

| | |
|---|---|
| **WHAT** | *FOCUS ON R&D RECORDS* |
| **WHERE** | *CHARLOTTE, NORTH CAROLINA* |
| **WHEN** | *FRIDAY, JUNE 24, 1994* |
| **WHY** | *BUILD PARTNERSHIPS BETWEEN DOE RECORDS MANAGERS AND SCIENTISTS* |
| **HOW** | *VIDEO BASED PANEL DISCUSSION WITH ARGONNE NATIONAL LABORATORY SCIENTISTS* |
| **HOW MUCH** | *4 SEGMENTS:* ***DEFINITION, CREATION, MAINTENANCE, RETENTION/DISPOSITION*** |
| **WHO** | *MARY W. HAIDER, LABORATORY RECORDS COORDINATOR ARGONNE NATIONAL LABORATORY*<br>*GROUP FACILITATOR* |

# TODAY'S GOALS

**TO DEVELOP A DEFINITION OF RESEARCH AND DEVELOPMENT RECORDS**

**TO UNDERSTAND THE SCIENTIST'S METHOD AND PURPOSE FOR CREATING, MAINTAINING, AND DISPOSING OF RESEARCH INFORMATION**

**TO DEVELOP A PRELIMINARY "GUIDE TO MANAGING R&D RECORDS"**

# TODAY'S SYSTEM

**INPUT**

*VIDEO*



**PROCESS**

*GROUP DISCUSSIONS*



**OUTPUT**

*RECOMMENDATION*

# DEFINITIONS

*RESEARCH AND DEVELOPMENT RECORDS:*

**DOCUMENTATION OF THE RESEARCH AND DEVELOPMENT ACTIVITY**

**WHAT IS RESEARCH?**

**WHAT IS DEVELOPMENT?**

**WHAT ARE RESEARCH AND DEVELOPMENT RECORDS?**

# CREATION

1. **WHO CREATES RESEARCH AND DEVELOPMENT INFORMATION?**

2. **WHAT KINDS OF INFORMATION IS CREATED?**

3. **WHERE AND WHEN IS THE INFORMATION GENERATED?**

4. **HOW IS THIS INFORMATION GENERATED?**

5. **WHY IS THE INFORMATION GENERATED AND WHY IS IT DOCUMENTED?**

6. **IS ALL RESEARCH INFORMATION DOCUMENTED? IF NOT, HOW DO YOU DECIDE WHAT INFORMATION TO DOCUMENT?**

7. **WHAT MEDIA AND/OR FORMAT IS USED TO GENERATE YOUR INFORMATION?**

8. **IS THE SAME MEDIA/FORMAT USED TO DOCUMENT THE INFORMATION?**

9. **DOES THE INFORMATION GENERALLY STAY IN THIS MEDIA/FORMAT?**

# MAINTENANCE

1. WHAT KINDS OF INFORMATION IS KEPT AND/OR FILED?

2. IS THIS INFORMATION TYPICALLY STORED ON PAPER, ELECTRONIC MEDIA MICROFILM, ETC.?

3. HOW AND WHERE IS THIS INFORMATION STORED?

4. WHO IS RESPONSIBLE FOR FILING AND/OR MAINTAINING THE INFORMATION?

5. IS THIS INFORMATION TYPICALLY STORED ON PAPER, ELECTRONIC MEDIA, OR MICROFILM, ETC.?

6. DO YOU BELIEVE THAT THE RECORDS IN YOUR CUSTODY ARE DUPLICATES OF A MASTER FILE?

   IF YES, WHERE ARE THE OTHER COPIES?

7. WHAT KINDS OF RECORDS (IN YOUR CUSTODY) ARE THE ONLY COPY MADE OR AVAILABLE?

8. HOW DO YOU USE THE INFORMATION WHICH YOU GENERATE?

9. WHAT KINDS OF RESEARCH INFORMATION DO YOU BELIEVE IS WORTH KEEPING WHEN A PROJECT HAS ENDED?

10. WHAT KINDS OF RESEARCH INFORMATION SHOULD BE DISPOSED ALMOST IMMEDIATELY WHEN THE PROJECT IS ENDED?

11. SHOULD ALL RECORDED INFORMATION FROM A SPECIFIC PROJECT BE KEPT TOGETHER.

# RETENTION/DISPOSITION

1. **WHY DO YOU KEEP YOUR RESEARCH INFORMATION?**

2. **OF ALL THE INFORMATION WHICH YOU GENERATE, WHAT SHOULD BE RETAINED FOR FUTURE RESEARCH OR HISTORICAL PURPOSES?**

3. **ARE THERE ANY TYPES OF RESEARCH INFORMATION WHICH SHOULD BE AUTOMATICALLY RETAINED "PERMANENTLY"?**

4. **WHO SHOULD DETERMINE THE LENGTH OF RETENTION FOR R&D INFORMATION?**

   **AND WHEN SHOULD THIS BE DONE?**

5. **WHAT CRITERIA SHOULD BE USED TO DETERMINE THE LENGTH OF RETENTION?**

   **(I.E. SPECIFIC PROJECT OR A SPECIFIC CATEGORY SUCH AS *PROPOSALS, BUDGET, SPECIFICATIONS, RAW DATA, TECHNICAL REPORTS, SUMMARIES, STAFF MEETING MINUTES, CORRESPONDENCE)***

6. **HOW DO QA REQUIREMENTS AFFECT RETENTION/DISPOSTION OF R&D RECORDS?**

7. **WHO ISSUES THE QA LEVEL FOR A SPECIFIC PROJECT?**

8. **DOES THIS APPLY TO ALL RECORDS OF A SPECIFIC PROJECT?**

# DOE 1324.2A RECORDS SCHEDULE - 3
# NUCLEAR WEAPONS RECORDS
## Revision 2
## May 27, 1994

Rough Draft

# DOE 1324.2A RECORDS SCHEDULE - 3
# NUCLEAR WEAPONS RECORDS

This schedule covers nuclear weapon records and reports for the DOE Nuclear Weapons Complex (NWC) design agencies (laboratory facilities), production agencies (manufacturing facilities), and DOE Offices. Re covered by this schedule are grouped into the following categories:

1. **Nuclear Weapons Management Records**
2. **Nuclear Weapons Development Records**
3. **Surety Records**
4. **Nuclear Device Testing Records**
5. **Design Definition Information Set**
6. **Design Definition Ancillary Equipment Information Set**
7. **Production Definition Information Set**
8. **Material Qualification Records**
9. **Manufacturing Process Qualification Records**
10. **Product Qualification Records**
11. **Engineering Control Actions**
12. **Test And Manufacturing Data**
13. **Weapon Assembly and/or Disassembly Data**
14. **Military Liaison Documentation**
15. **New Material and Stockpile Evaluation Program Records**
16. **Retirement and Dismantlement Process Records**
17. **Nonproliferation, Proliferation, Arms Control, Verification Studies**

ROUGH DRAFT

## . Nuclear Weapons Management Records

Nuclear Weapons Management Records provide the basis for/of DOE's nuclear weapons program management decisions, direction, policies, and responsibilities, including, but not limited to, budgets, schedules, interactions with the Department of Defense (DoD), or mission assignments and authorizations to the DA's and PA's. These may be created by DOE HQ, DOE nuclear weapons program oversight offices, DoD offices and Services, or NWC Agencies. This documentation includes, but is not limited to,

- Agreements, Memorandums of Understanding, Nuclear Weapons Policies and DOE Orders that establish policies and responsibilities for the development, production, surety, modification, repair, stockpile support, retirement, and dismantlement of nuclear weapons.
- Engineering Procedures (EPs) are weapon engineering policies and consolidate all engineering related procedures necessary for weapon design, development, and production. Engineering procedures are used to implement technical decisions in accordance with agency mission assignments. Each EP is a stand-alone document that covers a specific topic, is assigned a unique number, and is individually released.

  Weapons Engineering Procedures are grouped as follows:

  Interagency Engineering Procedures

  Computer Integrated Manufacturing Engineering procedures

  Design Agency Engineering Procedures

  Procurement Engineering Procedures

  Development Contractor Engineering Procedures
- Budgeting and planning documents including DOE's Production or Program Control Documents (PCDs), Production and Planning Directive (P&PD), Long Range Planning Document (LRPD), LWPG, and Sector Operations Plans
- Quality Criteria (QCs)
- Reports, such as, "Annual Report to the President on Nuclear Weapons Surety," input to "Annual Stockpile Improvement Review" by Nuclear Weapons Council (NWC)

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- Deputy Assistant Secretary for Military Applications (DASMA), Nuclear Weapons Council (NWC) including the standing committee, Office of Military Applications (OMA) related documents
- Strategic studies
- Weapons system audits by DOE and non-DOE government agencies

**RECOMMENDED RETENTION\DISPOSITION**

**TBD**

Rough Draft

## . Nuclear Weapons Development Records

### . Nuclear Weapon Capability Requirements and Releases

Records that document military requirements for nuclear weapons and DOE certification that War Reserve (WR) weapons material is satisfactory for release to the military. They include Military Characteristics (MC) document, Stockpile-To-Target Sequence (STS) document, Major Assembly Release (MAR), Emergency Capability Release (ECR), and Compatibility Control documents such as Aircraft Compatibility Control or Warhead Compatibility Control (ACCD and WCCD) documents.

**RECOMMENDED RETENTION\DISPOSITION**

Permanent. Transfer to NARA when DOE or successor agency ceases to exist.

### . Nuclear Weapon Development Studies

Weapon development studies are conducted to meet the potential need for a new or modified tactical or strategic nuclear weapon system, delivery system or handling equipment during Phases 1 and 2. These studies are joint endeavors of the Department of Defense (DoD) and the Department of Energy (DOE).

Rough Draft

Weapon development studies are the basis for informed DOE and DoD decisions concerning entry into full scale development of nuclear or non-nuclear weapon system (Phase 3). In addition, they provide direction to exploratory and advanced development projects to assure that the necessary technologies are available to support future weapon requirements.

Activities include preliminary effectiveness analysis, delivery system and war head trade offs, and development of preliminary drafts of the military characteristics (MC) and stockpile to target sequence (STS) which state performance requirements and design characteristics. Phase 1 and phase 2 studies are completed with the issuance of a formal report.

Weapons Development Studies consist of

- Pre-Phase 1 studies assess the potential for meeting new mission needs.
- Phase 1 conceptual definition studies evaluate potential applications and problems of nuclear relate technologies, or investigate broader mission area needs or applications of nuclear related technolo The Phase 1 Study Report may be a formal report or presentation, but it is usually issued jointly by and DoD
- Phase 2 feasibility studies may or may not be preceded by a Phase 1 Study Report. Phase 2 studi determine the technical feasibility of meeting the national security needs and identifying those asp of nuclear design, development, testing, production, processes and resource availability likely to be determining factors in developing and producing characteristics needed for a particular nuclear weapon system. A Major Impact Report is issued by DOE/AL identifying aspects of the [illegible] design and the required development, testing and production processes that are likely to be controlling factors in achievement of program objectives for each of the several proposed warhead designs. The formal Phase 2 study report is jointly issued by DOE/DASMA and DoD.
- Phase 2A studies baseline designs and cost estimates that evolve from trade off analyses of weapo requirements, development and production costs and capabilities, and nuclear materials availability Weapons Design and Cost Report (WDCR) is issued by DOE/AL and should be a main considerati the determination to proceed with Phase 3 activities. A Phase 2A Study Report is issued jointly by and DoD.

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Formal Reports** and supporting documentation, includes but is not limited to, SAND reports, funding authorizations, meeting minutes, handwritten notes, study group reports, correspondence, memos, sk calculations, draft and final Military Characteristics, draft and final Stockpile to Target Sequence, the c designs, computer modeling, preliminary CAD/CAE designs, and testing documentation.

Destroy 20 years after the applicable nuclear weapon system completes the dismantlement phase

**Nuclear weapons development studies** in which a final report was not published, but in which there is a possible enduring need.

Destroy 20 years after the study was terminated.

**Study documentation** includes, but is not limited to, handwritten notes, correspondence, memos, study group documentation, meeting agendas, schedules, calculations, systems design drafts, computer modeling, and preliminary CAD/CAE designs.

Destroy 6 months after issuance of formal report, or when superseded or obsolete, whichever comes first.

*Phase 3 documentation may not have yet been appropriately or completely addressed here.*

Rough Draft

. **Weapon Development Reports, Component Development Reports, and Process Development Reports**

**RECOMMENDED RETENTION/DISPOSITION**

**Formal Technical Reports that have been sent to OSTI:**

Permanent. See N1-434-76-2 for transfer instructions from OSTI.

**All others:**

Permanent. Transfer to NARA when DOE or successor agency ceases to exist.

**Note:** Record copy is maintained by originating Agency.

**d. Records for weapons programs canceled prior to Production Engineering (Phase 4) authorizatio**

Records created by Design and Production Agencies during Phase 3 (Development Engineering) but wh full scale production is not authorized. If the program is not canceled, these records are covered under other sections of this Nuclear Weapons Development Records schedule.

**RECOMMENDED RETENTION\DISPOSITION**

Destroy 2 years after program has been canceled and no Phase 4 activity has been authorized.

**Note:** Record copy is maintained by responsible Design Agency.

**e. Environmental effects, Development Engineering (Phase 3) testing of nuclear weapons compone excluding the Nuclear Device Testing records**

Raw data, photos, etc.

**RECOMMENDED RETENTION\DISPOSITION**

Destroy ten years after creation or five years after component enters Phase 4, whichever comes firs

**f. Nuclear Weapon Program Management and Review Group**

Committees, review groups, and study groups composed of DoD, DOE, and DOE National Laboratory representatives that address overarching topics such as nuclear weapons systems development and sa These include Project Officer Groups (POG), Design Review and Acceptance Group (DRAAG), Nuclea Weapons Explosives Safety Group (NWESG or NWESSG), Nuclear Weapons Systems Safety Group (NWSSG), Nuclear Explosives Systems Study Group (NESS), Joint Test Working Group (JTWG), and Stockpile Flight Test Group.

**RECOMMENDED RETENTION\DISPOSITION**

**Formal Minutes**

Permanent. Transfer to NARA when DOE or successor agency ceases to exist.

**Supporting documentation**

Destroy 5 years after creation, or when superseded or obsolete.

Rough Draft

**j. Nuclear Weapon Systems Engineering Records**

Records maintained to assist in the project management, coordination, and oversight of weapons programs Development Engineering (Phase 3) through up to Retirement (Phase 7).

**RECOMMENDED RETENTION\DISPOSITION**

Transfer historic records to corporate weapons history files or collection when no longer needed by holding organization. Destroy remainder when weapon system enters retirement or 2 years after Phase 4 Production activity was denied, whichever comes first.

Rough Draft

## 3. Surety Records

**Nuclear Safety**

**Include here something about Joint Nuclear Accident Coordination Committee (JNACC) and Accident Response Group.**

**Use Control**

**Nuclear Security**

**RECOMMENDED RETENTION\DISPOSITION**

**TBD**

Rough Draft

## I. Nuclear Device Testing Records

1. Records created as a result of performing atmospheric tests and underground tests which were conducted to obtain information on device development (how bombs were built), weapons effects (how detonation on bombs affected surrounding), and weapons reliability (how bombs actually worked).

   Records include:

   - approvals
   - reports
   - correspondence
   - calculations/measurements/results
   - raw data
   - shot data (shots/events)
     - device engineering file
       - photographs
       - drawings
       - film
     - device physics file
     - [illegible] data
     - [illegible] sampling
     - administrative
     - cost
     - exposure
     - facility
     - hazards/risk
     - safety

   **RECOMMENDED RETENTION\DISPOSITION**

   Permanent

Rough Draft

## 5. Design Definition Information Set

Design information which incorporates, for both new production and reprocessing, performance requirem and critical characteristics required for the function, reliability, interchangeability, life, and safety of weap components, and assemblies. These records include:

- Special Design Items,
- Performance Definition Items, and Commercial Parts.
- Parts or materials manufactured or procured by a PA.
- Public Domain Items. Parts or materials defined by Government or Technical Society documents, a procured by a PA.
- Material defined by specifications.
- Material defined by Design Agency Numbers for public domain documents, i.e., 000000 n bers
- Proprietary Items.
- Parts or materials called out by manufacturer's trade na (whe xa finition is not disclosed b manufacturer), and procured by a PA. -Item, an products are included.

Rough Draft

**RECOMMENDED RETENTION/DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from th creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 100 ye from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when a weapon has completed dismantlement.

**Note:** Record copies are maintained by the responsible Agency.

## . Design Definition Ancillary Equipment Information Set

Design information which incorporates, for both new production and reprocessing, performance requirements and critical characteristics required for the function, reliability, interchangeability, life, transport, and safety of ancillary equipment. Ancillary Equipment supports transportation, field assembly, test, maintenance, or disablement of weapons material and includes, but is not limited to, the following information:

- Electrical and/or mechanical equipment and cables
- Software provided to support transportation, field assembly, test, maintenance, or disablement of weapons material.

*Does this include special equipment and ancillary equipment?*

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is completed or 100 years from the creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system or 100 years from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when a weapon has completed dismantlement.

Note: Record copies are maintained by the responsible Agency.

Rough Draft

## 7. Production Definition Information Set

Records created by Production Agencies during DOE-DoD Phase 4 (Production Engineering), Phase 5 (Production), and Phase 6 (Quantity Production and Stockpile). Production Agencies create records that document their manufacturing processes and conformance to specifications and reliability requirements. These records include, but is not limited to, information about:

- Production definitions for Fabrication, Processes; Tools and Gages;
- Acceptance Equipment for weapon components, assemblies, and ancillary equipment.

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the last using weapon system is complete or 100 years from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when weapon is completely dismantled.

Note: Record copy is maintained by Agency assigning the Document Identification Number (DIN).

**Production Agency Process Manuals, Production Agency Operating Procedures (Forms and Completed Forms.), Production Agency Travelers (Forms and Completed forms);**

Destroy 6 months after disposal of the weapon system from stockpile. Retain Records for Multiple items until 6 months after disposal of the last using weapon from stockpile.

Note: Record copy is maintained by originating Agency.

Rough Draft

## . Material Qualification Records

Records consisting of applicable specifications and information such as material certification and material acceptance information documenting the material pedigree. Raw and commercial materials are used in processing or manufacturing of product. Based on the importance of the material in fulfilling the design intent, one of the following is used:

1. Application of a commercially available material by callout of its public domain (Government or Society) specification.
2. Application of a material by preparation and callout of a seven-digit specification defining material formulation and test requirements applicable to acceptance.
3. Application of a specific use material by preparation and callout of a Specific-Use Specification (SS)
4. Application of a commercially available material by callout of its generic name, trade name, or manufacturer's number, plus tests the material shall meet for its acceptance.
5. Application of a commercially available material by callout of its generic name, trade name, or manufacturer's number alone (no prescribed tests for material acceptance)
6. Application of an Agency specific material. Material is assigned an Agency Document Identification Number.

These materials are tested to determine conformance to applicable specifications or accepted with test reports identifiable with the material. When certified test reports are used as a basis for acceptance, the test results are compared with specification requirements.

Rough Draft

Proprietary materials may be accepted on certification or label. The validity of certified test reports, certifications, or labels is periodically verified by at least one of the following methods as appropriate: ( independent testing; (b) auditing; (c) testing to typical properties if verifiable.

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from t creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 100 y from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when weapon has completed dismantlement.

**Note:** Record copy is maintained by the responsible Agency.

Rough Draft

## . Manufacturing Process Qualification Records

Records consisting of applicable specifications and information documenting the process pedigree. Documentation of manufacturing processes including facilities covered by DOE 1324.2A Schedule 14, written procedures, visual aids, tooling, fixtures, materials, equipment, and software, used in the fabrication of weapon or weapon-related material. Both Agency Specific and commercial processes are used in the manufacturing of product. Based on the importance of the process in fulfilling the design intent, one of the following is used:

1. Application of a commercially available process by callout of its public domain (Government or Society) specification.
2. Application of a process by preparation and callout of a seven-digit specification defining fabrication methods and requirements.
3. Application of a specific use process by preparation and callout of a Specific Use Specification (SS)
4. Application of a commercially available process by callout of its generic name, trade name, or manufacturer's number.
5. Application of an Agency specific process. Process is assigned an Agency Document Identification Number.

These processes are qualified by the application of an assessment process to the fabrication method. Certain manufacturing processes that are standard in nature may are evaluated independently. Examples of such processes are the fabrication of printed wiring boards, the application of dry film lubricant to mechanical parts, and the processes associated with a given family of integrated circuits

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a specific facility, building, or room:**

Destroy when that facility, building, or room is decommissioned or no longer used in weapons manufacturing.

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from the creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 100 years from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when a weapon has completed dismantlement.

**Note:** Record copy is maintained by the responsible Agency.

Rough Draft

## 0. Product Qualification Records

Records that document the extent to which a product meets the design requirements and is ready (suitable?) for acceptance by DOE such as Certificates of Inspection.

**RECOMMENDED RETENTION\DISPOSITION:**

**Supplier Surveys, Correspondence and Audits**

Destroy three years after issued, when superseded, obsolete, or no longer needed.

**Certificates of Inspection**

Destroy three years after issued, when superseded, obsolete, or no longer needed.

Rough Draft

## 11.Engineering Control Actions

Engineering authorization documents such as Change Orders (COs), Engineering Instructions (EIs), Engineering Releases (ERs), Special Exception Releases (SXRs), Stop Production Notices, Waivers, ar Retire/Archive Instructions that control and record the following for materials in pilot production and production units of weapon and weapon related product. Information is used jointly by the Design and Production Agencies to document:

- Effectivity (effective date or effectiveness?) of product changes,
- Action authorizations,
- Disposition of non-conforming product,
- Fabrication schedules.

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from t creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 100 y from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when weapon has completed dismantlement.

**Note:** Record copy is maintained by the responsible Agency.

## 12. Test and Manufacturing Data (Production Inspection and Test Data)

These records include inspection and test data and analysis records for pilot production and production units of weapon and weapon related product. The DA requires quantitative inspection and test data for purposes such as design and reliability studies. The PA requires inspection and test data as quality evidence in compliance with QC-1. This information may be based on physical inspections, process controls, physical and chemical tests, nondestructive tests, destructive tests, or any combination of these. These records are information which indicates the extent of:

- Conformance of items or characteristics to specified requirements
- Control over manufacturing processes.

**Quantitative Data.** Values (variables data) that result from determining the magnitude of a characteristic with respect to a standard or scale; e.g., values obtained by dimensional measurement, chemical analysis, tensile test, timing test, radiation test.

**Qualitative Data.** Status of a characteristic (attributes data) with respect to only two possible conditions; e.g., present or absent, go or no-go, conforms or does not conform.

**Quality Control Data.** Values and resultant statistics accumulated by continuous evaluations of characteristics of a process and the items it produces, to demonstrate the degree of uniformity or variability among the items.

**Certification.** A signed form or other document, supported by data, stating that an item or a characteristic conforms to specified requirements.

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Records required by the Design Agency**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years fro the creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 10 years from the creation of the weapon system, whichever comes last. DOE/AL notifies the Age when a weapon has completed dismantlement.

**Records maintained by the Production Agency but not required by the Design Agency:**

Destroy three years after issued, when superseded, obsolete, or no longer needed, whichever c last.

**Note:** Record copy is maintained by the responsible Agency.

Rough Draft

## 3. Weapon Assembly and/or Disassembly Data

The Record of Assembly (ROA), Record of Disassembly (ROD) database, and all logs (Weapon Book, lot record book, or database) that provide a fabrication and assembly traceability trail for each serial numbered product.

**RECOMMENDED RETENTION\DISPOSITION**

**Records associated with a single use item/component:**

Destroy 6 months after dismantlement of the entire weapon system is complete or 100 years from the creation of the weapon system, whichever comes last.

**Records associated with a item/component used in more than one weapon system:**

Destroy 6 months after dismantlement of the of the last using weapon system is complete or 100 years from the creation of the weapon system, whichever comes last. DOE/AL notifies the Agency when a weapon has completed dismantlement.

**Database documentation:**

Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file of database.

Rough Draft

**Note:** Record copy is maintained by the responsible Agency, and said Agency must maintain access to data.

## 14. Military Liaison Documentation

**a. Unsatisfactory Reports:**

Unsatisfactory Reports (URs) are issued by DoD for Department of Energy (DOE) designed nuclear wea material, related items, and associated documentation. They document defective and/or damaged weap deficiencies in components, test and handling equipment, trainers, disablement equipment items, Use Control Software, controllers, special design tools and equipment, and Joint Nuclear Weapons Publicati System (JNWPS) publications. UR documentation includes responses, reconciliation reports and resolu reports, photographs, Inspection Record Cards, drawings, and other supporting data.

**RECOMMENDED RETENTION\DISPOSITION**

**Unsatisfactory Reports filed by Date:**

Cut off 10 years after issued. Transfer to inactive storage in 2 year blocks. Destroy 15 years after off.

**Unsatisfactory Reports filed by Weapon System:**

Destroy weapon specific UR's 1 year after the weapon system completes dismantlement.

Destroy multiple use item-related UR records 1 year after the applicable weapon system completes dismantlement.

**Unsatisfactory Reports, electronic version:**

Destroy when obsolete or no longer needed.

**Note:** Record copy is maintained by Sandia Military Liaison for DOE.

Rough Draft

**. Weapon Information Reports (WIR)**

Weapon Information Reports (WIR) are prepared by the Military and document the results of inspections, modification, alteration, or component changes on major assemblies.

**RECOMMENDED RETENTION\DISPOSITION**

Destroy 6 months after the weapon system completes dismantlement. Destroy records for Multiple use items until 6 months after the last applicable weapon system completes dismantlement.

**. Nuclear Weapons Training Systems**

An electronic training system to provide stockpiled weapons maintenance training to military personnel and selected civilian personnel on a need to know basis. The system is used to develop instructional information to present in a classroom environment on selected nuclear weapon systems, components, test and handling equipment, use control, and other nuclear weapon related topics. The hardware used for the production and the projection of the images is collectively referred to as the VID System and consists of a series of electronic imaging devices that allows images to be computer manipulated onto Bernoulli disks. Electronic imaging devices include scanners and television video cameras. Documentation includes, but is not limited to, lecture notes and outlines, Bernoulli disks, and class (access) rosters.

**RECOMMENDED RETENTION\DISPOSITION**

**Nuclear weapon image source files:**

Destroy 1 year after the last nuclear weapon has been destroyed.

**Supporting documents, e.g. lecture drafts and notes and images recorded on Bernoulli disks, attendance rosters:**

Destroy 1 year after class presentation.

Rough Draft

**d. Joint Nuclear Weapons Publication System (JNWPS), i.e. Technical Publications (TPs) Records**

Approved joint technical publication and page changes on nuclear weapons, associated material and rel components that provide authoritative policy, management, procedures, information, and data for nucle weapons operations, maintenance and support to DOE, Defense Nuclear Agency (DNA), and the Military Services.

JNWPS general publications provide nuclear weapons management procedures, information and data related to general subject areas, such as assembly, test, maintenance and storage, explosive ordnance disposal, indexes, inspection, retrofit orders, safety, use control, permissive action link, and [illegible]

JNWPS material publications provide nuclear weapons procedures, instruction and data [illegible] as summary data, limited life components exchange procedures, [illegible] and illustrated parts breakdown. JNWPS test and handling equipment publications provide procedures, information and data for equipment under [illegible] or Military Service cognizance.

Rough Draft

**RECOMMENDED RETENTION/DISPOSITION**

**Specific Weapons Systems, Components, Use Control, Disablement, Test and Handling Equipme JNWPS**

**SNL Military Liaison or assigned office of record:**

Permanent. Cut off JNWPS's every 10 years after declared inactive. Transfer to inactive stora Offer to the National Archives 40 years after declared inactive.

**Other offices:**

Destroy upon notification by DOE that weapon has been removed from DoD custody and return DOE.

**Development documentation** to include, but not limited to, drafts of technical publication, correspondence, memos, facsimile messages, and other supporting documents.

Destroy 1 year after publication of a weapon system's final Technical Publication or when no longer needed which ever is later.

**Generic JNWPS Publications** including nuclear weapon management procedures, information and data related to general subject areas.

Destroy when superseded, rescinded, or no longer needed.

. **Base Spares**

Need description

**RECOMMENDED RETENTION\DISPOSITION:**

**TBD**

. **Weapons Retrofit**

Documents pertaining to the incorporation of a proactive design change to a weapon product and/or ancillary equipment. Files address both factory and field retrofits and includes retrofit material tool kits and/or line item tools required to perform the retrofit.

Documents will include, but not limited to, sequence of retrofit milestones, product change proposals, field retrofit procedures, retrofit orders, and supplemental documentation.

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Weapon specific** Product Change Proposals, Field Retrofit Procedures, Retrofit Orders and supporting documentation:

Destroy 1 year after the last nuclear weapon has been destroyed

**Multiple Use** Product Change Proposals, Field Retrofit Procedures, Retrofit Orders and supporting documentation:

Destroy 1 year after last referenced nuclear weapon has been destroyed.

**Other supporting documents** such as milestones, budget/costs, etc.

Destroy 1 year after the last nuclear weapon has been destroyed.

**Note: This disposition applies to file copies maintained by Sandia Military Liaison**

Rough Draft

## i5. New Material and Stockpile Evaluation Program Records

**a. New Material and Stockpile Evaluation Program (NMSEP) Plan.** An NMSEP plan is prepared by Sandia National Laboratories for each DOE weapon program during Phase 3. The evaluation plan is refined during Phases 3 and 4 and is released as the BG document prior to Phase 5.

**b. Nuclear Weapon Subsystem Test Plan (NWSSTP).** Each weapon entering Phase 3 is required to have an NWSSTP. Sandia is the technical point of contact. This jointly prepared plan is published (by the lead service) and approved prior to Phase 5. It must be reviewed annually and updated as necessary.

c. **New Material and Stockpile Evaluation Schedule (NMSES).** A DOE scheduling document is issued to the military services every six months and to Sandia and Pantex each month. The NMSES includes information for new material and stockpile laboratory and flight test samples selected for test.

**d. A separate series of documents, called B-series drawings, establish weapon evaluation requirements.** The titles of these B-series drawings include the term Laboratory and Flight Test Program. Lawrence Livermore National Laboratory (LL) and Los Alamos National Laboratory (LA) weapon evaluation requirements are contained in BC and BG drawings, but not in other B series drawings. LL requirements not stated in a BC or BG drawing are released in a UC/UB document or stated in a note on the part drawing. Early in each program, LL issues a UA specification as a stockpile planning document. Later in the program the UA document serves as an index listing UC specifications and part documents containing weapon evaluation notes. The UA specification is called out on the top LL assembly documents. LA requirements not stated in a BC or BG document are called out in letters and specifications.

e. **Rebuild Material Requirements (Document C).** Rebuild material is required to replace WR Material rendered unusable during evaluation testing or removed to build a JTA. The material is listed in the Rebuild Support of WR Weapons Document C of the DOE-AL Production Program Definition (PPD-C-XX). The SEE furnishes source data to the DOE-AL Weapons Quality Division. Document C is published by DOE-AL approximately two years before Phase 5.

Rough Draft

**f. Evaluation Support Material Requirements (Document E).** This material is listed in the Evaluati Support Document E of the DOE-AL Production Program Definition (PPD-E- XX). These are non-samp weapon materials required for testing of a weapon or component which are expended during test.

**RECOMMENDED RETENTION\DISPOSITION**

**Formal Reports**, i.e., Cycle Reports (a.k.a. Stockpile Evaluation Report), Significant Finding Investigati Reports (SFIR) on nuclear weapon anomalies, etc.:

Destroy 10 years after dismantlement of the related weapon system is complete.

**Requirements and Procedures** including, but not limited to, B-Series drawings, tester operation and maintenance instructions (OM&I's), and test equipment software:

Destroy after dismantlement of the related weapon system is complete or tester has been destroyed

**Test Plans, Schedules, and General Correspondence** including, but not limited to, New Material and Stockpile Evaluation Plan (NMSEP); Nuclear Weapon Subsystem Test Plan (NWSSTP); status reports; meeting and committee minutes; and correspondence related to the performance of NMSEP:

Destroy when superseded, obsolete, or when the related weapon system has completed dismantlem

**Historic Summary Reports** including, but not limited to, formal summary reports on the NMSEP and b formal and informal summaries of weapon defects:

Destroy 25 years after originated.

**Reports from Other Agencies** including, but not limited to, Air Force Flight Test Reports, i.e., Glory Tr and Busy Luggage; test range instrumentation reports; and evaluation reports of weapon materials sent t DOE production agencies:

Destroy upon publication of the formal Cycle Report for the related weapon system.

**Note:** Record copy for these records is maintained by responsible Agency.

Rough Draft

## 16. Retirement and Dismantlement Process Records

Documentation of nuclear weapons, major assemblies, and weapon components that are physically eliminated from the stockpile in weapon Phase 7 (Dismantlement). Dismantlement is divided into the following phases:

- Phase 7A (Retirement/Storage) - Initiated with retirement, the period (0 - 48 months) when the DOE and DoD coordinate storage requirements, establish necessary weapon modifications for storage, and develop weapon return schedules.
- Phase 7B (Disassembly/Disposal Engineering) - The period (18 - 24 months) when the Design and Production Agencies develop disassembly and disposition program plans; characterize components; address demilitarization and sanitization; develop and procure tooling; identify and obtain containers; identify and resolve environmental, safety, and health concerns; define disposition processes; update retirement disposition instructions; and conduct a qualification evaluation for dismantlement. The completion of Phase 7B occurs with the first disposal unit.
- Phase 7C (Disassembly/Disposal) - The period (variable) when quantity disassembly, demilitarization and sanitization, and component disposition occur. During this period, the DAs and PAs address process effectiveness for component disposition. Disposal of a war-reserve (WR) weapon is complete when the unit has been test-fired in a stockpile confidence test or the unit has been disassembled and any one of the following has been accomplished:
  - The high explosive has been removed from the nuclear assembly and disposition of the high explosive has been made, or
  - for weapons not initiated by high explosives, sufficient special nuclear material components have been reconfigured so as to render the weapon unusable, or
  - the nuclear explosive assembly is formally allocated by the DOE for specific alternative uses.

**Dismantlement is divided into two levels.**

- Level 1 consists of the disassembly of weapon assemblies, including Major Assemblies and HE Assemblies.
- Level II consists of disposition of subsystems, components, and piece parts.

Rough Draft

**RECOMMENDED RETENTION\DISPOSITION**

**Destroy 250 years after creation of record.**

**Note: Record copy is maintained by Responsible Agency**

Rough Draft

## i7. Nonproliferation, Proliferation, Arms Control, Verification Studies

*Should these go in Schedule 3 or will they be covered in R&D Schedule?*

Rough Draft

# Appendix A
# Preamble

The DOE and the DoD cooperate in the development, production, and maintenance of nuclear weapons. T basic document that establishes the interrelationships between the two agencies is "An Agreement Between AEC and the DoD for the Development, Production, and the Standardization of Atomic Weapons," dated M 21, 1953. This is commonly referred to as the "1953 Agreement." It was updated on September 5, 1984, b "Supplement to the 1953 Agreement for the Development, Production, and Standardization of Atomic Wea between the Department of Energy and the Department of Defense. The supplement delineates the functio the DOE and the DoD. during joint feasibility studies for nuclear weapons (Phase 2), design definition and c studies (Phase 2A), and development engineering (Phase 3). The 1953 Agreement was updated again in 1 After final approval, the 1990 version will supersede the 1953 version.

In General, the DOE is responsible for designing, developing, and producing nuclear warheads, nuclear we trainers, and ancillary equipment, while the DoD is responsible for designing developing, and producing the weapon delivery system.

The Deputy Assistant Secretary for Military Applications (DASMA) directs the DOE's nuclear weapons progr Military Applications (MA) coordinates weapon requirements with the DoD, assigns the workload for nuclear weapon design agencies, interfaces with Congress on budget issues, and issues the Production and Plannir Document (P&PD) to the DOE Albuquerque Field Office DOE-AL.

DOE-AL is responsible for the overall planning, coordination, and direction of management of a nuclea weapons programs from early development through retirement; and for the transportation within the conti United States of weapon subassemblies and completed weapons in DOE custody. Management of the nu weapons program requires coordination of the three design laboratories, seven production plants, and many commercial suppliers of weapons components. The following table defines functions of the DOE design an Production Agencies.

| AGENCY | FUNCTIONS |
|---|---|
| Los Alamos National Laboratory | Nuclear stockpile stewardship, conducts research in high-performance computing, materials science, neutron scattering, biomedical technology, energy, nonproliferation, environmental science, and basic research. |
| Lawrence Livermore National Laboratory | Designs nuclear assemblies (nuclear physics packages). Also researches fusion, biomedical and environmental concerns, and laser isotope separati |
| Sandia National Laboratories New Mexico and California | Adds components to nuclear assemblies developed by the nuclear design laboratories to create a safe and usable weapon. Researches energy issu |
| Kansas City Plant | Produces and procures nonnuclear electrical, electronic, electro-mechanic mechanical, plastic, and nonfissionable metal components for nuclear weapons. |
| * Mound Plant | Manufactured such components as detonators and explosive devices |
| Pantex Plant | Manufactures high-explosive components, assembles nuclear weapons a disassembles retired weapons |
| * Pinellas Plant | Manufactured neutron generators, radiosotopically powered thermo electri generators, specialty capacitors and switches, and thermal batteries. |
| * Rocky Flats Plant | Produced nuclear components from plutonium, uranium, beryllium, and stainless steel. recovers and reprocesses plutonium |
| Savannah River Site | Produces weapon grade plutonium and tritium, special isotopes, targets, naval reactor fuel material. Also, loads reservoirs |
| Y-12 Plant | Produces nuclear weapon components and subassemblies. Processes depleted/enriched uranium, lithium hydride/deuteride, stainless steel, etc. Dismantles and recovers materials from weapons retired from stockpile. |

* Reconfiguration

ROUGH DRAFT

## .Glossary

**'cceptance Equipment.** Acceptance equipment is a measurement system, controlled and required by Sandia, hat provides quality evidence to substantiate presentation of material to DOE for acceptance. The system may ie composed of hardware, software, firmware, and procedures and is used to inspect chemical, physical, or lectrical characteristics for the purpose of acceptance. Acceptance equipment includes, but is not limited to, 'roduct Testers (PT), Gages (G), Non-destructive Test (NDT) systems, adapters, fixtures, connectors, and nvironmental simulators. Special design production agency or contractor equipment, commercial equipment, rogrammable measuring systems, and related procedures may also be designated as acceptance equipment as lescribed in section 7 of this procedure.

**\ctive Document.** A document that has been released to file and has optical disk storage and/or aperture ;ards. All issues of the document are maintained.

**\ Item.** A Class A item is an item of weapon product which may be fabricated by the PA or procured from any :ompetent supplier selected by the PA. (An item is Class A unless designated as Class B.)

**Ancillary Equipment.** Electrical and/or mechanical equipment and cables, or software provided to support field assembly, test, maintenance, or disablement of weapons material.

**Archive Document.** A document for which the record of the latest issue only is maintained. All superseded ssues of the document are destroyed. Documents are archived only when there is no equipment or material in existence which is defined by the documents.

**B Item.** A Class B item is an item of weapon product which the PA procures only from sources specified by the DA. (Product which is not procured, but instead must be built in- plant by the PA is not designated Class B.)

**B-Series Drawings.** A separate series of documents, called B-series drawings, has been established for weapon evaluation requirements. The titles of these B-series drawings include the term Laboratory and Flight Test Program. B-series drawings do not use a correlation suffix. B-series drawings are prepared and controlled by the system evaluation engineer (SEE) responsible for each weapon system (SA/SL Stockpile Evaluation Organization).NOTE: Lawrence Livermore National Laboratory (LL) and Los Alamos National Laboratory (LA) weapon evaluation requirements are contained in BC and BG drawings, but not in other B series drawings. LL requirements not stated in a BC or BG drawing are released in a UC/UB document or stated in a note on the part drawing. Early in each program, LL issues a UA specification as a stockpile planning document. Later in the program the UA document serves as an index listing UC specifications and part documents containing weapon evaluation notes. The UA specification is called out on the top LL assembly documents. LA requirements not stated in a BC or BG document are called out in letters and specifications.

Document List (BA). The BA lists weapon evaluation-generated and/or approved documents: (1) required for performance of tests, (2) pertaining to special design weapon evaluation test equipment, or (3) pertaining to data. More than one BB, BC, BD, BE, or BH may be specified. The system level document is identified by concatenating the prefix and the weapon system top document number. Subsequent documents, such as component level BB drawings, are assigned the next available document number in sequence. B-series drawings are released by CER. Contents:

- Requirements (BB).
- Procedures (BC).
- Data Analysis Definition (BD).
- Data Recording Definition (BE).
- Evaluation Support Material (BF)
  Note: The BF drawing has been replaced by Document C (see Paragraph 2.9).
- New Material and Stockpile Evaluation Plan (BG).
- Data Requirements (BH).
- Mason & Hanger Standards and other PA-generated procedures requiring Sandia approval.
- System Test Equipment (STE) documentation and manuals.

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**Certification.** A single operation, piece of equipment, or individual that has been reviewed and deemed satisfactory. An acceptable level of confidence has been developed that proves an operation, piece of equipment, or individual is capable of producing product to specification and the procedure is followed and results documented.

**Compatibility Control Document (CD).** A document that depicts physical and functional interface technica requirements of a part or assembly that affect the design and function of associated units or assemblies. Th CD specifies those characteristics, capabilities, and limitations that cannot be changed without the concurren of the parties to the interface. Typical interfaces for which a CD may be required are:

(1) Between a weapon assembly and a carrier.
(2) Between weapon hardware and the physics laboratory components.
(3) Between a component and its next assembly, e.g., MC to Warhead, SA to MC, subassembly to MC or Warhead. NOTE: Multiple-use components must have a separate CD for each application.
(4) Between weapon assembly and system test equipment.
(5) Shipping configuration requirements.
(6) Joint Test Assembly configuration requirements.
(7) Between weapon assembly and field test equipment.

**Change Order (CO).** A change authorization issued before the document changes are all incorporated in ne document issues (ACO) or a change authorization issued concurrently with the release of new document issu (FCO).

**Design Agency (DA).** A DOE contractor responsible for the design of DOE weapons and weapons relate material and the integrity of the design through stockpile life.

**Design Definition Information Set.**

**Design Documents.** Documents, specifications, criteria letters, requirements documents, engineering releases, change orders, etc.

**Dismantlement Process.**

**Documents.** Documents, including both design agency drawings and specifications, and manufacturing and inspection work instructions, procedures, drawings, and specifications, may be in hard copy form or through software stored on computer tapes, discs, or other suitable media. They may be transmitted to the point of us without being transcribed on paper, such as to a computer terminal, or directly to a machine.

**DOE Acceptance.** The acceptance of material by the DOE based upon the results of DOE quality assuranc activities, production agency quality assurance activities, and substantiating quality evidence inspection. Physical examination, inspection, measurement, or tests used to determine the conformance of material to documents and specifications. Verification inspection refers specifically to DOE inspection.

**Engineering Instructions (EI).**

**Emergency Capability Release (ECR).** An ECR is a special category in the MAR system that is issued wh all MAR prerequisites have not been satisfied, but an emergency capability requirement has been establishe the DoD. Scope of the ECR. The release will be for a bomb or warhead system (includes Test (T), Handling and Disablement (DE) equipment). All major assemblies identified by the same program number will be included in a single release. Joint test assemblies (JTA's) and TYPE assemblies are not released by a ECR. Limitations to the designated major assembly resulting from or related to T, H, or DE items are included in th ECR.

**Engineering Release (ER).** For weapon product, a release that authorizes action by a Production Agency, to prepare for production, or to fabrication of limited quantities of directive schedule units, or to authorizes th use of the listed minimum product definition for fabrication of production quantities of parts, subassemblies a assemblies to meet Directive Schedule requirements.

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**General Use Raw Material and Parts.** Material specified by seven-digit coordinated specifications or by public domain specifications (e.g., MIL-STDS). Parts specified by 800000 documents, public domain specifications (e.g., MS, JAN), or preferred parts specifications.

**Major Assembly Release (MAR).** A MAR is a DOE-AL approved statement that War Reserve (WR) weapon material is satisfactory for release to the Department of Defense (DoD) for specified capabilities and uses. The MAR may be qualified by limitations and exceptions. The release will be for a bomb or warhead system (includes Test (T), Handling (H), and Disablement (DE) equipment). All major assemblies identified by the same Program number will be included in a single release. Joint test assemblies (JTA's) and TYPE assemblies are not released by a MAR. Limitations to the designated major assembly resulting from or related to T, H, or DE items are included in the MAR.

**Manufacturing Development Engineering (MDE).** The MDE program develops an appropriate infrastructure that demonstrates a Design Agencies ability to manage the production of nuclear weapons components using commercial suppliers.

**Military Characteristics Document (MC).** This DoD document defines in broad terms the capabilities the nuclear weapon must have to fulfill the mission desired by the DoD.

**Non-War Reserve (Non-WR).** Weapon and Weapon-Related Material other than that intended exclusively for employment in the event of war.

**Phase 1 (Weapon Conception).** This phase consists of studies by the DoD and DOE, either jointly or independently conducted, which may result in the decision that a weapon concept warrants a formal program study. The Design Agencies assist the DoD in weapon system conceptual studies by: (a) Providing system studies, engineering analyses, and cost and schedule estimates to DOE-AL, (b) Supplying weapon system parameters applicable to DoD contractors' proposals, (c) Participating in weapon concept technical group meetings, and, (d) Preparing Phase 1 data containing compilations of pertinent nuclear weapon information.

**Phase 2 (Program Feasibility Study).** If the results of Phase 1 studies indicate a feasibility study is warranted, a joint DOE/DoD Phase 2 feasibility study may be conducted. DOE and DoD agree on the draft division of responsibilities for development and procurement, and the draft Military Characteristics (MCs) and Stockpile-to-Target Sequence (STS) documents are prepared. The Design Agencies perform feasibility studies on proposed weapons based on the requirements of the documents listed above, and submit the results of the studies to the assigned military service which publishes Phase 2 feasibility study reports.

**Phase 2A (Design Definition and Cost Study).** After the completion of the Phase 2 report and before a decision to request a Phase 3 project, the DOE is requested to join the DoD in forming a Project Officers Group (POG) to conduct a Phase 2A study. The DoD Phase 2A request shall ask that the DOE identify information on costs, production schedules, options and trade-offs to optimize the balance of requirements and resources, including those involving safety, security, survivability and control features. The weapon system cost information will be included in the Weapon Design and Cost Report (WDCR) provided by the DOE.

**Phase 3 (Development Engineering).** A development program, based upon requirements of the MCs and STS, is undertaken and culminates in release of complete design information by the Design Agencies.

a. The objective of development engineering is the complete definition of a tested, manufacturable nuclear weapon design. This definition includes designs for the nuclear weapon, test, and training weapons, ancillary equipment, and acceptance equipment. Many activities in direct support of a production capability are conducted concurrently with development engineering activities.

b. The Design Agencies create a preliminary nuclear weapon design and develop a test and evaluation program. Subsequently, engineering tasks such as component design, safety and reliability studies, and the performance of system tests are assigned to the specialty groups. The weapon project department (utilizing inputs from the specialty groups) evaluates the results of the test program and completes the nuclear weapon design.

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**Phase 4 (Production Engineering).** Production Agencies proceed with adapting a development design int manufacturing system. This includes product engineering, process engineering, tooling, prototype productio and inspection, test and handling procedures.

a. The Design Agencies release design information, as it becomes firm, to the Production Agencies for th use in developing a manufacturing capability.
b. The Design Agencies aid the Production Agencies by evaluating the capability of the manufacturing facilities to produce product which meets use requirements and by interpreting the design definition an otherwise assisting the Production Agencies in their development of tooling and processes.
c. The Production Agencies are responsible for developing manufacturing capabilities and for producing required quantities of nuclear weapons and components in accordance with design requirements and program schedules. The Production Agencies support the design effort by advising in matters of manufacturability and production economics.

**Phase 5 (First Production).** Manufacture of the weapon according to product specifications is initiated and quality control and inspection procedures are implemented. Phase 5 culminates in a Major Assembly Relea (MAR) which releases material for a specified use.

a. The DOE directive schedule provides for interproject deliveries, pilot production, weapon Tool Made Sample (TMS) or Engineering Evaluation (EE), and a quantity of Phase 5 weapons to be built to WR specifications for DOE acceptance and new material laboratory tests prior to first production unit-war reserve (FPU-WR).
b. Sandia prepares and, after the concurrence of LANL or LLNL, sends the final developme[illegible] FCDNA for Design Review and Analysis Group (DRAAG)
c. DOE releases weapons to the DoD for training (TYPE 3) and testing (TYPE 2).

**Phase 6 (Quantity Production and Stockpile).** Production Agencies produce weapons in accordance with schedules specified in the DOE-AL program control documents. Various programs to assess conformance t specifications and reliability requirements are implemented. A continuing evaluation of weapons is perform during production and in stockpile to support assessment of weapon reliability, safety, and use control featu The Design Agencies are responsible for assuring the continuing quality and condition of material in the stockpile. In order to minimize costs and duplication of effort, design groups utilize the results of the stockpi surveillance testing as one of the major methods of gathering information about the quality of the stockpile.

**Phase 7 (Retirement).** In this final phase, a program for the physical elimination from stockpile of a nuclea weapon or major assembly is initiated. The quantity and timing of the retirement program are established jc by the DOE and DoD.

This Design Agency Engineering Procedure explains responsibilities and procedures for (1) Source Data for military publications, and (2) the following DOE-DNA TPs (Department of Energy-Defense Nuclear Agency Technical Publications):

| | |
|---|---|
| Type -0 | Weapon Summary |
| Type -1 | Assembly, Test, Maintenance and Storage Procedures |
| Type -2 | Operation and Maintenance Instruction (Test, Handling, and Support Equipment) |
| Type -3 | Maintenance Instructions |
| Type -4 | Illustrated Parts Breakdown |
| Type -6 | EOD Procedures |
| Type -8 | EOD Trainer Rebuild Procedures |

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:. Retrofit. A retrofit is an incorporation of a retroactive design change to weapon product and/or ancillary equipment.
). Factory Retrofits. Retrofits accomplished at a DOE Production Agency (PA) are known as "factory" retrofits.
:. Field Retrofits. Retrofits accomplished at Department of Defense (DoD) storage, maintenance, or deployment sites are known as "field" retrofits.
l. Laboratory Task Group (LTG). A DA team that conducts a validation review of retrofit kit, tools, and procedures.
). Joint Task Group (JTG). A joint-agency (DOE-DoD) team that conducts a verification of a retrofit kit, tools, and procedures.
. Field Joint Task Group (FJTG). A JTG that conducts its activity at a DoD operational base instead of in the laboratory. The need for an FJTG is jointly negotiated.

**Pilot Production.**

**Preproduction.** Those Phase 3 and 4, Development and Production Engineering, activities that prepare processes for components, subsystems, or systems expected to proceed into production.

**Procedures.** Documentation which prescribes or describes work.

**Production Agency (PA).** A DOE contractor responsible for the direct procurement or production of DOE weapons and weapons related material. The term production applies to the processing of new and reused material as well as repair, modification, surveillance, test, disassembly, and reassembly operations.

**Production Units.**

**Product Definition Requirements.** The set of documents and specifications released by the DA for design, manufacture, and acceptance of a product or acceptance equipment. The document set does not include design interface control documents, nor does it include PA travelers, flow sheets, etc.

**QC-1.** This document sets forth minimum quality requirements for DOE production and design agencies responsible for procurement and/or production of weapons and weapons related material and software unless specifically exempted by AL.

**QC-2.** This document establishes minimum quality criteria for research, design, development, and associated test activities (hereinafter referred to as research and development) within the nuclear weapons program, unless specifically exempted by the Deputy Assistant Secretary for Military Application (DASMA) or Albuquerque Operations Office (AL). The provisions of this policy apply to all Department of Energy (DOE) contractors performing these nuclear weapons program activities in support of weaponization.
Quality criteria for nuclear weapons program activities related to preproduction, production, assembly, and stockpile are specified in QC-I. If an activity does not clearly fit under QC-I or QC-2, either may be applied using documented judgment. Requirements for general operations activities within DASMA are specified in DOE Order 5700.6. Where there is no clear distinction between general operations and nuclear weapons activities appropriate elements of DOE Order 5700.6 and this document may be applied, providing there is no conflict with this document.

**Qualification.** Acceptable performance of a complete process consisting of one or more operations that have been individually certified. The operation, piece of equipment, or individual must have produced products or services that meet or exceed customer requirements.

**Quality.** Conformance to customer requirements and expectations. This includes the concept of closeness to target or nominal values, recognizing that any deviation from target results in a reduction in quality.

**Quality Assurance.** All those planned and systematic actions to provide adequate confidence that a product or service will satisfy given needs.

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**Quality Assurance Survey.** A planned and documented activity, performed in accordance with procedures intended to communicate and effect improvements where needed, and maintain cognizance of contractor performance upon which to base government acceptance of material or verify contractor certifications.

**Quality Costs.** The cost of nonconformance plus the cost of conformance. It includes the cost of prevention appraisal, and failure.

**Quality Evidence.** Information which indicates the extent of conformance to requirements and control over processes. This information is based on process control data, inspection and acceptance activities, or traceal records.

**Quality Improvement Process.** An iterative process employing systematic planning; analysis of data; implementing improvement actions; evaluating those actions for effectiveness; and recognition of accomplishments.

**Raw and Commercial Material Supplier.** A manufacturer or supplier to a production agency or subcontra of bulk material or off the shelf standard items to be used in the processing or manufacture of product for th DOE. The term processing, as used here, refers to material which comes in contact with weapons material during processing, but is not intended to become a part of the weapon.

**Records.** Documentation of the results of work. They may be paper copies, laboratory notebooks, photogr microfilm, radiographic film, or electronic or optical media.

**Record Copy.**

**Record of Assembly (ROA).** An electronic database providing traceability of stockpile weapons and other ultimate user entities to that level of assembly below which Production Agency (PA) records fulfill remaining traceability requirements.

**Reporting of Disassembly (ROD).** A ROD is normally required following disassembly of a report level component after initial acceptance and reporting of ROA data. A ROD is not required for partial or complete disassembly of a major assembly or its associated subassemblies that are being reprocessed for retirement the weapon. ROR Reporting of Redentification Data. If no disassembly is performed during reworking or reprocessing, but new manufacturing identification elements are marked on the product, this change must b reported as an ROR at the appropriate report level.

**Responsible Agency.**

**Software.** Computer programs, procedures, rules, and any associated documentation and data.

**Software Quality Assurance.** A planned and systematic pattern of all actions necessary to provide adequ confidence that a software product conforms to established technical requirements.

**Special Processes.** Those discrete parts of a manufacturing system, such as welding, heat treating, and nondestructive examination, which are highly dependent on the control of equipment, procedures, and/or th of the operator, and in which conformance cannot readily be determined by inspection or test.

**Specification Exception Release (SXR).** An authorization to use a specific quantity of product that does n conform to the product definition requirements, but after engineering assessment, has been approved for ei "Unrestricted" or "Restricted" use. Such use will not affect safety, operability, Reliability, interchangeability, assembly, storage life, completeness of assembly, or the ultimate use.

**Stockpile-To-Target Sequence Document (STS).** This DoD document defines the logistical and operatio concepts and related physical environments involved in the delivery of a nuclear weapon from the stockpil the target. It also defines the logistic flow involved in moving nuclear weapons to and from the stockpile fo quality assurance testing, modification and retrofit, and the recycling of limited life components.

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**Subcontractor.** A manufacturer or supplier organization who supplies goods or services (direct or indirect to a DOE contractor or another subcontractor).

**T-Item.** A Class T item is an electronic component that the buyer procures only from sources specified by the AT&T TQMP.

**Waiver.** A Production Waiver is issued (rather than an SXR) to authorize use of product which does not conform to its Military Characteristics (MC ), Stockpile-to- Target Sequence (STS ), or Interface Compatibility Document (ICD ) requirements, but which is urgently needed to provide an operational capability in accordance with DOE - AL D&P. A Waiver should not be used for product that does not conform to product definition, unless a limitation is stated on the Waiver in the use or operational suitability of the weapon.

**War Reserve (WR).** Nuclear weapons and nuclear weapons material intended for employment in the event of war

**Weapon Material.** DOE nuclear weapons, assemblies, components, or parts thereof, and associated test and handling equipment.

**Weapon-Related Material.** Any material other than weapon material being developed and produced for or by the DOE and intended for use in conjunction with or in any way related to weapons.

**Weaponization.** - The compilation of processes used in the conversion of theoretical designs into usable weapons.

**Working Copy.**

**Weapon Related Material.** Any material other than weapons material being developed and produced for or by the DOE and intended for use in conjunction with or in any way related to weapons.

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# DATE FILMED

10/21/94

# END