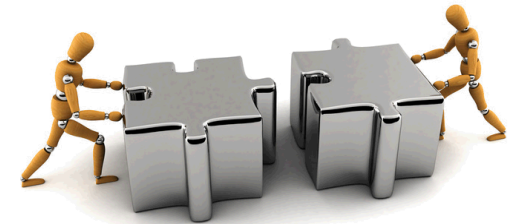
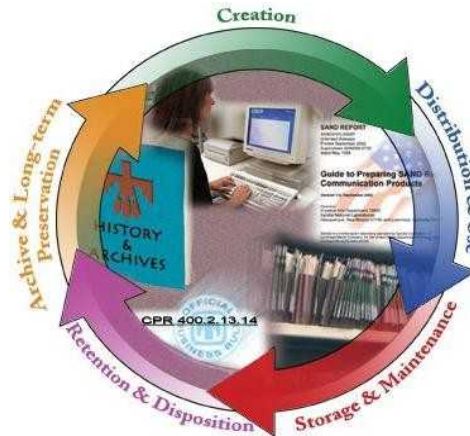


*Exceptional service in the national interest*



# Records Management Basics

## 9532 Recorded Information Management

SAND2013-1007C



Sandia National Laboratories is a multi-program laboratory managed and operated by Sandia Corporation, a wholly owned subsidiary of Lockheed Martin Corporation, for the U.S. Department of Energy's National Nuclear Security Administration under contract DE-AC04-94AL85000. SAND NO. 2011-XXXXP

# Agenda

- Records Management Manual
- What is a Record?
- Creation
- Distribution & Use
- Storage & Maintenance
- Retention & Disposition
- Electronic Records & Storage
- Paper Records in Storage
- Vital & Essential Records
- Sandia Corporate Archives
- Points of Contact



**HELPING SANDIA NATIONAL  
LABS PUT THE PIECES  
TOGETHER TO PROMOTE  
PROPER HANDLING OF ALL  
RECORDS**

# Records Management Manual

Within the [Records Management Manual](#), you will find essential information regarding Sandia's Recorded Information Management process requirements.

- 1: [Scope & Responsibilities](#)
  - [Records Management Program Scope and Responsibilities](#)
- 2: [Records & Non-Records](#)
  - [Records, Non- Records, Personal Papers and Drafts](#)
- 3: [Review & Approval](#)
  - [Review & Approval Guidance](#)
  - [Review & Approval Electronic Application](#)
- 4: [Forms Management](#)
  - [Corporate Forms Management](#)
  - [Corporate Forms Homepage](#)
- 5: [Electronic Records](#)
  - [Electronic Records Management](#)
- 6: [Training](#)
  - [RIM Training](#)
- 7: [Files Management](#)
  - [Files Management Guidance](#)
- 8: [Inactive Records](#)
  - [Inactive Records Storage Guidance](#)
  - [Inactive Records Storage Forms](#)
- 9: [Vital & Essential Records](#)
  - [Vital & Essential Records](#)
  - [& Disaster Recovery for Records](#)
- 10: [Retention & Disposition](#)
  - [Records Retention & Disposition Guidance](#)
  - [Records Retention & Disposition Schedule](#)
- 11: [Transfers & Separations](#)
  - [Transfers, Separations, Mergers, & Moves](#)
- 12: [Archives & History Program](#)
  - [Corporate Archives & History Program](#)
  - [Sandia External History Program Homepage](#)
- [Glossary](#)
  - [Records Management Manual Glossary](#)
- [RMM Homepage](#)
  - [Records Management Manual Homepage](#)
- [RIM Department Homepage](#)
  - [Recorded Information Management Department Homepage](#)

The RMM is designed to cover all aspects of Records Management. It provides a POC for each chapter to ensure thorough coverage and the opportunity for a face-to-face experience, if needed.

# What is a Record?

## RMM Chapter 2

Sandia records belong to the Department of Energy (DOE) and Sandia Corporation. As specified in our prime contract, except for personnel, procurement, medical, and certain legal records, *"all records acquired or generated by the Contractor in its performance of this contract shall be the property of the Government."*

These records:

- are subject to Federal government regulations,
- are property of the Federal government or Sandia Corporation,
- require the proper retention and disposition as specified by DOE and NARA and documented in the Sandia Records Retention and Disposition Schedule., and
- must not be concealed nor destroyed because of noncompliance or potential noncompliance

One of the most important products Sandia creates is information. Whether in the form of reports, photographs, film, negatives, models, samples, digital information, or any other media, these records document the results of Sandia's research projects and facilitate the administrative processes that allow the company to function. Records are the proof and evidence of decisions, progress, accomplishments, etc.

Sandia information is a record when that information

- is generated or received and used while conducting Sandia business and
- provides informational value or when the material is evidence of Sandia's organization, functions, policies, decisions, procedures, operations, mission, programs, projects, and activities.

## How Do I Determine if This Document Is a Record?

# Creation

## Examples of Records include:

- papers, reports, publications
- correspondence, memos
- completed forms
- maps, charts
- photographs
- information stored on magnetic disks/tapes, computer files
- microfiche, film
- videos
- sound recordings
- drawings
- technical data, information
- test samples, models
- vugraphs
- e-mail

Sandia creates millions of records! It is everyone's responsibility to make sure that **Records are maintained throughout their Information Lifecycle**: creation, distribution and use, storage and maintenance, retention and disposition (whether destruction or archival preservation).

- e-mail
- vugraphs

# Distribution & Use

## RMM Chapter 3

*Distribution of Sandia's records depends on:*

- Classification levels
- Need-to-know issues
- Contractual agreements
- Media considerations

### Review & Approval:

- Is this material going to be released externally or to an uncontrolled Sandia audience?
- R&A is the required corporate application for routing content for review prior to release

# Storage & Maintenance - Inactive Records Storage

## RMM Chapter 8

### **NON-Electronic Records:**

- Papers, reports, publications
- Correspondence, memos
- Completed forms
- Maps, charts
- Photographs
- Microfiche, film
- Sound recordings
- Test samples, models
- Vugraphs

### **Electronic Records:**

- Information stored on magnetic disks/tapes, computer files
- E-mail
- Videos
- Sound recordings
- Digitized Photographs

#### Preferred Format:

Non electronic records can be scanned or otherwise digitized in order to become electronic records.

# Electronic Records & How to Store Them

## RMM Chapter 5

- Sandia creates terabytes of electronic data in reports, analysis, emails, white papers, testing, and simulation.
- Where does this information go?

Use the Corporate Applications whenever possible:

- EIMS FileNet on the SRN
- Web FileShare on the SCN
- IMS for design drawings, product definition
- Digital Archive for inactive electronic records
- CSandia for photographs & other images
- Digital Media Project for moving images
- Oracle for financial information
- Other systems as specified by program or project processes

Where does this information NOT belong?

- *shared server space*
- *desktops*
- *on paper - when there's an electronic copy*

What do I do with my paper?

***when feasible, image your paper documents that have long term retention and upload them into EIMS FileNet with the appropriate metagroup access***



# Inactive Records Storage

## RMM Chapter 8

### Questions?

What do I do with paper records being sent to storage?

What is Inactive Records Storage?

How to I send my records there?

### Answers!

Send paper documents that **must remain** paper to Inactive Records Storage

Inactive Records Storage stores and protects records that are no longer needed for active use but that still need to be maintained to meet retention requirements.

Follow the step-by-step instructions in [Chapter 8](#) of the RMM

**Training is available by the group or individually. Additionally, there are learning tools under the “Training” portion of the Inactive Records Storage chapter.**

# Retention And Disposition

## RMM Chapter 10

### Sandia Records Retention and Disposition Schedule

Records must be kept for specified periods of time based on their content. The Sandia Records Retention and Disposition Schedule defines how long each group of records (record series) must be kept.

The [Sandia Records Retention and Disposition Schedule](#) defines each records series. Use this schedule to determine Sandia's records retention period (how long to keep recorded information) and office of record (who is responsible for maintaining the records).

# What is a Vital Record?

## RMM Chapter 9

### **Vital Records** Defined by Title 36, Code of Federal Regulations (CFR) Part 1236, Management of Vital Records

- Vital records means essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).
- Vital records program means the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency conditions or to protect the Government's rights or those of its citizens. This is a program element of an agency's emergency management function.

### **Vital Records at Sandia**

#### Emergency Operating Records

- Records that contain information required to continue functioning during a disaster, or to reestablish operations after a calamity has ended.

#### Rights and Interests Records: Examples include:

- Payroll, finance, and budget
- Personnel leave, health, and insurance
- Military service, social security, and retirement
- Contracts and agreements
- Grants and leases
- Entitlements
- Obligations the loss of which would impose legal or financial risk
- Documentation for electronic systems that manage personnel and financial information

# What is an Essential Record?

## RMM Chapter 9

### **Essential Records:**

Records that possess a high value to Sandia's mission and that could only be reproduced or reconstructed with difficulty and extra expense.

Examples include:

- Research and Development (R&D) programmatic and project records
- Environmental Permits and Permit Applications



# Corporate Archives

## RMM Chapter 12

### Archival Preservation

- The [\*Sandia Corporate Archives\*](#) is responsible for collecting, and maintaining for the life of Sandia, historically valuable [records](#) not retained elsewhere.
- **Records Review**
- Records are reviewed for inclusion in the Sandia Corporate Archives at the [disposition](#) stage of their [life cycle](#).

# Recorded Information Management

## Points of Contact:

### **Records Management, Retention Schedule**

Karen Sienkiewich-Aguilar - 284-2874

### **Corporate Historian, Electronic Records, Digital Archive, Records Management Manual, EIMS FileNet**

Rebecca Ullrich - 844-1483

### **Records Management, Forms Management, Inactive Records Storage**

Tracy Hinkel - 844-5152

### **Scanning Services**

Dolores Castellano - 844-4667

### **Review & Approval**

Laura Gallegos - 845-8220

### **Corporate Archives**

Myra O'Canna - 844-6315

Diana Gonzales - 844-1695



# Questions?



<http://info.sandia.gov/recordsmgmt/rmm/rmmframe.html>