

# OAA New Hire Training

## Records Management Overview

**Recorded Information Management Department  
9532**



# Agenda

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- Records Management
- What is a Record
- Records Management Tools and Services
  - Sandia's Records Retention & Disposition Schedule
  - Records Management Manual
  - Files Management
  - Review and Approval Process
- Questions and Contacts

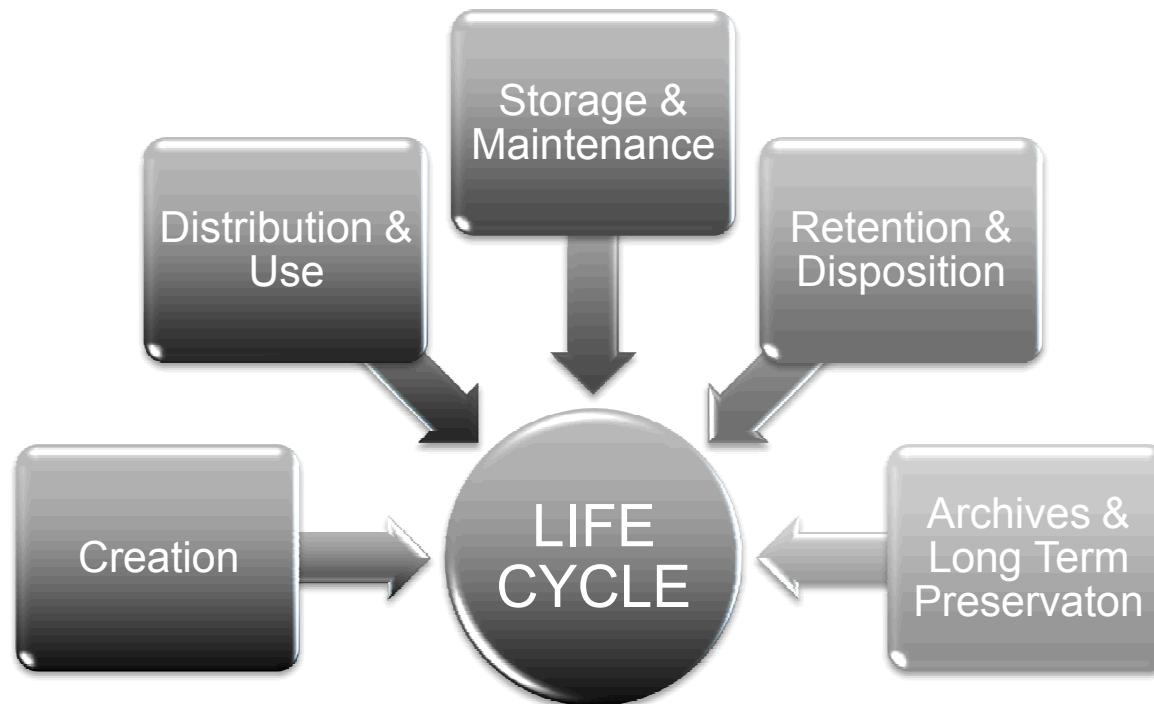


# Records Management

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is the systematic control of records throughout their life cycle.  
Records are information that an organization needs to do business and research.

## Lifecycle of a Record





# What is a Record:

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- **Records include any recorded information or documentation (regardless of media) created or received and used in our technical and administrative work.**
  - Reports, correspondence, maps, charts, photographs, lab and engineering notebooks and logbooks, administrative or technical program and project files.
- **Non-Records are extra copies, reference materials, manuals for COE (common operating environment) software, conference proceedings or training class materials.**
- **If it is a record, it must be kept for the appropriate time, as indicated in the Sandia Records Retention and Disposition Schedule.**



# Records Management Tools & Services

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- **Sandia's Records Retention & Disposition Schedule**
- The schedule is organized by categories
  - Administrative
  - ES&H
  - Research & Development
  - Defense Programs
  - Production
- Each record series contains:
  - Number and Title
  - Description – what is the function of the records and what records are included in this series
  - Office of Record – department(s) responsible for the records
  - Disposition – retention requirements
  - Authority – retention requirements are mapped to this government schedule



# Records Management Tools & Services

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- From the Techweb Page
  - Info Sharing and Publishing
  - Records Mgmt
- Links for Records Management
  - Records Management Manual
  - Files Management
  - Review and Approval Process



# Records Management Manual

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- **Twelve Chapters on Records Management at SNL**
  - **Scope and Responsibility** – legal & government requirements
  - **Records and Non-Records** – definition and flow chart
  - **Review and Approval** – process for release of information
  - **Forms Management** – corporate forms
  - **Electronic Records** – processes and quality standards for scanning
  - **Training** – classes we participate in or offer
  - **Files Management** – templates for setting up office, manager's and project files
  - **Inactive Records** – what and how to send records to storage
  - **Vital and Essential Records** – what they are and how to protect
  - **Retention and Disposition** – Sandia's Records Retention & Disposition Schedule
  - **Transfers and Separations** – what to do for the office and employee
  - **Archives and History Program** – the historical collection and history books
  - **Glossary** – definition of terms



# Files Management

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- **Administrative files**
  - Non-technical aspects of running the department
  - Parallel file plans for paper and electronic
  - Organized by categories in the retention schedule
- **Manager's Personnel files**
  - What documents may be in the file and the Office of Record for documents
- **Program/Project management files**
  - Administering specific program or projects
- **Project files**
  - Technical documentation of the work
- **The templates may be used to set up your filing system**



# What is Review and Approval (R&A)?

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- It is the process by which we formally release information to the public and formally compile and release scientific and technical information to DOE.
  - Presentation materials for a conference, seminar, etc.
  - Publications such as books, journal articles, technical reports, etc.
  - Postings to the external web that are from or about Sandia.
- **Electronic Application**
  - Preflight Checklist
  - R&A Wizard



# Pre-Flight Check-List

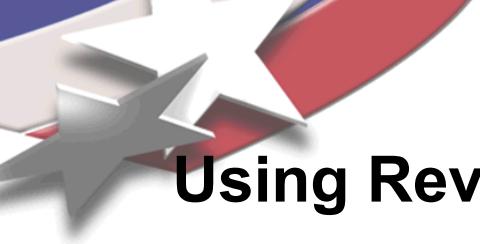
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- The Sandia Contact (the Sandia employee best able to respond to questions about the content of what is being released) is:  
\_\_\_\_\_
- The sensitivity of the information is:  
\_\_\_\_\_
- If the information release is Classified, select Hardcopy routing. Classified documents must be routed via Sandia's classified mail system or hand carried to the reviewers.
- If the information to be released is the result of a partnership of some kind or incorporates information controlled by another agency, do you have your partner's permission to release? It'd be helpful if you know the agreement number. For more information:
  - Sandia CA: Erica Andreski, 294-3101, 912/242B
  - Sandia NM: Sheryl Martinez,
- When the information to be released is scientific or technical in nature, often a Disclosure of Technical Advance Form (always a good idea) has been filed. It'd be helpful if you have the SD number. For more info:
  - Sandia CA: Tim Evans,
  - Sandia NM: Viola Campos

- Confirm whether your work was funded in whole or in part by Laboratory Directed Research and Development. For more information:
  - Sandia CA:
  - Sandia NM:
- The information is covered by a DUSA agreement:
  - Yes
  - No
- If Yes, the DUSA name is:  
\_\_\_\_\_
- The approving manager for the DUSA is:  
\_\_\_\_\_
- In the context of the program your information was generated from, who are the most knowledgeable line manager and Derivative Classifier to review and approve? This may not always be your direct line manager or your organizational DC.

You are Good to Go!

# Using Review and Approval (Electronic Application)



**Review ✓ Approval**

- Prepare Request
- Search Requests
- Generate Reports
- Approvals
- Help
- Wizard

**Main Menu**

**Students:** If you are looking for helpful tips with a Symposium submission, please link to the [Student Symposium R&A site](#).

[Prepare Request](#)

**Need to Prepare a Request?**

Use the Prepare Request to submit a new R&A request. If you would like help getting started, please review the Pre-Flight Checklist, [?](#) which lets you confirm you're ready to begin R&A.

[>> Prepare Request](#)

[Search Requests](#)

**Looking for a Specific Request?**

Use the Search Requests feature to look for your R&A activities. You can also search for documents matching multiple criteria.

[>> Search Requests](#)

[Generate Reports](#)

**Want to Make or View Reports?**

The Generate Reports section of the application allows you to specify details on which to generate a report.

[>> Generate Reports](#)

[Help](#)

**Can't Find What You're Looking For?**

Using the Help area, you can get assistance with almost any facet of the Document Review & Approval System. Not sure whether you need Formal Review and Approval? Ask the [Review and Approval Wizard](#).

[>> Help](#)

**Review ✓ Approval**

**Review ✓ Approval**

Will this report be [released to the public](#)?

**YES**

**NO**

[GO BACK](#) | [RESTART](#) | [GLOSSARY](#)

**Review ✓ Approval**  
**Wizard**

**Review ✓ Approval**

Select the category that best fits your information.

[Abstract ?](#)

[Journal Article ?](#)

[Book Chapter ?](#)

[Internal Web Site or Pages ?](#)

[Conference Paper or Presentation ?](#)

[Photograph ?](#)

[Display, Poster or Exhibit ?](#)

[Promotional or Marketing Material ?](#)

[External Web Site or Pages ?](#)

[SAND Report ?](#)

[Internal Server Posting \(Dropzone, etc.\) ?](#)

[Technical Report ?](#)

[Other](#)

**Review ✓ Approval**

Type of Review and Approval Submission

Need help getting started with preparing requests?  
Then please review the Pre-Flight Checklist. [?](#)

What is the reason for this review?

Formal Review [?](#)  
 Programmatic Review [?](#)

[Continue](#)

[RESTART](#) | [GLOSSARY](#)

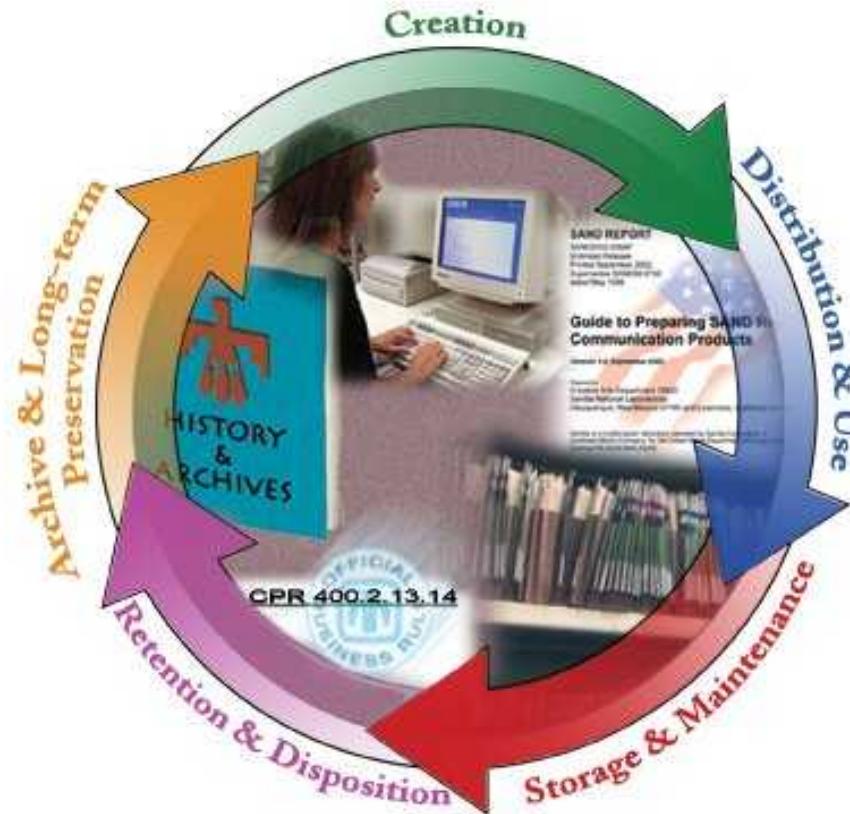


**Sandia  
National  
Laboratories**



# Questions?

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<http://www-irn.sandia.gov/recordsmgmt/depthp.htm>



# Contacts

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- **Records Management & Retention Schedule**
  - Maria Beltz 844-9360
- **Records Management & Forms Management**
  - Tracy Hinkel 844-5152
- **Review & Approval**
  - Laura Gallegos 845-8220
- **Corporate Archives**
  - Myra O'Canna 844-6315
  - Diana Gonzales 844-1695
- **Corporate Historian**
  - Rebecca Ullrich 844-1483
- **Reports Management**
  - Karen Sienkiewich-Aguilar 284-2874
- **Inactive Record Storage**
  - Martha Bertsch 284-2116
  - Dana Crosby 844-2466