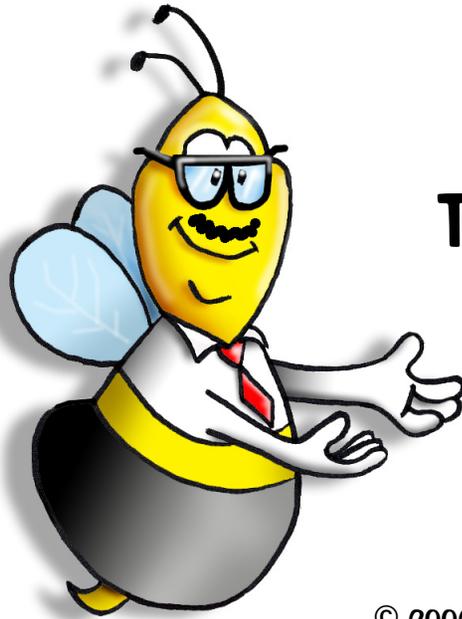




# Elements of a Records Management Program



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Westinghouse  
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May 20, 2002

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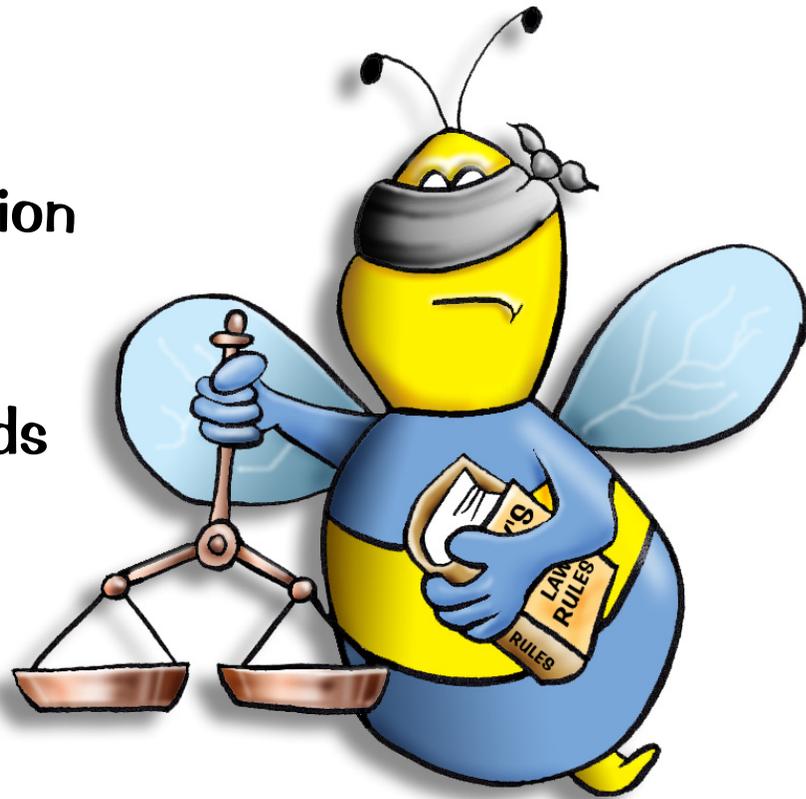
# Mission

- **The object of records management is to develop and implement a program to identify and protect those documents vital to the Site and the Corporation. At the same time this program must meet all Federal and State regulations governing the storage, protection and disposal of records..**



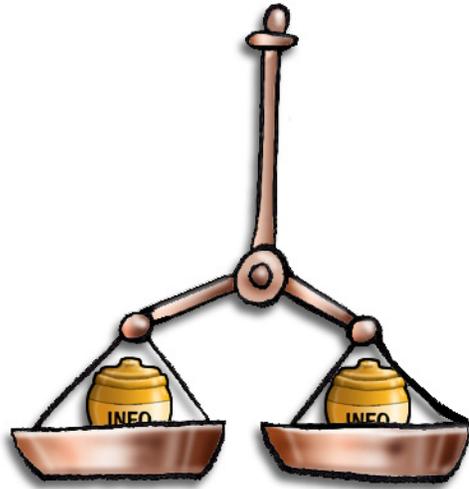
# Legal Requirements

- **Title 5, US Code 552**
  - Freedom Of Information
  - Privacy Act of 1974
- **Title 36 CFR**
  - Sets policy for records
- **Title 44, CFR**
  - Responsibilities of managing federal records





# Legal Requirements



- **ASME Standard NQA-1**
  - Establishes requirements for Quality Records Program at Nuclear Facilities
- **DOE Order 200.1**
  - Program based on sound business practices
- **DOE Roadmap 2000**
  - Commitment to efficient and effective information management



# Beeginning Basics

(pun shamelessly intended)



- All Records Activities fall into one of categories:

- Identify
- Capture
- Protect
- Retrieve
- Dispose



# Evolving Attitudes

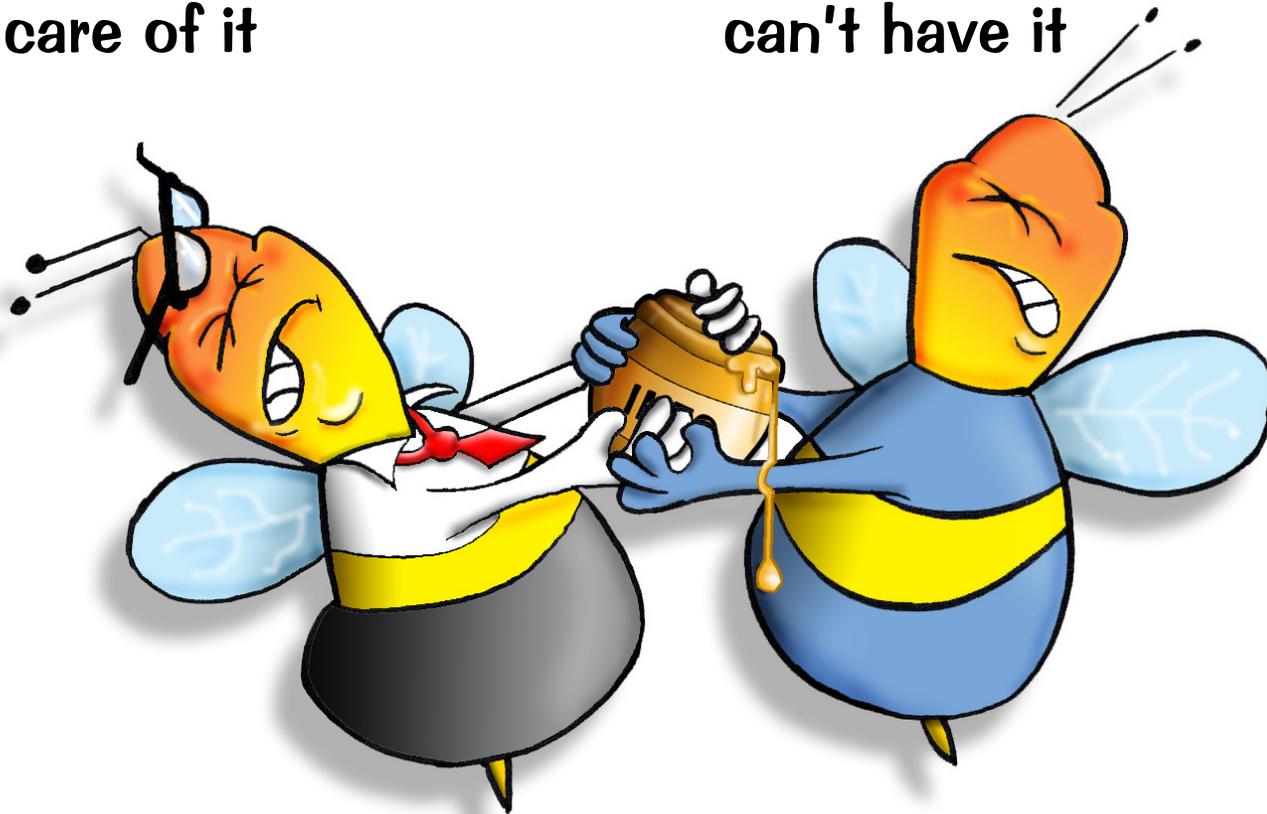
*Dinosaurous  
Archivus*





# Evolving Attitudes

- **NOW** - It's yours, I will take care of it
- **THEN** - It's mine, you can't have it





# Evolving Attitudes

- **THEN** - Design ways to protect it (from customers)
- **NOW** - Design easier ways to get copy to users
- **THEN** - When retention up, out the window it goes
- **NOW** - Discuss retention in terms of Business requirements



Dinosaurous Archivus



# Basic elements of Records Management Program

- **Records Inventory**
- **Records Retention Schedule**
- **Disaster Prevention/Recovery**
- **Electronic Records Management**
- **Archive Management**



# Records Inventory

**GOAL - Inventory entire organization**





# Records Inventory

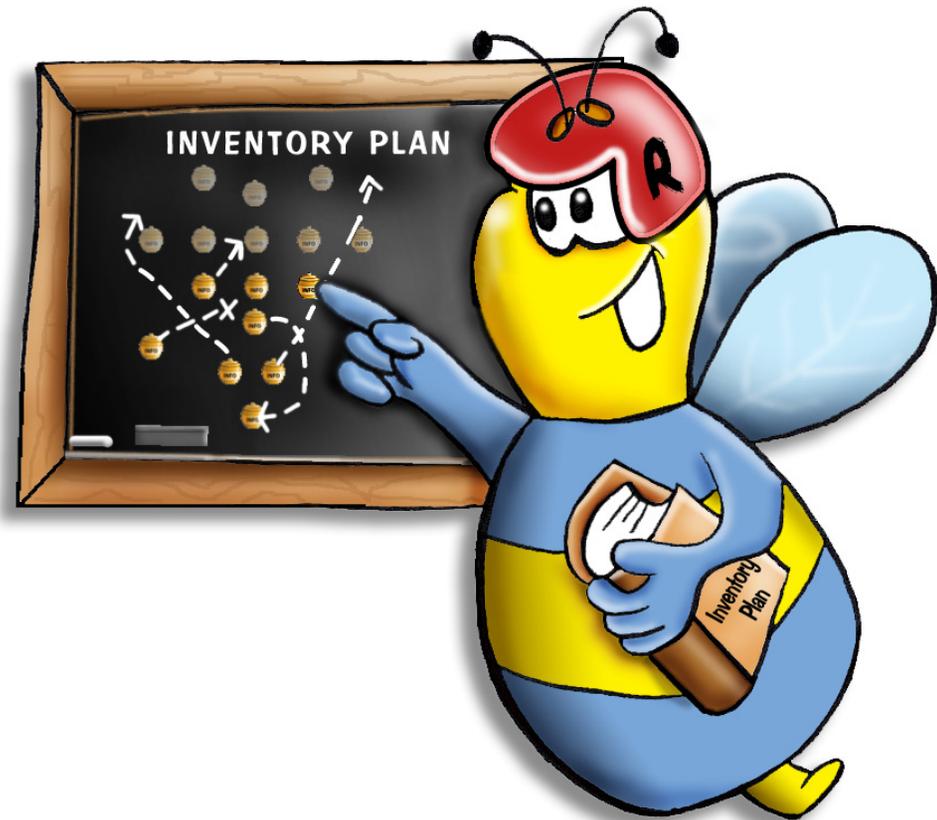
- **PURPOSE:**
  - Identify vital records
  - Determine record types and locations
  - Determine age, activity and quantity
  - Determine current disposal practices





# Inventory Plan

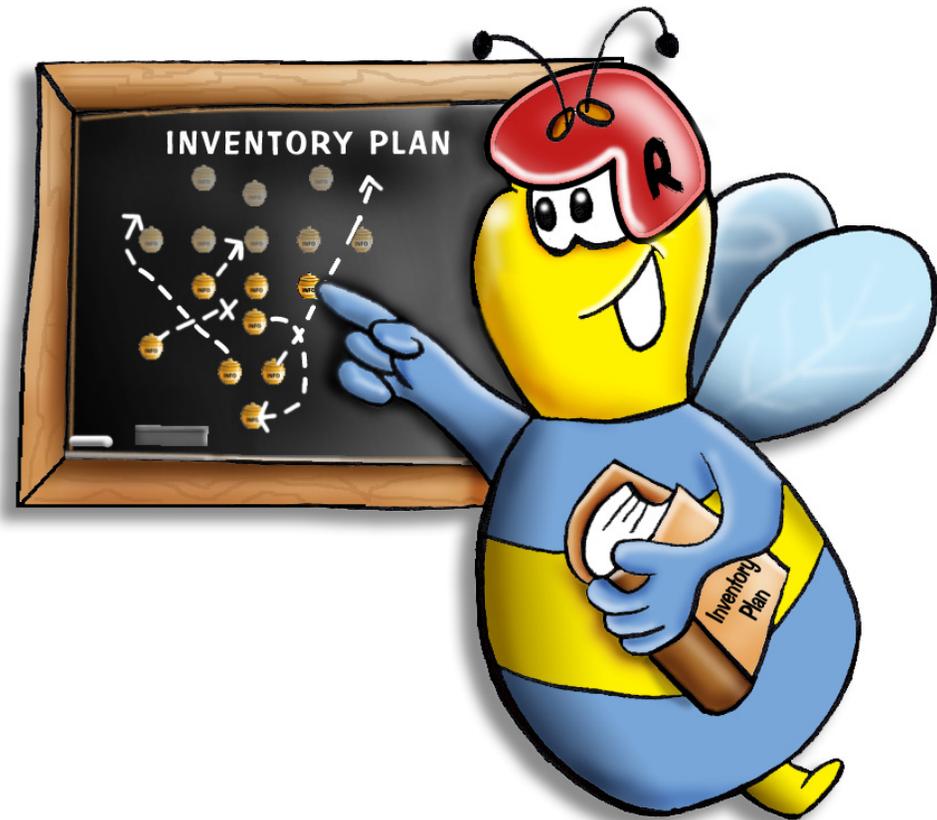
- **Who - Records Analysis and creator/owner of record**





# Inventory Plan

- **Where - At customers location**
  - Dig through files, agree on:
    - What is it
    - How is it used
    - When is it no longer needed





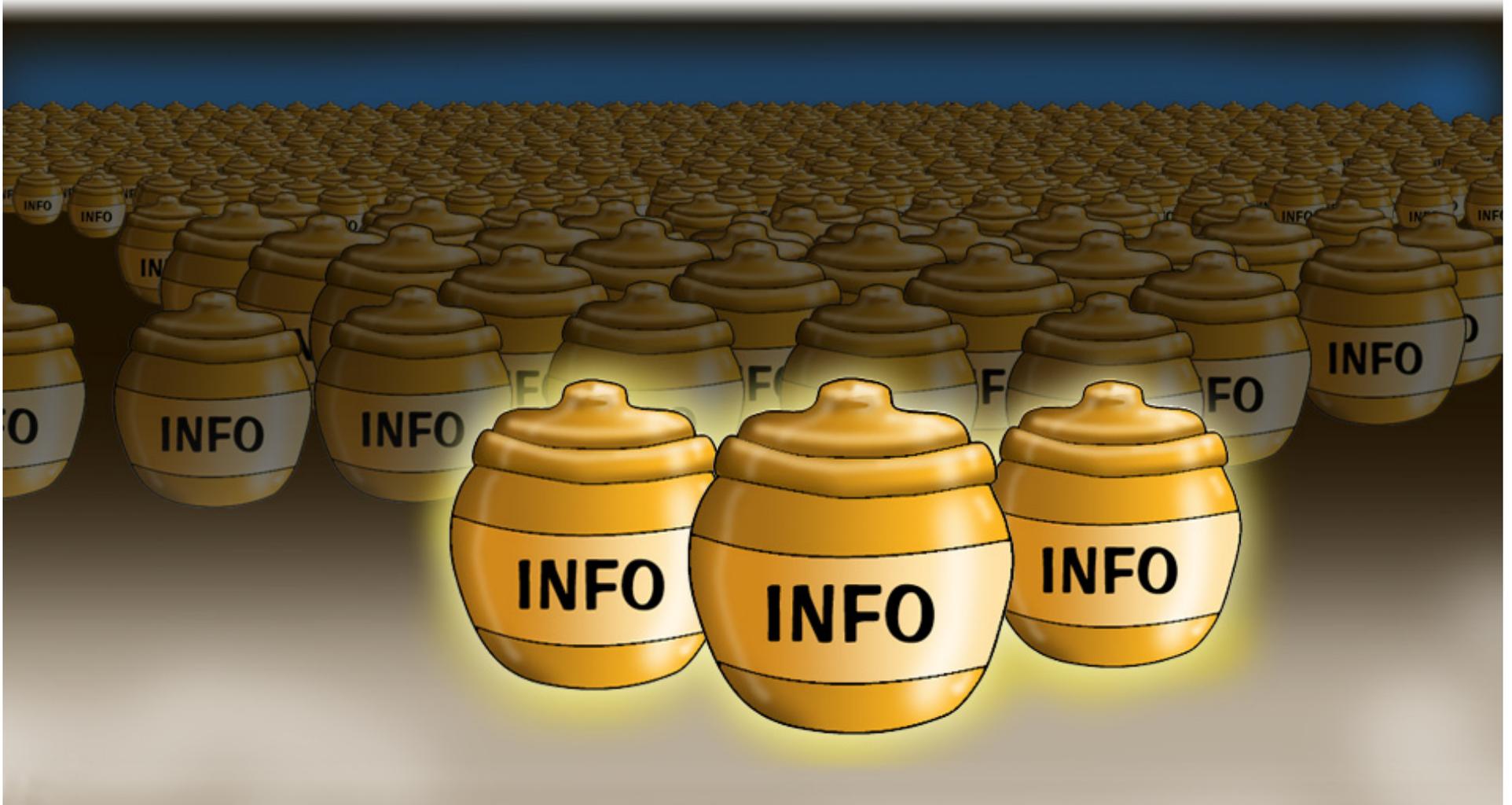
# Records Inventory and Disposition Schedule



- Establish retention program, based on business use and purpose
- Determine records series
- Develop storage and retrievably standards.



# Vital Records





# Vital Records

- Those records which are critical to the operation of the business and or facility for restart
- Those rights and interest records essential to protecting the rights an individual or company



# Benefits of Retention Scheduling

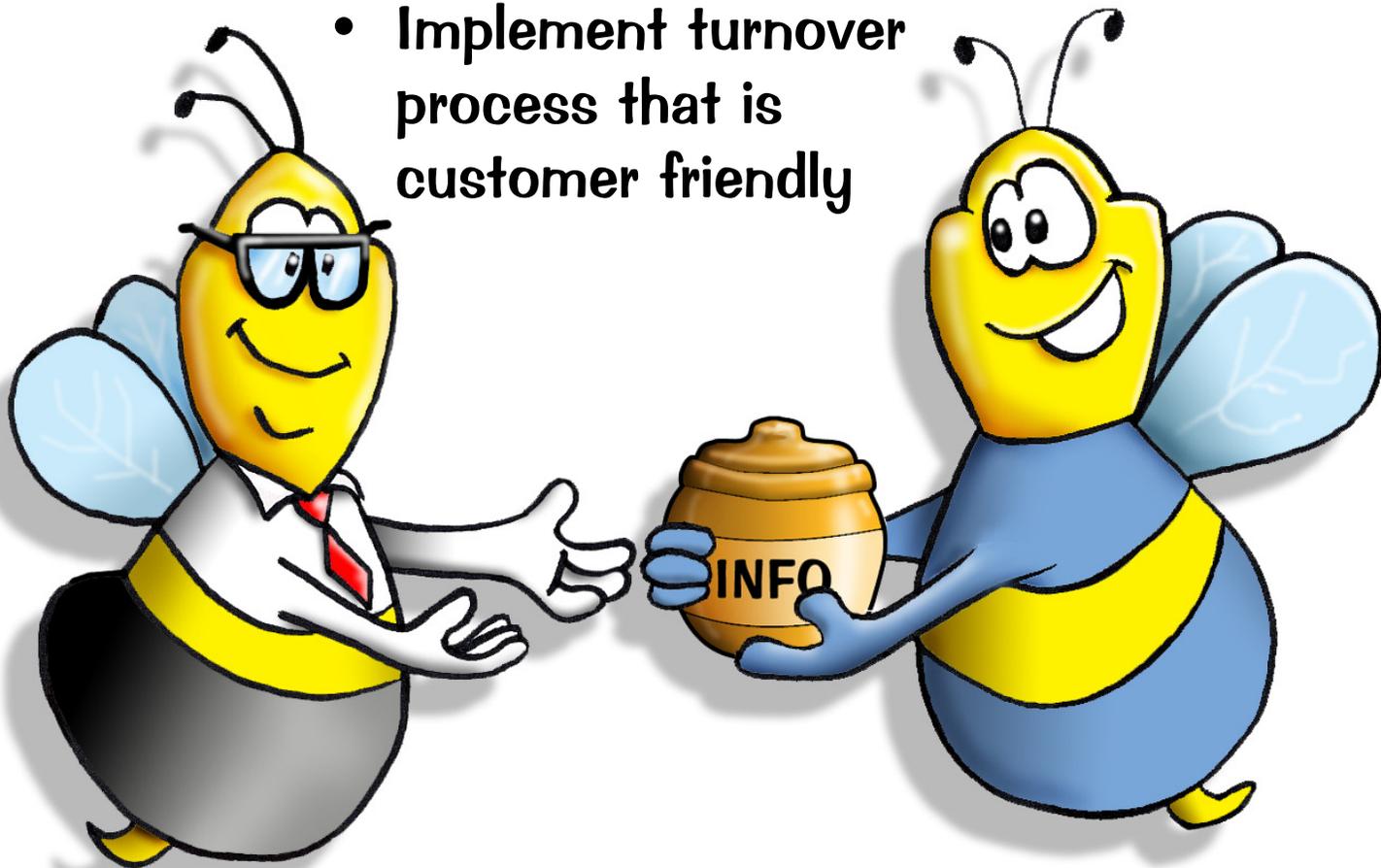
- Permanently valuable and historic records are identified
- Prevents premature destruction of records
- Provides orderly, consistent treatment of records across the site
- Increase credibility for program





# Record Capture

- Implement turnover process that is customer friendly





# Record Capture

- **Index for easy access**
- **Controls in place to assure security**





# Records Indexing

- **Critical process in overall program**
  - The object of maintaining records is for customers use
  - If you can't find it... you don't have it.





# Records Indexing

- **Involve customer**
  - Identification of key retrieval information
  - Self index where practical





# Records Training





# Records Training

- **Training for records personnel**
  - Understand importance of their work
  - Keep up with changes in technology
  - Provide expert assistance to customers
  - Encourage participation in process improvements



# Records Training

- **Customers have a narrow set of expectations**
  - If it isn't important
    - *trash it*
  - If it is important
    - *keep it forever*



# Records Training

- **Customers are not born with the faith**
  - If you ever want it
    - *hide it yourself*
  - If you send it to Records
    - *they will lose it*



# Records Training

- **Perform records evaluations with customers**
  - They understand their responsibilities
  - They appreciate the value of records and proper scheduling



# Electronic Records Capture





# Benefits to Electronic Records Capture

- **Improved capture process**
  - Accept native documents
  - Scanning paper documents
- **Involves customer in turnover process**



# Benefits to Electronic Records Capture

- Reduce storage cost
- Desktop access
- Improved dispositioning



# Records Protection





# Records Protection



- Identify critical and vital records
- Develop Disaster recovery plan
- Store in a secure, dry place with temperature and humidity controls



# Records Protection

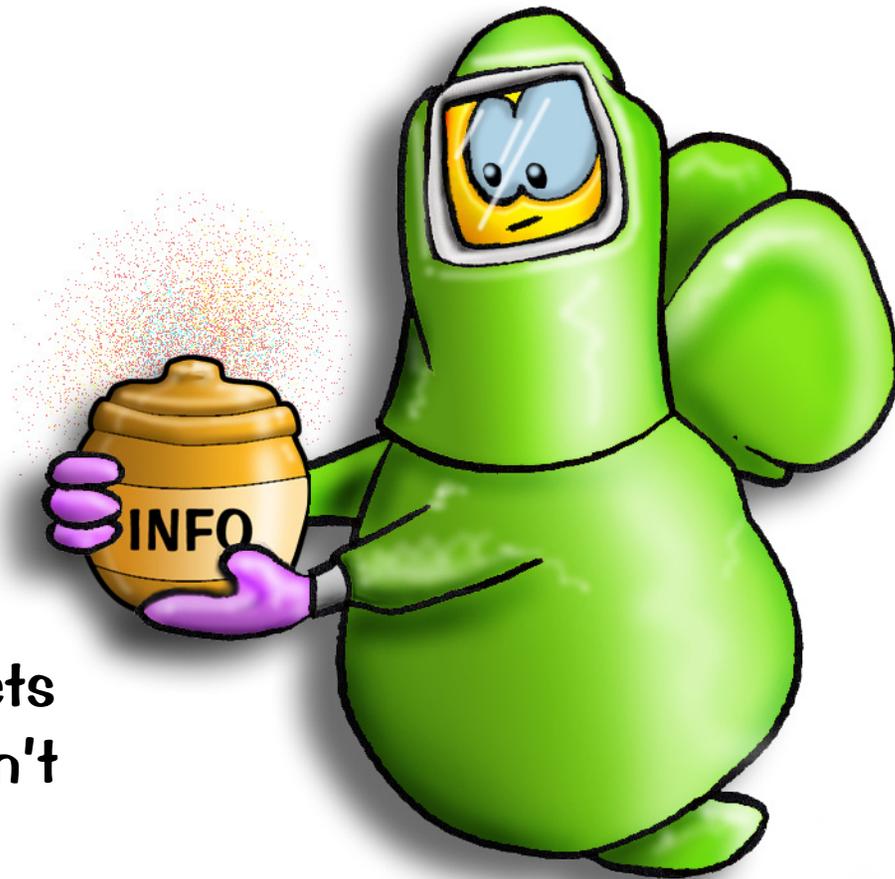
- Duplicate storage when necessary
- Restrict access





# Disaster Recovery Plan

- Recovery plan for quick restoration and recovery of records
  - Prevent those disasters that can be avoided
  - Minimize the effects of those which can't be avoided





# Benefits of Disaster Recovery Program

- **Cost-effective protection of vital records**
- **Reduce risk of "human" disasters**





# Benefits of Disaster Recovery Program

- **Recovery pre-planned**
  - Avoid danger of "overreaction due to shock"
  - Guarantee quick response from vendors





# Cost Effective Archive Management

- Offer permanent material to NARA
- Minimize onsite storage
- Explore alternative media
- Destroy when retention met





# Alternative Storage Media

- **Microfilm acceptable for permanent records**
- **Electronic (TIFF, PDF) acceptable for non-permanent**
  - Lower storage cost
  - Less retrieval cost
  - Improved customer access





# Disposition

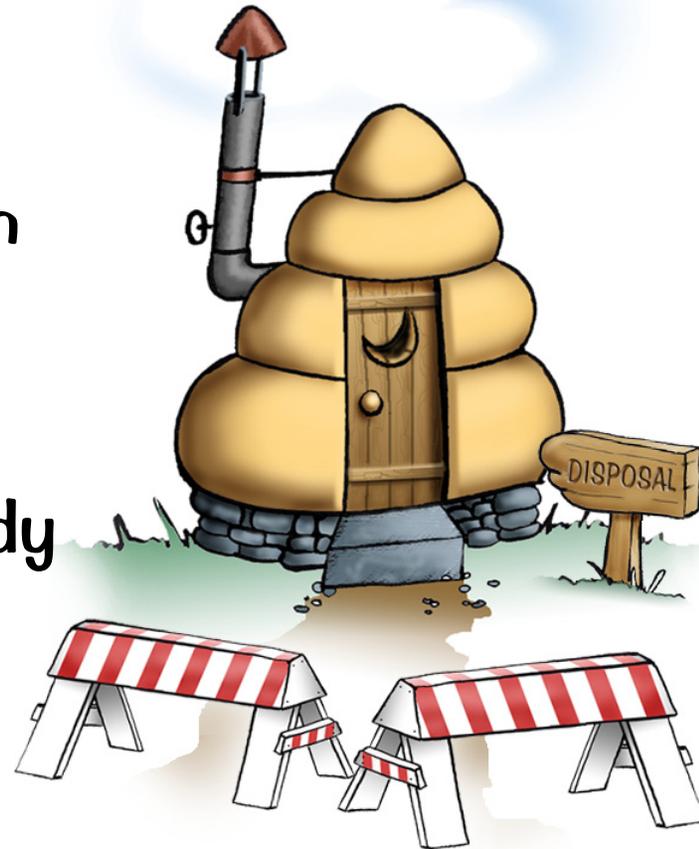
- **Every Dog has its day**
  - Don't keep records after retention is up
  - Base decision on legal requirements not "feels good"
- **Apply program consistently**





# Roadblocks to Disposition

- EPI Studies
- Dose Reconstruction
- Litigation
- History Studies
- Workers Health Study





# A Sweet Summary

- Document your program
- Solicit customer participation
- Consistency gives credibility

