



Avoiding the Looming Black Hole: Managing Electronic Records for Now and For the Future



Participant Guide

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Welcome

Good afternoon...welcome to the *Records Management TEL Broadcast*. We hope you gain valuable information today regarding the Records Management. This 4-hour session will provide an overview of the steps taken to prepare yourself to manage the park records.

Audience

This Essential Records Management is designed for all NPS employees who work with NPS records.

Instructor

Michael Grimes has served as the Service Records Officer since 2000, providing guidance and support to agency staff concerning records management. He performs these duties under the direction of the Deputy Chief Information Officer for Portfolio Management and Investment in WASO.

Prior to coming to the National Park Service, Michael was an archivist at the National Archives and Records Administration in Washington, DC and College Park, Maryland. He has also worked at the Smithsonian Institution, at the Baltimore City Archives and in the Special Collections at the University of Maryland Baltimore County. Additionally, Michael has served as an instructor for the USDA Graduate School in Washington, DC.

Michael holds degrees in history and historical studies from the University of Maryland Baltimore County.

Interacting with the Instructor

If you were physically in the classroom with the instructor, you would raise your hand to let her/him know you had a question or comment. Then you would wait for the instructor to recognize you and ask for your question. We are all familiar with that "protocol" for asking questions or making comments.

With TELNPS courses there is also a "protocol" to follow to ensure that you can easily ask questions and others can participate as well. It may seem a little strange at first asking a question of a TV monitor. Remember, it is the instructor

you are interacting with and not the monitor. As you ask more questions and participate in more TELNPS courses, you will soon be focusing only on the content of your question and not the equipment you are using to ask it.

As part of the TEL station equipment at your location, there are several push-to-talk microphones. Depending on the number of students at your location, you may have one directly in front of you or you may be sharing one with other students at your table.

- When you have a question, press and hold down the push-to-talk button, maintaining a distance of 12-18 inches, wait a second and then ask your question or make your comment. It would sound something like this:
- Excuse me [instructor's first name], this is [your first name] at [your location]. I have a question (or I have a comment).”
- Then release the push-to-talk button. This is important because until you release the button, you will not be able to hear the instructor.



Learning Objectives

The course objectives:

To understand basic principles of managing electronic records, including:

- Importance of managing electronic records
- Ways to identify Federal (electronic) records
- Maintaining electronic records for efficient and effective use, both in a desktop and shared environment
- Understand the principles of records disposition and how they apply to electronic records
- To learn to manage electronic records for continued access



Managing Electronic Records

Course Objectives



At the end of this course, you will be able to:

- State the importance of managing electronic records
- List the ways to identify Federal (electronic) records
- Understand the principles of maintaining electronic records for efficient and effective use, both in a desktop and shared environment
- Understand the principles of records disposition and how they apply to electronic records
- Understand the principles of managing electronic records for continued access



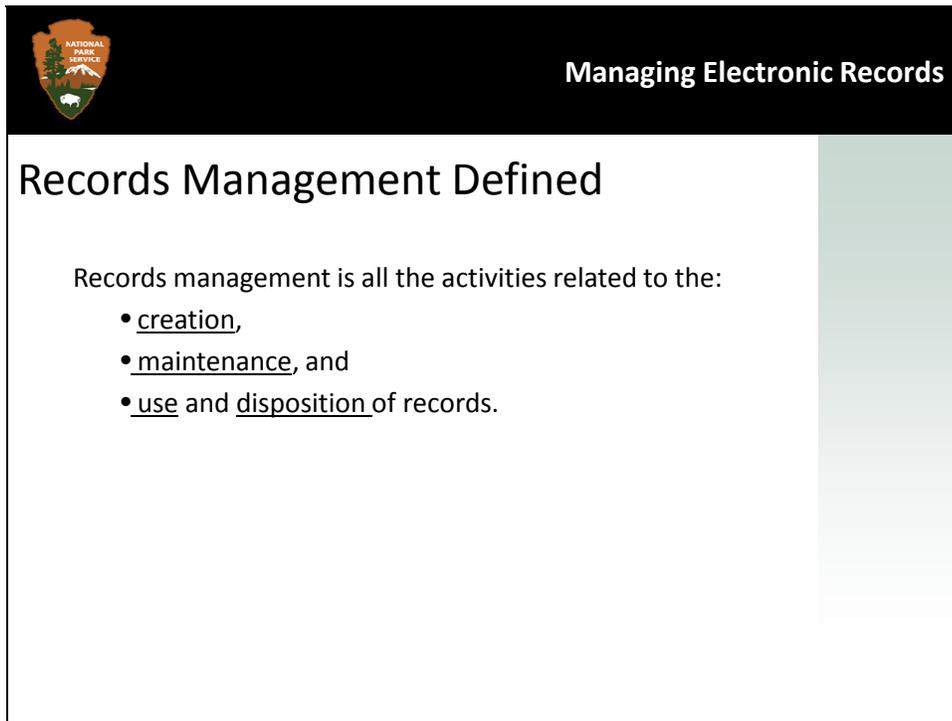
Course Outline

- Overview
- Course Objectives
- Records Management Defined
- Importance of Records Management
- Some Important Ideas to Remember
- Federal Records
 - Keys to Defining Federal Records
 - Checklist
 - Examples
- Other Documentation
- Maintaining Electronic Records for Efficient and Effective Use
 - Active Management
 - Basic Actions you should take
 - Managing for Continued Access to Records
 - Organizing Electronic Records
 - Managing your Personal Workspace
 - Organizing Shared Drives
 - Managing Electronic Mail
 - Organizing Shared Drives
- The Importance of Naming Conventions
 - General Guidelines for Naming Documents and Files
 - Developing Names
 - Examples
- Records Disposition
- Records Schedules
 - Records Disposition Schedules Issues
- The Value of Records
- Transferring Records
 - Transferring Records to a FRC
 - Transferring Records to the National Archives
- Requirements for the Transfer of Permanent Electronic Records to the National Archives
- Storage and Care of Electronic Records
- Conclusions-Closing Thoughts



What is Records Management?

Records management is all the activities related to the creation, maintenance, and use and disposition of records.



Managing Electronic Records

Records Management Defined

Records management is all the activities related to the:

- creation,
- maintenance, and
- use and disposition of records.

Identify a few areas in which you manage records in your daily work.



Why is Records Management important?

How many times have you searched for a document over and over again, and then identify how much time in any given week that you may have lost in that search.

_____ Total Number of Minutes

Managing Electronic Records

Why is it Important to Manage Electronic Records?

- We need electronic records to do our work properly
- Laws which apply to records in other formats apply to electronic records as well
- The NPS expects employees to have basic computer skills which includes an understanding of data protection and file management

Now, think of situations where you wasted time looking for documents, simply because they were not stored appropriately. Reflect on these experiences and then identify a plan of action for yourself that you can use to make **small, measurable** steps toward to improving the management of your records.

Step 1

Step 2

Step 3

Step 4

Step 5

Step 6

Step 7

Step 8

Step 9

Step 10



Some Important Ideas to Remember

The NPS does not have an electronic recordkeeping system and probably will not for the foreseeable future

All Department of Interior bureaus are to print out textual electronic records (such as electronic mail messages and word-processing documents) and then file and manage them in paper form.



Managing Electronic Records

Some Important Ideas to Remember

- NPS does not have an electronic recordkeeping system and probably will not for the foreseeable future
- All Department of Interior bureaus are to print out textual electronic records (such as electronic mail messages and word-processing documents) and then file and manage them in paper form

How do you manage your electronic records at present? In the space provided below, list some of the ways in which you manage and store your records.



Keys to Defining Federal Records



Keys to Defining Federal Records

How do you identify records which fall under the Federal Records category? Federal Records are records that:

1. Are created *or* received
2. Serve as documentation of some agency activity
3. Are not just paper – records take up a variety of forms and can be found in all kinds of media, including electronic

What kind of documents do you handle in your daily job activities? List some of these types of documents in the space given below.

Did your type of document match the following criteria for Federal Records?

Federal Records:

1. Are created or received
2. Serve as documentation of some agency activity
3. Remember: this includes more than paper records – records take up a variety of forms and can be found in all kinds of media, including electronic



Maintaining Electronic Records for Efficient and Effective Use

There are some rules which govern the management of electronic records in a personal as well as a shared environment.

- Electronic records must be actively managed
- Electronic records must be organized in a useable filing system
- Electronic Records must be named in a logical and consistent manner that users can understand



Managing Electronic Records

Maintaining Electronic Records for Efficient and Effective Use



There are some rules which govern the management of electronic records in a personal as well as a shared environment.

- Electronic records must be actively managed
- Electronic records must be organized in a useable filing system
- Electronic Records must be named in a logical and consistent manner that users can understand

Do you have to maintain electronic records on shared drives as a part of working with different teams? In the space provided below, list some of the ways, elements or specific actions which have been most effective for you in this use.



Basic Actions You Should Take

There are some basic actions you should take to ensure effective and efficient records management.

- Print and File all electronic documents and mails
- Delete these from your database
- Save documents other people may need on your shared drive
- Back up the work from your desktop onto a portable storage device

Managing Electronic Records

Basic Actions You Should Take

We recommend that you take some actions to ensure efficient records management.

- Print** Print and file electronic mail messages and word-processing documents
- Delete** Delete them from your database
- Save** Save documents others may need on your official shared drive
- Back-up** Back up the work from your desktop onto a portable storage media

You do these tasks everyday as a part of your job. Are there any additional actions you perform which ensure that you manage electronic records effectively and efficiently? List these actions in the space provided below, discuss these points with your group members when you are done.



Organizing Shared Drives

Shared drives are accessed for materials which are needed off the main network or off someone else's machine. There are some rules which should be followed for organizing these drives effectively.

The screenshot shows a presentation slide with a black header containing the National Park Service logo and the text "Managing Electronic Records". The main content area is white and titled "Organizing Shared Drives". It contains a bulleted list of four points: "Establish a directory structure that reflects the work of the organization", "Establish directories for major functions (general) and sub-directories for subsidiary functions and activities (more specific)", "Directory structure and names should be controlled at the office level", and "Structure should be simple and flexible". At the bottom of the slide, there is a light blue box with the text "Click [here](#) to view an example of an Organized Shared Drive."

In the space listed below, note ways in which you organize folders, directories on your shared drive.



General Guidelines for Naming Documents and Files



Managing Electronic Records

General Guidelines for Naming Documents and Files

- Documents and files in an individual's personal workspace are usually named by the user, but the names should not be idiosyncratic
- Documents and files in shared drives need to adhere to standards developed, supported, and documented by the organization
- All documents need to be named such that they are accessible to all potential users, including future users

Listed below are some of the guidelines which are used for naming documents and files:

- Names need to be unique
- Names should be brief but descriptive
- Use only letters and numbers – no characters
- Use an underscore (_) to separate words
- Use dates to denote versions (rather than numbering them)
- Use a controlled vocabulary for terms
- Different types of documents and files need different structures for their names

Think about all those files you save daily. In the space given below, list the naming convention you follow in order to save these files. If you don't have a naming convention, think about one that may work, and review with someone else in your office to get some feedback.



Records Disposition

This is the final stage in the life-cycle of records.

- Done when records are no longer needed for current agency business
- Includes destruction or deletion of records and transfer to a storage facility such as a records center or an archives
- Done for electronic records and other media records as well as paper



Managing Electronic Records

Records Disposition

This is the final stage in the life cycle of records.



- Done when records are no longer needed for current agency business
- Includes destruction or deletion of records and transfer to a storage facility such as a records center or an archives
- Needs to be done for electronic records too!

1. Think about all the records you have and how they are to be disposed of.
2. Identify your current method of disposition, and if there are any thoughts you may have on making changes.

Appendix A: Agreement to Transfer Records to the National Archives of the United States

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES		1. INTERIM CONTROL NO. (NARA Use Only)
TERMS OF <p>The records described below and on the attached <u> X </u> pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.</p> <p>In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific</p>	AGREEMENT <p>restrictions on the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the <i>Guide to the National Archives of the United States</i>. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.</p>	
2A. AGENCY APPROVAL	3A. NARA APPROVAL	
2B. NAME, TITLE, MAILING ADDRESS Michael Grimes National Park Service Department of the Interior 1849 C Street, NW (2605) Washington, D.C. 20240-0001	3B. NAME, TITLE, MAILING ADDRESS Michael Carlson National Archives & Records Administration Director, Electronic & Special Media Records Services Division 8601 Adelphi Road, College Park, MD 20740-6001	

RECORDS INFORMATION

4A. RECORDS SERIES TITLE Natural Landmarks System.		
4B. DATE SPAN OF SERIES As of May, 2004 <i>(Attach any additional description)</i>		
5A. AGENCY OR ESTABLISHMENT Department of the Interior	9. PHYSICAL FORMS <input checked="" type="checkbox"/> Paper Documents ___ Posters ___ Paper Publications ___ Maps and Charts ___ Microfilm/Microfiche ___ Arch/Eng Drawings <input checked="" type="checkbox"/> Electronic Records ___ Motion/Sound/Video ___ Photographs ___ Other <i>(specify)</i> : _____	
5B. AGENCY MAJOR SUBDIVISION National Park Service		
5C. AGENCY MINOR SUBDIVISION		
5D. UNIT THAT CREATED RECORDS	10. VOLUME: CONTAINERS: Cu. Mtr.: Cu.Ft.: Number: Type:	
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: Bill Commins Telephone Number: 202-513-7166	1. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES ASAP	
6. DISPOSITION AUTHORITY: N1-79-96-1	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? ___ YES <input checked="" type="checkbox"/> NO <i>(If no, attach limits on use and justification)</i> Freedom of Information Act (b)(6)	
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input checked="" type="checkbox"/> NO ___ YES LEVEL: ___ Confidential ___ Secret ___ Top Secret SPECIAL MARKINGS: ___ RD/FRD ___ SCI ___ NATO ___ Other INFORMATION STATUS: ___ Segregated ___ Declassified	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? <i>(If yes, cite Agency System Number and Federal</i> <input checked="" type="checkbox"/> YES ___ NO <i>Register volume and page number of most recent</i> <i>notice and attach a copy of this notice.)</i>	
8. CURRENT LOCATION OF RECORDS ___ Agency (Complete 8A only) ___ Federal Records Center (Complete 8B only)	14. ATTACHMENTS ___ Agency Manual Except ___ Listing of Records Transferred ___ Additional Description ___ <input checked="" type="checkbox"/> NA Form 14097 or Equivalent ___ Privacy Act Notice ___ Microform Inspection Report ___ Other <i>(specify)</i> : ___ SF(s) 135 _____	
8A. <u>ADDRESS</u> :		
8B. FRC ACCESSION NUMBER	CONTAINER NUMBERS	FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION