RECOMMENDED
RECORDS MANAGEMENT PROCESS FOR CPIC REVIEWS

Roles:

<u>Program Organization</u>

- Shall establish an internal process to include the Program Records Official (PRO) and the Records Liaison Officer (RLO) (for HQ) and/or Records Management Field Officer (RMFO) (for Field Sites) in systems development and Exhibit 300 preparation/approval.

    o The RLO/RMFO shall:
    - Identify records implications for proposed system(s) using the Records Management Checklist for CPIC Proposals to ensure all records issues are addressed.
        o If the system is identified as an Electronic Records Management System (ERMS), conduct an in-depth review to:
            - Ensure all requirements of the DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications" are met;
            - Ensure compatibility with other "corporate" system(s) for potential records migration;
            - Ensure adequacy of records disposition schedules to meet needs of the system;
        o If system is not identified as an ERMS, conduct a review to determine whether:
            - Records are created and maintained by the system;
            - The information is available elsewhere.
                - If information is not available elsewhere, the system must add records functionality, migrate records to an approved ERMS, or print records and maintain them in hardcopy.
        - Complete and sign the Checklist and forward it and a copy of the draft Exhibit 300 (if available) to the PRO for approval.

    o The PRO shall:
    - Review the Checklist to ensure the proposed system has addressed all relevant aspects of Records Management.
        o Before signing the Checklist, the PRO will also do a cursory review of the draft Exhibit 300 (if available) to ensure Records Management is addressed.
            - If information is missing, the Checklist shall be returned to the RLO/RMFO for further action.
        o When the Checklist is complete, the PRO shall sign and forward a copy to (1) the organization's system point of contact/originator of the Exhibit 300; and (2) the Office of the CIO, Attn: Records Management Division (IM-11).

<u>OCIO</u>

o A Records Management representative shall be identified to participate on the OCIO's "Exhibit 300" Review Team.

o The Records Management representative shall receive copies of all Exhibit 300 forms. The CIO Records Management point of contact shall:
  - Review the Checklist and the Exhibit 300 (or draft) to ensure records, if created by the system, have been addressed properly.
    o Ensure the PRO has approved the Checklist.
    o Ensure that records will be created, maintained and dispositioned in accordance with schedules and regulations.
    o If questions remain or additional work is required, the Checklist shall be returned to the PRO for further action, and a copy with comments provided to IM-20.
  - If paperwork is complete, the CIO Records Management representative shall sign the Checklist and forward it, and any comments regarding the system or proposed changes, to the PRO and CPIC reviewing officials in IM-20 for action.
    o Records representative shall maintain a copy of the Checklist (w/approvals), the Exhibit 300 (or draft) and any comments provided regarding the system.

o Reviewing officials in IM-20 shall work with the Exhibit 300 originator and IM-11 to incorporate Records Management requirements, as appropriate.
  - Questions or concerns shall be addressed to the Records Management point of contact or the Departmental Records Officer.

<u>Actions required to implement</u>:

<u>Program Office</u>:
  1. Internal Process: The RLO/RMFO must become involved in system development/approval.
  2. Training: The RLO/RMFO may need training on the management of e-records.
  3. Use of Checklist: The PRO/RLO/RMFO must become familiar with the Checklist.
  4. Responsibility: The PRO must take responsibility for the Records Management aspects of his/her organization's e-systems.

<u>CIO</u>:
  1. Coordinate Records Management process/checklist for CPIC Proposals with IM-20.
  2. Ensure Records Management officials are familiar with the process and checklist by
     a) announcing the requirements by memorandum to the PROs;
     b) posting process/checklist on the website
     c) briefing IT Council.