



# Great Lakes Wave



Photo by Anthony Beard

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## E-Records Forum is Coming to Chicago!

By Joseph Suster

On Wednesday afternoon, September 20, NARA's Great Lakes Region will present its 2006 Electronic Records Forum at the Metcalfe Federal Building in downtown Chicago. This year's featured speaker will be Jason R. Baron, Director of Litigation for NARA. Baron, who was the Department of Justice's counsel of record for such important Federal electronic records litigation as *Armstrong v. Executive Office of the President* (the "PROFS e-mail case") and *Public Citizen v. Carlin* (the "General Records Schedule 20 case") will present "Out of the Desert, Into the Loop: Using the Sedona Confer-

ence's Best Practices Guidance on E-Records and E-Discovery On An Everyday Basis At Your Agency."

In addition to Mr. Baron's presentation, there will also be updates from local NARA records management staff on such subjects as NARA's retention guidance relating to transitory e-mail, its upcoming national initiative to assist customer agencies with scheduling their electronic records for formal retention, and NARA's ability to now "pre-accession," retain, and care for permanent electronic records, while such records remain in the legal cus-

tody of the originating agency. While the prime audience for this year's Forum is agency attorneys, IT specialists, and records managers, attendance is open to all who wish to register. As is also customary, the Electronic Records Forum is free.

For more details about the upcoming 2006 Electronic Records Forum, or if you wish to register for it (pre-registration is required), please contact Joseph Suster, Great Lakes Region Records Management Program Director, at 773-948-9040 or [Joseph.Suster@nara.gov](mailto:Joseph.Suster@nara.gov). Hope to see you there!

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Records management is about maintaining an audit trail in order to protect the best interests of your business. Record management programs strive to make sure that end users have all the information they need, when they need it, in the format they need, and at the lowest possible cost.

## Updates to General Records Schedule 10

By James Hurst

New additions to GRS 10 - Motor Vehicle and Aircraft Maintenance and Operation Records, will document the management, maintenance, and operation of aircraft used by Federal agencies, including Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for Federal agencies. Specifically excluded from this schedule will be previously approved similar records from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

Four of the aircraft items to be added to GRS 10 pertain to temporary series: routine aircraft operations, logistical support for flight operations, individual aircraft maintenance and airframe modification records, and records required for accident/incident reports.

Part of one GRS 10 series - general aircraft maintenance and modification records - will be permanent: recordkeeping copies of maintenance manuals for unique or customized aircraft.

It should be noted that some of these aircraft records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigations congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board will have to maintain these records in accordance with applicable items in General Records Schedule 10.

## IRS/NARA Team Reviews Criminal Investigation Case Files

By John Stewart

The IRS/NARA team reviewing the IRS records retention schedule for criminal investigation case files looked at records stored in the Federal Records Center in Chicago during July. The team, comprised of the IRS Records Officer, staff from the IRS Criminal Investigation Division, and NARA appraisal archivists, reviewed 100 cases from the inventory of criminal investigation cases files stored at the Chicago Federal Records Center.

The team is reviewing criminal investigation cases in multiple records center locations across the country to determine if any of the cases warrant permanent retention and to draft selection

criteria to guide agency decisions regarding the secondary values of the case files for agency purposes and potential historical research. The team has reviewed cases at records centers in Boston, San Bruno, Ft. Worth, and Chicago.

It also is reviewing the relationship between the investigation case files and other records generated by the IRS or other agencies of the Federal government. The essential information developed during the investigation may frequently be duplicated in subsequent litigative or administrative actions.

The team intends to conclude its review this summer and report recommendations for action that may end the current freeze on the disposition of the criminal investigation cases closed more than 10 years ago.

## NARA - Help When You Need It

By Galen R. Wilson

In focusing on the present, NARA has emphasized the "records life-cycle." Records management works best if it begins the split-second records are created. Planning for records management is especially crucial when designing electronic systems. NARA dubbed the idea "front-end records management." As a theory, the concept was impeccable.

To turn that theory into reality, NARA undertook a creative initiative: "Targeted Assistance" (TA). It hired some 40 Senior Records Analysts with high-level experience in records management programs to help Federal agencies with their records management challenges.

A TA partnership begins with a request from an agency office. Together NARA and the agency develop a project with a well defined purpose, tangible products, distinct milestones, and a time frame for completion. NARA provides TA time and expertise. Partner agencies provide knowledgeable staff to work alongside NARA. Agencies are asked to fund travel costs when necessary. Each proposal is evaluated by NARA to determine if the project addresses a critical need. Projects designed to protect historically valuable records at risk of loss and/or documenting citizen rights and government accountability are given first priority.

NASA was among the first to recognize TA's potential and take advantage of its opportunities. NASA Centers in Florida, Texas, Ohio, and California have multi-year agreements with regional

TA staff. Project highlights include records management workshops, training in vital records, advice to International Space Station staff on retention periods for imagery and still photography, appraisal of records from 1960s programs working toward the first moon landing, an inventory of several thousand historic 16-mm film reels, and a records self-assessment plan by which NASA offices can review their own processes. One Center has undertaken the mammoth project of a facility-wide records inventory. A NARA team including five Senior Records Analysts worked with the NASA Records Officer and members of her staff to write an innovative and flexible new schedule for records amassed by any NASA program or project.

Senior Records Analysts from six NARA regions participated with the United States Forest Service (USFS) in a two-year effort culminating in a new schedule for fire management records. This project ensures that records documenting Federal policy and action in wildfire management will be preserved permanently.

Can you put TA to work? Check out <http://www.archives.gov/records-mgmt/initiatives/targeted-assistance.html>, or call a Senior Records Analyst: John Stewart in Chicago (773-948-9024) or Galen Wilson in Dayton (937-425-0613).



### Got Records?

NARA's Federal Records Centers can help you with your records storage needs. We provide low-cost storage and ready access to your records when you choose to store them at a regional FRC.

To get more information on the services we offer, please visit our website at [www.archives.gov/frc/](http://www.archives.gov/frc/) or contact:

Pam Wegner in Chicago at 773-948-9007 or

[Pamela.Wegner@nara.gov](mailto:Pamela.Wegner@nara.gov) for agencies in IL, MN, or WI or

David Cornelisse in Dayton at 937-425-0667 or

[David.Cornelisse@nara.gov](mailto:David.Cornelisse@nara.gov) for agencies in IN, MI, or OH

## New GRS Schedule - Chief Financial Officer Records

By **Anthony Beard**

NARA is releasing a new General Records Schedule (GRS). This schedule provides disposal authorization for certain records created and maintained by Federal Chief Financial Officers and their program offices. This schedule applies to the records of CFOs at agency or departmental headquarters as well as those of deputy and subordinate CFOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for financial management and oversight.

This schedule does not cover all CFO records. CFOs and their subordinate officers are often responsible for budget, procurement, and accounting activities whose records are already covered by GRS 5 (Budget Preparation, Presentation, and Apportionment Records), 6 (Accountable Officers' Accounts Records) and 7 (Expenditure Accounting Records). Records not described by a NARA-approved schedule must be scheduled by submitting SF-115, Request for Records Disposition Authority. Here are some of the record series scheduled:

1. **Financial Management Records**
2. **Performance and Accountability Reports**
3. **External Audit Records**
4. **CFO Committee Records**
5. **CFO Subject Records**
6. **Schedules of Daily Activities System Copies**
7. **Electronic Mail and Word Processing System Copies**

## Archivist visits the Great Lakes Region - Dayton Federal Records Center

By **David Cornelisse**

Keeping his promise to visit all the regional NARA facilities, Allen Weinstein, Archivist of the United States, stopped by the Dayton Records Center on July 19, 2006, to tour the facilities and meet the staff. His visit coincided with a Knowledge Area 4 workshop being held in Building 3 and the attendees were pleasantly surprised to meet him.



Photo by Alvaro Cruz

Allen Weinstein stopped in to address the Knowledge Area 4 Records Schedule Implementation workshop being held in Dayton's Building 3 Conference Room. Attendees from the Bureau of Public Debt (Parkersburg, WV) and the Department of Energy (Paducah, KY; Lexington, KY; Piketon, OH; and Cincinnati, OH) meet the Archivist as instructor James Hurst looks on.



Photo by Alvaro Cruz

Kathleen Wells and Sue Chaney also briefed the Archivist on Dayton's unique Reserve and National Guard payroll requests, verifying active duty attendance for credit towards military retirement. Dayton's holdings include all Army Reserve and National Guard pay from mid-1951 through 1985. Dave Cornelisse, Director; David Kuehl, Regional Administrator; Rena' Reed and Jason Gray, Team Supervisors; look on as Sue Chaney describes her contacts with Army service members who call Dayton for help proving their active service.



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## I Know I Saved It Here Somewhere!

By Marybelle Yeazel

Have you ever said that? Have you searched for documents you created and saved for later use? Well if you have, here's some good advice to help you avoid wasting valuable time looking for your documents. Implement an electronic file plan just like the one you use for your paper files.

Traditionally, when we think of a file plan, we think of something relating to paper records—how they are arranged, maintained, and filed. But files plans can actually address all of your office records, including word-processing documents, scanned images, e-mail, databases, web records, special media records, and entire electronic information systems.

Managing active records using a file plan is the best way to save time, money, and worry. Files plans are like road maps to your office files, whether paper or electronic.

When filing your electronic documents for later use, or safekeeping it's best to think of how you would file them if they were paper. If you set up file folders that are mirror images of your paper file plan, this makes electronic filing much easier.



start of each fiscal or calendar year.

You first would set up your file folders to mirror the way you would file if you were working exclusively with paper. You can put the e-file plan on a shared drive for all the office to file into just as they would for paper files.

The use of an electronic file plan will help ensure that adequate maintenance and disposition procedures are in place from the

There should be a responsible administrative person overseeing this e-file plan to ensure that at the end of each year (fiscal or calendar), the files are cut off just as paper files are cut off. New e-folders should be created at the beginning of each year to ensure proper disposition of the e-documents being filed.

Proper training should be provided to all employees so that they understand the importance of filing documents into the correct electronic folders just as they would if they were dealing with paper. One issue that needs to be discussed in such training that differs from paper filing is proper naming conventions and extensions for the e-documents. There should be a standard practice for naming the documents so that they can be found quickly when needed.