



INFO ACCESS



Records Network Communications

First Annual Records Conference

The Information Management and Services Division (IMSD) sponsored a highly successful records management conference in Denver, CO, on June 25-27, in conjunction with a meeting of the Information Resources Management (IRM) Branch Chiefs. This first Agencywide conference brought together nearly 150 persons, representing every Regional Office, Research Triangle Park, Cincinnati, and several other field and Headquarters offices to discuss records management issues in a common forum.

The agenda was anchored by a presentation by Alvin Pesachowitz, Director of the Office of Information Resources Management (OIRM), on the role of records management in IRM. The conference included reports on the application of technology to records management in the Agency, the current status and future course of records management, and legal issues that impact the management of records. Most encouraging were the reports of major progress being made in many of the Regions in addressing records management issues both inside and outside the Superfund program.

Limitations of space preclude the printing of a complete transcript of the conference in *INFOACCESS*. Additional sessions will be published in the October issue. If you would like further information on any of the sessions, contact Gloris Butler at FTS 245-3639, Mike Miller at FTS 382-5911, or Mary Hoffman at FTS 475-7762. *

Conference Overview and Opening Remarks

Excerpts from remarks by Alvin Pesachowitz, Director, Office of Information Resources Management

Jack McGraw, Deputy Regional Administrator, Region 8, delivered opening remarks to the attendees and welcomed them to Denver. He set the tone for the conference by noting that the challenge for the 1990s is to make sense of the information we have, and integrate technology such as micrographics and optical imaging in support of records management efforts. In conclusion, he told the group that with increasing requests from law firms and the public (Region 8 noted a 200% increase in FOIA requests in 1991), and well-documented enforcement cases that require effective records retrieval systems, the time for improved records management procedures is now. Following is a summary of Alvin Pesachowitz's keynote address.

As the Agency's work becomes much more complicated, and we deal with environmental problems across media lines, there is a push for data integration. This in turn puts more pressure on us all to facilitate access to Agency information. The number of attendees at this conference confirms that there is an Agencywide consensus about the importance of improving access to

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Technology capable of helping us
access paper records will be
particularly important over the next decade.

- Alvin Pesachowitz

A Records Management Program for the 90s,"
Proceedings of the Agencywide Records
Management Conference,
Denver, Colorado, June 25-27, 1991

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Synergy

The synergy between records management and technology is fairly self-evident. At the present time most records are in paper, but in the long run many will be in electronic form. A recent article in *USA Today* illustrated the importance of efficient access to information by noting that the average executive spends 45 minutes each day looking for information on his desk. Records managers and technical specialists must get together to find ways to store, retrieve, and archive information.

Linkages must be forged and strengthened between Headquarters and Regional offices, between records managers and program offices, and most importantly, between OIRM and records managers. In some places this partnership is already being explored. In Region 4 IRM staff are working with records managers to identify repeat FOIA questions and possibly put this information on disk for easier retrieval. It is hoped that having this conference in conjunction with a meeting of the IRM Branch Chiefs will enhance this dialogue.

RM managers and records managers share a central view of how to manage records. Both deal with the storage and retrieval of information, though currently they may come at the question from opposite ends of the organization. Paper and electronic

We're going to have to be responsive to the public and stay on the leading edge of technology to keep up with the volumes of paperwork that we as an Agency generate.

- Jack McGraw

media will come closer together in the coming years as issues such as floor load capacity and storage space prompt the implementation of enhanced records management procedures. It is generally thought that if there are better ways to retrieve data, more people will have confidence in established records storage institutions such as the Federal Records Centers.

Role of the Records Manager

The traditional role of the records manager includes issuing guidance on how to manage records, assisting offices in the use of good records management practices, and training staff in records management techniques such as filing. Most of us do not create information but use information to make decisions and take actions. New records management roles will incorporate more automated access to information, and involve records managers in the development of computerized systems.

What Can OIRM Do To Help?

The Office of Information Resources Management (OIRM) is here to help you. OIRM shares a mutual responsibility with the AAships and Regions. Through the National Records Management Program (NRMP), OIRM provides guidance on best practices and makes recommendations, but must rely on the Regions to implement good records management programs. This conference is one manifestation of OIRM's role in supporting Regional records managers, bringing them together to discuss common issues and the share ideas.

The NRMP effected significant accomplishments during the last year, including:

- A records management contract.
- Development of optical imaging procedures.
- Establishment of a micrographics contract.

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INFOACCESS

INFOACCESS, a forum to provide information and report on progress in information management across the Agency, is produced by the Information Access Branch of the Information Management and Services Division, Washington, DC. Staff: Mary Hoffman, LABAT-ANDERSON Incorporated

Please send your comments and suggestions to: Mary Hoffman, Network Coordinator, EPA Headquarters Library, PM211B, 401 M Street, SW, Washington, DC 20460 FTS 475-7762 /// EPA30360



Records Management Today and Tomorrow

Excerpts from remarks by Mike Miller, Manager,
National Records Management Program



This session is an overview of how the National Records Management Program (NRMP) wants to transform the way the Agency looks at records management. It will pose the following questions: Are we asking the right questions? Are we proposing the right approaches? and Do we need to incorporate new ideas? The number of attendees at this conference and the number of calls Mike Miller receives (about 40-50 per month) reflect the interest in records management in the Agency today. The NRMP staff does need feedback from Agency records managers, and encourages them to call, write or email their questions and comments.

NARA Evaluation

The team from the National Archives and Records Administration (NARA) visited about 60 Headquarters offices, and every Regional Office except Region 9. They focused on Superfund, electronic, and contractor records in particular. The NARA evaluators asked the following questions:

- ▲ Has the Agency developed the guidance necessary to do records management?
- ▲ Has it effectively communicated the guidance to the staff for implementation?
- ▲ Has it implemented the guidance?

A rough draft report has been developed with four basic findings and 36 recommendations for the Agency. The evaluation report is fairly critical of EPA's management of records, but it is important to note, that progress has been made since the evaluation was completed. The recommendations range from the specific, such as the need for specific instructions on case-file content by program, to the broad, such as conduct a Region- or Program-wide inventory. NARA also

questioned the Agency's reliance on contractor support.

Once the Agency officially receives the report, probably in October, it must determine who will take initiative on the recommendations. Various groups will have to take the lead on developing responses to the recommendations, including Agency managers, NRMP, and Regional programs; in some cases a joint response will be needed. Regions may wish to set up records management councils to look at existing practices and make decisions based on NARA's recommendations and the Agency's needs.

The Agency will distribute the draft report to the programs for factual content verification, and then return it to NARA. NARA will deliver the final report to the Assistant Administrator of the Office of Administration and Resources Management. The Agency will then have 60 days to develop an

action plan in response to NARA recommendations. Copies of the report will be sent to the Regions for their input. An Agencywide response will be developed, and then implemented.

The results of the NARA evaluation demonstrate that the Agency is in the first phase of establishing a records management program: getting organized. It is issuing guidance and opening up lines of communication between its programs and records officers. The next phase, implementing the guidance at the program level, will be more difficult than the first phase.

Where Do We Go From Here?

First we need to define the role of those doing records management. We need to develop a cadre of people who can coordinate, plan, draft

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- Draft guidance on program management.
- New records disposition schedules.
- Improved communications including sponsoring this conference and developing a monthly bulletin.

OIRM Initiatives

OIRM would also like to share information about two new records management initiatives. In the first initiative, OIRM awarded funding for six Superfund-related projects. In Regions 1 and 9 the funds will support projects to develop options for Federal facility files. Region 4's project involves the handling of Confidential Business Information (CBI). The Region 7 staff are developing databases to automate records disposition schedules, and improve procedures for retiring records

to the Federal Records Center. There are two Headquarters projects, one to develop records definition guidance and Regional Superfund records schedules, and another to support the development of Headquarters Superfund records schedules.

In a second OIRM initiative, a draft of the Regional records management procedure guidance is ready for distribution to IRM chiefs. Although the guidance provides a blueprint for establishing and operating a Regional records management program, it can be used by other program managers as well.

In conclusion, attendees were encouraged to take advantage of the opportunity to learn as much as possible from the sessions, to network with colleagues, and to enjoy the city of Denver. ★

RM Today from page 3

guidance, and provide training. We also need people who will serve as intermediaries for users and help form a consensus about how records management should be done throughout the Agency, evaluate adequate and proper documentation, investigate what we need to know and what we need to report on as an Agency, and participate in the development of information systems. These records managers must possess and/or develop technical backgrounds, management skills, and communications skills. They will need to be linked to one another by means of periodic conferences, newsletters, and electronic mail.

At the present time we are in a "technology transfer cycle" in which we share information and export it from one program to another. We are planning to effect a human resources transformation in which we will develop an improved human resources structure to deal with the management of records.

In addition we need to transform the way we look at records management. We are supporting the development of Regional Records Centers (five Regions currently have or are implementing Regional Records Centers) that can provide services and assistance throughout the records life cycle, including circulation, disposition, and reference help. In addition we are developing a *Regional Records Procedures Manual*.

We need to develop a records retention program to determine how long we should keep records. Currently we ask programs how long they want to keep records, but in the future we will work from the top down, asking what we need to know about the Agency, and what the Agency needs to maintain to administer itself and fulfill its mission. A part of the documentation strategy will be to put records dispositions schedules into

A Tip of the Hat

Thanks to Jack McGraw, Ginny Burns, Jackie Rivera, Sandy York, and all the staff at Region 8 for their gracious hospitality during the Records Management Conference. They helped make the conference a memorable event.

Congratulations to the Region 9 staff for their successful professional activities. Both Diane White, Director of the Superfund Records Center, and Marilyn Ryall, Regional Records Officer, are active in the local Association of Records Managers and Administrators (ARMA) chapter. They arranged a tour of the Superfund Records Center for the Government Industry Action Committee (IAC). About a dozen members visited the Center on May 22nd. Their tour focused on the use of barcoding and document level indexing: Marilyn is finishing a term as the director of the local chapter's government IAC. Starting this summer she will serve on the ARMA Board of the Golden Gate chapter as the Director of Legislation and Regulatory Affairs.

Mike Miller is appreciative of the hospitality he received from Lynn Calvin and the Region 5 staff during a recent visit to Chicago. He was impressed with the new Region 5 facility, a building which was designed with records management needs in mind. ☼

automated form, and eventually make them available through local area networks.

Next we need to transform records from isolated "information islands" to an integrated web of information resources that the entire Agency can use. We need to effect cross-media integration of records. Several of the Regions are working on Regional file plans that will make this possible.

Last we need to move from "after-the-fact" records management to "front-end" management of electronic records. Records managers should participate in planning for information systems and micrographics, assessing how information will be stored and used.

The Near Term

During the next few years, we will focus on development of an Agencywide records management program. The Regions are ahead of Headquarters in developing their pro-

grams, and Superfund is ahead of everyone at the present time in terms of staffing and facilities. We must elaborate the records center concept, and develop additional management support for records management in the individual programs. The following is an list of some of our specific objectives:

- ✓ Conduct user surveys to see what the programs need.
- ✓ Conduct an inventory of our records to find out what exists.
- ✓ Revise and automate the records schedules.
- ✓ Develop recordkeeping requirements.
- ✓ Participate in systems planning as required in the *Code of Federal Regulations* and in *OMB Circular A-130: Management of Federal Information Resources*. ☼

Here's What You Thought About the Conference



The first Agencywide Records Management Conference was attended by almost 150 individuals interested in records management, and their enthusiasm was reflected in the evaluation forms collected by Headquarters staff. Evaluation forms were submitted by over half of the attendees, and based on the rating system listed at the top of the form, they rated the conference as a whole as excellent. This was especially gratifying to those who spent months planning the conference, since the overwhelming response to the conference complicated preparations as the conference date got closer.

What part of the conference was most informative?

There seemed to be a broad range of opinion about the most informative session. The panels that discussed *Using Technology to Manage Records* and *Legal Issues, Contracts and Microfilm* were mentioned most often. Others noted the role of records management in IRM, the Regional reports, the coverage of the SDMS and SCRIPS projects, visiting the Regional Office, the group discussions, the session on effective presentations, and networking with peers as most informative. One of the most encouraging sessions for the NRMP staff was the one that included reports of progress in the Regions.

What could we do better the next time?

Although we all like to be told that we're great, the comments noted on this part of the form will help us plan for a better conference next year. There was a great deal of overlap in the comments on the second and third questions on the evaluation form. The questions asked "what could have been better this time" and "what could be improved for future meetings". As a group, you had four major recommendations for the conference planners. First, several of you commented that you would have liked more time for discussion and question-and-answer sessions, and that you would like to have more opportunity to participate. Second, there was a lot of room for improvement in the delivery of the information, including the use of better audiovisual materials, handouts for all sessions, etc. The third recommendation concerned facilities and other local arrangements. You would have liked a larger room with better seating arrangements. The fourth suggestion related to the conference sessions and structure of the conference as a whole. You asked for more information targeted to specific program areas (e.g. RCRA) and suggested topics of interest for future sessions. All of these issues will be addressed.

The NRMP staff and others who worked on the conference were pleased with the enthusiastic response of the attendees. They never imagined that so many individuals would attend the conference, and would like to thank all of those who made suggestions about the conference. The staff compiled a list of the comments and analyzed them for this article. The suggestions and analysis will be shared with those planning next year's conference. ✻

Mike Miller's series, "A Records Program for the 90s" will return in the October issue. The topic of the article will be Infrastructure: the human, financial, and physical resources necessary to maintain an effective records program.

Conference Followup....

FAX and the FRC

One topic that was left unresolved at the Denver meeting was whether the Federal Records Centers (FRCs) would accept forms such as OF-11s or SF-135s via facsimile transmission (FAX). Followup conversations with the FRC's Field Operations Division in Washington confirmed that the decision to accept FAX copies, or under what circumstances to accept them, is left to the individual FRC director. Field Operations Division staff confirmed that some FRCs (including the Washington National Records Center) do accept Fax copies, although the FAX has to be followed up with an original. Unfortunately, because there is no national FRC policy on FAX, Regions will have to contact their local FRC about its policy. ✻

Implementing a Records Management Program

Panel Moderator: Jack Sweeney, IRM Chief, Region 4

The Agency needs to build a good foundation for a records management program before it attempts to use new technologies. It has not come to grips with the issue of electronic records, although some of the Regions have started to think about policy and guidance. Very often non-records issues such as an impending move or floor loading tend to result in a focus on records management. The following excerpted remarks illustrate the current status of four Regional records management programs, and their plans for the future.

Region 1

Excerpts from remarks by Mike MacDougall, Chief, Information Management Branch

Records management efforts in Region 1 were prompted by an impending move to new Regional Headquarters at Congress Street. They used the Superfund/RCRA record center success to launch an analysis of records center options for Air, Water, Policy and Management Divisions, the Regional Administrator's Office and Office of Regional Counsel. LABAT-ANDERSON Incorporated (LAI) is the supporting contractor for all library/record center activity. American Management Systems (AMS), conducted a range of studies to review needs and identify alternatives.

Initially Region 1 faced a collection of duplicate records that was expanding, increasing demand for better access to records for FOIA and enforcement uses, and inadequate resources directed toward records management. In the next phase we constructed a set of wants, conducted a reality check with Regional senior staff, refined staff focus on what was really needed, and then proceeded to sell the resource providers and record center customers on our plans. With AMS assistance, we produced a proposal for the new site.

AMS proposed the implementation of standard Region-wide record policies and the creation of centrally-managed divisional level record centers. It included suggestions for record center staffing, services equipment, and procedures, and identified the following key record management requirements: reduction of EPA professional staff time for

work associated with records management increased security for sensitive records, a minimum of record duplication, and assurance that FOIA responsibilities would be met in a streamlined manner.

The Region drafted the *Congress Street Records Management Strategy Plan*, whose key components were space, staff, equipment, and policy standards to sustain and improve technology infusion opportunities and a three-phase record center evolution.

In summary, the strengths of the approach taken included a structured records center plan to set the course, a ready organizational buy-in, a strategy built on standards used elsewhere in the Region, and a staff able to customize record centers to special customer needs. The Region 1 staff learned that the impending move could support the records management effort, and that senior staff support was critical in getting funding. Finding stakeholders to serve as program champions of the records centers' activities was vital to the success of the effort. *

Region 3

Excerpts from remarks by John Krakowiak, Chief, Administrative Management Branch

Records management has come to the forefront in the Agency and in the Region. In 1988 Region 3 authorized a full time records management position in the Information Resources Management (IRM) Branch, and in 1990 that function moved into the Administration Management Branch. The Region faced a problem with space and wanted close coordination

between the records management staff and the staff dealing with the management of space. This move significantly expanded the number of Regional staff dealing with records management.

The Administrative Management Branch's client service representatives assigned to provide information to Regional staff, work in cooperation with records management staff. The Region has also established a cadre of 20 file custodians in four locations, as liaisons with the records management program. The custodians participate in quarterly meetings with the records managers to discuss their needs and to exchange ideas.

Many people have asked how the Region achieved such a good NARA evaluation. The key word was perseverance. The file custodians have raised the awareness a great deal, and it helped that the Regional Administrator and Division Directors recognized the need for better records management. The Region has cleanup days about once a year throughout the different divisions. It is a great team-building approach, and it forces everyone to think about records management. The records staff strongly emphasizes file transfer; there has been an 80% increase over the last 2 years in the amount of records disposed.

Another way to raise awareness is publicity. The Region promotes records using several methods, including a video information system that is seen throughout the Region, a Region 3 newsletter, scheduling records management on the agenda for division retreats, and encouraging records staff to attend branch or divisional staff meetings.

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Another thing that has helped tremendously is program record centers. There are four program records centers, one for the Water Division, two for Hazardous Waste, one for the RCRA program, and a brand new center for the Superfund program. The records centers are staffed by file clerks from a variety of sources, including the Senior Environmental Employee (SEE) program, contractors, a junior fellowship program and a student aide program.

The other thing that everyone has been talking about is obtaining top management interest and support. Region 3's approach is piggybacking records management on three high priority programs: strategic planning, pollution prevention/recycling, and total quality management (TQM).

In summary, we need to have a customer service approach to records management. We have to find ways to make it interesting. Listen to your client. Ask them what they want. By doing that and working together the Regions will have better records management programs. *

Region 7

Excerpts from remarks by
Richard Sumpter,
Acting Section Chief,
Program Analysis Section

Most of the problems faced in the Region are the same as in the other Regions. The Program Analysis Section has been asked to develop a comprehensive records management program that works as well as the Superfund records management program, an excellent program. Region 7, like Region 9, will effect an incremental development of a records management program. The Program Analysis staff will turn the program over to Carol Brakeall, Chief of the Information Branch, in February 1992. and they estimate that it could be operational by 1994.

The Region has been driven by a lack of space, as in other Regions. They have added 34,000 square feet of space in an adjacent building for staff, and plan to establish a central records facility in the space vacated by those staff. Another important concern in the Region is how to sell records management to the users, the programs. Since 1987 the Region has spent approximately \$2.2 million on records management, mostly in Superfund records management. The Regional Administrator has been very supportive of the Superfund records effort, and has been successful in collecting funds for that effort.

There has not been much implementation of existing file structures because they are labor intensive to implement, and those who have been given the file plans are too busy to use them. For that reason the information management staff needs to develop a good communications strategy. The Region 7 staff would like to see some analysis on how other Regional records programs are staffed, and what resources they have.

The Region also needs to figure out how to make records a priority. They need to develop a responsive information resources management approach in which the managers in the programs will be accountable when appointing staff to maintain files. The Agency needs a commitment from the entire staff to make records management work. The Agency staff want to do the right thing, but they need to be educated on the importance of records keeping. *

Region 9

Excerpts from remarks by
Irvonia Waters, Chief,
Information Resources
Management (IRM) Branch

My remarks will summarize Region 9's efforts to assemble the "building blocks" mentioned by Mike Miller. I will talk about the reorganization and

structure of the program, its short and long term goals, and our successes and lessons learned.

Records management in Region 9 is in the IRM Branch. For several years it was assigned to a technical information specialist in the library, and focused on simple records transfer. [As an aside, there is a fully operational Superfund record center, and my remarks relate only to the Region-wide program.] The Region recruited a records manager last year, started to think about the program structure, and developed some draft proposals. The Branch is currently investigating ways to further share responsibilities with program offices and divisions. The IRM Branch will encourage each division and office to designate a records management officer responsible for taking the lead in implementing a records program in his/her office, and a records liaison to work with the taskforce and the Regional records management officer.

The Region has planned an incremental implementation of its records management program. The first phase will be the establishment of a "bread and butter" program - a program that covers the basics. The second phase will focus on educating the staff and increasing awareness of and support for the records management program. Phase three of the incremental plan is implementation of a comprehensive program that fully integrates electronic and paper records. As part of this program we hope to develop a vital records plan and disaster recovery plan, and initiate a historical records and archives program.

We have achieved some success in records during the past year, and on our way to this success we learned that limited resources can be a barrier to goals. As a result we were forced to take an incremental approach that was frustrating for the IRM staff and for the clients. We are looking forward to telling you more about our progress at the next records management conference. *

Records Management Program Reports

▲ Region 1, Barbara Callahan

Region 1 established Superfund- and RCRA-based records centers, and during the summer of 1991 added four divisional records centers as part of a comprehensive regional records management program. The six centers are benefitting from shared resources, experience and innovations. The records staff meets monthly to identify locations of related records such as enforcement- and Superfund-related records so they can be incorporated in one place. They are charting records life cycles, standardizing operating procedures for the records centers, creating a new file system for Regional Counsel and centralizing Superfund Cost Recovery documentation. Margo Palmer, the new Region 1 Records Officer, will focus on evaluating new technology such as local area networks, CD-ROM, imaging and indexing systems.

▲ Region 4, Rebecca Kemp and Tom Love

Region 4's records management program has been very active during the last three years, prompted by the need to reduce the weight load on the floors. Regional achievements include the establishment of a centralized records room, installation of compact shelving, adoption of a coordinated records management plan, regularly scheduled Regional training classes at the Regional Training Institute, development and dissemination of procedures for records center use, review of program records in all the divisions, improved records disposition within the Region, development of new file structures in six program areas, and consensus on an overall concept of Regional records.

The Superfund Records Center has developed strict procedures for the administrative record (AR) compilation, which is compiled on a continuous basis using milestones from the workplan, and updated quarterly. The staff is working on a Regional Records Management plan to retire Superfund records to the FRC. Disposition of pre-ROD documents for 55 sites has been approved, and 20 sites are targeted for completion by FY 92. They are planning to develop AR training for Region 4 staff.

▲ Region 4 - RTP, Stacy Blackman

Research Triangle Park (RTP) has had a records management program for several years with centralized storage for more than 2500 boxes and a computerized index. They have established a monthly disposal process in which they destroy records or send them to the Region 4 FRC. One of the challenges at RTP has been the need to educate the EPA staff about the importance of records management.

▲ Region 5, Lynn Calvin

The Regional records staff is in the process of developing a model Regional file plan and office-specific file plan, but implementation is a long-term goal. A Regional inventory has been completed. They are developing better access to the schedules through an internal INMAGIC tool, and conducting records disposition training for Regional staff. A Regional Records Management Workgroup has been meeting for about a year. Beginning in October the Region will be moving 1500 people plus files. The new building will contain open shelving and about 1000 new lateral file cabinets for work area storage. The records staff are designing and planning 14 records centers in the new building. Move-related clean-ups have resulted in about a 7% reduction in records to date, but some programs are at 99% capacity of their planned shelving, so more disposal is needed. The Region will pursue an aggressive retirement program until the move is completed.

Only through the careful use of
information technology
can we efficiently keep our ground,
integrate our program information,
and disseminate the knowledge
gained about our records.

- Barbara Callahan

▲ Region 6, Nancy Yarberry

The Region has two new floors and three new file rooms, and the volume of records is growing; Superfund is having an impact on every division. Nancy provides individual training and assistance for Regional staff as needed. The Region sends approximately 40-60 linear feet to the FRC every month. By the end of next year every division in the Region should have an automated file and barcode system (in dBase). Every file folder has a barcode, and all EPA staff have a barcode on their ID cards for tracking the location of files. The Region has discussed converting the current system to the LAN but would need a separate LAN system for records because of the size of the records tracking system.

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▲ Region 7, Kathy Montalte and Jennifer Anderson

Region 7 has Superfund and RCRA Records Centers, and is in the process of setting up a central records center which will probably open in January or February 1992. Initial planning was done by Dick Sumpter, of the Policy and Integration Branch, and Carol Brakeall, the Information Services Chief, will be visiting several Regional Records Centers for ideas. They are looking forward to sharing their accomplishments and news about the new records center at next year's meeting.

Region 7 has centralized all records of the Waste Management Branch in one room. The staff is developing a dBase program to track administrative records and technical reference documents. They have an IAG in place to do all the conversion and micrographics. With contractor assistance, they are preparing administrative record compilations. Contractor staff also operate the Superfund Records Center, which houses more than 90% of the program site files documents.

▲ Region 8, Jackie Rivera

In the last eight months, the Region has developed a step-by-step instruction on archiving and retrieving material, and conducted basic training on a divisional level. A network of Regional staff who are knowledgeable about the management of records is being developed. They hope to set up a Quality Assurance team to address issues such as central filing and the implementation of new technology on a division and branch level.

▲ Region 9, Marilyn Ryall and Holly Hadlock

Last year Region 9 recruited a records manager to plan, develop and disseminate guidance, and form a records management taskforce. The records staff is about to reissue the records control schedule, and a records management manual. The Region moved into a new building in October 1990, and has a fully operational Superfund Records Center run by 12 full-time librarians and 6 technicians. Site file indexing is a primary activity. Document-level indexing, is done using ImageTracks software. The database can track FOIA status, Confidential Business Information and circulation of files. Site accomplishments include the development of a Regional statement of work for microfilming, outreach to the Project Managers and On-Scene Coordinators, development of a reference manual on Records Center services and resources, and training for Superfund project managers. New Regional projects include the development of a system to file cost recovery packages, the collection of contract documents, and assisting non-EPA government staff with the use of Superfund documents.

▲ Region 10, Lynn Williams

Region 10 does not really have a Regional records management program, but it is currently developing a proposal to fund a Regional Records Manager position. There are records centers operating in Superfund and the Waste Management Branch which includes RCRA. Barcoding is used for circulation and inventory control to the folder level. The Region moved to new space, consolidated all records from the Hazardous Waste Division in one center, developed a database to track guidance from Headquarters the Region, and started microfilming. They hope to maintain site files on microfilm in-house.

▲ Headquarters, RCRA Docket, Kathy Bruniske

The RCRA Docket has space problems for a long time, and have implemented many short term solutions, but none of them have lasted. They are currently in the middle of a microfilming project. The docket has a database system on Revelation with document level indexing and Boolean logic search capabilities.

▲ Headquarter, TSCA/CBI, Juanita Geer

OTS conducted "staff assist visits," and found that the TSCA's Document Control Officers (DCOs) need instruction in records management procedures and DCO functions. All TSCA Confidential Business Information (CBI) records have to be maintained by DCOs. OTS will offer a mandatory certification course, including records management training for all DCOs. Other TSCA projects include the OTS Image Processing System project, amendment of TSCA contracts with records management components to include a phrase "contractors must adhere to EPA records management directives," publication of a DCO network newsletter, and organization of mini-records management training for Information Management Division staff.

▲ Headquarters - OSWER, Lisa Jenkins

OSWER has defined the system requirements for the Superfund Document Management System (SDMS), and will be testing the hardware and software this summer, using high volume records processing. They plan to pilot the system in a Region and evaluate its use at a site, focusing on the application software. OSWER plans to develop a thesaurus for the system, and estimates it will take about 3-5 years until the system is up and running.

Other OSWER initiatives include development of a records disposition schedule program, issuance of draft guidance for non-EPA organizations, evaluation of CBI and other sensitive records, production of a video for records management awareness training, and consultation with EPA's Personnel Office to build career ladders and job series for records managers. ★

National Records Management Program
Electronic Mail Reference Lists
Summer 1991

MAJ.RECORDS - Principal Records Contacts in the Regions

Margo Palmer, Region 1	m.palmer
Carol Equo, Region 2	c.equo
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Rebecca Kemp, Region 4	kemp.rebecca
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Mary Hoffman, Network Coord.	m.hoffman

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Pam Bruno, Region 1	p.bruno
Harold Key, Region 4	h.key
Tom Love, Region 4	t.love
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Janet Pfundheller, Region 5	j.pfundheller
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Carole Macy, Region 8	c.macy
Tina Artemis, Region 8	a.vigil
Holly Hadlock, Region 9	h.hadlock
Lynn Williams, Region 10	l.williams

LAB.RECORDS - Records Managers in EPA Laboratories

Neil Lackie, ERL, RI	lackie.neil
Martha Daniel, AEERL, NC	m.daniel
Nell Carras, AREAL, NC	areal/rtp
Martha Brady, ERL, GA	r.neesmith
Connie Shoemaker, ERL, FL	c.shoemaker
Robert Lincoln, OAR, AL	r.lincoln
Diana Irwin, EMSL, OH	j.puthoff
Kimberly Johnson, ERL, IL	j.stagner
Debra Talsma, MVEL, MI	oms/ams
Anna Runyan, ERL, OK	erl/ada
Barbara Queen, EMSL, NV	b.queen
Pamela Taylor, ERL, OR	pamela.taylor
Pat Krantz, CRL, MD	p.krantz

Office of Information Resources Management
Information Management and Services Division

Records Management Tools

Publications such as mandatory regulations, policy and standards form the basis of a records management program. The titles listed on this page provide information that is critical to the efficient management of Agency records. If you are interested in obtaining copies of any of the titles listed, please contact Gloris Butler at the National Records Management Program Office at FTS 245-3639. NARA publications can also be ordered directly from the Records Administration Information Center at FTS 501-6025.

Essential Tools

The following is a list of basic records management tools that every records manager should have in his or her office.

- _____ ***Information Resources Management Policy Manual (2100)***, U.S. Environmental Protection Agency, Office of Information Resources Management, November 1987.
- _____ ***Records Management Manual (2160)***, U.S. Environmental Protection Agency, Office of Information Resources Management, 1984. Updates were produced in 1986 and 1988.
- _____ ***Records Disposition Schedules***, U.S. Environmental Protection Agency, Office of Information Resources Management.
- _____ ***Index to Records Disposition Schedules***, U.S. Environmental Protection Agency, Office of Information Resources Management, 1991.
- _____ ***General Records Schedules, National Archives and Records Administration, 1988. Two updates have been issued.***
- _____ ***Records Management Handbook: Disposition of Federal Records***, U.S. General Services Administration and National Archives and Records Service, Office of Federal Records Centers, 1981.
- _____ ***OMB Circular A-130: Management of Federal Information Resources***, Executive Office of the President, Office of Management and Budget, 1985. This circular establishes policy for the management of Federal information resources. Procedural and analytic guidelines for implementing specific aspects of the policies are included as appendices.

_____ **Records Management Regulations: Final Rule**, 36 CFR Part 1220.
Including **Micrographics: 36 CFR Part 1230**. National Archives and
Records Administration, July 2, 1990.

_____ **Electronic Records Management: Final Rule**, 36 CFR Part 1234.
National Archives and Records Administration, May 8, 1990.

_____ **Vital Records During an Emergency**, 36 CFR Part 1236, National
Archives and Records Administration, July 1, 1988.

_____ **Guidance for Developing Information Processing Systems**, U.S.
Environmental Protection Agency, Office of Information Resources
Management, April 1991.

_____ **Safeguarding and Disposition of Official Records**, EPA Notice 88-1.
U.S. Environmental Protection Agency, September 12, 1988.

_____ **For the Record: Guidelines for Official Records and Personal Papers**.
National Archives and Records Administration, Office of Records
Administration, 1988.

_____ **Freedom of Information Act**, U.S. Code 1975 Title 5 Section 552.

_____ **Instructional Guide Series: Managing Electronic Records**, National
Archives and Records Administration, Office of Records
Administration, 1990.

_____ **Instructional Guide Series: Managing Cartographic and Architectural
Records**, National Archives and Records Administration, Office of
Records Administration, 1990.

_____ **Instructional Guide Series: Managing Audiovisual Records**.
National Archives and Records Administration, Office of Records
Administration, 1990.

_____ **Use of Optical Disk Systems to Store Permanent Federal Records**.
NARA Bulletin 88-8. National Archives and Records Administration,
September 19, 1988.

NARA also offers other products including newsletters, posters, and training information.
For more information contact the Records Administration Information Center at FTS 501-
6025 or your Regional NARA office.

Information Management and Services Division
U.S. Environmental Protection Agency
401 M Street, SW PM 211D
Washington, DC 20460

Useful Tools

The following titles are recommended as additional sources of information for records management staff.

_____ ***Evaluating Files Maintenance and Records Disposition Programs***, National Archives and Records Administration, Office of Records Management, 1988.

_____ ***Evaluating a Vital Records Program: A NARA Self-Inspection Guide for Federal Agencies***, National Archives and Records Administration, 1983.

_____ ***Case Filing***, National Archives and Records Administration, Office of Records Administration, 1983.*

_____ ***Disposition of Federal Records***, National Archives and Records Administration, Office of Records Administration, 1981.*

_____ ***File Stations***, National Archives and Records Administration, Office of Records Administration, 1980.*

_____ ***Files Equipment and Supplies***, National Archives and Records Administration, Office of Records Administration, 1981.*

_____ ***Files Operations***, National Archives and Records Administration, Office of Records Administration, 1981.*

_____ ***Subject Filing***, National Archives and Records Administration, Office of Records Administration, 1981.*

_____ ***Federal Archives and Records Centers***, National Archives and Records Administration, Office of Records Administration, 1979.

_____ ***Electronic Recordkeeping: Information Resources Management Handbook***, U.S. General Services Administration, 1989.**

_____ ***GAO Policy and Procedures Manual for Guidance of Federal Agencies- Records Management***, Transmittal Sheet No. 8-8, U.S. General Accounting Office, February 1991.***

* These materials are available through the Federal Supply Service Office in your Region.

** GSA materials can be ordered directly from the U.S. General Services Administration, Information Resources Management Service, Washington, DC 20405.

*** GAO materials can be ordered directly from the U.S. General Accounting Office, Publications and Communications Center, Distribution Section, Room 4026, 441 G Street NW, Washington, DC 20548.

Using Technology to Manage Records

Panel Moderator: Daiva Balkus, Director, IMSD

Image Processing Systems (IPS) Committee

Excerpts from remarks by Stephen Hufford, Chief, Information Management Branch, IMSD

Image processing is a new technology characterized by great promise, continuous change and decreasing prices. It offers tremendous possibilities to facilitate workflow in the area of information management, and can be an important tool for public access, but currently its potential is limited by a lack of standards and consistency, as there is with any new technology. The IPS committee is striving to achieve a balance and assist EPA staff in understanding the possibilities and constraints of image processing.

The purpose of the IPS Committee is to advise the Director of the Office of Information Resources Management (OIRM), Al Pesachowitz, and the Administration Systems Council on proposals for systems using image processing; promulgate policy and guidance; help Agency staff meet systems life cycle development requirements; review, approve and guide procurement and implementation of IPS within the Agency; and keep abreast of technical developments in the field.

The membership of the committee is broadly based, with representatives from OIRM, the National Data

Processing Division (RTP), several programs and several Regions. Its goal is to advance the Agency's goal for information management by implementing image processing systems in a responsible and productive manner. Its accomplishments to date include:

- ❖ An IPS policy directive that describes the way the Agency will approach image processing.
- ❖ Guidance for developing image processing systems.
- ❖ A brochure about IPS at EPA.
- ❖ Fostering of coordination and communication relating to IPS.
- ❖ Sharing of information about related projects.
- ❖ Coordinating shared equipment between programs where appropriate.
- ❖ Review and approval of several imaging projects.

In the future the committee plans to research and communicate standards, share information about Agency IPS development experiences, and guide the evolution of the existing Agency contract to meet changing Agency needs. *

CD-ROM - Air CHIEF

Excerpts from remarks by John Knight, Chief, RTP Library and Information Centers, and Mark Tolton, Unisys Manager, RTP Information Centers

EPA is investigating CD-ROM as another medium for the management of information. This medium is especially effective for the wide distribution of large amounts of stable data. An attractive feature of the technology is that it can be used with PCs and inexpensive CD players.

The Air CHIEF project evolved because NDPD was interested in developing a medium capable of handling a large amount of data. The alternatives ranged from an in-house CD-ROM system that would do everything from premastering to pressing the disks, to a much more limited system in which an outside vendor would produce the master disk and copies. Air CHIEF combines databases, document number AP-42, and a series of documents covering emissions. It is an amalgam of text and graphics that links several types of data together to create a value-added product.

The air toxics data was selected for the pilot, which was a cooperative effort between the National Data Processing Division (NDPD) and the Office of Air Quality Planning and

Standards (OAQPS). This database has a satisfactory amount of data and appropriate distribution of approximately 2000+ copies annually.

John Knight and Mark Tolton offered the following practical advice to anyone contemplating a similar project:

- ⇒ Spend an adequate amount of time on design.
- ⇒ Know your user - you may need several levels of help if the user group is varied.
- ⇒ Hire an expert if you don't have the expertise in-house.
- ⇒ Set enough money aside.

What does the future hold for CD-ROM technology? Cheaper and faster CD players (and internal drive players), standard indexing techniques allowing better vendor competition, better user interfaces, and software capable of integrating text and graphics more effectively, will combine to make CD-ROM an even more attractive distribution tool in the future. *

Continued on page 11

Electronic Forms and Signatures

Excerpts from remarks by Geoff Steele, Information Management Branch, IMSD

Today's forms environment is almost totally manual, and as a result it is labor intensive and expensive to manage. The costs associated with forms are staggering. Approximately 1-3% of the Agency's total budget is spent on forms.

There are about 712 Headquarters and Agency forms, 25% of which are multi-part, and 8% which are published in booklets with guidance on how to fill them out. Roughly 70 new forms are added to the inventory annually, and the Agency revises about 60 existing forms each year. The functional management of forms is spread across several offices, which use different management systems for tracking, ordering, and designing them.

Benefits of Automation

The Agency would like to develop a nationwide electronic forms capability. Automation would benefit the Agency by improving the speed and quality of forms design, reducing time for modification of the format, increasing the availability of forms for EPA staff, reducing storage costs, speeding up forms processing, and improving data integrity and security.

One forms automation effort in the Agency is being led by George Hesselbacher in the Administrative Systems Division. (ASD). ASD is testing Office Forms Facilitator (OFF), a pilot to automate five forms. Three of the forms are now available: the travel authorization, travel voucher, and Procurement Request forms. Several regions have installed OFF, and are supported by ASD. IMSD has started EFIP- the Electronic Forms Implementation Program.

What is the future for electronic forms? An electronic forms library will be established on the Agency mainframe, enabling EPA staff to download forms through the Agency's LAN/WAN networks. The forms software supports use of electronic authorization and electronic signatures. There is no current Agency policy for maintaining forms containing electronic signatures, but the Electronic Signatures Workgroup is working on a draft policy on electronic signatures which is expected by October or November. There is significant program participation on the workgroup, including OGC representation. Anyone interested in more information about electronic forms should contact Geoff Steele at FTS 382-5636. ☼

Records Management Automation Applications

Excerpts from remarks by Lynn Calvin, Region 5

The current status of records automation is fragmented, with many of the Regions and Headquarters Offices developing small dBase and INMAGIC applications. Despite a few exceptions, more applications are being developed with little or no information management branch input. The types of applications can be grouped in the following categories:

Physical control: This is a basic records management application that indicates or tracks the location of documents/folders/boxes.

Document level indexing: This type of application involves more complex groups of data with varied attributes. Most of these systems are used at specific sites or for subsets of information, and are mostly microcomputer-based.

Image based microfilm: This application connects computer images with data stored in microform format.

Full-text: 40% of EPA's full-text information is created in-house, and another 20-30% is created under the Agency's control, so this type of application has tremendous possibilities for the future.

Whatever the type of application, automation provides certain advantages in controlling information, including authority control, data integration, and data integrity standards.

What Should We Do Now?

The following is a list of next steps for Agency information and records managers:

1. Examine data quality standards within individual databases, within programs and across programs.
2. Establish authority control now to ease future conversions.
3. Share and provide small applications to support records management now, e. g. circulation, label-printing, etc.
4. Explore the capture and linkage of ASCII versions and maintaining links with paper documents.
5. In application development, consider where the information is already being entered/captured in other systems, to avoid duplication of data and strengthen data integrity. This is part of developing a mature records system. ☼

Legal Issues, Contracts and Microfilm

Panel Moderator: Jerri Hilden, NEIC

The Agency needs to find a technology that can accommodate the storage of large amounts of information, capable of coordinating information from multiple sites, and compatible with systems used by EPA's enforcement partners, such as the Department of Justice. The technology must provide support for Agency attorneys during the litigation process, and the records must be complete and well organized for efficient enforcement actions. This session will cover some of the legal considerations in handling records at EPA.

Using Contractor Support Outside Superfund

Excerpts from remarks by Linda Garrison, IMSD

The current information services contract that includes libraries, records, clearinghouses, and similar functions was awarded to LABAT-ANDERSON Incorporated (LAI) in 1989. The biggest growth within the contract has been in records management; it started with eight records management delivery orders in 1989, all Superfund, and increased to 22 delivery orders in the current fiscal year.

There are several benefits of using the Agencywide information services contract, including strong management support that goes all the way to the Assistant Administrator; support for an Agencywide information network including libraries, records, and information centers; and a contractor committed to EPA's mission. Another benefit is Procurement and Contract Management Division's (PCMD) confidence in the contract management provided by the Information Management and Services Division. IMSD also provides and supports the contract administration of LAI, it is a value-added service to the Regions to help build a strong network.

IMSD and LAI have an effective partnership and we would like to see that partnership expand. The EPA Delivery Order Project Officers (DOPOs) have a responsibility to the contractors to provide a clear, statement of work, good technical direction, and and feedback on deliverables. The DOPO is also responsible for monitoring costs and signing off on invoices in a timely manner. The contractor's responsibility to EPA is to provide the services stated in the statement of work, and to provide deliverables of good quality in a timely manner.

There are a number of situations in managing contracts that should be avoided: Federal day-to-day supervision of contract staff, the appearance of personal services, ratification actions, engaging the DOPO in compensation disputes, performing tasks not included in the statement of work, and working beyond the period of performance without authority. There are many things involved in having an effective partnership, and IMSD appreciates the continued support of the DOPOs in good effective contract administration, and the work of the contract staff. *

Contractor Support for FOIA

Excerpts from remarks by Rebecca Kemp, Region 4

The Freedom of Information Act (FOIA) ties in closely with records management. The Information Management Branch in Region 4 inherited the FOIA function when the Region decided to centralize the process; it is linked to the other information-type activities in the Region. The Region received over 3500 FOIAs last year, and expects 4500 this year. Even though it is one of the smaller agencies, EPA is fourth overall in the number of FOIAs that are submitted. The Regional rate of increase has been at about 20% per year overall, and is expected to continue.

The Region decided to hire contractors to help manage FOIA requests. They prepared and submitted a procurement request, proposing the addition of one FTE and six contractors in the attached statement of work. After they submitted the paperwork, the Administrator issued a memo discussing the legal activities of contractors at EPA, specifically prohibiting or discouraging tasks such as the preparation of responses to FOIA requests, handling of Confidential Business Information (CBI), and any activities dealing with the Privacy Act. This posed problems for the Region's proposed use of contractors.

The Branch staff reviewed a list of tasks with Agency's lawyers to determine which of them could be done by contractors. The three big issues that needed to be addressed were the Privacy Act, CBI, and the personal use of contractors. The staff revised the statement of work, changing the wording in places, and adding key words such as "redacted" and "nonjudgmental" in others. They attached copies of the Privacy Act, CBI information and other pertinent items. The amended scope of work was approved. The Branch eventually was able to hire two contractors for the FOIA project.

The contract staff supporting the FOIA project assist with a number of things including primary searches for information, retrieval of approved and redacted files, photocopying of information, obtaining signatures from EPA staff, preparation of reports from the information in the tracking system, preparation of assessments of the type of requests, answering telephones, and maintaining logs of FOIA requests. *

Continued on page 13

Microfilm and Optical Disk

Excerpts from remarks by Don Sadowsky, OGC

We are all drowning in a sea of paper and would like to find some alternative ways of organizing it. There are some new and not so new technologies available, but the question is "Will we have any problems in the acceptance of the technology?" There are two types of general considerations: will the documents or electronic records be admitted into court, and what are the governmental, statutory, regulatory and administrative requirements regarding microfilm and optical disk.

It all comes down to a simple question: "How well have you maintained your electronic, microfiche, or optical disk system?" When you try to get data admitted into court, there are several barriers to admission, including hearsay, authentication, and the "best evidence rule." The factors most important to the court are the reliability and accuracy of the information.

The records must also conform to administrative or statutory regulations. NARA sets requirements for the documentation of electronic record systems, for the identification of records and for security. The regulations state that electronic records are admissible in Federal court if the trustworthiness has been established. The storage of electronic records has been recognized as being valid, but there are several requirements. Input procedures must be documented and defined very clearly. Accuracy and reliability must be detailed. You must show that you rely on the information in the course of normal business. Maintenance of the system is important, since information on electronic media is easy to change.

Optical disk is a special case of electronic storage, and the problem is that we really do not have any experience with the medium. People who speculate about it say that they do not see that there will be any problem because the courts accept other types of electronic storage. Extra care should be taken to document the procedures and prove that information was input correctly, identified correctly, and checked for accuracy and reliability. The problems with the acceptance of optical disk come from NARA, and their concern is the lack of standards. For that reason they are not yet willing to accept information on optical disk. They do not permit an Agency to destroy any paper records unless it has an accepted form of storage such as microfiche.

In summary, optical technology is untested in the courts, but the problems are not insurmountable. As long as the Agency does a good job of documenting, testing and maintaining its systems, it will be able to introduce electronic records in court with confidence. ♣

Microfilming Contracts

Excerpts from remarks by Geoff Steele, IMSD

The paper records currently kept are familiar, easy to manage, and cheap. The real question is whether or not paper is really cheap, considering the "hidden costs" including overhead, storage, maintenance and disposition, indexing, and general management control. Records managers must consider the dilemmas of conversion such as selection of an alternative medium, training and assistance, and other costs. Coordination across programs is crucial because program-specific conversions can create "islands of information" which are incompatible and not useful to the Agency. Coordination with other Federal agencies for enforcement or litigation support is also important.

Microfilm is one of the older technologies used for records management. It is legal (accepted in court) and archival, inexpensive and eye-readable, and widely used. It provides an outstanding transition medium to other technologies, has established document integrity and security. The only problem is that there is a time delay in distributing information to the users. Optical disk technology is sexy and new, but is not yet legal or archival. It is fairly expensive, requires special equipment, and is not widely used because of the cost. On the plus side, it offers superb document integrity and security as well as quick access to and distribution of information. Whatever the medium of choice, the Agency is evolving toward an environment in which the information must be integrated and a mega-index created to make information available to the public and to the program managers.

The procurement of micrographics systems is governed by current regulations, and the Information Management and Services Division (IMSD) is responsible for reviewing and approving requests for micrographics. There are a number of options to consider when planning a conversion from one system to another, including local contractors, other Federal agencies, Federal Record Centers (FRCs), and EPA's National Data Processing Division (NDPD). Programs are encouraged to call IMSD for assistance before making a final decision.

MODCONS (micrographic and optical disk conversion support) is a modification of the TOSS contract that will provide a nationwide system of professional conversion support services for documents, whether on optical disk, microfiche, microfilm or other media. The most significant advantage to this service is that IMSD will provide Agencywide coordination. There will also be local service bureau support, with subcontractor agreements between CSC and local service bureaus. Contact IMSD for further information and assistance. ♣

Superfund Imaging Systems

Panel Moderator: Bob Messina, IRM Chief, Region 2

This part of the program is a discussion of two Superfund image processing systems. The Information Resources Management (IRM) community is aware that records management is becoming more a part of its business. One of the driving forces will be the use of imaging technology. The bright spot in Region 2, and in many of the Regions is the work done in the Superfund records program. One example is the Superfund Cost Recovery Image Processing System (SCRIPS) project, which puts together Superfund cost recovery packages. It was installed in Region 2 beginning in February 1991, and is also in use in Region 4, Region 7, Cincinnati and the National Contract Payment Division (NCPD) at Research Triangle Park. SCRIPS will probably point the way to future applications. Another current image processing project is the Superfund Document Management System (SDMS), which is still under development. A lot of analysis has been done with using imaging technology for Superfund site file information, and later this summer a decision will be made about the technology to be used to manage it.

Superfund Cost Recovery Image Processing System (SCRIPS) Excerpts from remarks by Jody Zeugner, NDPD

The project started in 1986 when a feasibility study was done to see if something could be done to improve the processing of documents. In 1987-88 a preliminary pilot project was done using equipment and software to prove that imaging works, and that it was an appropriate technology for the cost recovery project. Then the staff went forward with a procurement for image processing systems. STARS, the SCRIPS pilot system, was the foundation, but the idea was to provide the Agency with a general purpose image processing platform. A procurement was awarded to IBM in November 1989, and in 1990 SCRIPS application development began with a few preliminary hardware installations. In the first half of this year, it has been installed at several sites.

Cost Recovery

The Superfund cost recovery process is the means by which EPA gets money from violators after cleaning up a site. EPA needs a great deal of documentation to go to court to recover the money; SCRIPS is one way to improve the process.

Cost recovery is a records management problem. The information exists in 14 different servicing finance offices in the Regions, Research Triangle Park, EPA labo-

ratories, and Headquarters. There are three million pages in 5000 files, each associated with a particular Superfund cleanup site. The paper documents money spent on that site.

Most documents that go into a cost recovery package (CRP) are stored in the Region where the site is, but a lot of documents pertaining to that site are also filed at RTP, Headquarters, Cincinnati or Las Vegas. On a rare occasion the Superfund staff has to go to another Region to collect documents. The manual process involves reconciling the paper against Financial Management system. The decentralization of that type of data, and the process of collecting it is the problem SCRIPS is trying to tackle. SCRIPS hopes to recover \$300 million in FY 92, and more in future years.

The remaining major hurdle in the development of SCRIPS is the link to the financial system, and once the electronic connection is established, all that will be needed is a bar code that will be added to the document when it comes in the door. Eventually it is hoped that the system will be able to create a cost recovery package in what ever sequence the customer requires.



Superfund Document Management System (SDMS) Excerpts from remarks by Jack Frost, OSWER

Current space problems are forcing Superfund to look for new solutions such as imaging systems. Image processing, though extremely expensive and complicated, is a good solution to the problem of space requirements. Superfund has spent the last nine months developing solutions for the various problems identified by the program. The Superfund Document Management System will be a utility available to the Regions that can be tailored to Regional requirements.

The key objectives of the system are to ensure that all applicable documents are captured and controlled, made available in a timely manner, are complete and accessible to the user, protected if classified or Confidential Business Information, protected if vital, and meet evidence requirements. In addition the system should reduce professional resources used in clerical activities relating to document management, ensure effective use of physical space, and support the timely preparation of complete and accurate document compilations.

After considering alternatives, the interim recommendation to OSWER management was to develop a system combining indexing and digital

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Publications Notes



RM Directory. ACCESS EPA: *Records Management Programs*, the directory of the records network, is now available. Copies of the three-hole punch version of the directory were distributed at the conference and will be mailed to each Regional office and laboratory. If you have not yet received a copy and would like one for your reference, contact Gloris Butler at FTS 245-3639.

Federal Records Management - Laws and Regulations. This publication includes all records management-related portions of the *U.S. Code* (U.S.C.), which is the codification of all current U.S. Federal statutes. It also contains all NARA records management regulations in the *Code of Federal Regulations* (CFR), which is the codification of all current U.S. Federal regulations. If you would like to obtain a copy, contact the Records Administration Information Center, Office of Records Administration, at the National Archives and Records Administration at FTS 501-6025.

Model Regional Records Management Operating Procedures Manual. At the Denver meeting, a draft of the document was distributed to the Regional IRM chiefs, RTP, and Cincinnati for comment. Comments were due July 31. A final version of the manual should be ready for distribution in September. For more information call Mike Miller at FTS 382-5911.

New NRMP Pubs. Two new NRMP publications went to the Printshop in July and will be distributed in August or September.

Records Management Series. Using the Federal Records Center - A Guide for Headquarters Staff, July 1991.

Records Management Series. Index to Agency Records Control Schedules, July 1991.

For more information about these publications, contact Mike Miller at FTS 382-5912 or Gloris Butler at FTS 245-3639.

NARA GRS. Everyone working in records management should have a copy of the General Records Schedule (GRS) as well as our Agency schedules. If you need a copy of the GRS, it is available from the National Archives and Records Administration (NARA). When you request the GRS from NARA, you will receive the main schedule, which is dated August 10, 1988, and two packets of revisions dated August 10, 1989 and February 22, 1991. You will have to file the revisions into the main schedule when you receive it. You can contact the NARA Records Administration Information Center at FTS 501-6025 for further information and for copies.

NRMP Cover and Spine Inserts. In order to help you organize your records management reference materials, we have designed cover and spine inserts for 3-ring binders. These inserts are available from Gloris Butler at FTS 245-3639. ★

Imaging Systems from page 14

imaging. It was also recommended that further testing be done during the summer of 1991 before a formal recommendation is submitted. Imaging workstations would be scattered throughout a Regional office, and indexes to documents would be accessible through Novell networks.

The SDMS staff predicts that there will be a number of operational impacts from the system. Superfund site files will be centralized, allowing more efficient access. Records will be forwarded by the end-users to the records centers. The records handling and management burden will be shifted to the records centers, including functions such as indexing, maintenance and storage. The records center staff will be able to produce document compilations for program offices. Users will be able to search and retrieve documents using distributed workstations. Workstations could be made available to the public, allowing them to do their own search and retrieval of non-privileged documents.

The Intangible benefits of SDMS are improved perceptions of the Superfund program, improved Superfund staff morale, and a mitigation of catastrophic failure risks. OSWER is working closely with OIRM and the Regions to develop policies and procedures. ★

ATTACHMENTS:

This issue of INFOACCESS includes two attachments:

Records Management Tools, a list of publications important for effective records management, and *Electronic Mail Reference Lists*, three special electronic distribution lists for EPA records managers.

Mailcode 3404T

1301 Constitution Ave NW
Washington DC 20004

202-560-0550

Around the Network

⇒ Region 1

Region 1 has produced a report entitled "Proposed Record Centers at EPA's Offices at One Congress Street," that outlines a records management plan for the offices and divisions located at One Congress Street building. It contains information that is useful for those planning a move. If you would like to obtain a copy of this report, contact Mike MacDougall at FTS 833-3377, or Gloris Butler at FTS 245-3639.

Lyn McCoy began organization and folder-level indexing of inactive site files in preparation for shipment to the Federal Records Center (FRC). This activity will continue until the first group of 21 site files targeted for retirement is ready for shipment.

Region 1 shared copies of the Air, Pesticides, and Toxics Management Division (APTMD) *Preliminary File Classification Plan*, *APTMD Filing System Plan*, and *Regional Counsel Records Center* proposed procedures and database structures with Louise DeBrower in Region 5. If anyone else is interested in obtaining copies of these documents, call Evano Cunha at FTS 833-1729.

⇒ Region 3

Barbara Brown is the Acting Records Management Officer in Region 3 until October 1, while Anna Butch is on leave. You can contact Barbara at FTS 597-6154.

⇒ Region 4

The *Air Enforcement Case File Guidance Manual* was accepted in final form by the Air Compliance Branch File Reorganization Work Group. The Air Compliance Branch will include copies of the manual in their Standard Operating Procedures Handbook for staff distribution. It will help prepare the staff for conversion of their files to the new organization. For additional information call Bette Drury at FTS 347-0506.

Specifications for the software to support the new Air Enforcement file structure are being developed. The software applications developed for this program will be used to model similar support for the records programs served by the Records Management Special Projects program. For more information about this project, contact Bette Drury at 347-0506.

⇒ Region 5 -GLNPO

Work is underway to develop a Program Records Control Schedule report format specifically tailored for GLNPO records series. This record schedule will link GLNPO series

with the EPA/NARA Records Schedules numbers and retention periods.

GLNPO Records Management Procedures, which deals with the various types of files maintained by the Office, was submitted to the GLNPO Administrative Officer and Deputy Director. The *Procedures* included a copy of the *GLNPO File Plan*. If you have questions about this document, contact Hollis Pierce at FTS 353-2690.

⇒ Region 9

The *Superfund Records Center Reference Manual for RPMs and OSCs*, which informs EPA Superfund staff about the Records Center's mission, policies, and procedures, was submitted for review and comment. For more information contact Diane White at FTS 484-2166.

The Region 9 staff shared copies of the following guidance manuals with Mike Miller at Headquarters:

- ✓ *Indexing Guidelines for the Superfund Records Center.*
- ✓ *Using Imagetrax for Superfund Records Management in Region 9.*
- ✓ *Guidelines for Acronyms and Affiliates.*
- ✓ *Document Handling Guidelines.*
- ✓ *Compiling Administrative Records in Region 9.*

If you would like to obtain a copy of any of these manuals, contact Gloris Butler at FTS 245-3639.

Marilyn Ryall would like to share copies of the *Disposal Authority Report* produced by the Office of Federal Records Centers in Washington. The report allows EPA Records Managers to see which disposal authorities have been used by other EPA Regional offices in transferring records to their local FRCs. The report is arranged by FRC and then by the disposal authority number. If you would like a copy of the report, contact Marilyn at FTS 484-1507, or Email box M.RYALL.

⇒ Headquarters

During August and September Mike Miller and Gloris Butler will be contacting each Region and laboratory concerning the existence of file plans, inventories, manuals and similar products. Results of the survey will appear in the October issue of *INFOACCESS*.

Anyone interested in joining a workgroup on Regional file plans should contact Gloris Butler at FTS 245-3639.

If anyone has information about moving records or records centers, contact Gloris Butler. ✱