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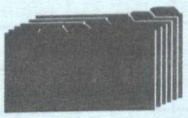
EPA INFO ACCESS

Records Network Communications



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Records Management and IRM

by Michael L. Miller, Agency Records Officer

I've been reading the Agency's "Data Call Consolidation Report." It was compiled from submissions by Senior IRM Officials, who were asked to provide data about their plans and projected spending to support a broad range of general information resources management (IRM) goals.

One area on which data were collected was records management. Programs were asked to report whether they had an action plan to respond to the National Archives and Records Administration (NARA) evaluation, the percentage of NARA recommendations that have been addressed, the level of contractor support, and the number of FTE assigned to records management (see Consolidated Records Management Data on page 2). The figures will serve as a baseline for monitoring the status of records management across the Agency.

Although the results show the continued gap between records management programs in the Regions and those at Headquarters, they also reflect the increased activity at Headquarters over the past two years. Indeed, OARM, OE, OA, OGC, and ORD have taken a number of steps to improve their records management programs since the data were collected.

The report is of particular interest because it asks all IRM players to think in terms of eight common goals (see IRM Organizational Mission and Goals on page 3). Records management supports a number of them, and the IRM community is beginning to realize that. As records managers, we must be ready to play our part. What is that? I see three basic functions that we can play in the IRM community, and they follow the information life cycle:

1) Help the Agency determine what records need to be created to ensure that we have "adequate and proper documentation" of our activities. Ensure that technology applications support and enhance rather than diminish the Agency's official record.

2) Advise the Agency on the best ways to organize and manage the active information to facilitate use, storage, and access, including public access.

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Consolidated Records Management Data

Office/Region	Plan	Percent of Recommendations Achieved	Contractor Support	FTE
Region 1	Yes	20%	$621,000	0.5
Region 2	Yes	46%	$900,000	5.2
Region 3	Yes	80%	Yes	1
Region 4	Yes	30%	$1,112,150	2.4
Region 5	Yes	60%	Yes	
Region 6	Yes	100%		1
Region 7	Yes	Completed By FY95	Yes	Yes
Region 8		Not Submitted		
Region 9		50%	No	Yes
Region 10		Not Submitted		
OA	Yes	75%		3
OIA	Yes	17%	$30,000	0.1
OPPE		Not Submitted		
OARM	No		No	No
OAR		Not Submitted		
OW	Yes	25%	No	1.25
OPPTS	Yes			
OGC	No		No	No
OE	No		No	No
OIG		Not Submitted		
ORD		Not Submitted		
OSWER	Yes	20%	$150,000	1 full time 16 part time

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3) Advise the Agency on what documentation needs to be retained, for how long, and the best means of doing so.

The two keys for doing this successfully are developing expertise in records management theory and practice and knowing your records. This issue of *INFO ACCESS* has a number of articles that will help you on both counts. Happy reading! ●

INFO ACCESS

INFO ACCESS, a forum to provide information and report on progress in information management across the Agency, is produced by the Information Access Branch (IAB) of the Information Management and Services Division (IMSD), Washington, DC, under the direction of Michael L. Miller, National Records Management Program Manager. Please send comments and suggestions to: Manker R. Harris (contractor), Network Coordinator, 3404, EPA National Records Management Program, 401 M Street, SW, Washington, DC 20460. Telephone: 202-260-5272. Electronic mail: Harris.Manker.

Ask Dr. Mike

Q. Is my Franklin planner a Federal record or a personal paper?

A. No E-mail message elicited more comment than a recent one suggesting that a person's planner, such as a Franklin Planner or Daytimer, might be a Federal record. (The regulations also refer to diaries, journals, and notes, and the same reasoning applies for those as well.) Are they Federal records or personal papers? The short answer is that yes, they can be records. The longer answer is that, in specific cases, it depends.

Let's go over what is clear. Most programs require staff to maintain a calendar or schedules of their activities. If so, then a calendar of some type is part of your duties as an employee, and would be a Federal record. For most employees, the retention is two years. Calendars of high level officials, AAs for example, are permanent records under the approved Agency schedules.

When would a calendar be an Agency record? Here are a few guidelines:

- Was it prepared for use in transacting Agency business?
- Was it used in transacting Agency business?
- Was it circulated in the course of transacting Agency business?
- Were contents communicated in transacting Agency business?

If the answer to any of these questions is yes, then there is a strong chance that the document, or portions thereof, qualifies as a Federal record.

Let's get up close and personal, and look at my Franklin Planner. It contains a mix of work-related and personal information. It is the only calendar I keep. I take notes in it at Agency meetings; and use those notes to brief my management, prepare memos, and conduct business. There is no question in my mind that my planner is a Federal record, at least the portion that relates to work. If there were a Freedom of Information Act (FOIA) request for my planner (no bright ideas please) I would have to either make it available as is, or go through and segregate out the materials that do not meet the criteria for records.

The best practice is to keep personal papers and Federal records separate. When it comes to calendars and diaries, that may be very difficult. If such records are requested under FOIA, contact the Office of General or Regional Counsel before doing anything, because there is a body of case law that must be considered in deciding what is releasable under FOIA.

Bottom line: Generally speaking our calendars may well qualify as a Federal record under the definition of a record in the Federal Records Act. Whether a specific calendar is a Federal record, or what parts of it are a record, is best determined in conjunction with counsel.

If you want more information on the subject of personal papers and Federal records, the NRMP has available a "Practical Guide to Personal Papers (Technical Information Leaflet #3), and NARA's *Personal Papers of Executive Branch Officials: A Management Guide.* Copies of both documents are available through Manker R. Harris (contractor) at 202-260-5272. ●

IRM Organizational Mission and Goals

The IRM Mission of the EPA is to provide leadership and effective management in delivering reliable information services to support the Agency's mission. The following represent the eight Agency IRM goals, which are taken from the 1993–1997 IRM Strategic Plan.

- EPA leverages its information for environmental results.
- EPA has integrated environmental information.
- EPA is a leader and reliable partner in sharing environmental information.
- The public has access to environmental information.
- EPA employees make productive use of information and technology.
- EPA is committed to quality strategic information plans and efficient implementation of IRM programs.
- EPA views IRM as understanding its business and providing value-added services.
- Technology is transparent to the users.

NARA Proposes E-mail Regulations

National Archives and Records Administration (NARA) proposed regulations on the management of electronic mail (E-mail) in the March 24, 1994, issue of the *Federal Register*. The proposed regulations will impact all Agency systems used to transmit messages—LAN systems such as cc:mail and WordPerfect Office as well as All-in-1. They also include sections on electronic calendars and drafts circulated for comment via E-mail.

The proposed regulations have implications for systems managers, LAN administrators and others who are responsible for the development and implementation of electronic mail in the Agency as well as records managers. In some cases, the proposed regulations explicitly apply existing general records management requirements to electronic mail. In other cases, new requirements have been added. A few of the most important general issues are:

1) How EPA will choose to capture and retain transmission and receipt data, draft documents, directories and distribution information, calendar information, and information received from external sources (e.g., Internet). See Sections 6-10.
2) What of this information is necessary to adequately document Agency activities? The proposed regulations allow the Agency some latitude in determining what types of transmission and receipt information, draft documents, and other information needed for adequate and proper documentation. See Sections 6-10.
3) What types of recordkeeping system (paper or electronic) should EPA choose to implement to meet its recordkeeping requirements? Is it feasible to maintain the E-mail records electronically? See Section 11.
4) There are system security requirements in Section 13. It is not clear whether they pertain to the E-mail system or the electronic "recordkeeping system."
5) There is a requirement for employee training and guidance that will involve considerable resources. Since it is not clear what this training must entail, it is not clear how this training will be accomplished. See Section 14.
6) There is a requirement for agencies to monitor the implementation of records management guidance on E-mail to ensure that users are accurately identifying records and properly maintaining them. There are technical and practical questions as to how this would be accomplished. See Section 15.

Most records officers have received a copy of the proposed regulations. If you have not, or would like a hard copy, please call Manker R. Harris (contractor) at 202-260-5272. If you have comments, please send them by May 22 to Michael Miller, the Agency Records Officer, by Fax (202-260-3923) or via All-in-1 (MILLER.MICHAEL-OIRM). ●

National Records Management Program Update

Records Disposition Schedules. The NRMP has received responses from most programs on the Green Border review of Agency-wide records disposition schedules. To date, all respondents have concurred or concurred with comments, none of which pose significant problems. The NRMP is now beginning to send Headquarters programs copies of their records disposition schedules for review. Draft schedules were sent to the Office of Water for their review, and others will be distributed in the coming weeks.

Records Management Action Plans Due. As part of the Agency's response to the NARA Evaluation, programs are required to submit action plans describing their progress over the past six months. The call for action plans went out in late March requesting updates of activities through the end of March. Programs were asked to evaluate their action plans and restructure their approaches to resolving records management deficiencies where necessary. The NRMP will review the action plans, develop an overall Agency response, and forward the entire package to NARA.

Records Management Awareness Bulletin. The NRMP prepared a draft Awareness Bulletin on records management issues and presented the draft to the Committee on Integrity and Management Improvement. Awareness Bulletins are designed for desk-to-desk distribution and seek to advise employees about matters that may not be entirely clear in regulations or policy. The draft contained sections on identifying Federal records and personal papers, the Freedom of Information Act and how it applies to records retention, records maintained by contractors, and employee responsibilities. Records officers have suggested adding sections on the management of draft documents, planners and calendars, electronic mail, and "copies."

National Media Laboratory Review—Conference on Data Recording and Dissemination Systems

by Jim Whittington, Regional Records Officer, Region 4

On January 25-26, I attended the National Media Laboratory Review in Reston, VA. The National Media Lab (NML) serves as an industry resource supporting the U.S. Government in the evaluation, development, and deployment of advanced storage media and systems. The purpose of this report is to encourage EPA staff to take advantage of the resources offered by NML and familiarize Records Officers with some of the research projects and functions of NML.

I've found that in dealing with computer people it helps to give them information they can use. When I worked at the National Archives and Records Administration (NARA), nothing worked better to establish trust and get my points across than citing NML studies on the longevity and stability of media and in some cases even referring them to NML. Many computer people are concerned with media, but stay focused on the hardware and software and only hear vendors' claims about media. I suggest if you have electronic records, make use of NML to give your computer staff useful information they cannot readily find elsewhere.

The National Media Laboratory

NML has traditionally worked with the Defense Department (DOD) and the intelligence community, but they are expanding their program to the civilian agencies. NML has three research arms: Technology Assessment, Technology Development, and Technology Transfer, and two outreach arms: Operations Support and User Support and Services.

For EPA, the Operations Support Unit is the most relevant. This group responds to a wide array of requests including tape archive audits, system defect analyses, recommendations on long-term data storage, tape recovery methods after catastrophic failures, tape care and handling requirements, and site environmental analyses. The Operations Support Unit can also provide technical information and recommendations during the acquisition and development phase.

Systems and media are analyzed in terms of cost, reliability, performance, and user environment and requirements early in the process to prevent surprises later. For major projects, after an initial assessment and resolution proposal, NML will either determine the work is critical to a broader community and proceed for free, or charge the requestor for future work.

NML is the source DOD goes to when a fighter is shot down and the black box is burned or the audio tapes have been exposed to salt water for an extended time. The intelligence community draws upon their expertise for mass storage and retrieval of intelligence information. NARA made use of NML to analyze the longevity of certain media and to do environmental site analyses of the storage areas for permanent magnetic tape, including tests for air particulates and fungi. NML is able to provide care and handling instructions for any medium (including paper) that has been contaminated by any source. They are also able to deal with obsolete media, so if EPA has media that cannot be read on current systems, NML is an option.

NML also produces a Storage Systems Database that contains information, projections, and specifications for optical and magnetic mass storage drives and media so Government users can make a comparison of storage systems based on performance, cost, physical requirements, etc. This database also tells you if a medium is currently supported, so it can be of great use to records officers who come upon a strange diskette or video. I have a copy and will be happy to answer any inquiries. You may also contact NML over Internet at nml@mmm.com or call Erin Binder of NML at 612-733-0468 for your own copy.

Use the above sources to also subscribe to "NML BITS" the NML newsletter. Current articles in "NML BITS" are on the data management challenges of satellite data, future technology developments in storage media, and an analysis of metal-particulate tape stability. For a list of all NML publications, send an E-mail to the above Internet address with "publications" as the subject. The publications list will be sent to you within an hour.

January 25-26 Meeting

The Reston meeting was titled "Data Recording and Dissemination Systems: How Commercial Technology Trends Affect Government Programs." NML meetings are primarily concerned with media, but there is always a subject theme to the meetings as well. Spatial data was the focus at this one, with addresses by a number of high-ranking military officials discussing data management and access to the vast spatial data holdings of intelligence agencies and DOD.

National Media *Continued on page 6*

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Central Imaging Office

The Deputy Director of the Central Imaging Office noted that there are plans to declassify much of the information gathered from early Air Force satellites. At the same time, a system to tie all the Commands together to access and share data is being developed. In addition, DOD is attempting to convert several 100,000 feet of film to digital media.

Defense Mapping Agency

The Defense Mapping Agency is developing a number of CD-ROM products, including Topographic and Elevation Data, Vector maps, the Digital Chart of the World, and the DMA catalog, which will cover two discs. DMA is also producing thematic layers on CD-ROM for the Navy, including hazards, boundaries, and navigational aids.

Projections are for DMA to have over 500,000 magnetic tapes and 10,000 CD-ROMs in the next few years. Technology is being explored that will allow field commanders to overwrite a DMA product and create their own data layers on the fly. Since DMA is committed to CD-ROM as a distribution media, and much of the information may be classified, DMA is concerned with how to destroy CD-ROMs so that data cannot be recreated and the destructive process is environmentally sound.

Destruction of Classified Data

Destruction of classified data is a large headache for DOD and the intelligence agencies, with some agencies incinerating tens of thousands of magnetic tapes per year. NML is looking at better ways to assure the classified data is destroyed without harming the environment with the toxics released from tapes during the incineration process. If any EPA office is interested in pursuing this research with NML, please contact Gene Hickok at 612-737-4926 or via E-mail at gjhickok@mmm.com.

Remote Sensing

The Office of Technology Assessment is in the process of writing three reports on the civilian remote sensing program. The reports will address current satellite systems, current data management systems, and the future of both. Preliminary findings are that the U.S. needs a strategic plan for remote sensing to assure routine, long-term, high quality data. Such a plan would identify roles for each agency (including non-space based remote sensing), involve the private sector, and determine who will archive, distribute, and integrate the data. It would also help reduce the risk of introducing new technology and eliminate duplicative efforts in gathering and analysis.

Civilian agencies will get greater access to 1-3 meter resolution images as the focus for defense and intelligence moves from resolution to timely delivery and immediate analysis. The OTA representative also said that data already collected is important to climate change research and should be protected and available. All of this calls for resources for data management.

Office of Management and Budget

Bruce McConnel from OMB/OIRA addressed a number of information issues, most dealing with the "information superhighway." He sees the Government's role as a regulator of this new industry as well as providing a framework through laws for dealing with access, privacy, and intellectual property. The Government should encourage choice and competition, realizing that new regulatory schemes will have to be created. OMB is backing a project called the Governmental Information Locator System (GILS) which will be administered by NTIS and require agencies to develop bibliographic entries for both electronic and paper information systems consistent with a GILS standard and Internet protocols.

For the Reinventing Government project, information technology is critical to help reengineer processes and change work flows. Ultimate goal is to combine the NPR with the National Information Infrastructure to improve government. Several areas are already being examined, including information kiosks, law enforcement communications, and electronic benefits transfer. Also, movement is underway to make sure procurement regulations do not continue to condemn information technology to obsolescence before delivery—there are several bills before Congress to change the process.

Other Technological Sessions

In addition to these policy sessions, there were also technological sessions on Image Data Compressions and Digital Recording, U.S. Recording Industry Perspectives (Kodak, 3M, IBM, Metrum and DataTape), and Commercial and Consumer Directions. General opinion among the independents is that optical disc technology will soon reach its limits for space. As one scientist said, "You can only cram so many pits on a disc." Some improvement may be seen with a smaller, more precise green laser, but it is not currently able to read the red laser discs. Magnetic media is still the media of choice for most because there are a number of ways to get more information in a smaller area and the properties of the media have not changed significantly, even though the capacity has improved greatly.

Some people are sold on barrium-ferrite media, but there are numerous questions as to its stability. Most agreed that magnetic-based petabyte storage systems will be in operation by 2000 and that holographic storage will be widespread by 2010. ●

"Open vs. Closed" Records Centers

by Sandy York (contractor)

Recently there has been some electronic mail conversation about whether it's better to have "open" or "closed" records centers. An open center is one in which anyone can walk in and pull the file they want. A closed center is a center where the materials are monitored by designated staff and requestors are not allowed to pull or refile their own files.

Making the decision to "close" a center can be a very controversial one. A common concern about closing a records center or file room is access after hours and on weekends. A number of operations have reported they successfully addressed this concern by making provisions for special arrangements when records staff are not present.

From the recent E-mail messages on the subject, there are a number of proponents of the closed center. Here are some of the advantages mentioned in their messages:

- Improved file safety and integrity
- Better availability
- More accountability
- Faster response times for filling requests
- Reduces last minute "scrambles"

The major problem with an open center is that there may or may not be a system for documenting who has accessed, removed, or replaced files. While it is usually viewed as more convenient, this "open door" policy can result in more misfiled or lost records. One drawback of this type of file room is the person in a hurry who plans to come back and fill out the check-out card "later"—but forgets.

Nancy Yarberry, Region 6's Records Officer, summed it up this way:

> "It is important that we (EPA) be able to locate our records at all times, and that the files be accurately maintained. We have found that this can not be accomplished when everyone is allowed freedom to roam the record centers.... As I see it, there is no accountability, as long as its possible to blame someone else for these problems, they will continue." ●

NARA Bulletins No., 94-1, 94-2, 94-3

Copies of the most recent NARA Bulletins have been sent to Records Officers in Headquarters, Regions, Field Offices and Laboratories.

Bulletin 94-1 lists NARA Bulletins which remain in effect. This Bulletin should be used to update your NARA Bulletin files.

Bulletin 94-2 provides guidance on the handling of facsimile (fax) transmissions that satisfy the legal definition of Federal records. Excellent guidance for fax copies which are on "thermal paper" is given and should be followed. The "interpretation" section addresses when "fax" documents are to be considered Federal records. Questions concerning policy contained in the bulletin should be directed to Mike Miller, Agency Records Officer, EPA National Records Management Program, Mail Code 3404, 401 M Street, SW, Washington, DC 20460, Telephone: (202) 260-5911, or E-mail: Miller. Michael-OIRM.

Bullentin 94-3 transmits a brochure, "Guide to Washington National Records Center Services." This Bulletin is probably useful only to Headquarters offices. ***However an interesting note in the Bulletin is that "Five times as many records can be stored per square foot of FRC space as in equivalent agency office space." Comparable costs are that, in an average office in the District of Columbia, it costs $22.57 annually to store one cubic foot of records as compared to $1.59 to store that same cubic foot in the Federal Records Center (FRC).***

Copies of these bulletins are available by contacting Manker R. Harris (contractor) at (202) 260-5272 or E-mail:Harris.Manker.

NARA Change of Address and Phone Number

Although the move took place some months ago, it is possible that there are some who may not be aware of the new address and phone numbers for NARA. They are as follows:

Office of Records Administration
National Archives at College Park
8601 Adelphi Road
College Park, Maryland 20740-6001
Phone: (301) 713-6677

EPA Lab, Field Office, and Regional Records Contacts April 1994

Region 1	Name	E-mail	Phone
Regional Records Officer	Margo Palmer	Palmer.Margo	(617) 565-1495
Regional RM Coordinator	Barbara Callahan*	Callahan.Barbara	(617) 565-4905
Superfund Records Manager	Margaret Meehan	Meehan. Margaret	(617) 573-9647
	Jim Kyed*	Kyed.James	(617) 573-9656
RCRA Records	Robin Biscaia	Biscaia.Robin	(617) 573-5754
	Ellen Culhane*	Culhane.Ellen	(617) 573-9673
New England Regional Lab—Lab Records Manager	Vivian Coughlin		(617) 860-4367
	Lyn McCoy*	McCoy.Lyn	(617) 860-4600
ERL—Narragansett Records Support	Neil Lackie	Lackie. Neil	(401) 782-3119

Region 2	Name	E-mail	Phone
Regional Records Officer	Joseph Clore	Clore.Joseph	(212) 264-5354
Office of Records Administration	Cynthia Psoras	Psoras.Cynthia	(212) 264-6139
Superfund Records Manager	Jennie Delcimento	Delcimento.Jennie	(212) 264-8676

Region 3	Name	E-mail	Phone
Regional Records Officer	Barbara Brown	Brown.BarbaraJ	(215) 597-0580
Superfund Records Manager	Anna Butch	Butch.Anna	(215) 597-3037
RCRA Records Manager	Maureen Zacharias	Zacharias.Maureen	(215) 597-2842
ESD/EMSB/AOF	Betty Jeffery		(410) 224-0907
CRL—Annapolis Lab Records Officer	Dan Donnelly	Donnelly.Dan	(410) 573-2631
CLP Analytical Records	Annette Lage		(410) 573-6843

Region 4	Name	E-mail	Phone
Chief, Information Services	Rebecca Kemp	Kemp.Rebecca	(404) 347-2316 ext. 6009
Regional Records Officer	Jim Whittington	Whittington.Jim	(404) 347-3555 ext. 6004
Superfund Records Management	Harold Key	Key.Harold	(404) 347-2930
Superfund AR Coordinator	Debbie Jourdan	Jourdan.Debbie	(404) 347-2930
Head Librarian/Coordinator	Liz Bibby*	Bibby.Liz	(404) 347-2401
Regional Records Manager	Rosa Dickens*	Dickens.Rosa	(404) 347-2401
Superfund Records Manager	Cheryl Brown*	Brown.Cheryl	(404) 347-2391
RCRA Records Manager	Gussie Lofton*	Lofton.Gussie	(404) 347-0506
Cost Recovery Records Manager	Linda H. Williams*		(404) 347-5210
OARM-RTP—Records Officer	Cynthia Bass	Bass.Cynthia	(919) 541-5787
OARM-RTP—NDPD Records Officer	Deborah Redner-Singer	Singer.Deb	(919) 541-1487
HERL-RTP—Techinal Information Manager	Jerry Gerding	Gerding.Jerry	(919) 541-5157
ECAO-RTP—Lab Records Manager	Doug Fennell	TSS.ECAO.RTP	(919) 541-3789
AREAL-RTP—Lab Records Manager	Grace Griffin	AREAL.POS	(919) 541-2352
AEERL-RTP—Lab Records Manager	Alice Gagnon	Gagnon.Alice	(919) 541-7510
ERL-Athens—Lab Records Manager	Janice Sims	Sims.Janice	(706) 546-3302
ERL-Gulf Breeze—Lab Records Manager	Connie Shoemaker	Shoemaker.Connie	(904) 934-9226
NARL—Montgomery Records Support	Ross Beasly		(205) 270-3409

Region 5	Name	E-mail	Phone
Regional Records Officer	Lynn Calvin	Calvin.Lynn	(312) 886-1305
	Gerry Hegel*	Hegel.Gerry	(312) 353-1481
Waste Management Records Manager	Janet Pfundheller	Pfundheller.Janet	(312) 353-5821
Superfund Records Center	Lorraine Kos*	Koz.Lorraine	(312) 886-0911
RCRA Records	Sharon Kiddon	Kiddon.Sharon	(312) 886-6173
Air & Radiation Division	George Hurt		(312) 886-6822
Regional Records Disp Officer	Louise Smith	Smith.Louise	(312) 353-6690
Water Division	Lula Spruill		(312) 886-3890
OARM-Cincinatti —Records Officer	Suzanne Mercurio	Mercurio.Sue	(513) 569-7751
	Sheryl Drexelius*	Drexelius.Sheryl	(513) 569-7747
EMSL-Cincinatti—Records Support	Diana Irwin	Irwin.Diana	(513) 569-7485
ERL-Duluth—Administration Service Coordinator	Evelyn Hunt		(218) 720-5509
NVFEL-Ann Arbor—Records Support	Debra Talsma*	Talsma.Debra	(313) 668-4311
ECAO-Cincinatti—Administration Records	Nancy Bauer	Schwaegerle.Linda	(513) 569-7144
FMSD-Cincinatti—Records Liaison	Dorothy Cannon	Cannon.Dorothy	(513) 569-7628

EPA Lab, Field Office, and Regional Records Contacts April 1994 (Continued)

Region 6	Name	E-mail	Phone
Regional Records Officer	Nancy Yarberry	Yarberry.Nancy	(214) 655-6537
	Sonia Kramer*	Kramer.Sonia	(214) 655-8335
Superfund RMO (Acting)	Verne McFarland	McFarland.Verne	(214) 655-6617
	Steve Wyman*	Wyman.Steve	(214) 655-8381
RCRA RMO	Pat Nelson	Nelson.Pat	(214) 655-6750
	Dorothy Garrett*		(214) 655-6732
Air, Pest & Toxics Division	Kathy Ballard		(214) 655-7207
	Sharon Kruger*	Kruger.Sharon	(214) 655-8014
Management/Program Planning RMO	Nancy Yarberry	Yarberry.Nancy	(214) 655-6537
	Elizabeth Clark*		(214) 655-6532
Env Services Coordinator	Bonnie King		(214) 655-2215
	Robert Wilson*		(214) 655-8379
Water RMO	Jo Taylor	Taylor.VJ	(214) 655-6498
Regional Counsel RMO	Vacant		
	Serita Gibson*		(214) 655-2286
ERL-Ada—Lab Records Manager	Anna Runyan	ERL/Ada	(700) 743-2224

Region 7	Name	E-mail	Phone
Regional Records Officer	Carol Brakeall	Brakeall.Carol	(913) 551-7527
Regional Records Center RMO	Patricia Jones	Jones.Pat	(913) 551-7238
Records Center Manager	Vacant		
Superfund RMO	Barry Thierer	Thierer.Barry	(913) 551-7515
Waste Management Records Manager	Sherry Hays*	Hays.Sherry	(913) 551-7586
RCRA RMO	Jennifer Anderson		(913) 551-7644
Removal Records Manager	Teri Hankins	Hankins.Tereasa	(913) 551-5151
Cost Recovery RMO	Bea Sanders		(913) 551-7911
Cost Recovery Manager	Vacant		

Region 8	Name	E-mail	Phone
Regional Records Officer	Jackie Rivera	Rivera.Jackie	(303) 293-1465
Superfund Remedial Coordinator	Carole Macy	Macy.Carole	(303) 294-7038
Superfund Removal Coordinator	Tina Artemis	Artemis.Tina	(303) 294-7039
Head Librarian/Coordinator	Cindy Osborne*	Osborne.Cynthis	(303) 391-6767
RCRA Records Center Manager	Bill Brown*	Brown.William	(303) 293-1226
NEIC—Records Manager	Paula Smith		(303) 236-5147
	Yolanda Montez		(303) 236-5111
Montana Operations Office	Pam Hillery	Hillery.Pam	(406) 449-5720
	Melody Ballard*	Ballard.Melody	(406) 449-5728

Region 9	Name	E-mail	Phone
Regional Records Officer	Yvonne Pederson	Pederson.Yvonne	(415) 744-1517
Superfund Records Manager	Elaine Chan	Chan.Elaine	(415) 744-2380
Superfund Records Center Manager	Diane White*	White.Diane	(415) 744-2166
Superfund Cost Recovery	Sharon Lande*		(415) 744-1740
RCRA Records	Pamela Cooper		(415) 744-2046
RCRA Records Center Manager	Ted Harris	Harris.Edward	(415) 744-2205
EMSL-Las Vegas—Lab Records Manager	I. Elizabeth Sutton	Sutton.Elizabeth	(702) 798-2564

Region 10	Name	E-mail	Phone
Regional Records Officer	Charissa Schliep	Schliep.Charissa	(206) 553-1605
	Kate Browder*	Browder.Kate	(206) 553-4480
Superfund Records Manager	Lynn Williams	Williams.Lynn	(206) 553-2121
	Kathe Rutsala*	Rutsala.Kathe	(206) 553-4817
RCRA Records Manager	Margaret Hughes*	Hughes.Margaret	(206) 553-6687
ERL-Corvallis—Lab Records Manager	Pamela Taylor	Taylor.Pamela	(503) 754-4582

* = Contractor

Region 1—Lessons Learned From the Flood

In mid-January the main building at the Region 1 headquarters experienced flooding when snow on the roof of the building melted. Margo Palmer (Records Officer) and Barbara Callahan (contractor) surveyed the offices and pinpointed the problems. They have a few suggestions to share with the network.

Despite efforts to blotter and/or fan dry moist records, mold spores were detected on the recovered materials. EPA staff were advised to discard ALL water damaged paper, even if it was well dried. Since there is a GSA copying facility in the building, the job was conveniently done by replacing the damaged originals with copies.

Improper storage led to the most serious damage. The wettest files provided a dramatic reminder to keep records inside the filing cabinets and not on top of them or on the floor around them. More serious damage occurred when the chain of custody of Grand Jury evidence was broken by cleanup crews entering the locked room. The records were stored in cartons on the floor.

It is prudent to have a perpetual transfer of records off-site to the FRC. Without such transfers, paper accumulates in the office and tends to be improperly stored, with resulting confusion over what is and isn't essential. Also, Region 1 has a fireproof safe on order; it will be located off site and used for storage of vital records in all media.

Don't delay your search for local sources that would advise in the recovery and restoration of damaged records. Compile a list now and forward it to your IRM Chief and to other agencies in the building.

It was interesting to hear the responses of more than one senior staff person when asked what they would grab in an emergency situation... "My Rolodex!"

EMSL-Las Vegas—Records Committee

Liz Sutton reports she has established a committee of records managers and custodians at the Laboratory. She will be sending them information on records management each week and visiting each one. She has also established an electronic mail network there so she can send information to them electronically.

Region 10 RCRA—TES and RIC Contracts Closeout Project

Margaret Hughes (contractor) reports that they have just finished reviewing and comparing 87.5 linear feet of contract closeout files received from two regional project officers with regional RCRA files. Three linear feet were integrated with RCRA facility/site files and 3/4 linear feet added to contract management files.

As a followup, 12 linear feet of residual file materials have been reviewed and assessed for continued retention or disposition. So far, 2 linear feet have been returned to the project officer for destruction following their identification either as duplicates, or as having outlived their mandated retention period. Eleven boxes still requiring retention have been organized for eventual retirement to the FRC. The last phase of the project is the assessment of 9 linear feet of shelved 3-ring binders. Margaret estimates that the completion of the project will have released some 15 linear feet of shelf space.

OW's Enforcement Records Workgroup

The first meeting of the Headquarters OW/OECA Enforcement Records Workgroup was held on March 15. The workgroup identified senior management support, training for all staff, and a clean up day as three important requirements. Target activities include:

1. Two or three two-hour training sessions on what is a record, records disposition schedules, etc., tentatively scheduled for the week of April 18.
2. An OW-wide Records Management Day (clean-up day), emphasizing enforcement information, the week of April 25.
3. Identification of records to go to OECA, records to stay in OW, and who will have responsibilities and where, beginning in May.

In addition, the workgroup identified support to be provided by an OW contractor for records management support, an OW summer intern, and some support from OECA's records management contractor. The next Workgroup meeting is scheduled for the week of April 18.

Records Management Training for ORD

Mike Miller, Agency Records Officer, visited the Environmental Research Laboratory in Gulf Breeze (ERL-GB), accompanied by Cynthya Holley, the ORD Records Officer. The trip included two training sessions on records management for scientists and supervisory staff, two sessions with the program support and clerical staff, a review of selected ERL-GB records, and a briefing for the Laboratory Director. Back at Headquarters, ORD arranged a training day during which Mike conducted training for over 100 ORD Headquarters staff, providing training similar to that done in Gulf Breeze. The management of electronic records is a consistent theme at ORD training sessions. Cincinnati sponsored a meeting with the Dayton Federal Records Center to discuss electronic records management issues. Mike Miller is drafting a report on the ERL-GB visit and a summary of records management problems based on his visits to four ORD laboratories.

More About Vital Records and Disaster Recovery

by Sandy York (contractor)

In the February issue Nancy Yarberry talked about the new training class NARA is presenting at most of its regional offices. Included as an insert to this issue is a list of disaster recovery sources and suggested steps for disaster planning which were handed out at the NARA training held in Denver. Also, you will find a list of emergency supplies maintained by the FRC in Denver as part of their disaster recovery plan.

Jim Whittington (Records Officer, Region 4) has provided a list of recent nationwide disasters received from the National Media Laboratory which is included in the insert. In addition to the type of disaster, the list also shows the number of data centers which experienced "down time" because of the emergencies.

In recent years there have been some major and minor events affecting EPA records that I'm aware of:

Earthquake	Region 9	1989
Water damage (broken sprinkler head)	Region 1	1994
Water damage (snow from roof)	Region 1	1994
Water damage (water pipe)	Headquarters PIC	1994

This reminds us that disasters can happen to us too. If it happens to you, will you be ready? These are some of the questions you need to think about:

- How would you recover water-damaged paper files, diskettes?
- What would you do if you couldn't access your files because the building was structurally unsafe?
- What information would you need to get "back in business?"
- What's the best way to protect vital information?
- What does protection cost?
- Can the information be reconstructed from other sources?
- What is the risk if the information isn't protected and lost?
- If the information is important enough to duplicate, how should it be duplicated? How often? How much will it cost?
- Who will be responsible for ensuring the records are protected?
- Is your location prone to certain kinds of disasters? Earthquakes? Flooding? etc.?

These are some of the issues you need to consider as you develop or refine your records management program and as you prepare your next update to the NARA evaluation action plans. As stated in NARA's evaluation, each program office at Headquarters, each Region and Lab needs to "implement fully the instructions of Chapter 4 of the Records Management Manual to develop and maintain an agency-wide program for the protection of vital records."

The National Records Management Program will be providing guidance on the identification of vital records. It will be up to each program and unit to identify those records, provide for their protection, and follow the guidelines of the vital records program. ●

Additional Disaster Recovery Information

Many programs have asked for specific information concerning potential sources for disaster recovery supplies. The information on pages 10 and 11 is from the NARA training on Vital Records and Disaster Recovery presented at the Federal Records Center in Denver, 1993.

(Suggested) Disaster Planning Steps

Identify and assign responsibility (committees)

- planning
- response
- recovery

Educate the committee

Perform a Hazards/Risk Analysis

- understand potential building problems
- survey fire protection policies and equipment
- assess ability to protect people
- evaluate potential for crime/vandalism
- understand regional potential "Acts of God"

Establish goals and a timetable

Develop a reporting schedule and reporting lines

Evaluate holdings and assign priorities

Identify potential hazards

Assess prevention and protection needs

- stockpile supplies and equipment
- replenish when necessary

Review fiscal implications

Write the plan

Distribute the plan

- train
- drill

Evaluate the plan and update it regularly (annually)

(Suggested) Components of a Disaster Recovery Plan

Table of Contents

Introduction

- use of the document
- how it is to be revised
- which personnel is responsible for activities
- general institutional information

Emergency information sheet

- fire/police departments
- local hospitals
- emergency shut-offs
- local utilities
- brief list of emergency respondents

Telephone/reporting tree

Holdings priorities

Response outline

- lead personnel responsibilities
  - assessing the situation
  - calling in assistance
  - organizing/prioritizing efforts
  - establishing a command post
  - eliminating hazards
  - controlling the environment
  - dealing with the media
  - obtaining emergency funding/supplies
  - providing security
  - providing human comforts
  - train salvage techniques on site

Supply lists and assistance/equipment vendors

Well articulated salvage techniques

Rehabilitation plans for conservation treatment

Appendices

Addresses of sources:		
Dixon Paper Co.	3900 Lima St., Denver, CO 80239	(303) 371-7510
University Products	P.O. Box 101, 517 Main St., Holyoke, MA 01041	1-(800) 628-1912
Conservation Materials	1165 Marietta Way, P.O. Box 2884, Sparks, NV 89431	(702) 331-0582
Light Impressions	439 Monroe Avenue, Rochester, NY 14607-3717	1-(800) 828-6216
U.S. Corrulite Corp.	205 SE 3rd Avenue, South Bay, FL 33493-3717	(407) 996-2089
Highsmith	W5527 Highway 106, P.O. Box 800, Ft. Atkinson, WI 053538-0800	1-(800) 558-2110
Gonzo Corp.	21 University Road, P.O. Box 491, Canton, MA 02021-0491	1-(800) 221-0061
Transilwrap Company	1 West Lake St., North Lake, IL 60164	(708) 562-8201
H.R. Meininger	499 Broadway, Denver, CO 80203	(303) 698-3838

Sample of a Disaster Kit Supply and Source List

Federal Records Center, Denver*

ITEM	QUANTITY	SOURCE	COST
newsprint, 2000 18" x 24" sheets	1 carton	Dixon Paper Co.	$21.78/1000'
Reemay, 25.5" width roll, 100 yd.	1 roll	University Products	$64.95/roll
freezer wrap, 18" width, 1000'	1 roll	grocery store	$18.16/375'
blotter, 250 19" x 24" sheets	1 carton	Dixon Paper Co.	$.26/sheet
disposable particle mask	50	Conservation Materials	$31.56/box/50
plastic wash tub, 18" x 24"	3	discount store	$8.97/each
disposable gloves, size 6-8	100	University Products	$12.35/box/100
disposable gloves, size 8.5-10	100	University Products	$12.35/box.100
One-wipe cloth	3	grocery store	$.95/each
Zippy Cutter	3	H.R. Meininger	$3.95/each
waterproof markers	3	H.R. Meininger	$.99/each
large trashbags, 15/pkg.	3	building supply store	$8.27/box/40
chemical sponges	36	Gonzo Corp.	$21.00/dozen
duct tape, 60 yd. roll	1	Customer Supply, CSC	2.48
45 gal. poly garbage cans	3	building supply store	$18.00/each
disposable aprons	100	University Products	$15.15/box/100
polyester film, 5 mil, 18" x 24" shts	500	Transil Wrap	$60.00/100 shts
polythylene sheeting, 6 mil, 10' x 25'	6 rolls	building supply store	$8.39/roll
fumigant-ortho phenyl phenol, 3 oz.	1	Conservation Materials	$8.78/jar/3 oz.
paper towel rolls	8	grocery store	$.59/each
Hygrometer/temp. indicator (optional)	1	Light Impressions	$50.00-$1,000
dehumidifier and hose	1	Sears	varies
boxed velo-bind combs	3	Jeffco Public Library	donated
box 4-way rubber bands, 50/box	2	Highsmith Co.	$10.24/box/50
spiral notebook	3	office supply store	$.70.each
mechanical pencil	6	office supply store	$1.00/each
box 3" x 5" labels	3	office supply store	$3.00/box
plastic trays, 18.2" x 13.2" x 11.6"	50	U.S. Corrulite Corp.	$84.00/ctn/15
25" plexi plates 6" x 8"	5 pair	glass store	$2.00/each
25" plexi plates 7" x 9"	5 pair	glass store	$3.33/each
25" plexi plates 8" x 10"	5 pair	glass store	$3.33/each
synthetic twine	2 rolls	University Products	$4.80/roll
garden hose	8	building supply store	$6.00/each/50 ft.
sprayer attachment for hose	1	Builders Square	$2.00/each
clothes line pins	5 bags	grocery store	$1.00/bag/25

Note: Approximate total for purchased supplies $1235, excluding hygrometer and dehumidifier

*From NARA training on Vital Records and Disaster Recovery at the Federal Records Center in Denver, 1993

So What's a Survey Anyway?

by Vicki Betton (contractor)

There have been several articles in *INFO ACCESS* about inventorying records. The December 1992 issue provides a great overview of the inventory process. That article provides enough direction for completing an inventory for a relatively small office. However, when you are about to tackle a large inventory—the 1500 work stations in OARM for instance—you will need to use another planning tool prior to the actual inventory... enter the Survey or Walk-Thru.

Webster's definition of a survey is "to examine as to condition, situation, or value: appraise." The dictionary defines an inventory as "an itemized list of current assets." The survey gives you a better idea of what conditions you will find when you go in to an office to inventory the records. The survey, also called a walk-thru, is to the inventory what a dress rehearsal is to the play—what a warm up is to the athlete. It is a dry run.

Why am I taking such care to compare and contrast the two terms? Because there is a great deal of confusion about the two tasks. Employees being "surveyed" sometimes find it difficult to tell the difference (with good reason, as you will soon discover). In fact, even those conducting the survey sometimes wonder if the walk-thru is REALLY necessary. There are moments when it is unquestionably a redundant or unnecessary motion. However, if you want to keep a particularly large project on schedule, and within budget, a walk-thru is crucial to success.

Survey Objective

The survey accomplishes several things. It will:

- Provide you with an accurate assessment of how much you have to inventory.
- Identify all the locations that must be inventoried.
- Identify problem areas and/or people that will take extra time to inventory.
- Help establish a rapport with those you will be inventorying.

All in all, it will make your inventory process easier, faster, and more productive.

Survey Process

Planning—The planning process for conducting a survey is almost identical to that of conducting the inventory. You must determine what data you want to capture during the walk-thru, develop survey forms, identify contacts, determine the walk-thru schedule, and brief your contacts.

Physical Walk-thru—Conducting a physical walk-thru is similar to conducting an inventory in that you will introduce yourself to the person who's workstation is being surveyed and physically inspect (in some cases, measure) those spaces which house or *could* house files. It is at this point the two processes take different paths.

The survey helps you identify just those records you will later physically review during the inventory. In the survey, you will determine how the file space is being utilized. Is the desk drawer housing a coffee pot, running shoes or files? Is the file cabinet used to house holiday and party decorations, office supplies, or files? Are the files personal, non-records or records?

In contrast, when you conduct the inventory, you can ignore coffee pots, running shoes and party decor. You will have identified (during the survey) the records to be inventoried. You will focus your attention on the record series and obtain (among other things) the names, descriptions, and date ranges for each series.

Analysis—Now, back to the survey. Once the survey is complete, you analyze the information collected during the walk-thru. Summarize the general condition of each office or department you walked through.

Make a list of those offices which are inhabited by packrats—they will take much longer to inventory.

Make a list of people who require special attention—those who like to talk, those who are defensive, those who have their documents so intertwined they cannot determine what is personal, record or non-record. They will also take longer to inventory.

Make a list of the best and "worst" experiences with departmental contacts or liaisons. Were they interested in the project? Did they understand what you are trying to do? Have they had any records management training? Did they adequately notify and brief office personnel prior to your arrival? Your office contacts can make or break a project schedule depending on their interest and competency.

Make a list of glaring problems which need to be addressed in the final report. They can be used as points of discussion during the inventory, and help create rapport between the inventory team and the "inventorees". For instance, if you noted in your walk-thru that a department was particularly short of space or lacked the proper filing equipment, you can mention that at the start of the inventory.

The users will appreciate your understanding of their problem and will support your efforts to help them solve the problem. This can be helpful as a selling tool for continuing the inventory process and is good PR for the survey team. It helps break down those natural walls of resistance that you meet during the inventory process.

Tips for a Successful Survey

One of the most difficult decisions to make is how in-depth the survey needs to be. A survey can be as simple as a stroll through the offices, or as complex as taking detailed measurements of work stations. Here are some of the factors which help you clarify how much the survey should include:

Size of the office... the larger the office, the more likely the need for a detailed survey.

Complexity of office... the more functions the office performs, the more information you need to collect. You may want to actually identify how the space is being used. Is it being used to house records, non-records, supplies, or personal items.

Familiarity of inventory team with office (and vice-versa)... the less familiarity, the more need to "get acquainted" with the office before you start the inventory.

Brief your contacts just as thoroughly for the survey as you would for the inventory. Give them at least a week's notice so that they can adequately announce your arrival. People get defensive when you drop in unannounced.

Remember, it is difficult for people to tell the difference between the two processes. You will be criticized by some as you go through the survey because they feel you are not being thorough. When I introduce myself, I start by stating: "I will be back in a couple of months to do a thorough inventory. Right now I am here to see how much you have, so that I can determine how long it will take to do the inventory".

Summary

Done properly, a walk-thru survey will save time and energy during the inventory phase. It will:

- Give you information that allows you to accurately schedule the inventory process.
- Prepare you for trouble spots and allow you to identify areas where you may need to obtain additional support and authority from upper management before you start the inventory.
- Familiarize you with agency/office terminology. Let you know where additional training/briefing needs to be done prior to the inventory. In short, it will pave the way for a smooth, successful inventory. ●

!Welcome to the Network!

It's been some time since we've welcomed new folks to the network, so this is going to be a long list. (If you've been around for awhile, we're sorry it's taken so long!) Here goes:

Headquarters

NRMP—Manker R. Harris (contractor) and Brook Sadler (contractor)

OA—Hsiu-Mei Hung, Elizabeth W. Wonkovich, Eureka Stubbs, Betty Harderman, Ruth Choate, Janice M. Jones, Jannell Young, Janice L. Berry-Chen

OARM—Jim Baca, Vicki Betton (contractor), Delta Pereira

OECA—Roberta Miller, Pearl Young, Nancy Vercio

OGC—Jacqueline G. Brown

OPPE—Claudia Payne, Claudia Huntley, Delores Swan, Lois Lee, Kavonda Ramsey, Patricia Wilkinson

OW—Mary Platt

OSWER—Cindy Moore, Jackie Eaton, Sheretta Dixon, Denise Roy, Georgene Bolling, Adelle Farmer, Brenda Marshall, Marcella DePont

ORD—Cynthya Holley, Michael Dantzler, Ruth Partridge, Linda Bishop, Pamela Pentz, Monica Brooks, Pamela Bassford, Diane Haston

Regions

Region 3—Maureen Zacharias

Region 4—Rosa Dickens (contractor)

Region 5—Gerry Hegel (contractor), Lorraine Kos (contractor), Lula Spruill

Region 6—Sonia Kramer (contractor), Steve Wyman (contractor), Dorothy Garrett (contractor), Kathy Ballard, Sharon Kruger (contractor), Elizabeth Clark (contractor), Bonnie King, Robert Wilson (contractor), Jo Taylor, Serita Gibson (contractor)

Region 7—Bea Sanders

Region 9—Sharon Lande (contractor)

Region 10—Charissa Schliep, Kate Browder (contractor)

Labs and Field Officers

AEERL/RTP—Alice Gagnon

ECAO/Cincinnati—Nancy Bauer

ERL/Duluth—Evelyn Hunt

OARM/Cincinnati—Sue Mercurio, Sheryl Drexelius (contractor)

OARM/RTP—Cynthia Bass

FMSD/Cincinnati—Dorothy Cannon

NEIC—Yolanda Montez

Montana Operations Office—Pam Hillery, Melody Ballard (contractor)

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Washington, DC 20460

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