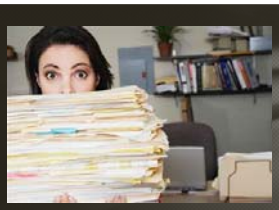
Lesson 3: Maintenance and Use



2ND PHASE OF THE RECORDS MANAGEMENT LIFE CYCLE

Objective 1

By the end of this lesson, each student should be able to…

Determine, in a given scenario, if the record is being used, maintained, and safeguarded in accordance with BLM records guidelines and regulations.

Objective 2

And you should also be able to…

Given a variety of records and a blank records inventory spreadsheet, you will be able to conduct a records inventory that includes filling in all required fields, there are 10, based on the information contained in each record and/or Records Schedule.

Route

- General Maintenance & Use Information
- Guidelines for Using the Record
- Guidelines for Maintaining the Record
- Guidelines for Safeguarding the Record
- How to Conduct a Records Inventory

Maintenance and Use

General Maintenance & Use Information

Maintenance and Use

"Ensure all records, regardless of media, are organized, classified, and described to promote their accessibility and make them available for use during their authorized retention period".
(36 CFR 1220.36)

Maintenance and Use

Maintenance and Use is important because Federal records play a critical role in the management and operations of the Federal Government.

Proper maintenance and use of Federal records is imperative to ensure records are available as required by law to support agency and public needs.

Maintenance and Use

The Benefits of Proper Maintenance and Use include:

- Easy access by authorized users
- Minimal search time
- Easy retrieval
- Security of proprietary, confidential, and sensitive Privacy Act protected information
- Appropriate preservation

Maintenance and Use

We use BLM records and information to:

- Accomplish the mission of BLM.
- Conduct administrative business for internal operations.
- Provide information to the public.

Maintenance and Use

Using the Records

Maintenance and Use

When using records always maintain the integrity of the record.

- Keep the record in order.
- Do not add personal comments to the record.
- Do not destroy any part of the record.

Maintenance and Use

Follow the editing and organizing procedures established by your records management program.

- For example, add new information alphabetically, chronologically, by section, etc.
- Be sure to capture the complete record (meaning the entire transaction)

Maintenance and Use

Retrieving Records

- Does your program have a check-out system for removing records?
- Filing and retrieving BLM records is easy thanks to the BLM Integrated Paperwork Management System.

Maintenance and Use

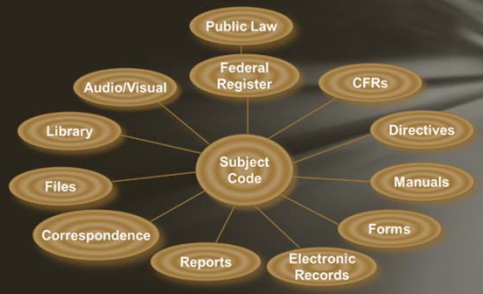
In Summary, we use our records by filing records in the appropriate recordkeeping system.

For example:

- Accounting records are stored in accounting.
- Realty records are stored with the realty specialist, in a centralized or decentralized file area.
- GIS data is stored in the GIS Program area repositories.
- Updating records as needed.
- Refiling borrowed records promptly to their designated storage location.
- Maintaining records for their retention period.

Maintenance and Use

BLM Integrated Paperwork Management System



Maintenance and Use

An identifier is some sort of alphanumeric system used to identify a specific record.

Example Identifiers:

- Subject Codes
- Serialized case number
- Lease number
- Project number
- Allotment name
- Contract number
- Vacancy announcement number

Maintenance and Use

Records Series

- A collection of records that have a well-defined internal relationship.
- Consists of documents, regardless of media, arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, or document a specific kind of action.
- A series is handled as a unit for disposition purposes. Each record within a series has the same retention period and disposition action.
- See *BLM Manual 1220, Appendix 2*, for a complete list of record series descriptions.

Maintenance and Use

Your responsibilities:

- File your records systematically according to your program's filing requirements.
- Maintain and retain official records within their prescribed retention periods.
- Safeguard the trustworthiness of BLM records by following established policies.
- Remember - You assume the responsibility for the accuracy, integrity, and security of BLM records and information you create, maintain, or use.

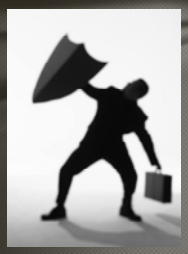
Maintenance and Use

Questions to ask:

- What records are created and maintained?
- Why are the records created?
- Who creates and maintains the record?
- Where are they located?

Maintenance and Use

Safeguarding Records



Maintenance and Use

Storage

BLM records must be stored in appropriate storage equipment such as filing cabinets, drawers, etc.

If sensitive information is contained in the records, the cabinet must be able to lock.

Sensitive vs. Non-sensitive PII for Employees

Non-Sensitive PII (BLM Employees)

- BLM employee name
- Government e-mail address
- Business address
- Business telephone or cell
- Salary
- Position Title (most cases)

Sensitive PII (Anyone)

- BLM employee name (at times)
- Home address
- Personal e-mail address
- Personal cell phone
- Driver's license number
- Vehicle license number
- SSN (even last four)
- Govt credit card numbers

Maintenance and Use

- Preserve the value of the information contained in records in all media.
- Store them in appropriate storage equipment.
- Pay attention to special needs of certain records.
- Transfer records requiring long-term storage to the Federal Records Center (FRC) or permanent transfer to the National Archives.

Maintenance and Use

Vital Records

- Records containing information that is essential to the continued functioning of an organization during and after an emergency.
- Vital records must be duplicated and stored off-site and their location should be identified.
- There are two types of vital records:
  - Emergency operating records – needed in the first 0-24 hours after an emergency.
  - Rights and interests records – needed in the first 24-72 hours after an emergency.
- More information on vital records can be found in *BLM Manual 1273, Vital Records.*

Maintenance and Use

Vital Records

Emergency Operating Records

- Continuity of Operations Plan
- Telephone trees
- Delegations of authority
- Building plans
- Media policy directives
- Vital records inventory lists

Rights and Interests Records

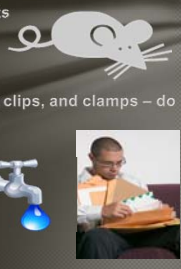
- Social security and retirement records
- Insurance records
- Payroll records
- Contracts
- Titles, deeds, and leases
- Accounts receivable records

Take a look at *BLM Manual 1220, Appendix 2.* The Records Series Description will tell you if a record is vital.

Safeguarding the Record

BLM employees must protect records from:

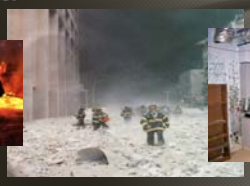
- Dust or pests such as insects or rodents
- Extreme weather or temperature
- Binding devices such as staples, paper clips, and clamps – do not overuse!
- Water damage
- Hard Use



Safeguarding the Record

Preparing for the Unexpected –

Consider establishing a Records Emergency Action Plan (REAP) and a Records Recovery Team within the local office.



Safeguarding the Record

All BLM information is maintained and segregated into Record Access Categories (RACs) to facilitate responding to requests for the information and to ensure the proper handling of records which must be protected by law. A listing of records covered under each RAC may be viewed at http://www.blm.gov/wo/st/en/res/FOIA/records_access.html

Category 1 Records (Public Information)

These include records which can be viewed/inspected without charge, but copied for a cost recovery fee. This category is divided into two subcategories.

Category 1 (A) –

Records which do not require a FOIA request and are available to the public.

Category 1 (B) –

These records may contain information protected under the FOIA. They require a review and segregation (if applicable) before release.

Safeguarding the Record

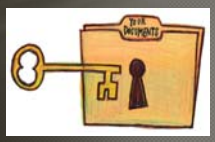
The BLM makes some of its information available in public reading rooms and on the web. This information does not require a written Freedom of Information Act (FOIA) request.

The BLM has Information Access Centers (IACs), also known as Public Rooms, is where members of the public may walk in and request access to public records. Information on IACs and FOIA requests may be located in BLM Manual 1278, *External Access to BLM Information.*

Safeguarding the Record

Examples of Subcategory 1 (A) Public Information:

- Bureau annual reports
- Bureau circulars
- Bureau final decisions that affect the public
- Indexes and Finding Aids to Public Records
- Final Privacy Act Notices
- Master title plats
- Press releases
- Published maps
- Table of Organization
- Wilderness study area files



Safeguarding the Record

Examples of Subcategory 1 (B)

- Internal Directives
- Cadastral Survey Group Files
- Grazing Allotment Files
- Special Recreation Permits
- Comment letters from the Public
- Cultural Resource Use Permits

Safeguarding the Record

Category 2 (BLM Records Requiring a FOIA Request)

- These records must be requested by FOIA request.
- Requests are accepted in hard copy or via email.
- Requests for hard copy and digital outputs may be subject to fees through the FOIA.

Safeguarding the Record

Examples of Category 2:

- Collections and Billings Systems Records
- Committee Management Files
- Records from the Customer Research Survey System
- Routine Procurement files
- Personnel Actions

Safeguarding the Record

Check-Out Systems:

The Records Management program in every BLM office must have an effective check-out system indicating where a record can be located after it has been removed from the shelves or drawers.

- Post notices regarding the requirements to use check-out cards or sheets.
- Keep check-out cards or sheets handy.
- Review check-out cards periodically to follow-up on files not returned within a specified loan period.
- Remove check-out card each time a file is returned.

Maintenance and Use

Do You Know Where Your Records Are?

Records Inventory

A records inventory is an essential part of the Records Management Program.

The basic reasons for a records inventory are:

- You have got to know what you have, and
- You have to know what to do with it, e.g. disposition of records.

Records Inventory

Why do we inventory our records?

- Document the records series we have and the volume.
- Identify inactive records to transfer to Federal Records Center or the National Archives.
- A records inventory is an essential tool in an emergency.
- May discover unscheduled records.

Records Inventory

An inventory may detect:

- Inadequate maintenance and location of information.
- Unnecessary duplication.
- Manual records that should be automated.
- Inappropriate retention or poor security practices.
- Insufficient identification of records.
- Inadequate documentation of official actions.

Records Inventory

Mandatory Elements of the Inventory

- Location – Where they physically in the building?
- Record Series Description – Found in the GRS/BLM Combined Records Schedules.
- Citation Number – Records Schedule number and Item number, e.g. 4/27b(2).
- Cutoff Date – Used to determine proper disposition dates.
- Inclusive Dates – Beginning and ending dates of a record,e.g., timespan they cover.

Records Inventory

More Mandatory Elements

- Medium – Paper, film, electronic, etc.
- Custodian – Individual responsible for maintaining records on a day-to-day basis.
- Access restrictions – Security of sensitive, proprietary, and confidential records.
- Vital Records – Information to alert employees to records vital to BLM's mission.
- Records Status – Indicates if the record is active/inactive, a reference copy, etc.

Records Inventory

Conducting the inventory:

- Briefing management.
- Follow directive(s).
- Conduct interviews with records custodians.
- Conduct a physical inspection of all the office record and non-record material.
- Enter the information into either the Records Inventory Database or onto a spreadsheet.

Records Inventory Database

There is a Records Inventory Database available on the New Mexico State Office Records website at http://web.nm.blm.gov/records/home_page.htm

Records Managers/Liaisons may register access to the database and locate a User's Guide on the website. Only Records Management staff will be able to enter information on this site.

Summary

- Maintenance and use of BLM records and information is the second phase in the life cycle of Federal records. It covers the use, retrieval, storage, and preservation of BLM records and information.
- BLM records and information are used to accomplish BLM's mission and goals; to conduct administrative business; and to provide information to the public.
- BLM employees assume the responsibility for the accuracy, integrity, and security of records they create, maintain and use.
- Safeguarding the authenticity and integrity of BLM records ensures they are trustworthy and admissible as evidence in courts.
- How to conduct a Records Inventory.

Summary

Now you will be able to:

Determine, in a given scenario, if the record is being used, maintained, and safeguarded in accordance with BLM records guidelines and regulations.

AND

Given a variety of records and a blank records inventory spreadsheet, you will be able to conduct a records inventory that includes filling in all required fields; there are 10, based on the information contained in each record and/or Records Schedule.