No Space?
New Space?
Retiring?
(Past) Time to Archive!

John W. Stoner

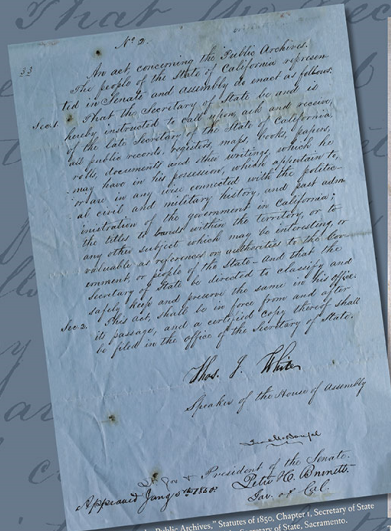## Archives and Records Office (ARO)
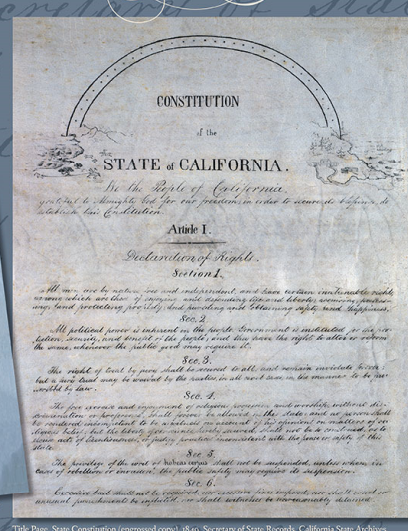
October 29,2015

October is Archives Month

CALIFORNIA ARCHIVES MONTH | OCTOBER 2015

CELEBRATING 165 years OF STATEHOOD

WWW.CALARCHIVESMONTH.ORG

"An Act Concerning the Public Archives," Statutes of 1850, Chapter 1, Secretary of State Records, California State Archives, Office of the Secretary of State, Sacramento.

Title Page, State Constitution (engrossed copy), 1849, Secretary of State Records, California State Archives, Office of the Secretary of State, Sacramento.
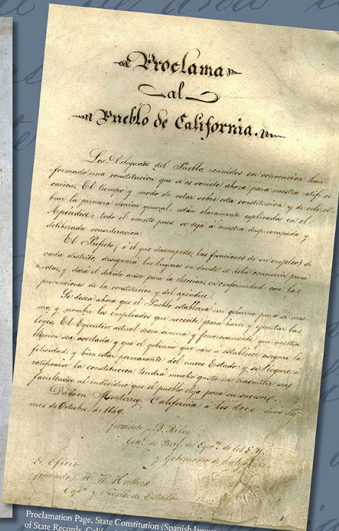
Proclamation Page, State Constitution (Spanish language copy), 1849, Secretary of State Records, California State Archives, Office of the Secretary of State, Sacramento.

California adopted a Constitution in 1849 and began operating as a state before being officially admitted as the 31st state on September 9, 1850. The 1849 Constitution, like all other public documents until 1879, was prepared in both English and Spanish, reflecting California's bilingual population. The first law in California, Statutes of 1850, Chapter 1 established the State's Public Archives.

California adoptó una Constitución en 1849 y comenzó a funcionar como un estado antes de ser admitido oficialmente como el estado número 31 el 9 de septiembre de 1850. La Constitución de 1849, al igual que todos los demás documentos públicos hasta 1879, fue preparada en Inglés y Español, lo que refleja la población bilingüe de California. La primera ley de California, Estatutos de 1850, Capítulo 1 estableció Archivo Público del Estado.

CALIFORNIA STATE ARCHIVES, OFFICE OF THE SECRETARY OF STATE: WWW.SOS.CA.GOV/ARCHIVES
FRIENDS OF THE CALIFORNIA ARCHIVES: WWW.FRIENDSOFCALARCHIVES.ORG   SOCIETY OF CALIFORNIA ARCHIVISTS: WWW.CALARCHIVISTS.ORG   NATIONAL ARCHIVES AND RECORDS ADMINISTRATION: WWW.ARCHIVES.GOV
CALIFORNIA HISTORICAL RECORDS ADVISORY BOARD: WWW.SOS.CA.GOV/ARCHIVES/CHRAB

Poster design by Alison Wannamaker for the 2015 California Archives Month Statewide Coordinating Committee.

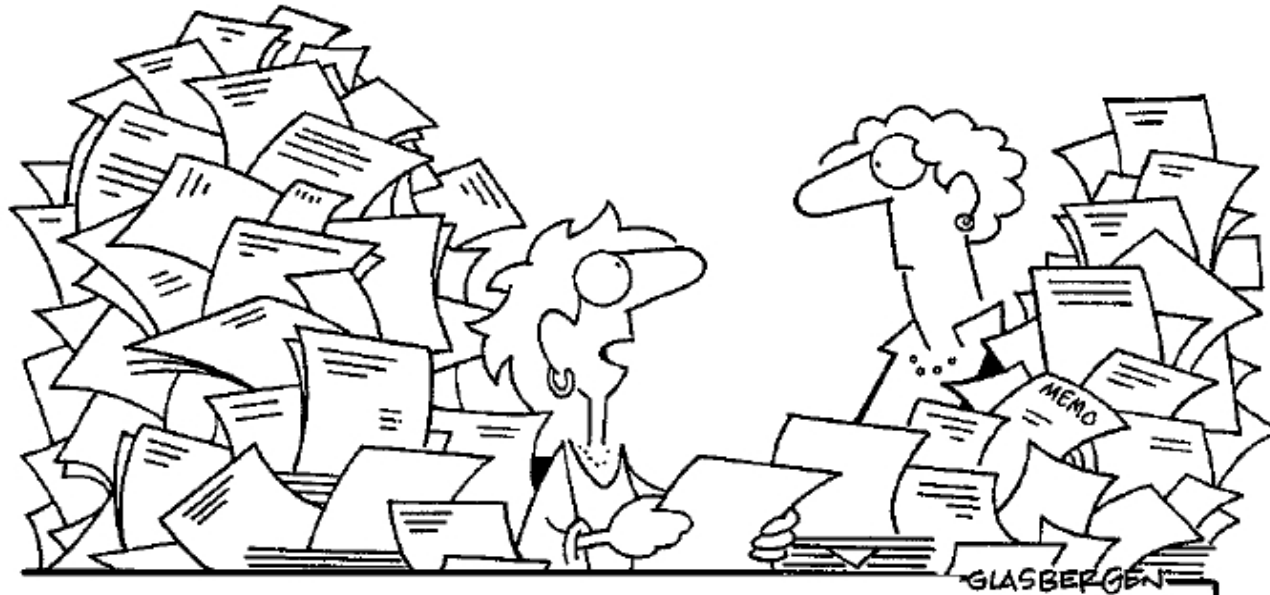BERKELEY LAB

75 Years of World-Class Science 1931-2006

LAWRENCE BERKELEY NATIONAL LABORATORY

Look or Feel Familiar?

One Response?

Copyright 2004 by Randy Glasbergen.

"I am not disorganized — I know *exactly* where everything is!
The newer stuff is on top and the older stuff is on the bottom."

One Reality

The Space-Archives Continuum

- ## The 2011 LBNL Equation:
  - 20K sq. ft. lab space + 300 new employees + 200 displaced employees* + limited increase in buildings = decrease in office size and/or more major moves = increase in archiving activity.

- ## Continuing today ("Big Move")
  - Example: Computational Research and Theory (CRT) Facility

*Source: Space Planning Advisory Committee (SPAC) (http://www.lbl.gov/Workplace/space/)

When to Archive?

- ## The ideal
  - At a pre-established file cut-off.
  - When records are inactive.

- ## The real
  - When people move, leave the Lab or retire.
  - When office space is reduced.
  - When space that has been used to store old records is needed for something "better."

Goals for This Workshop

- **Help you survive the effects of staff changes, moves, space reductions and the "Space-Archives Continuum" and**

- **To understand <u>your</u> role in managing Lab records efficiently and effectively.**

- **Answer the questions:**
  - **What exactly *is* a record?**
  - **What do I need to keep and send to storage?**
  - **What should I *NOT* send?**
  - **When should I send records to storage?**

Workshop Goals

- **Answer more questions:**
  - **How do I prepare the records for storage?**
  - **How do I pack and label the boxes?**
  - **What forms do I use and how do I fill them in?**
  - **How do I get the records to ARO?**
  - **How long should the records be stored?**
  - **How do I retrieve the records?**
  - **What are Vital Records?**
  - **What do we do with electronic records?**
  - **What help does ARO provide?**

ARO's Mission and Services

- **Meet the legal, fiscal, administrative and research needs of the Laboratory and its stakeholders through**
  - **the comprehensive collection of records that document the history, organization, functions, policies, decisions, procedures, and essential transactions of projects and research at LBNL;**
- **Provide training to LBNL employees about their records management responsibilities;**

ARO's Mission and Services

- **Respond to internal and external records requests insuring that the right records and information are available**
  - **for the right individuals**
  - **at the right times**
  - **in the right places.**

Questions & Answers 1, Or,
What is a record?
How do I store it?
How do I get it back?
How long will the records be kept?

Only Send Records to Storage

- **A record is:**
  - **Material, <u>in any format</u>, that documents the Lab's scientific and business activities.**
  - **It provides evidence of the Lab's policies, procedures, and decisions.**
  - **It has technical, administrative, historical, and/or legal value.**

Why Do We Have to Keep Records?

- **36 CFR Chapter XII, Subchapter B**
  http://www.gpo.gov/fdsys/pkg/CFR-2012-title36-vol3/pdf/CFR-2012-title36-vol3-chapXII-subchapB.pdf.

- **DOE Directive O 200.1A – Information Management Program**
  https://www.directives.doe.gov/directives/0200.1-BOrder-a/view.

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Why Do We Have to Keep Records?

- **DOE Directive, O 243.1B, Records Management Program http://energy.gov/sites/prod/files/2013/03/f0/DOE%20O%20243%201b_0.pdf**

- **DOE G 1324.5B (Redesignated as DOE G 200.1-1) https://www.directives.doe.gov/directives/1324.5-EGuide-b/.**

Why Do We Have to Keep Records?

- **LBNL Prime Contract http://www.ucop.edu/laboratory-management/contracts/lbnl/index.html.**

- **RPM §1.17 – Archives and Records Management https://commons.lbl.gov/display/rpm2/Archives+and+Records+Management+Policy.**

Why Do We Have to Keep Records?

- **BBP (Best Business Practices) – treating recorded information as a valuable corporate asset.**

- **Preserving the historical record of the Laboratory and its accomplishments.**

Records in the News—Some *NOT* Best Practices

- **2005**
  - **UC Berkeley.**

- **2006-2007**
  - **Portland, Maine payroll records.**
  - **Denver voter records.**
  - **Oregon medical records.**
  - **California medical records.**
  - **Veterans Affairs.**

- **2010-2014**
  - **PG&E.**
  - **Health Net**
  - **Bay Bridge**

What *NOT* to Send to Storage

- **Do not send nonrecords or personal papers to storage.**

- **What are nonrecords?**
  - **Publications.**
  - **Reference materials.**

- **What are personal papers?**
  - **Materials that do not relate to or have an effect upon the conduct of Lab business.**

When Should I Send Records to Storage?

- **At the end of the CY or FY, end of a project, etc.**

- **When records are referenced once a month or less but must still be retained.**

- **NOTE: Nothing *less* than one full storage box of records should be transferred.**

How Do I Prepare Records for Storage?

- **Go to the ARO web site at https://commons.lbl.gov/display/aro/Records+Transfer+Procedure and read the Transfer Instructions and Standards, then:**

- **Organize and box the records as separate *series*. A *series* is:**

  – **Unit of records arranged according to a filing system or kept together because they:**

    - **Relate to a particular subject or function.**

    - **Result from the same activity.**

    - **Document a specific kind of transaction.**

    - **Take a particular physical form.**

How Do I Prepare Records for Storage?

– Records retention schedules are organized by series.

- **Be sure <u>all</u> records are in <u>labeled file folders</u>.**
- **<u>DON'T</u>:**
  - **Send transparencies, chron files, multiple copies, or publications.**
  - **Mix series or store personal papers with lab records.**

How Do I Prepare Records for Storage?

DON'T send the following:
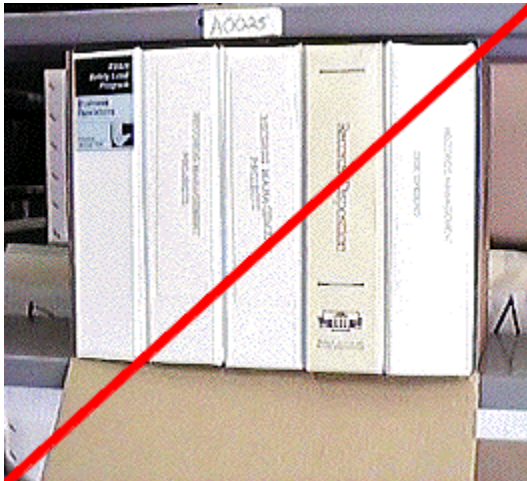
How Do I Pack and Label Boxes?

- **Contact ARO (aro@lbl.gov or x5525) to order the correct boxes.**
  - ARO boxes are **only** to be used for sending records to ARO; they are **not** to be used as moving and storage boxes.
- **Treat the box as a file drawer – the front is marked FRONT and has spaces labeled ACCESSION NUMBER and AGENCY BOX NUMBER.**
- **Transfer the records from existing filing equipment to the boxes, maintaining the <u>same</u> order.**

How Do I Pack and Label Boxes?

- **Leave one to two inches of space in each box – don't over or under pack.**

- **Fill all the boxes except the last one (the last box does not have to be full if there are not enough folders to fill it).**

- **Number the boxes in the AGENCY BOX NUMBER space following the format 1 of 11, 2 of 11, etc. DON'T WRITE ANYTHING ELSE ON THE BOX!**

How Do I Pack and Label Boxes?

Treat the box as a file drawer:
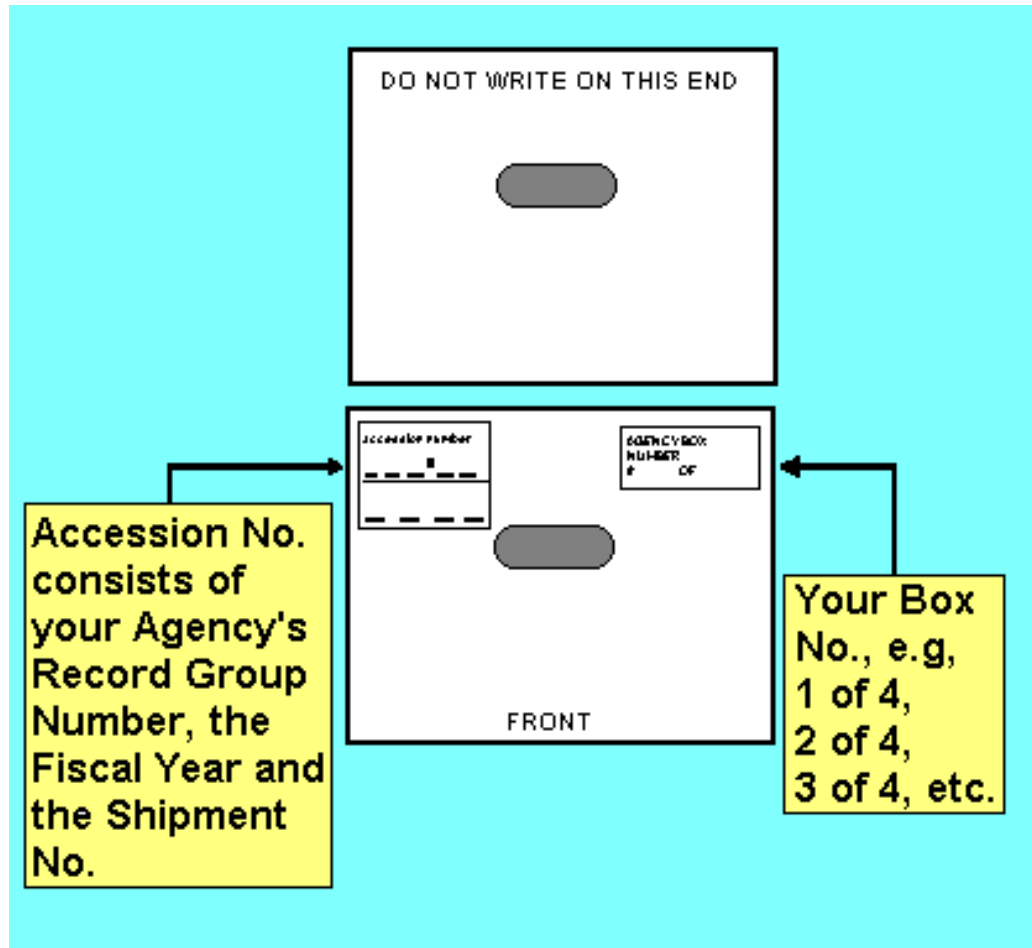
How Do I Pack and Label Boxes?

Don't over or under pack:

Too Loose

Too Tight

Just Right
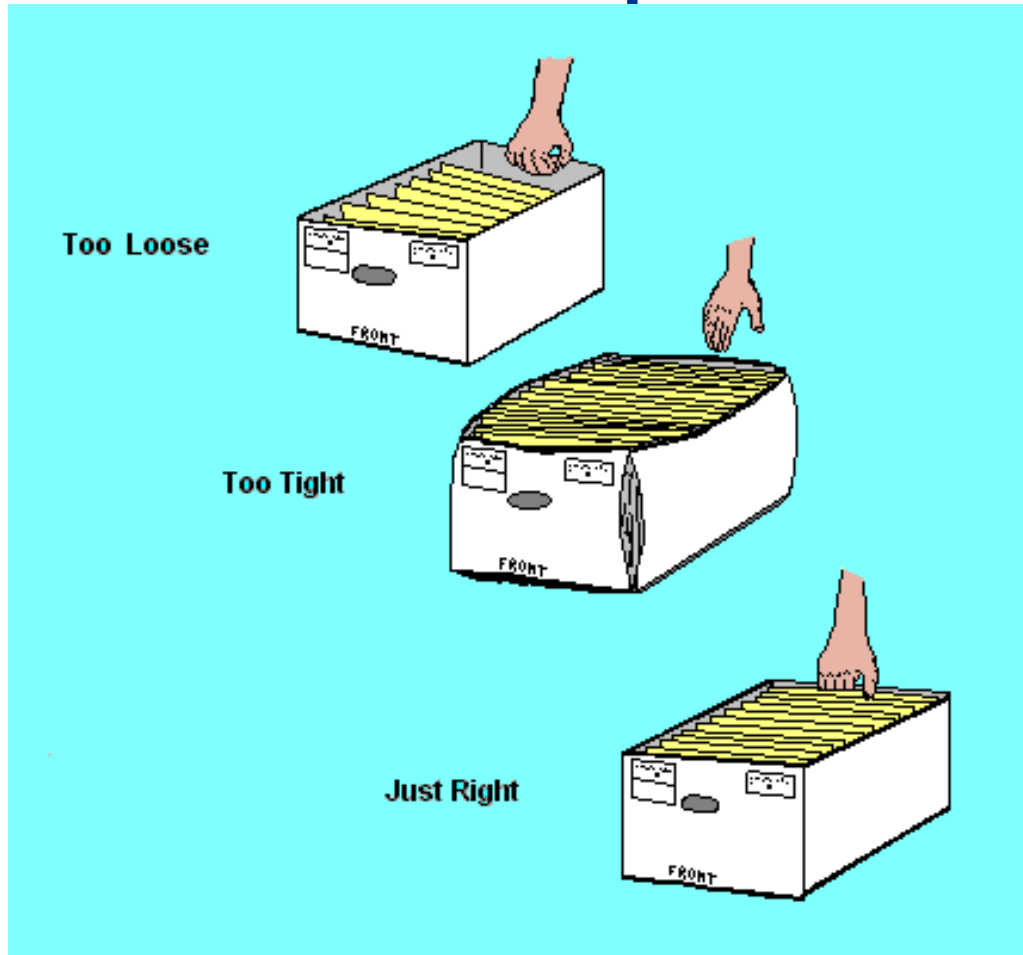
What Forms Do I Use and How Do I Fill Them In?

- **Electronic transmittals must be submitted to ARO (aro@lbl.gov) *before* any records can be transferred.**

- **Download the transmittal and quality checklist from the forms page at https://commons.lbl.gov/display/aro/Records+Transfer+Forms.**

- **Fill in the information about the records in the fields provided.**

What Forms Do I Use and How Do I Fill Them In?

- **Complete all fields except those marked *Archives and Records Use Only*.**

- **In the *Brief Description of the Records* answer the following questions:**
  - **Who created the records?**
  - **How were the records used?**
  - **What do the records include?**
  - **How are the records arranged?**

- **In the *Type of Materials* field, check all materials found in the records.**

What Forms Do I Use and How Do I Fill Them In?

- If you wish and if your accession meets all of the Records Transfer Standards, ARO will do the data entry on all the folders in your boxes-- we will enter the title of each folder underline as it appears on the folder into our database.

- If your processes or laws and/or regulations require more information than what is on the folder (contents of the folder, or subfolders) then you need to enter that information into the transmittal form yourself.

What Forms Do I Use and How Do I Fill Them In?

Lawrence Berkeley National Laboratory
Archives and Records Office
Accession Check List

Please submit this form with your records transmittal.

Division and Department	Information Technology
Section, Group or Project	Division Directorate / Archives and Records Office
Records Title	John Stoner's Archives Records Office (ARO) Records Management Subject Files
Number of Records Boxes	2

The Records being transferred were maintained together as a unit and related to a particular subject or function, resulted from the same activity, and/or documented a specific kind of transaction.	X Yes	__No
The records are in file folders, and reflect what's listed on the transmittal.	X Yes	__No
All hanging file folders (pendaflex) have been removed.	X Yes	__No
Records originally maintained in binders have been refoldered.	X Yes	__No
The container items are labeled.	X Yes	__No
The container items are upright.	X Yes	__No
All artifacts and fixtures have been removed.	X Yes	__No
All containers (except for the last) are full.	X Yes	__No
All containers have no external markings EXCEPT for box numbering in the upper right corner of the front of the container.	X Yes	__No
All floppy disks have been removed from these records.	X Yes	__No
All transparencies (viewgraphs) have been removed and replaced with the paper originals.	X Yes	__No
Unnecessary reference, library, vendor, and other non-record materials have been removed from these records.	X Yes	__No
If records are coming from sites requiring monitoring by EH and S, records have been monitored.	X Yes	__No

- **Low cost storage at the Federal Records Center (FRC) requires that Lab records meet a set of standards.**

- **Fill out the Accession Checklist to make sure your records meet the standards.**

- **The answer to all the questions on the form must be "Yes" to meet the standards.**

- **Once the records arrive at ARO and are reviewed, if they do not meet the standards, they will be returned to you.**

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How Do I Get My Records to Storage?

- **Email the forms to ARO (aro@lbl.gov).**

- **Place a hard copy of the forms in the first box of the series.**

- **ARO staff will review the forms and then will send you a link to the Transportation Work Request web page (https://workrequest.lbl.gov/jsp/workreq_login.jsp).**

- **After processing your records, ARO will send you a PDF transmittal.**

How Do I Get My Records to Storage?

https://workrequest.lbl.gov/jsp/workreq_login.jsp
Click on the Transportation Move Request link.

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How Do I Get My Records to Storage?

How Long Will the Records Be Kept?

- **Records retention schedules – legal documents listing records by name or by type – dictate how long records will be kept.**

- **The Lab uses 27 different schedules, with a total of 565 "items," each with its own instructions on how long records have to be kept.**

How Long Should the Records Be Kept?

- **Impossible to provide a quick "checklist" of how long records have to be kept.**

- **Instead, ARO schedules Lab records by:**
  - **Consulting with records creators/users.**
  - **Matching very generic and standardized schedules to unique Lab records.**

- **Destruction of Lab records**
  - **Less than 10% of Lab records are permanent.**
  - **Before any record at the FRC is destroyed there must be written authorization from the department head.**

How Long Should the Records Be Kept?

– **If the department wants the records stored beyond their scheduled destruction date, the options are:**
  - **Find a different schedule with a longer retention.**
  - **The department takes the records back and maintains them—NOT RECOMMENDED!**
    – **Undermines consistency in application of schedules.**
    – **Subsequent "change of heart."**
      » **Department decides they no longer want to keep the records.**
      » **Department responsible for secure disposal of records.**

How Do I Get Records Back From Storage?

- **Go to ARO's online records request web form at https://commons.lbl.gov/display/aro/Records+Request+Form.**

- **Fill out the following:**
  - **Requesting a box or file?**
  - **Temporary or permanent loan?**
  - **Five to seven day delivery (free) or next day delivery (min $70 charge)?**
  - **General description of what you are trying to retrieve.**

How Do I Get Records Back From Storage?

- **Keep in mind the following:**
  - **Rush requests must be in by noon for next day delivery.**
  - **You are responsible for the records you request. Files MUST be maintained in the order you receive them.**
  - **You are responsible for returning temporary loans to ARO within 30 days.**
  - **All of this remains true even if you are requesting records for use of another Laboratory employee.**
  - **Supervisors are responsible for seeing that these policies are enforced.**

Questions & Answers 2, Or, What Are Vital Records and Who Says They're Vital?

Vital Records Characteristics

- **Contain information needed to establish or continue an organization in the event of an emergency or a disaster.**

- **Essential to recreating an organization's legal and financial position.**

- **Essential to preserving the rights of the organization, its employees, and the people and organizations it serves.**

Vital Records at Berkeley Lab

- **Managing vital records is part of**
  - **Lab's emergency and disaster preparedness planning and**
  - **Continuity of Operations Planning (COOP)**
- **Each Division is responsible for having a vital records program.**

Vital Records at Berkeley Lab

- Should also identify and protect *Essential Records*
  - Don't meet vital records definition but are
  - Essential to protecting the work and science of the division

- **ARO is responsible for assisting the divisions by providing training and assistance on a formal basis.**

- **For more information see the FAQ at https://commons.lbl.gov/display/aro/FAQs**

Questions & Answers 3, Or, Now What Am I Supposed to Do With Electronic Records?

NEVER FORGET

What Do We Do About Electronic Records?

- **As of 2003, each year, the world was producing roughly 800 megabytes of new information for every man, woman, and child on earth.**

- **Ninety-two percent of new information was stored on magnetic media, primarily hard disks.**

E-Discovery: Did You Know?
Jason R. Baron & Ralph C. Losey

https://www.youtube.com/watch?v=bWbJWcsPp1M
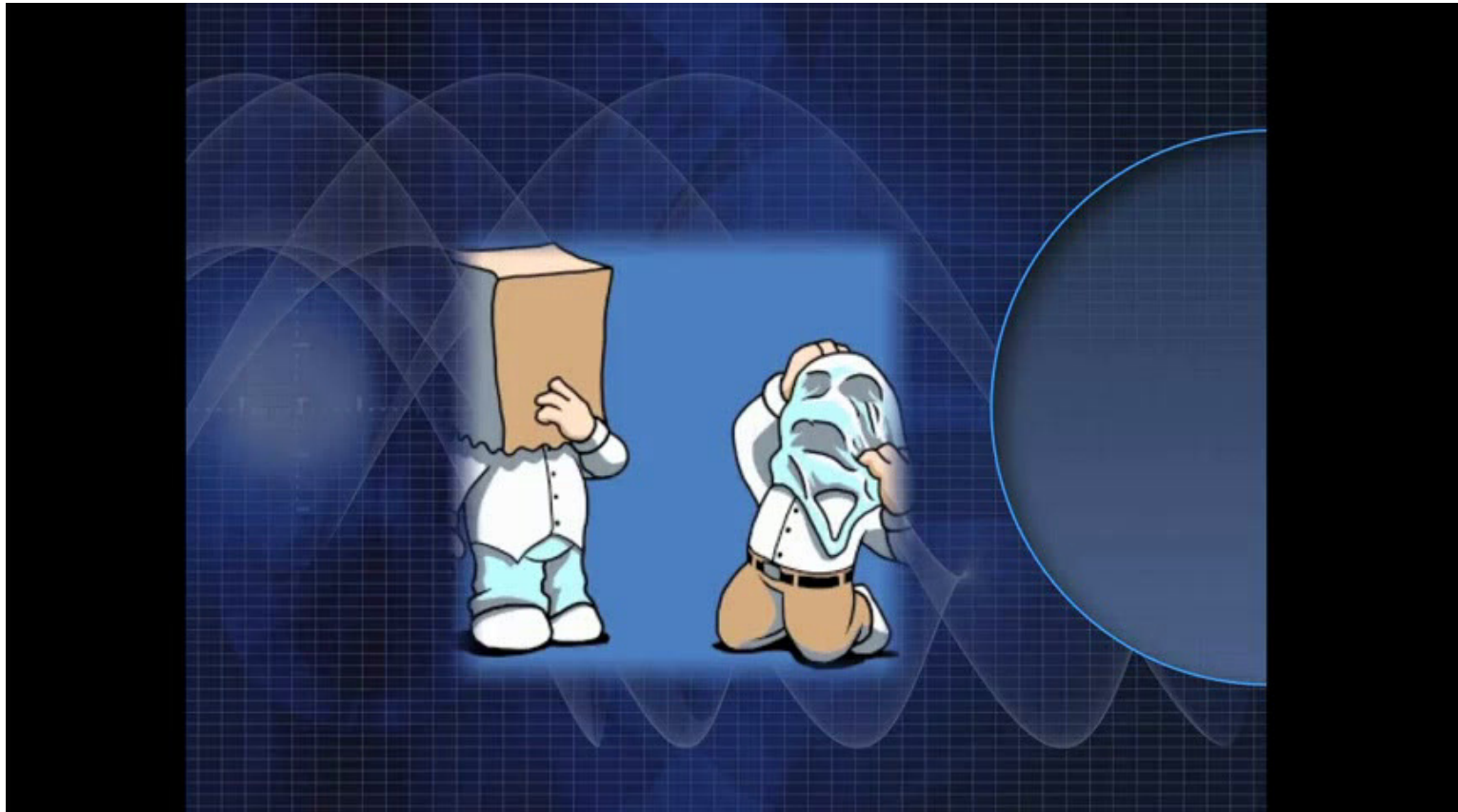
What Do We Do About Electronic Records?

- **The Lab's challenges – how to store electronic records so that they are:**
  - **Organized in a recordkeeping system certified by the Department of Defense for scheduling and disposal.**
  - **Accessible to the right people at the right time, and accessible <u>as long as the law requires</u>.**

- **We know**
  - **That we have already lost information.**
  - **That paper is a long-lived medium.**

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What Do We Do About Electronic Records?

- **Options:**
  - Print out electronic records and file in existing paper recordkeeping systems.
  - File electronic records in a DoD-certified/compliant electronic Records Management Application (RMA).
    - Issues?
      - Cost.
      - Training.
      - Maintenance.
    - Alfresco
      - eRoom replacement.
      - DoD-certified RMA.

What Do We Do About Electronic Records?

- **Draft Model for OCFO:**
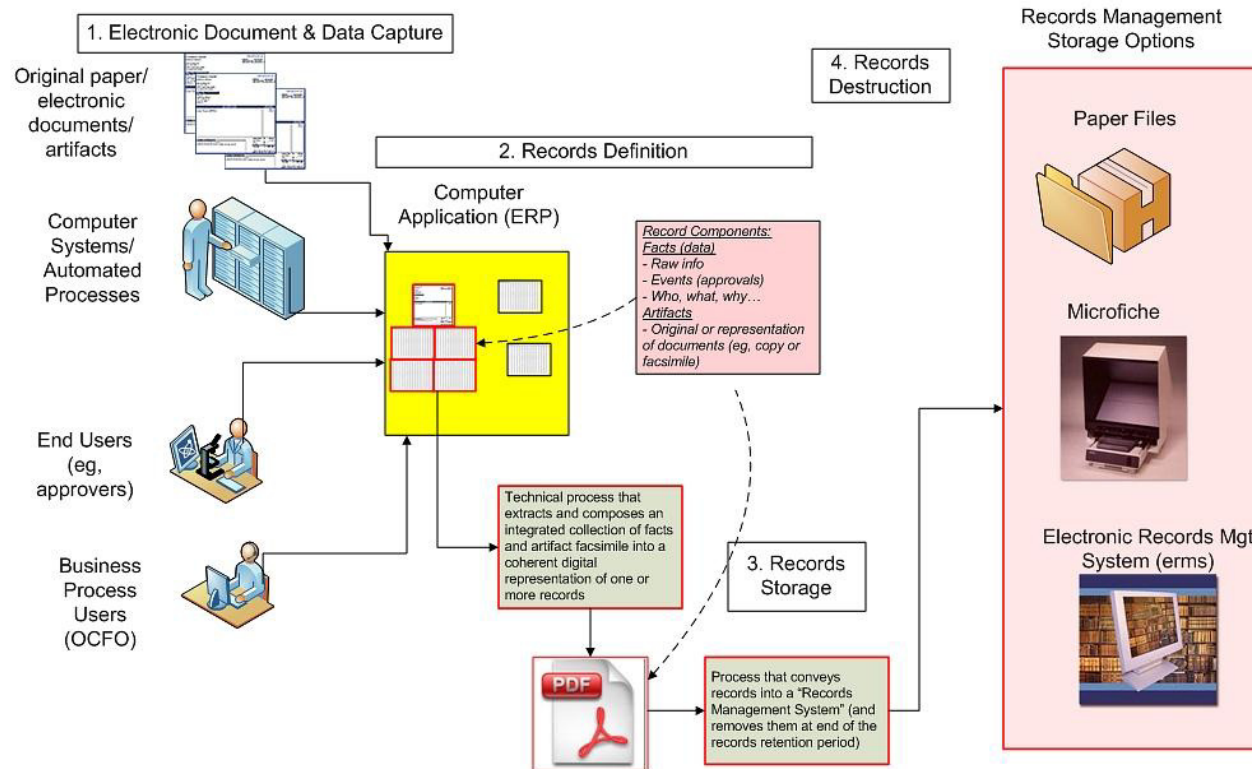
What Do We Do About Electronic Records?

- **Academy of Motion Picture Arts & Sciences, Science and Technology Council**
  - The Digital Dilemma—Strategic Issues in Archiving and Accessing Digital Motion Picture Materials (2007).
  - The Digital Dilemma—Perspectives from Independent Filmmakers, Documentarians and Nonprofit Audiovisual Archives (2012).
  - Long-Term Management and Storage of Digital Motion Picture Materials—A Digital Motion Picture Archive Framework Project Case Study (2011).

What Do We Do About Electronic Records?

- **The Optical Sound Restoration System, Physics Division, LBNL**
  - "Touchless" technology for restoring early sound recordings on metal foil, wax, plastic, and other media.
  - Carl Haber and Vitaliy Fadeyev adapted methods for measuring particle tracks in high-energy physics experiments (ATLAS).
  - Won R&D 100 Award in 2005.
  - Archivists estimate 40% of the millions of recordings in the world's major sound archives could benefit from restoration with this technology.

What Do We Do About Electronic Records?

- **Physicist Carl Haber Wins MacArthur Genius Award for Sound Restoration Work**

http://www.youtube.com/watch?feature=player_embedded&v=pkyC5qo94b0

Interim Guidance

- **Identify EIS's containing LBNL records**
- **Plans for new systems/upgrades should include whether records are contained.**
- **Contact ARO to determine how long records have to be kept.**
- **System owners and ITBS should develop records migration plan.**
- **Local repositories.**
  - **Output to paper.**

Interim Guidance

– **Output to paper; if not:**

- **Declare/identify e-files as records.**

- **Save records to the network.**

- **Set up file directories mirroring schedules.**

- **Ensure records maintained as long as schedules require.**

- **Above are interim protection.**

Questions & Answers 4, Or, How Can ARO Help Me Get My Records Archived?

"We need a better piling system."

Helping Get Your Records Archived

- **ARO can provide help in getting your records archived.**

- **For business/administrative records.**
  - **Advice and data entry is FREE.**

- **For scientific records**
  - **<u>The whole process is free</u>.**

Getting Your Business Records Archived

- ## If you wish, ARO staff
  - meets with you to discuss your records.
  - analyzes your records.
  - Explains how to pack the boxes and fill out the forms.

- ## If your accession meets the Transfer Standards.
  - ARO does the data entry on your folders.
    - <u>Exactly</u> as it appears on the folder.
    - If you require more details than what is on the folder, you need to enter that information into the transmittal form.

- **https://commons.lbl.gov/display/aro/business+records+processing** for more details.

Getting Your Scientific Records Archived

- **Special Projects Archivist, Beret Ranelletti -- .725 FTE (BARanelletti@lbl.gov, ext. 4685).**

- **R&D Records Outreach Project.**
  - **Beret works with RLO's, administrators, scientists to:**
    - **Identify, appraise, transfer, describe and archive R&D records.**
    - **<u>Limited</u> scanning service of <u>archived</u> records provided.**
  - **All of the above at <u>NO ADDITIONAL COST</u> to the divisions.**

Getting Your Scientific Records Archived

- **Why do we have a free R&D Records Outreach Project?**
  - **LBNL has approximately 22K containers at the FRC.**
    - **Only 30% are R&D records.**
  - **75 Years of World-Class Science--help to preserve the history of the Lab.**
  - **Preserve the history of recent and future science at the Lab.**
    - **George Smoot and the COBE Project.**
- **For more information see https://commons.lbl.gov/pages/viewpage.action?pageId=61276598.**

BEFORE...

AND AFTER:

MORE HELP!!!???

Where Do I Go to Get More Help?

- **Go to the ARO web site at https://commons.lbl.gov/display/aro/Archives+and+Records.**

- **Contact us directly at aro@lbl.gov or x. 5525.**