

Recordkeeping Principles & Records Management



Instructor: Cora Kay Chandler
Billings, Montana
corakay2013@gmail.com

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

1

Generally Accepted Recordkeeping Principles

The 8 Principles are

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Accessibility
- Retention and Disposition

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

2

2

International Organization for Standardization

ISO 15489: Records management is a globally recognized requirement.

In 2001, the International Organization for Standardization (ISO) issued **ISO 15489**, a standard for developing a records management program.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

3

3

Module 1

Creating and Maintaining Tribal Government Business Information

4/26/2023

4

4



What are the records
you create and what
information do you
handle?

©KIVA Institute, LLC; Cora Kay Chandler, Associate

5

5

What is a Tribal Government Record?

All recorded information regardless of form or characteristics, made or received by Tribal government made or received or in connection with the transactions of public business and preserved or appraised by the Tribal Government by the Tribe or its legitimate successor as evidence of the Tribe, functions, policies decisions, procedures, decisions, operations or other activities of the Tribes and or Government Federal Funding.

Electronic Records, as defined in the National Records Administration regulations means any information that is recorded in a form that is only a computer can access.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

6

6

Media Records Format

Electronic Records and Scanned Records, Microform Records, Photographic records, Printed, Cards, Photos Cartographic Records, Architectural Records, Audio Visual Records, Scanned records.

Routine Textual records such as correspondence, memos, manuscripts, memos and reports are also recognized as Federal Records.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

7

7

Record Categories

Program Records document the Tribe's unique, mission-related activities.

Administrative Records Document the Tribe's routine support activities.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

8

8

Program Records

Program records are records that document the program's unique, mission related activities.

Examples of program records from the Indian Health Service:

- * Environmental Health project files

- * Tribal Health Records

Program records – a majority of program records are maintained the office of that Program.

- * Discussion

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

9

9

Administrative Records

Relate to budget, personnel, supply, and similar routine or facilitative functions common to tribal governments.

These records comprise an estimated one-third of the total volume of records created by federal agencies and most tribal governments.

Administrative records are the Tribe's support services records. This is vital especially when dealing with Federal Funding.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

10

10

Administrative Records, Examples

- Finance Records
- Property & Equipment Records
- Procurement Records
- Personnel Records
- Tribal Council Meeting Minutes that document actions taken
- Grant and any Federal Funding Records

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

11

11

Life Cycle of Records



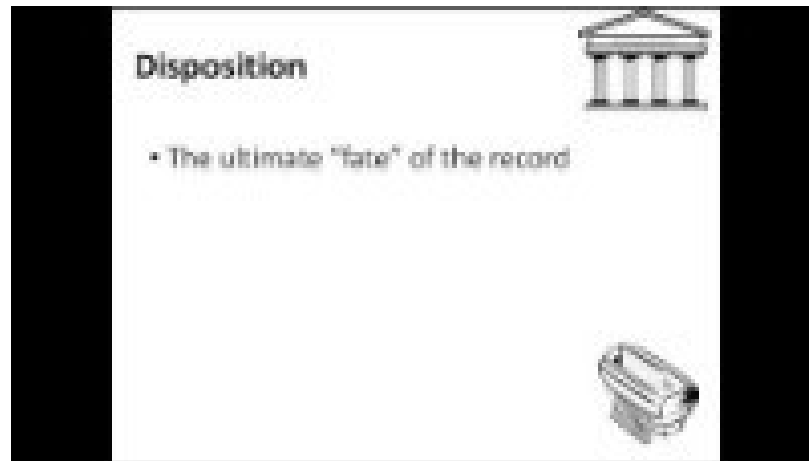
4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

12

12

Word of the Week: Lifecycle



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

13

13

4/26/2023

14

**TEMPORARY
VS.
PERMANENT**

Temporary and permanent records will be determined by the approved Records Retention schedule that has been adopted and approved by the Tribal Government.

©KIVA Institute, LLC; Cora Kay Chandler, Associate

14

Examples of Temporary vs. Permanent Records

Temporary will have a temporary value and can kept for a temporary amount of time. Anywhere from 24 hours to years.

Permanent Records – are records that determined by the Tribe as having sufficient historical or value warrant continued preservation by the Tribal Government beyond the time they are needed for Administrative, legal or fiscal purposes.

Discussion: Records that are sent to the National Records Archive and what can be stored with the Tribe

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

15

15

Record Value

Record Value is based on the Tribe's business needs and the judgement of the Tribal Administrative staff and Programs historical Value.

Minutes and resolutions are examples of valued records of the Tribes business needs.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

16

16

Tribal Records Examples

Some common Tribal Government Records include:

Time and attendance records

Contracts

Original drawings and specifications

Project files

Internal and external directives of the Tribal Government

Personal Files

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

17

17

Examples of Electronic Records



Email



Digital voicemail



Electronic Calendars



Instant messages (IM)



Blogs and wikis



Video Conferencing and webinars



Remote communications



Text messages

18

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

18

Let's Get Organized! Setting Up Your Electronic Files

https://www.youtube.com/watch?v=cFNP12n12c0&list=PLugwVCjrJsWbTAKNkRdOj_LsgsVpMHeZ&index=22



4/26/2023



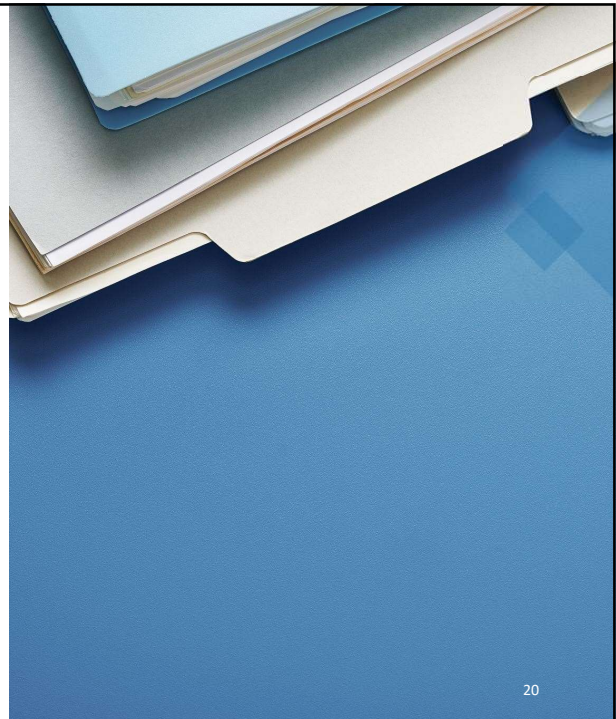
©KIVA Institute, LLC; Cora Kay Chandler, Associate

19

19

Organization is the Key

Wherever the documents are stored it is important to keep them organized and up-to-date. The goal of **electronic file management** is to ensure that you can find what you're looking for, even if you're looking for it years after its creation.



4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

20

20



Why Organize Records?

Some businesspeople have been in the embarrassing situation of receiving a customer call and being unable to quickly locate the relevant invoice or other important customer documents.

Equally aggravating is scrambling around at year's end trying to find documents pertaining to company accounts for the accountant or, worse, the auditors.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

21

21

These file management tips will help you keep your files accessible

1. Use the default installation folders for program files.

Use the default file locations when installing application programs. Under Windows, by convention application program files reside under the (Drive Letter:)->Program Files directory. Installing applications elsewhere is confusing and unnecessary.

Normally if you have [Windows 10](#) or any other version of Windows operating systems, you will definitely have your Program Files folder located on your C:/ drive where the operating system itself is usually installed.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

22

22

2. One place for all documents

Place all documents under a single "root" folder. For a single user in a Windows environment the default location is the My Documents folder.

In a file sharing environment try to do the same. Create a single root folder (called "Shared Documents" for example) and store all documents in sub folders inside the root folder. Having a single location for all electronic documents makes it easier to find things and to run backups and archives.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

23

23

3. Create folders in a logical hierarchy

These are the "drawers" of your computer's filing cabinet, so to speak.

Use plain language to name your folders. You don't want to be looking at this list of folders in the future and wondering what "TFK" (or other interesting abbreviation you invented) means.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

24

24

4. Nest subfolders within folders

Create subfolders within main folders as need arises.

- For instance, a folder called "Invoices" might contain folders called "2020", "2021" and "2022".
- A folder named for a client might include the folders "customer data" and "correspondence". The goal is to have every file (document) in a folder rather than having a bunch of orphan files listed.
- Do not, however, create complex, deeply-layered folder structures. Wherever possible use descriptive file names instead.

4/26/2023

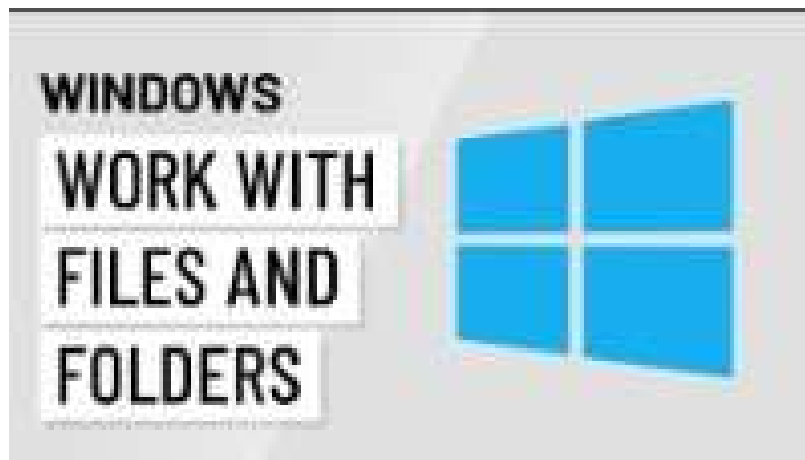


©KIVA Institute, LLC; Cora Kay Chandler, Associate

25

25

Illustration Only. Follow Your Internal Policies



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

26

26

5. Follow the file naming conventions

- Some operating systems (such as Unix) do not allow spaces in file or folder names, so avoid this if your computing environment is mixed. Instead use the underscores as a delimiter (ex. Doe_John_Proposal.doc.) Other characters such as / ? < > \ : * | " ^ are also prohibited in file or folder names under Windows.
- Use descriptive file names for easy identification and retrieval but don't go overboard - file/path names have length limits which vary between operating systems. Under Windows the maximum full path length for a file (ex. the drive letter + folder names + file name) is 260 characters. Use common abbreviations wherever possible, such as Jan for January or Corp for Corporation.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

27

27

6. Be specific

- Give electronic files logical, specific names and include dates in file names if possible. The goal when naming files is to be able to tell what the file is about without having to open it and look. If the document is a letter to a customer reminding him that payment is overdue, call it something like "CustomerName_Overdue_20220115"; rather than something like "letter". How will you know what the letter is to without opening it?
- If you are sharing files via email, or portable devices, you may want to have the file name include more specific information as the folder information will not be included with the shared file.
- EX. if your document resides in My Documents\Invoices\2017\Customers\Doe_John_20180416.doc and the file is shared or emailed, the recipient will see Doe_John_20170416.doc and may not know the file (document) is a customer invoice without opening it.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

28

28

Tips, continued

7. File as you go.

The best time to file a document is when you first create it. Get in the habit of using the "Save As" dialogue box to name and file your document. Put it in the right Folder upon creation (not after completion), will ensure you can retrieve it, should you get interrupted.

8. Order your files for your convenience.

If there are folders or files (documents) that you use a lot, you can force them to the top of the file list by renaming them with a !, an A, or a number at the beginning of the file name.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

29

29

9. Cull your files regularly

- Sometimes what's old is obvious as in the example of the folder named "Invoices" above. If it's not, keep your folders uncluttered by clearing out the old files according to your organization's File Retention Schedule.
- Do not delete business related files unless you are absolutely certain that you will never need the file again. Instead, in your main collection of folders under your root folder, create a folder called "Old", "Inactive", or "Archive" and move old files into it when you come across them.

How Long Must You Keep Business Records? The retention period will vary, see specific guidance for how long you must keep business records.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

30

30

10. Back up your files regularly

Whether you're copying your files onto another drive or onto tape, it's important to set up and follow a regular back up regimen. See The 3 Steps to a Successful Backup System.

- Good File Management Makes Finding What You Want Easy
- Managing electronic documents should be part of an overall document management strategy for your business. A proper document management plan should include all aspects of handling documents, including storage, retrieval, backups, and security.
- The search function is a wonderful thing, but it will never match the ease of being able to go directly to a folder or file. If you follow these file management tips consistently, even if you don't know where something is, you know where it should be - a huge advantage when it comes to finding what you're looking for.
- Good file management practices will save your organization time and money.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

31

31

Records Management Application (RMA)

from NARA Records Management Key Terms and Acronyms (2016) by National Archives and Records Administration (NARA)

- Software used by an organization to manage its records. An RMA's primary management functions are categorizing and locating records and identifying records that are due for disposition.
- RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

32

32

Shared Records

Proper organization of digital documents is especially critical in a shared environment.

If one of your employees is absent (temporarily or permanently!) you should be able to easily locate any documents created or managed by that person.

The potential for loss (or destruction) of data is unfortunately a real possibility with employees who depart due to adverse reasons. This is one more reason to protect your business data.

(See 6 Rules of Business Data Protection).

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

33

33

Managing Content on Shared Drives

https://www.youtube.com/watch?v=MOwwQ5XdbW0&list=PLugwVCjzrJsWbTAKNkRdOj_LsgsVpMHeZ&index=1



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

34

34

Working Files

Active working files are records because they document the work being done and actions taken during the course of tribal government activity.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

35

35

Word of the Week: Record



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

36

36

Personal Records

- Personal records are documentary materials of private or non-public character that do not relate to, or have an affect on, the conduct of the Tribal Business.
- Personal records should be marked as personal but can be subject to review of the Tribe to make sure they are not records of the Tribe.
- Discussion

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

37

37

Phrase of the Week: Personal Papers



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

38

38

Non Record Materials



4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

39

39

Word of the Week: Nonrecord



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

40

40

How Do You Handle Nonrecords Now?

- Supervisor Requirements and Expectations
- Status Quo
- Where Are They Kept?
- How Long Do You Keep Them?

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

41

41

Freedom of Information Act

(5 U.S.C. 552)

The FOIA generally provides that any person has the right to obtain access to executive branch government agency records (Tribes can enact similar laws).

The definition of a record under the FOIA is in some ways broader than the Federal record under the FRA. Some Agency Records under the FOIA are protected for federal defense purposes.

NOTE: Under the Indian Self-Determination Act, contracted programs are excluded from FOIA for the protection of Tribal information.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

42

42

Voicemail

Even Voicemail are records!

- Create Transcripts of substantive voicemail messages
- File related records
- If voicemail is digital, save into records management system
- Voicemail can even serve as records for deadlines etc.
- Discussion

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

43

43

Worksheet

What did I learn about creating and identifying Tribal records that will help me?

List at least one thing that is relevant to your position and responsibilities.

List at least one thing you learned about Tribal Records that you will use and explain how you will apply it.

Questions? Please list them.

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

44

44

Module 2:

What is a Recordkeeping System?

A records keeping system is a manual or electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use and disposition of.

(36 CFR 1220..18)

4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

45

45

Elements of Record Keeping

- Capture or create
- Use, disseminate, or display
- Store
- Preserve

4/26/2023

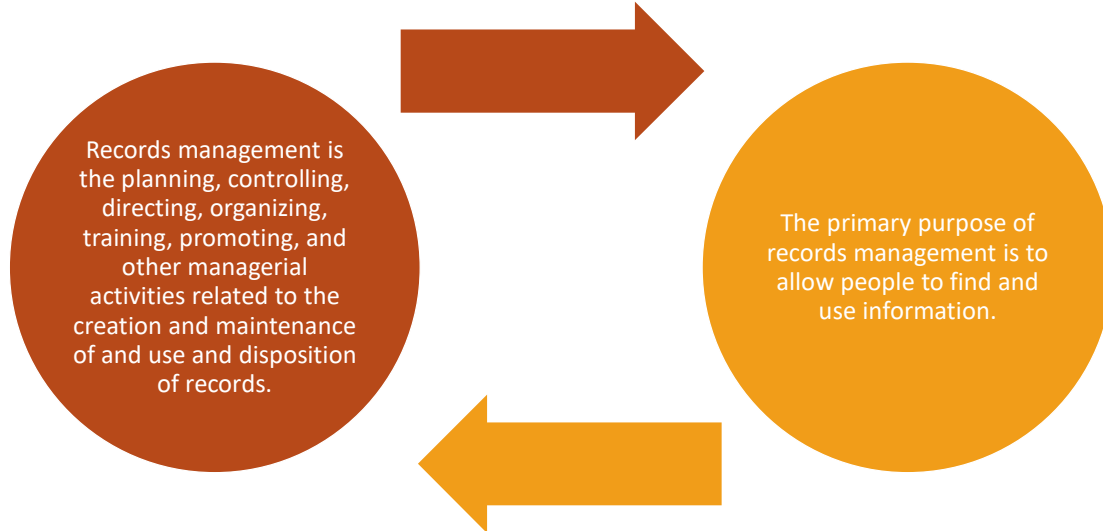


©KIVA Institute, LLC; Cora Kay Chandler, Associate

46

46

Why Manage Records?



4/26/2023

©KIVA Institute, LLC; Cora Kay Chandler, Associate

47

47

Records Management (RM) objectives usually fall into one of three categories

- Service (effective and efficient),
- Profit (or cost-avoidance), and
- Social (moral, ethical and legal) responsibility.

©KIVA Institute, LLC; Cora Kay Chandler, Associate

4/26/2023

48

48

Records Storage & Maintenance

The purpose of records maintenance is to organize and maintain your records to facilitate to use.

- Records maintenance is any action that involves storage, retrieval, and handling of records of the Tribal Government.
- 36 CRF 1222.34 requires that federal agencies (applies to federal funded grants) develop records maintenance programs.

** Federal agencies must implement records maintenance programs so that complete records are filed or otherwise identified and preserved: records are physically segregated from each other: or: for electronic records, are segregable.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

49

49

Requirements for Information and Records Maintenance Programs

- Furnish accurate, timely, and complete information
- Process information as efficiently as possible
- Provide information at the lowest cost possible
- Provide maximum use service to the users.
- Dispose of the records when they are no longer needed

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

50

50

Requirements for a Good Recordkeeping System

As mentioned, record keeping is very important for all organizations.

Every organization should implement a good plan for record keeping.

The following are some requirements that a record keeping system should have.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

51

51

A Good Electronic Recordkeeping System Will

- Collect, categorize and store records automatically.
- Be able to present stored information on demand.
- Be intelligent enough to distinguish documents and to report the status of reports.
- Have built-in mechanisms for frequent record back-ups
- Secure all the organization's records from virus attacks and unauthorized access by intruders.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

52

52

A Good Electronic Recordkeeping System

- Should be able to shift between different record formats and must be able to convert one type of document with other types.
- Should utilize resources, such as disk space, efficiently.
- Should provide custom access privileges to different level users.
- Should be easily customizable to your business requirements.
- Should be easy to operate and should have high adoption rates.
- The maintenance and operating costs must be low enough to your organizational type

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

53

53

Benefits of Good Records Maintenance

- Records are accurate and trustworthy
- Records can be found when needed. Especially for audits and reporting of tribal and federal funds
- Permanent records are easy to identify and retain
- Permanent, temporary, personal papers, and non record materials are separated
- Continuity is provided in the event of a disaster

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

54

54

Benefits, Continued

- Records systems support Tribal Government business and their processes
- Saves cost, space and resources, as well as time
- Records are available long enough to protect rights, ensure accountability and document Tribal Government programs, functions, services, activities, and actions.
- Tribal Government reputation and creditability are enhanced
- Tribal Government customer service and satisfaction are enhanced
- Productivity is enhanced.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

55

55

Problems of Poor Records Maintenance

- Failure to perform the most basic functions government
- Failure to respond to special requests, such as audits and reports for funding agencies
- Inability to recover information (or delays in recovering), from the destruction of important records due to disaster(s)
- Exposure to legal and administrative penalties for improper destruction or ability to provide “proof” of documentation
- Loss of historical and tribal information
- Ineffective operations at various tribal government levels

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

56

56

What Potential Issues Do You See?



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

57

57

Next Steps

- The first step in maintenance is to get your files organized
- The records should be organized into file types, series, and systems for ease maintenance and disposition
- Records should be kept in support of and reflect a business process or function
- Systems can also be maintained via electronic systems, and we recommend this process as best practice

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

58

58

Questions on Creating and Maintaining Government Information and Records

Resources: <https://www.archives.gov/records-mgmt/policy/agency-recordkeeping-requirements.html>

<https://www.archives.gov/records-mgmt/scheduling>

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

59

59

Module 3 Records Scheduling

An effective records management programs on depends on the systematic creation and maintenance of tribal government records and systematic approach to the disposition of records when they are no longer needed for current tribal businesses.

4/26/2023 60

60

What is records scheduling?



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

61

61

Definition of Records Scheduling

- The process of developing an electronic and paper documents in an electronic or paper filing system that provides the specific and mandatory instructions for what to do with records that are no longer needed for current tribal government business.
- Also called a Records Disposition Schedule
- Retention schedule
- Schedule
- Records control Systems

4/26/2023

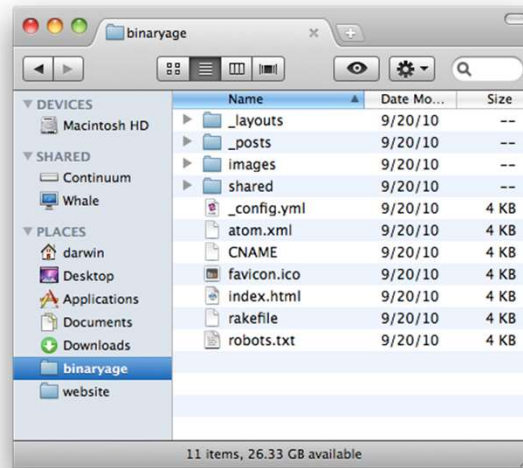


©KIVA Institute, LLC; Cora Kay Chandler, Associate

62

62

Does your Tribal Government currently have a records schedule?



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

63

63

Tribal Records Schedules

Contain series and information system descriptions and dispositions instructions for administrative, program, and non record material along with Tribal Government policies and procedures.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

64

64

Foundation of Records Scheduling

- Legal foundation
- 36 CFR 1225 is the primary source for information about how to schedule records
- Records scheduling will provide all the disposition schedule of most records created by the tribal government.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

65

65

1. The Records Scheduling Process

- Perform business, records and risk analyses
- Review the functions and recordkeeping requirements and best practices of the tribal program office(s) selected for records scheduling
- Examine organization charts, websites, and functional statements to determine the key functions and business processes in each program or organizational unit.
- Consult with the tribal government tribal program managers, informational technology, (IT) managers, and records personal
- Examine related laws and regulations to determine business functions, practices and policies

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

66

66

2. Collect Information for Scheduling

Inventory series, electronic files, electronic systems, and records in all formats, including both records and non records materials.

Decide on the organizational structure of the records schedule.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

67

67

3. Develop the Records Schedule

- Evaluate the records contained in each series, system or groupings to determine their uses and values
- Make a recommendation as to the type of record- permanent or temporary – and then propose specific retention periods
- Make a preliminary assessment of the appropriate disposition of the records in each series or system
- Draft recommended file cutoffs, retention periods, and other disposition instructions for all records along with necessary instructions for all non record material for all the Tribal government programs.
- Use the General Records Schedule of the NARA for all applicable records even as a draft
- Assemble the draft schedule and clear it internally before using the Electronic Records Archives (ERA) system that a Tribal government can use that is online via ERA Agency user Manual requirements
- (<http://www.archives.gov/era/>)

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

68

68

4. Complete the ERA Records Schedule

Complete your draft ERA records schedule forms for review and approval.

The Tribal Government will have to review and adopt the schedule, following the best practices for the General Records Schedule.

The goal is to ensure the Tribal Government complies with federal laws pertaining to the federally funded programs and other funding sources.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

69

69

Word of the Week: Records Schedule



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

70

70

Federal Agency Records Management Oversight

- There are four primary agencies that have oversight of the federal agencies records management process:
- National Archives and Records Administration (NARA)
- General Services Administration
- Office of Management and Budget (OMB)
- Government Accountability Office (GAO)

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

71

71

Take-Aways

When Tribal Governments operate without a proper records schedule there will be lots of room open to loss of records and important documentation. We will look at examples of records schedules to show how records scheduling is used.

Discussion; Question & Answer Session

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

72

72

Module 4

Records Program Implementation

73

Word of the Week: Inventory



74

Key Terms: Records Inventory

A complete and accurate survey of the Tribal Government's business information that documents the records created, received, and used by the tribal government. It is the first step to creating the records schedule and file plan.

The inventory is accomplished by describing, quantifying and recording specific information so that the tribal governments business can be analyzed for developing, implementing or improving a records management program.

Records inventories need to be maintained to keep your schedule and file plans up to date. The recommendation is that tribal government and federal agencies conduct one every one to three years.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

75

75

Key Term: Administrative Records

- Records created to support a Tribal government's common activities that support the Tribal government's mission activities but do not directly document the performance of the mission functions.
- Administrative records relate to activates such as budget and finance, human Resources records, equipment and supplies, contracting, Tribal leases, public and legislative relations...etc.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

76

76

What Records Schedules Tell Us

- What records the tribal government creates and maintains
- Whether records are temporary and permanent
- If, and when, records are to be transferred to NARA or to off-site permanent storage site the tribe as set up for records to be properly stored
- When records can be destroyed

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

77

77

Example of a Schedule

2. ADMINISTRATIVE RECORDS				
Series #	Series Title	Series Description	Disposition Instructions	Citation
G8	Civil Rights File	Records concerning agency participation in federal and State affirmative action/equal opportunity programs, including Title VII of the 1964 Civil Rights Act, the Equal Pay Act, the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), and the Genetic Information Nondiscrimination Act (GINA). File includes reports and plans required by federal statute, including facility accessibility records under the ADA. <i>See also Civil Rights Case File (Item G150).</i>	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	Authority: 29 CFR 1602.7 29 CFR 1602.30 29 CFR 1608.4
G9	Complaints File	Complaints made by and received from citizens and employees. <i>See also Discrimination Complaints File (Item G12).</i>	Destroy in office 1 year after settlement of complaint.*	
G10	Conferences and Workshops File	Records concerning conferences and workshops conducted by or attended by agency employees. File includes participant lists, handouts, and other related records. <i>See also Asbestos Training File (Item G146), Bloodborne Pathogen Training File (Item G149), Hazardous Materials Training File (Item G170), and Training File (Item G197).</i>	Destroy in office after 1 year.	
G11	Customer Call Center Recordings File	Records concerning calls to agency customer service centers, made for quality assurance and training purposes.	Destroy in office after 30 days.	
G12	Discrimination Complaints File	Records concerning formal discrimination complaints and allegations filed against the agency. <i>See also Complaints File (Item G9).</i>	Destroy in office 2 years after settlement of complaint.*	
G13	Emergency Management File	Records concerning evacuations, preparations for disasters, and operations in the event of disasters. Includes Continuation of Operations Plans (COOP) and Business Continuity Plans (BCP). <i>See also Disaster Preparedness and Recovery Planning File (Item G125).</i>	Destroy in office when superseded or obsolete. <i>Retention Note: Submit copy of disaster recovery plan annually to the State Chief Information Officer in compliance with G.S. § 147-33.89(b).</i>	Authority: G.S. § 147-33.89(b) Confidentiality: G.S. § 132-1.7(b)

*No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable. See also [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

78

78

Records Series

A records series is the basic unit for organizing and controlling files. It is a group of files or documents kept together either physically or electronically because they relate to a particular subject or function result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance or use.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

79

79

Series, continued

- The most common unit of records is called a "series." A series of records were accumulated and used together for a specific purpose, during a specific period. The records in a series are usually arranged in a particular order (date, alpha, numeric, document purpose, information, etc.).
- For example, think of your financial statements at home and how you might use them each year to prepare your taxes. Perhaps you have kept them in a folder and arranged them by year and then by the month of each report. This file might be a records series. It would have a different purpose and arrangement than other records series that you keep, for example: a file containing your children's or pets' vaccination and health records.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

80

80

Comprehensive Schedules

- A comprehensive schedule shows the tribal record series and systems as separate items, which are individually scheduled for appropriate disposition.
- In a comprehensive schedule, series are usually arranged primarily by function or organization.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

81

81

Common Elements of Schedules

- Item and title
- Item description
- Dispositions Instructions
- Disposition Authority

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

82

82

Functional Arrangement

- Records series or systems are arranged and listed by purpose
- Each records series or system is scheduled individually
- Functionally arranged schedules may be suitable if multiple offices perform the same function or work

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

83

83

Organizational Arrangement

- Record series and systems arranged by organizational unit.
- Example:
- # , Tribal Leases records, disposition

4/26/2023



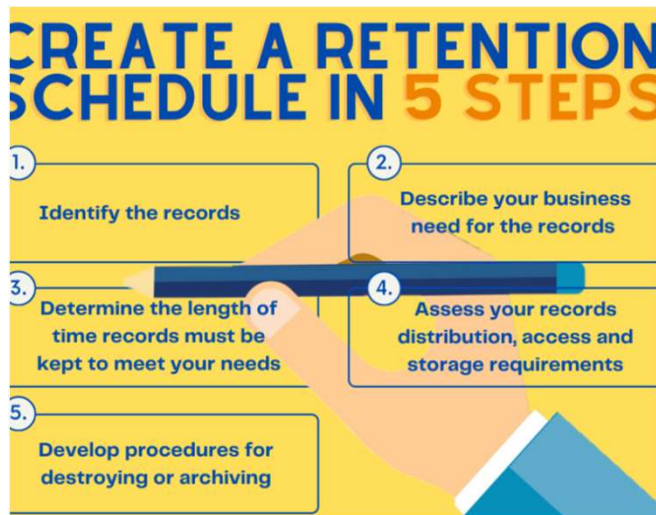
©KIVA Institute, LLC; Cora Kay Chandler, Associate

84

84

Records Schedules

Help us ensure that records important to the business of the Tribal Government are systematically maintained and preserved for as long as they are needed.



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

85

85

Implementing the Records Schedule

- Do the records inventory
- Developing the policy and procedure
- Train staff at all levels
- Develop a records management position and liaisons for each department
- Create a buy-in into the program by allowing for participation at all stages of development and implementation
- Show the importance of records scheduling and the records management program

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

86

86

Creating and Using File Plans; recommend starting at 23:00 <https://www.youtube.com/watch?v=eDOjIJM8IMA&t=117s>



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

87

87

Sample File Plan @ 39:00 of Video

		DISPOSITION INSTRUCTIONS	LOCATION	VITAL RECORDS	PRIVACY ACT
FM		FISCAL MANAGEMENT STAFF			
FM011	Budget and Finance Policy Files	PLSD: transfer to NARA 10-yr block when 20 yrs old	Main File Station-FM		
FM012	Accounting Files	TEMP Destroy 6yr 3 mo	Main File Station-FM		
FM013	Dodger Estimates and Justification	TEMP Destroy 5 yrs old	Main File Station-FM		
FM014	Budget Files	TEMP Destroy 10 yrs after cutoff	Main File Station-FM		
FM015	Approved Grants	TEMP Destroy 20 yrs after completion	Main File Station-FM		
FM016	Denied Grants	TEMP Destroy 3 yrs after disapproval	Main File Station-FM		
FM017a	Routine Procurement Files-over	TEMP Destroy 6 yr 3 mo	Main File Station-FM		
FM017b	Routine Procurement Files under	TEMP 3 yrs	Main File Station-FM		
FM017	Information Collection Files	TEMP 2 yrs	Main File Station-FM		
	Special Project Automated Management System (SPAMS)	UNCLASSIFIED			

You can put more of a description if you wanted to in that second column, "Budget and finance policy files."

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

88

88

Records Management Staff, Records Liaisons and File Custodians

- Schedule implementation roles and responsibilities
- Responsible for all aspects of schedule implementation
- Responsible to know, understand, and effectively implement the schedule
- Reflect the responsibilities in position descriptions

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

89

89

Program and Office staff, including Contractors

- Schedule implementation roles and responsibilities by position
- Recognize that the office's records are tribal government property and consist of recorded information required by law or used to conduct tribal business
- Avoid removing records from office without proper authorization
- Emphasize cooperating with the designated tribal records custodian is required and mandatory
- Recognize and communicate record keeping responsibilities of your program to your staff

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

90

90

Program Managers

- Ensure their office has a designated records custodian with formal roles and responsibilities
- Implement procedures to prevent departing employees from destroying records or removing records from the premises
- Ensure the records custodian is adequately trained and follows the records schedule in carrying out the disposition of the records
- Ensure that Federal recordkeeping requirements are addressed in contract and grant awards and that contractors meet the federal recordkeeping requirements.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

91

91

Information Technology Staff and Managers

- Should be well versed in managing records information systems
- Should work as a partner with Records liaisons, records custodians, and others to ensure that the design and implementation of the recordkeeping system incorporates the requirements of the records schedule adopted and approved by the tribal government.
- Assist in overseeing the creation, maintenance, and disposition of records within the information system

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

92

92

Tribal Council and Legislative Staff

- Tribal Governments will also need legal advice and assistance in the implementation of the records schedule.
- Consult with Records Management consultants to find best practices or to help with the development, design, and implementation of the recordkeeping system.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

93

93

Discussion; Question & Answer Session

- References
- NARA's website <http://www.archives.gov/>
- corakay2013@gmail.com

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

94

94

Module 5: Asset and Risk Management

An asset is anything of value or perceived value

Asset management is the process of documenting and controlling all assets, either in use or under development by the Tribal Government

Asset management involves recognizing what your assets and what you need to protect them,

The records are the assets, and the records inventory and records schedules are tools to document and manage tribal assets.

4/26/2023 95

95

Types of Records Management Risks

- Disaster- related risks- fire, flood, etc.
- Records control risks- theft
- Records life cycle risks – inadequate or over burdensome
- Technology risks – unauthorized access, theft
- Records preservation risks

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

96

96

Disaster Related Risks

- Natural disasters
- Mechanical, structural and technical disasters,
- Human disasters
- Records that have risks of not being recovered

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

97

97

Records control risks: Physical Control

- Without proper records control, the tribal may lose valuable information and records, essentially, losing tribal memory.
- When valuable program and administrative information are not captured and retained properly, tribes may face the risks of
 - poor decisions based on outdated or incomplete information
 - risk of incorrect information given to federal funding agencies and
 - risk of the loss of the historical records of the Tribes work.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

98

98

Records Storage

- Records storage environments may not provide proper security, or they may offer poor environmental controls, leading to the deterioration or destruction of the records.
- Careless or improper handling of paper and electronic media can pose a preservation and loss risk.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

99

99

Media Storage

The media on which records are stored may pose a risk

- Ensure the electronic system is backed up daily and or stored in the cloud
- A lack of effective access controls may pose the risk of loss and theft or unauthorized release of sensitive or classified information.
- Discussion

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

100

100

Intellectual Control Risks

- Failure to create or capture records. Ex: Not taking council minutes.
- High ranking officials take records off-site and do to return them.
- Departing employees don't share information or document locations prior to leaving.
- Disgruntled departing employees destroy records
- Departing employees take documents that belong to the organization

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

101

101

Records Lifecycle Risks

- Retention periods are designed to ensure records are kept for the right amount of time- not too long and not too short
- Legal- the risk of losing a legal challenge because the tribe may not have created or maintained records necessary to prove it's case.
- Security - Inadequate physical and network security measures increases the risk or alteration of records.
- Business- the risk of bad decision making without accurate and timely records. Poor organization of records hinders daily operations, rendering the program ineffective.
- Personal risks that arise from daily interactions of individuals, teams of people, outside contractors, and management.
- Accountability – this risk entails not being able to satisfy public scrutiny to provide full transparency because the records where not created or maintained appropriately.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

102

102

Technology Risks

- Decentralized storage
- Technological obsolescence
- Data Migration
- Hardware failure/media failure
- Viruses
- Discussion

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

103

103

Long Term Preservation Risks

- Access and retrieval
- Technological
- Environmental
- Physical format

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

104

104

Project Related Risks

- Financial
- Technical
- Operational
- Schedule
- Legal and Contractual
- Organizational

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

105

105

Addressing Risk Through Assessment

- User interviews and reviews of records management system and processes
- Expert interviews and evaluation of systems
- Brainstorm needs and improvements with users, program staff, and the tribal internal controls auditors on an on-going basis
- This is a brief overview of possible risks that pose a threat to an organization's records

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

106

106

Questions?

Discussion

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

107

107

Module 6: Records Management Program Information and Electronic Records Management

- According to 44 U.S.C. 2901, records management is planning and controlling, organizing, training and promoting and other managerial activities involved in:
- Records Creation
- Records Maintenance and use
- Records Disposition
- Achievement of adequate and proper documentation
- Achievement of effective and economical management of tribal operations.

4/26/2023 108

108

Key Program Requirements

- Records creation and recordkeeping requirements
- Records maintenance and use
- Records disposition
- Electronic Records
- Off site storage
- Vital Records programs

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

109

109

Records Program Components

- Promotion
- Training
- Implementation
- Inspection
- Goals

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

110

110

Starting a Tribal Government Records Program

- Establish Tribal Government Recordkeeping goals
- Identify responsibilities
- Develop a formal Records Management Policy

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

111

111

Electronic Records Management

- ISO standard 15489: 2001 defines Records Management (RM) as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- Electronic Records Management (ERM) ensures your organization has the records it needs when they are needed.
- Records management refers to a set of activities required for systematically controlling the creation, distribution, use, maintenance, and disposition of recorded information maintained as evidence of business activities and transactions.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

112

112

Electronic Records Management, continued

- The key word in this definition is “evidence.” Put simply, a record can be defined as evidence that a particular event took place: a birth, an X-ray, a purchase, a contract approval, the sending and receipt of an email. Records management is primarily concerned with the evidence of an organization's activities and is usually applied according to the value of the records rather than their physical format.
- Essential records management capabilities include assigning unique identifiers to individual records, providing safeguards against unauthorized changes being made to those records, and creating an unbreakable audit trail for reasons of accountability and eDiscovery.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

113

113

[Office of Trust Records | U.S. Department of the Interior \(doi.gov\)](https://www.doi.gov/bureauoftrustfundsadministration)

U.S. Department of the Interior

Bureau of Trust Funds Administration

About ▾ Beneficiary Services ▾ News ▾ Contact Us ▾

Office of Trust Records

Under the Bureau of Trust Funds Administration, the Office of Trust Records manages a records and information program that upholds the legal obligation of the trust relationship between the Federal government American Indians and Alaska Natives. This office safeguards millions of original, historic documents describing the Federal government's treaty obligations to Native Americans. We store most of these records at the American Indian Records Repository in Lenexa, Kansas.

Our Services

1. Records and information management guidance to the Assistant Secretary - Indian Affairs, Bureau of Indian Affairs (BIA), Bureau of Indian Education (BIE), Bureau of Trust Funds Administration (BTFA), and other [Department of the Interior \(DOI\)](#) bureaus that create Indian trust records.
2. Policy, guidance, procedures, technical assistance, and training for Department of the Interior organizations that create, manage, or use Indian Fiduciary Trust Records.
3. Technical assistance to Indian tribes for [Public Law 93-638](#), contracted and compacted programs to develop and implement a Tribal records management program.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

114

114

Office of Trust Records

Other Responsibilities

- Identification of records and information, regardless of format or medium;
- Developing and implementing records management-related policies, training and guidelines;
- Reviewing new and existing records management-related laws, regulations and policies;
- Identifying appropriate record series and records schedules;
- Assisting personnel with records disposition;
- Informing personnel of current DOI litigation holds and records freezes affecting records' destruction;
- Advising employees of their records management obligations;
- Providing Electronic Records Management guidance; and
- Coordinating with all appropriate parties to resolve records management-related inquiries.



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

115

115

Records Management Programs

Contribute to the preservation of a tribe's contemporary cultural and governmental story. Culturally, Native American tribes practice recordkeeping. Images found painted on a tipi or buffalo hide, etched in pottery or stone, or in ancient tales passed down through oral tradition all help preserve ancestral customs.

OTR promotes records management to tribes and provides records management services and training upon request. OTR currently assists compact/contract tribes with records management. If a tribe does not currently practice records management, OTR will provide guidance and technical assistance to create a records management program.

RECORDS MANAGEMENT RESOURCES - Click to Download

- [Tribal Request to Research Records at AIRR \(PDF\)](#)
- [Research Request Form \(IARM Form 4001\) \(PDF\)](#)

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

116

116

Division of Land Titles and Records

- The Indian Land Record of Title is the official record of title documents and instruments affecting Indian land that require approval by the Secretary or other Federal officials. The Division of Land Titles and Records (DLTR), and its 18 Land Titles and Records Offices (LTRO), are the official Federal offices-of-record for all documents affecting title to Indian lands, and for the determination, maintenance, and certified reporting of land title ownership and encumbrance on Indian trust and restricted lands. All title documents affecting Indian land are to be recorded in the Indian Land Record of Title. The DLTR-LTRO is the office responsible for maintaining the Indian Land Record of Title and for examining and determining the completeness and accuracy of the records, certifying the findings of examination and reporting the status of title to Indian trust and restricted lands.
- The DLTR provides for the normal day-to-day operations and maintenance costs of the Division's 18 Land Titles and Records Offices. The mission of the DLTR is to maintain timely and certified Federal land title ownership and encumbrance services, to record, maintain, and certify land title documents, including patents, deeds, probate orders, leases, rights-of-way, cadastral surveys, plats, subdivision, and other Indian land title documents, to provide certified Title Status Reports (TSRs) that are accurate, timely, accountable and efficient, and state the complete status of title ownership and encumbrance for Federal Indian trust and restricted lands.
- The Division and its LTRO perform the timely processing of all trust land titles and title documents in direct support of the trust responsibility. The examination and certification of Indian land titles requires that all the documents affecting the title to the tract of land be recorded and examined for accuracy and to verify each owner's interest in the tract and the encumbrances on such ownership. The average time to prepare a TSR, depending upon the number of landowners, number of title documents, and the complexity of the title issues, may range from as little as one hour to as much as several days.
- The modernization of automation of the recording process, including the creation of digital images of recorded title documents in the Trust Asset and Accounting Management System (TAAMS) Title Image Repository (TIR), and the management of ownership and encumbrance, has increased the efficiency, effectiveness, and the delivery of land title services, documents, and reports, on all Indian trust and restricted lands.

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

117

117

"100 Years" Elouise Cobell – A Lesson in the Value of Recordkeeping



4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

118

118



The **Privacy Act of 1974** ([Pub.L. 93–579](#), 88 Stat. [1896](#), enacted December 31, 1974, [5 U.S.C. § 552a](#)), a [United States federal law](#), establishes a Code of Fair Information Practice that governs the collection, maintenance, use, and dissemination of [personally identifiable information](#) about individuals that is maintained in systems of records by federal agencies. A system of records is a group of records under the control of an agency from which information is retrieved by the name of the individual or by some identifier assigned to the individual. The Privacy Act requires that agencies give the public notice of their systems of records by publication in the [Federal Register](#). The Privacy Act prohibits the disclosure of information from a system of records absent of the written consent of the subject individual, unless the disclosure is pursuant to one of twelve statutory exceptions. The Act also provides individuals with a means by which to seek access to and amendment of their records and sets forth various agency record-keeping requirements. Additionally, with people granted the right to review what was documented with their name, they are also able to find out if the "records have been disclosed" .. and are also given the rights to make corrections.^[1]

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

119

119

Discussion

Other References:

https://en.wikipedia.org/wiki/Privacy_Act_of_1974

<https://www.archives.gov/>

4/26/2023



©KIVA Institute, LLC; Cora Kay Chandler, Associate

120

120

Thank you! It has been a
pleasure.

Email me at corakay2013@gmail.com

or

info@kivainstitute.com