

Operational Reviews

Surviving an External Records Program Inspection



Presented to the Digital
Government Institute

March 17, 2011

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Washington Headquarters Services (WHS)/Office of the Secretary of Defense (OSD) Records Administrator

- Supports the Secretary of Defense, Defense Agencies and DoD Field Activities
- Records program covers:
 - 5 Under Secretary of Defense (USD) Offices
 - 14 Assistant Secretary of Defense (ASD) Offices
 - 8 Directorates
 - 23 Field Activities and Agencies
- Records types range from correspondence to congressional inquiries/reports, research and scientific case files and FACA Committees
- Oversight and Assessment of OSD Components
- Management of OSD's Executive Archives

OSD and WHS in Context



Office of the Secretary of Defense

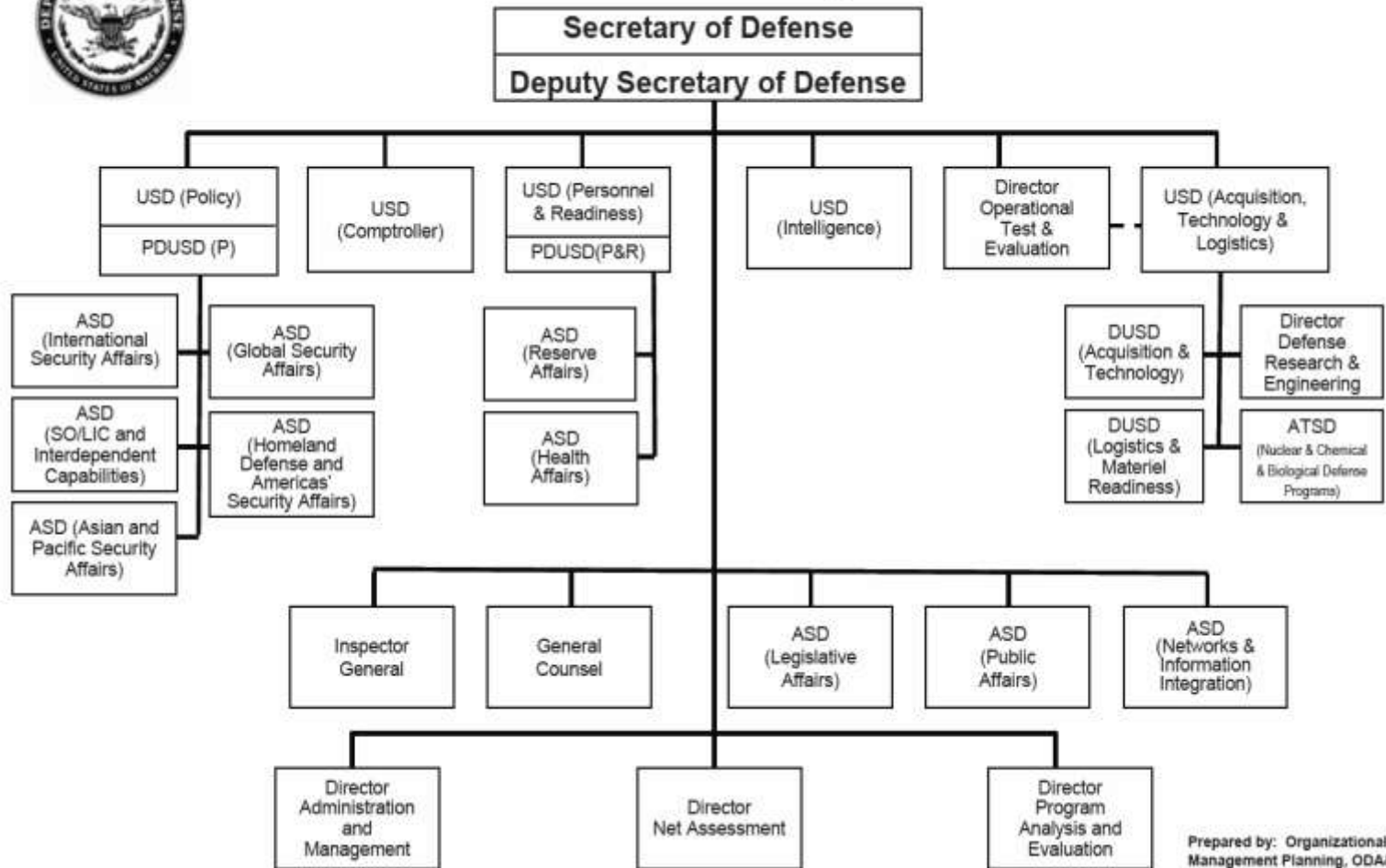


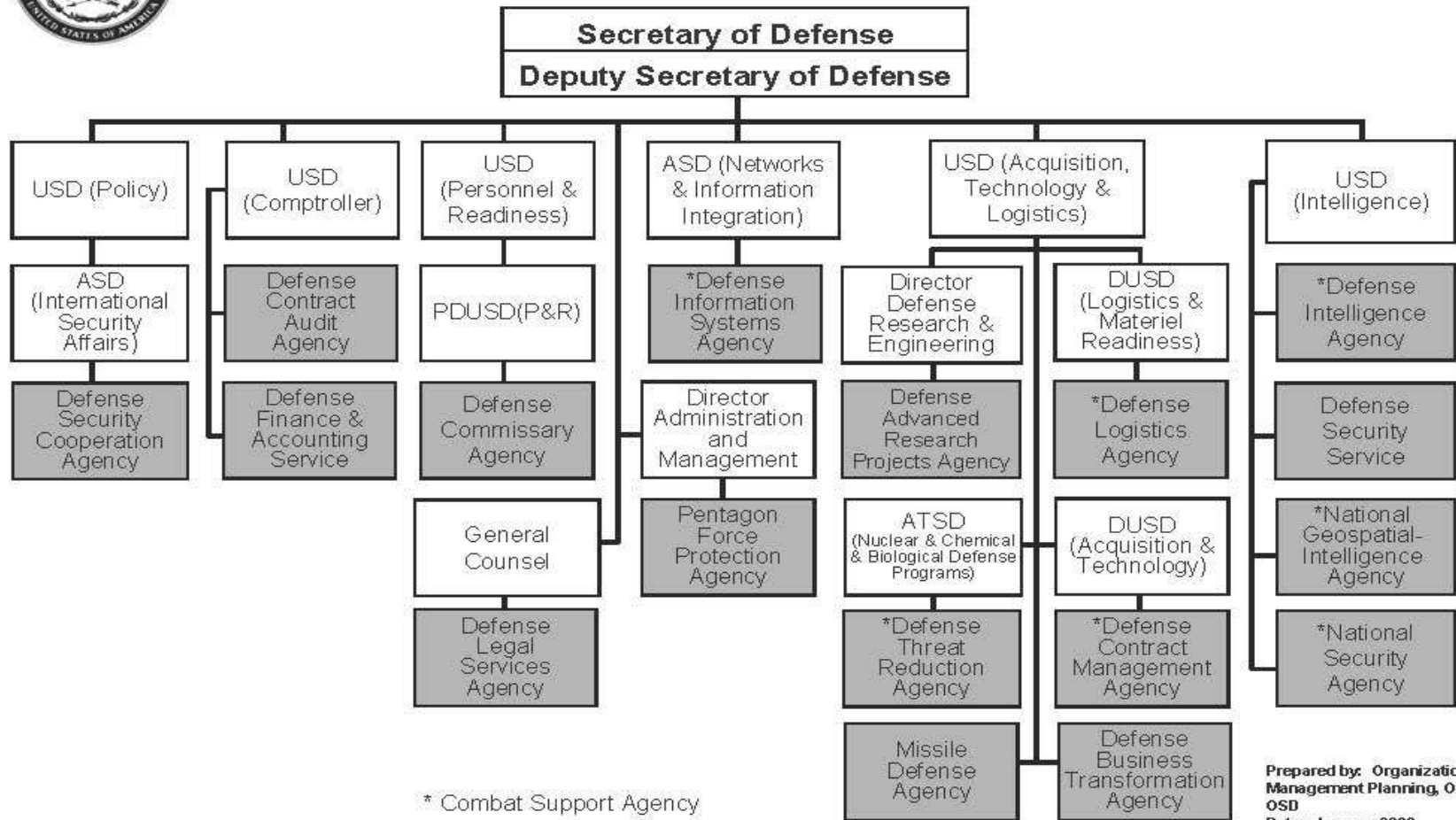
Chart reflects PAS officials and those reporting directly to the Secretary and Deputy Secretary of Defense

Prepared by: Organizational & Management Planning, ODA&M, OSD
Date: January 2008

OSD and WHS in Context (Continued)



Defense Agencies



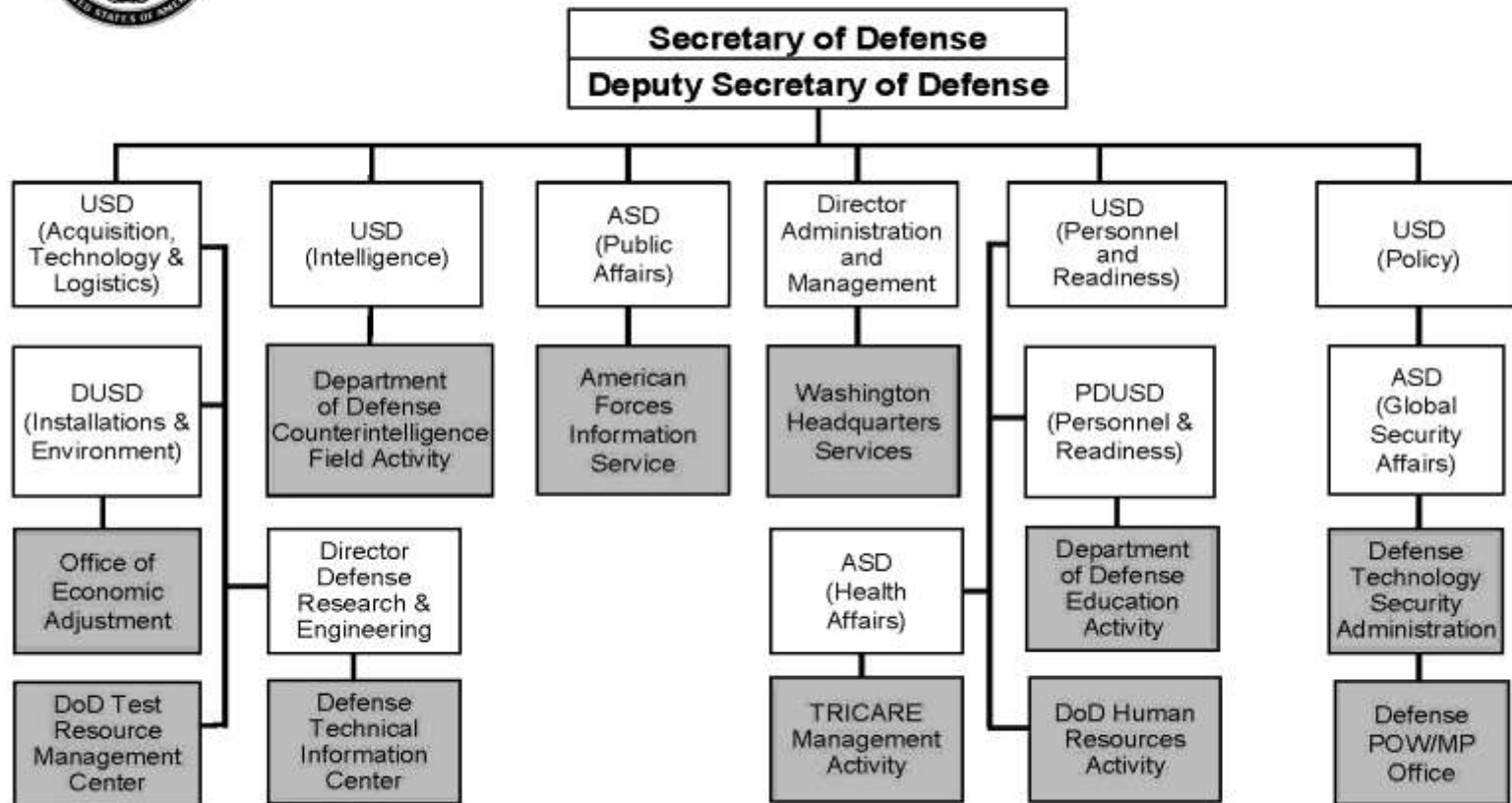
* Combat Support Agency

Prepared by: Organizational & Management Planning, ODA&M, OSD
Date: January 2008

OSD and WHS in Context (Continued)



DoD Field Activities



Inspection Background

- Early 2010 NARA informally notified the Washington Headquarters Services (WHS) Records Management and Declassification Division (R&DD) of the upcoming inspection of the Office of the Secretary of Defense (OSD)
- April 2010 the Secretary of Defense received formal notification from NARA of the inspection
- OSD notified the offices identified on the inspection list of the NARA inspection
 - Office of the Under Secretary of Defense for Intelligence (OUSDI)
 - OSD Chief Information Office for Enterprise Vault (E-Vault)
 - RDD for the OSD Executive Archive





OSD Executive Archives (OSD EA)

- Consolidated electronic archive of PSA-level documents that record the accomplishments each administration
 - Documents key issues or conflicts of the OSD; includes 9-11, Coalition Provisional Authority, special studies, task forces, and personal files collections – including former Secretaries, Deputy Secretaries and Under Secretaries
 - Contents approved by the heads of the OSD Components and/or the OSD Records Administrator, in any media or format

OSD EA enables authorized users access to top level documents of SecDef/DepSecDef and the heads of OSD Components. Used to respond to FOIA, Litigation, Congressional requests, and historical research

Inspection Focus

OUSD(I)



- Traditional Recordkeeping Practices
- OUSD(I) Records Management Structure
- Review records since relatively new office

OSD CIO



- Archiving of e-mails via E-vault
- Archiving of shared drive files via File Vault
- Records Management Considerations

WHS R&DD



- Scanned Records Retired to WNRC
 - Scanning process
 - Selection of records for scanning
- Records within OSD Executive Archive

Preparing for the Inspection

1-Prepare Management

- Brief Agency Heads
- Identify Agency Records Liaisons
- Explain purpose and scope

2-Prepare offices

- Explain the process
- Ensure appropriate resources available
- Ensure the right personnel are involved
- Ensure the documentation is available
- Provide training as needed

3-Coordinate with NARA

- Identify the inspection process
- Identify inspection time frames
- Identify inspectors
- Ensure clearances are provided
- Provide background information on offices to be inspected to NARA

4- Schedule dates and times

- Ensure availability of appropriate personnel and back up personnel are identified
- Ensure escort personnel are available
- Ensure conference rooms are available

5-Prepare for the inspection:

- Ensure offices have provided preliminary documentation
- Ensure offices have reviewed and answered preliminary questions
- Confirm dates and times for all parties
- Make training available for interested personal
- Conduct a final walk-through or meeting with office
- Inform management of any concerns/issues

During the Inspection – Lessons Learned

- Be Flexible
 - Conference rooms can be pre-empted
 - More people may show up than expected
 - Weather, traffic, or directions may cause delays
- Arrange for alternate POCs - in case mission calls primary POC away suddenly
- Check your ego at the door
 - No matter how well you prepare, something wrong will happen
 - People will use the wrong terminology (i.e., call a spreadsheet a “database”)
 - Databases being demonstrated may experience technical glitches
 - View the inspection as an *opportunity* to find areas for improvement
- Prepare yourself
 - Wear comfortable shoes – you will be standing/walking around for hours
 - Carry cough drops or throat lozenges
 - Try to get a good night’s sleep before the inspection
 - Plan to take time off afterwards

After the Inspection

- Immediate Aftermath
 - Reviewing Report
 - Draft Version
 - Accuracy
 - Completeness
 - Final Version
 - Review Findings – both favorable and unfavorable
 - Review Recommendations
 - Managing findings and recommendations
 - Brief Leadership
 - Develop Plan of Action with Milestones
- Long-Term Outcomes
 - Opportunity to promulgate records management
 - Generated more interest in records management among the staff
 - Increased communication between records management and CIO office



Looking Ahead



- Review your Records Program holistically
 - How can you leverage the findings and recommendations across the enterprise?
 - What policies or procedures need to be enacted or amended?
 - What training courses need to be added or updated?
 - What other outreach activities need to be implemented?
- Develop a To Be model for the future
 - How does the Agency get to the To Be?
 - What are the milestones and Timeline?

Federal Information and Records Management Council (FIRM)

Federal Information and



Records Managers Council

Topics:

Perspectives (Internal/External)

**Preparation
(Stakeholders/Indicators)**

**Process (Steps, Methods, and
Resources)**

**Policies (Mission, Compliance, and
Risk)**

**Results (Interim, Verification,
Finds)**

Value (Internal/External)

FIRM Council Forum on:
Records Management
Operational Reviews
May 18, 2011 9:00 AM to 12:15
PM at the Government
Accountability Office (GAO)



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