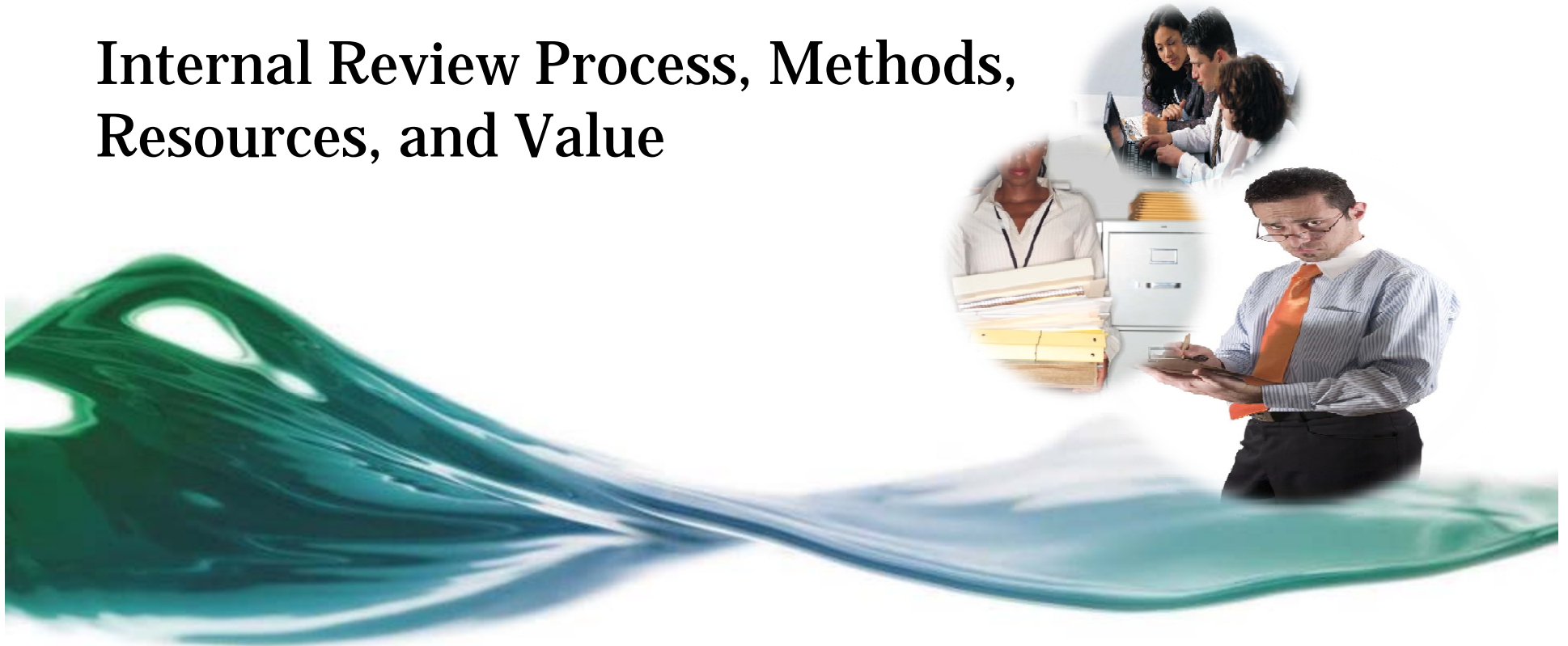


Operational Reviews

Internal Review Process, Methods,
Resources, and Value



FIRM Council Forum

May 18, 2011



Agenda

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Records Program
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Immediate & Long-term Outcomes

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Looking Ahead

OSD and WHS in Context

Office of the Secretary of Defense

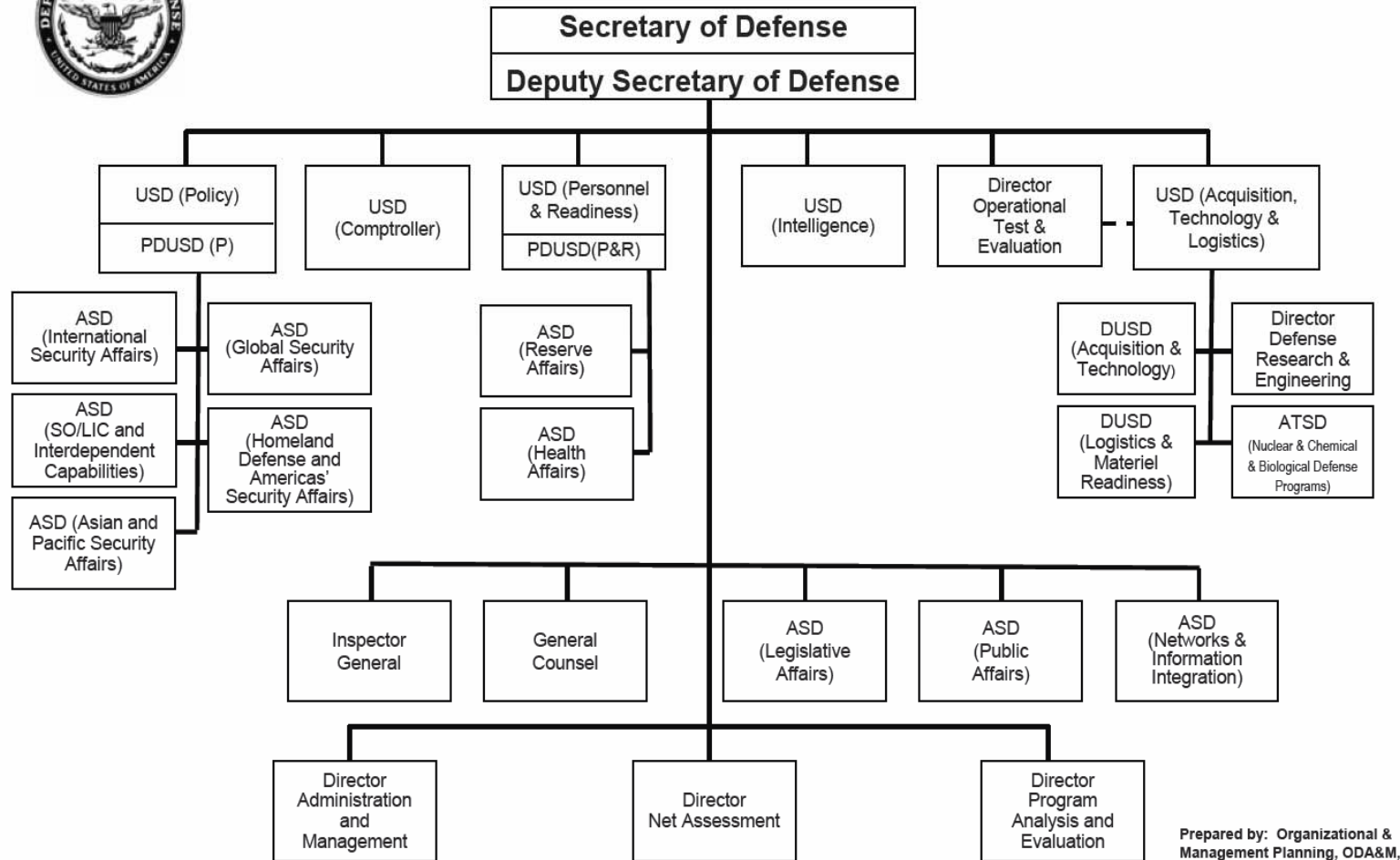
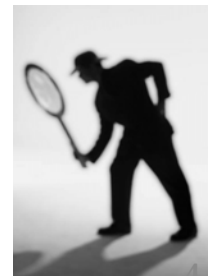


Chart reflects PAS officials and those reporting directly to the Secretary and Deputy Secretary of Defense

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

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 (OUSD(I))
 - OSD Chief Information Office for Enterprise Vault (E-Vault)
 - RDD for the OSD Executive Archive



Inspection Focus

OUSD(I)



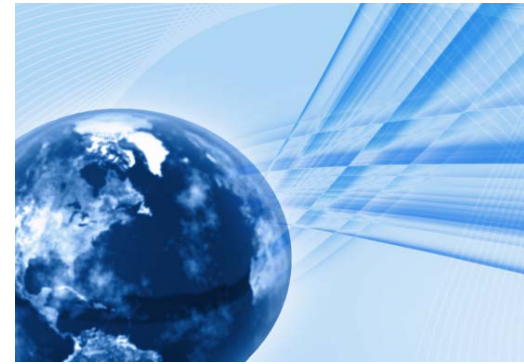
- Traditional Recordkeeping Practices
- OUSD(I) Records Management Structure
- Review records since relatively new office

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

Perspectives



Offices

- Why us?
- What do we need to do?
- Who needs to be involved?
- What do they want to see?
- How do we prepare?
- How do we deal with this and still complete our mission?

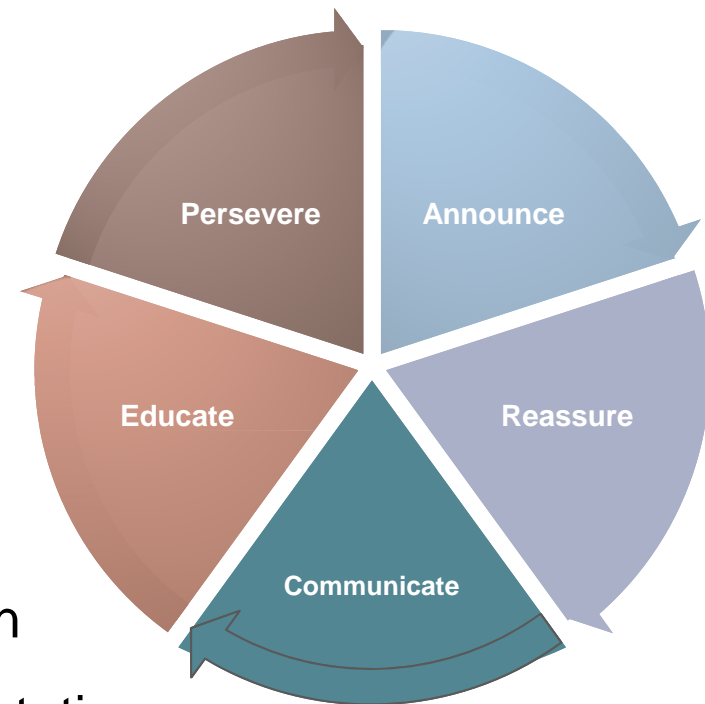


R&DD

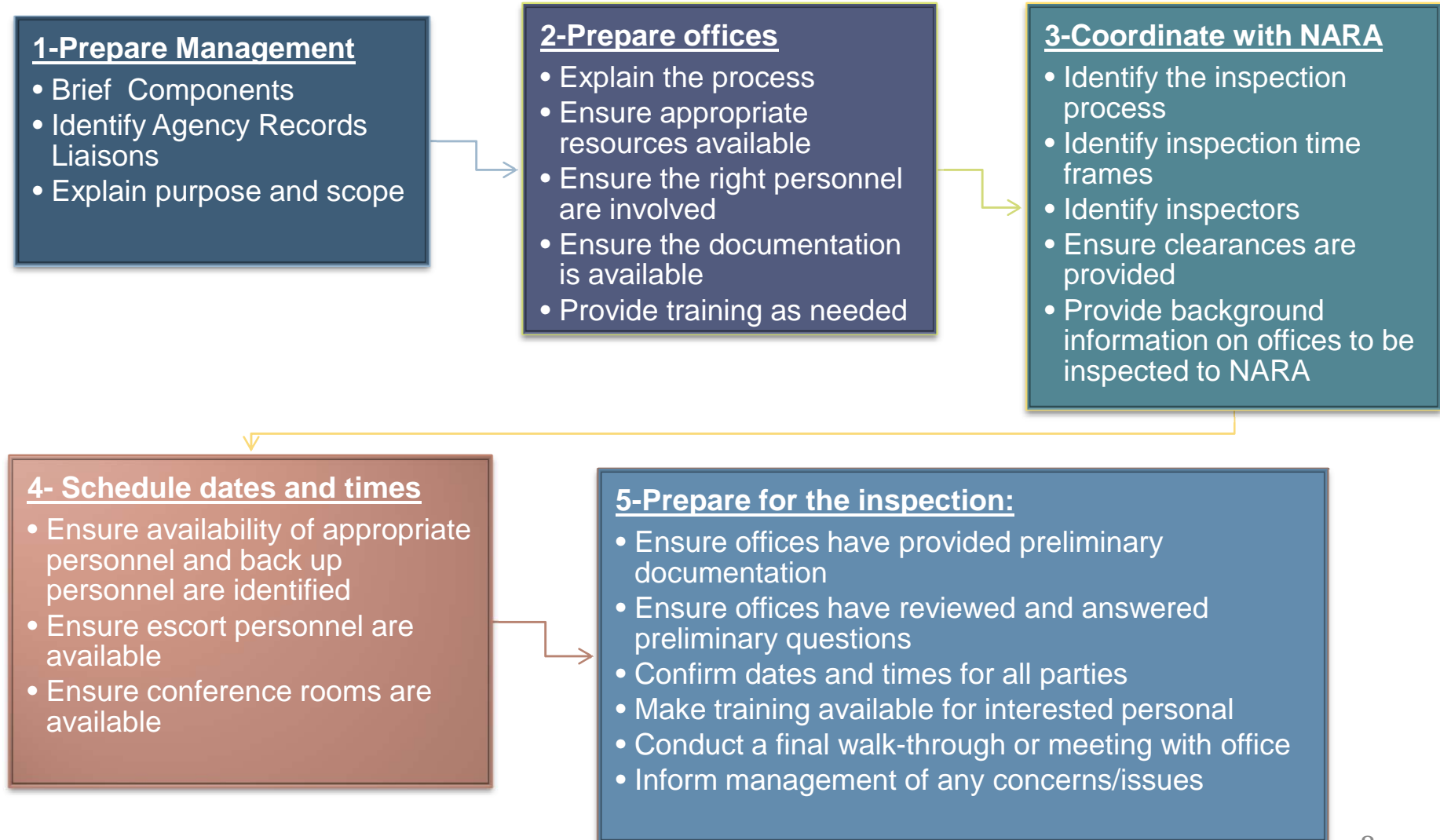
- What is our role in the process?
- How do we best support the offices?
- What do we need to provide?
- How do we manage expectations
- What does NARA need to have before the inspection?
- What will NARA ask?

Preparing the Stakeholders

- Brief Management
- Brief Records Staff
- Provide refresher training
 - Go over terminology
 - Go over file structure
- Provide questions before the inspection
- Provide all relevant reference documentation
- Explain the process
- Provide them a listing of the documentation NARA will need
- Tell them to be flexible and patient



Preparing for the Inspection



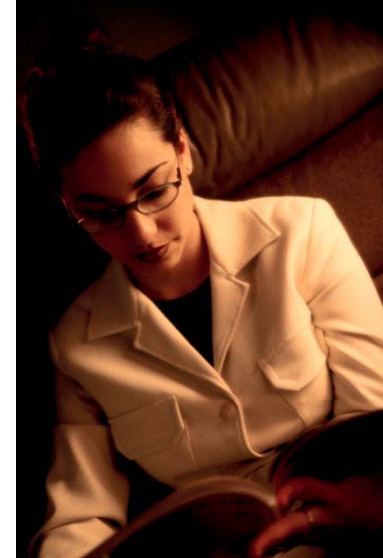


During the Inspection – Lessons Learned

- 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
 - Thank all participants
 - Take a step back
 - Review notes and comments
 - Evaluate potential outcomes
- Reviewing Report
 - Draft Version
 - Accuracy-Coordinate with inspected offices
 - Completeness-Address all concerns
 - Final Version
 - Review Findings – both favorable and unfavorable
 - Review Recommendations





Managing Findings and Recommendations

- Communicating findings and recommendations
 - Brief Leadership
 - Brief the Offices
 - Recommend solutions to NARA findings
 - Ensure potential stakeholders are on board
 - Ensure offices clearly understand any potential long-term solutions
- Develop Plan of Action with Milestones
 - Let the offices identify the timelines and any additional milestones
 - Provide NARA a draft of the Plan of Action before formal submission to address any potential issues
 - Have a meeting with the offices and NARA staff to discuss any issues

Findings and Recommendations – In Summary

Findings

OUSD(I) to inventory records

Submit notification for OUSD(I) perm. staff packages

Submit Action Plan on email management

Submit Notification for Executive Archives

Response

Issued Memo and Provided training for OSD

Issued to NARA September 2010

Meeting with NARA and IT to work out process

Notification sent February 2011

Result

Revision of policies & disposition schedule

Records managed electronically

Defined Process for OSD email records

Ability to manage EA material electronically



Outcomes

- Long-Term Outcomes
 - Better understanding of NARA expectations
 - Confirmation of the positives and the negatives provides an opportunity to promulgate records management
 - Generated more interest in records management among the staff
 - See records as a business asset
 - Greater appreciation for the agency records schedule
 - Created a new training class
 - Perception of records management program has changed
 - Increased communication between records management and CIO office
 - Improved working relationship
 - Opportunity to partner

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?



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