

NIS/TF

Communications and Records Needs Assessment

Prepared by

LTS Corporation
1500 Wilson Blvd, Suite 1010
Arlington, VA 22209-2404
(703) 351-4006
(703) 351-4039 FAX

26-February-1993

Table of Contents

1.0	Executive Summary
1.1	Purpose
1.2	Methodology
1.3	Records Liaison Officer
1.4	Records Management Plan
2.0	Current Situation and Needs Identification
2.1	Records Management
2.2	Action Item Tracking
2.3	Correspondence Tracking
2.4	Cable Control and Distribution System
2.5	Reading Files
2.6	Travel Tracking
2.7	Waiver Tracking
2.8	Copy Management
2.9	Classified Materials
2.10	MIS
2.11	Historical Files
2.12	Information Policy
3.0	Records Management Implementation Strategy
3.1	Phase I - Files Inventory
3.2	Phase II - Central C&R Operations
3.3	General Records Management Considerations
3.4	Phase III - Optical Storage
4.0	Communications
4.1	Cables
4.2	Distribution Profile
4.3	Alternative Distribution Strategy
4.4	FAX
4.5	Email
5.0	General Administration
5.1	Classified Materials
5.2	Correspondence Control
5.3	Action Item Tracking
5.4	Reading Files
5.5	Chron Files
5.6	Travel Tracking
5.7	Waiver Tracking
5.8	Unsolicited Proposal Tracking
5.9	Historical Files

Table of Contents (cont'd)

6.0	Systems
6.1	NISIS (NIS Management Information System)
6.2	Network Administration and LAN Management
6.3	Electronic Files Archiving
6.4	Information Policy
7.0	Conclusion
	Appendices
1	Records Liaison Office Job Description
2	Prioritized Needs
3	Document Categorization List
4	A.I.D. Form 520-2, Files Plan
5	Phase II Related Databases
6	APDMS Sample Documentation
7	Files Inventory Data Collection Form
8	Phase I Implmentation Plan
9	Automated Records Management Functional Requirements
10	Records & Information Clerk Position Description
11	Color File Folder Illustration
12	NIS/TF Filing Equipment Listing
13	Phase III Flowchart
14	Phase III Cost Estimate
15	Correspondence Tracking Form
16	Interview List

1.0 Executive Summary

1.1 Purpose

The purpose of this study is to undertake a needs assessment of the NIS Task Force's document, records, and information management requirements. The study results will be fourfold: (1) a defined plan of action to be implemented throughout the entire office; (2) specific alternatives to meet varying Task Force division, or office needs; (3) clear prioritization of needs and tasks; and, (4) provision of related implementation schedules and costs.

1.2 Methodology

The methodology employed in the needs assessment study consisted of a series of five principal tasks. Task 1 consisted of developing an interview protocol and conducting interviews with key Task Force staff.¹ During Task 2, interview findings were compiled and analyzed. Priorities were developed and options presented as part of Task 3. For Task 4 we developed a prioritized implementation plan, schedule, and budget. And preparation of a final report and giving a briefing comprised Task 5.

The principal results of the study are summarized below. Accompanying detail is found in the body of the report.

1.3 Records Liaison Officer

A Records Liaison Officer needs to be identified to coordinate records management activities within the Task Force. This person will serve as the focal point to assure things happen. The success of the entire records management effort relies on a qualified appointment.²

1.4 Records Management

There is a need to take advantage of information technology to support the records management function. A three phase implementation is recommended.

1.4.1 Phase I - Files Inventory

Phase I is to perform a files inventory and develop a files

¹ The list of interviews is Appendix 16.

² The RLO position description is Appendix 1.

OFFICIAL

information locator system using PC-based database technology. This will identify the location of all files within the task force and make that information available via the connectivity of the LAN. The files inventory is sponsored by FA/AS/ISS/RM as part of the SOW of one of their contractors. It would not require the commitment of any NIS/TF resources. The index of the files inventory will be used as platform ~~to be used as the context~~ for Phase II.

1.4.2 Phase II - Centralized C&R Operation

Phase II is to develop a centralized, automated C&R operation for NIS/TF official files. Phase II consists of developing a centralized C&R operation for the official files and have it supported by automated records management. The workflow will be defined by which all official files are collected at "files accumulation points" throughout all organizational units of the Task Force. All the aggregated material from the accumulation points will be collected regularly and transferred to the C&R center for processing. The files will then dupchecked, formatted, file identification information entered into the files inventory index, a file label generated and applied to the file, and the hardcopy filed in the appropriate filing unit. In addition, activity information indicating who has checked out the hardcopy of files will be included in the database, accessible as a menu pick from the MIS.

1.4.3 Phase III - Optical Storage

Phase III will implement a central files optical station which will be used to capture the official files as images and store them on a mass storage device, such as the equivalent of CD-ROM, rather than in hardcopy/paper form. A reconfiguration of the workflow within the office will define the destination of all official documents as the central files workstation where they will be scanned, indexed, and stored on an optical disk. Central file integrity will be maintained, access and retrieval improved, and reproduction of multiple copies available easily.

This three-phased implementation can commence immediately by performing a files inventory sponsored by FA/AS/ISS/RM. Funding is required to implement Phases II and III.

2.0 Current System Review and Needs Identification

Needs were grouped into four sections: records management,

communications, general administration, and systems.³

2.1 Records Management

The primary needs identified in the records management area were implementation of a records management system including filing (filing systems, equipment, access and retrieval issues), retention scheduling and disposition, staffing and training.

2.1.1 Filing

An initial review of the official project files, which are housed in NIS/PAC NS 3327A, revealed that they are organized according to Handbook 21, Part II guidelines. They appeared to be in relatively good shape, but this is to be expected from the limited volume resulting from less than a year's formal project activity.

It is recommended that Handbook 21, Part II guidelines continue to be used for filing of the official project files. A more comprehensive set of filing criteria should be used to allow for better definition of bibliographic types that may fall within the traditional document classification scheme. The exploded bibtype chart is attached to this document as **Appendix 3**.

For subject files, it is recommended that a standardized set of subjects be determined for use throughout the Task Force. If Handbook 21, Part II subject filing guidelines are too complex, or if they are inadequate to facilitate easy filing and retrieval, then the Task Force should identify the principal subjects in use and establish a Task Force-specific listing. The **naming conventions** currently under study for the MIS are a good point of departure. They incorporate the geographic reference, the subject heading, and the document type or task.⁴

³ Appendix 2 lists them in order of precedence, highest priority first.

⁴ In addition, the major subject headings from the A.I.D. Thesaurus (available through POL/CDIE/DI/DISC as item number PN-ABJ-677) could be used. These are: Agriculture, Communication, Culture and Humanities, Economics, Education, Energy, Geographic Areas, Government and Law, Health, Human Settlements, Industry and Technology, Labor, Management, Natural Resources and the Environment, Population and Demography, Science, Sociology and Psychology, and Transportation. Or the ACSI codes from the ABS cycle could be used.

Although certain customization is practicable, it is recommended that the Agency standard filing practices serve as a core and be followed as much as possible. This is to guarantee file integrity spanning a changing staff complement and also to maintain the systemic linkages between the filing system and the Agency's disposition schedule. Regular contact with the FA/AS/ISS/RM client analyst would be useful in this regard.

2.1.2 Retention Scheduling and Disposition

Records retention and disposition schedules are not well-known, if known at all, by the staff. Staff are unfamiliar with who or what to consult for records and disposition information, the location of guidelines to evaluate how long to keep materials, and what to do with them when they are eligible for disposition. The staff should become familiar with the contents of Handbook 21, Part II as a reference tool regarding disposition of records and files. Administrative support staff should know their FA/AS/ISS/RM client analyst and the resources available through that office.

2.1.3 Staffing

Staffing is a major problem apropos the records management function. The administrative support infrastructure is handicapped by budget constraints and FTE limits. Consequently, there are not enough people to support the records management effort in a systematic way. The workload for the secretaries, whose support ratio can be as high as 14:1, exceeds their capacity to maintain files. Our proposed records management strategy addresses this problem in a later section.

2.1.4 C&R Training

Training is required to familiarize support staff with the Agency's records management principals and practices. C&R training is only available through the records management course available from HRDM on a periodic basis. It is felt that while this course has some merit, it would be more useful to have in-house training available for hands-on use. This will give more immediate feedback than the current training course which is overly complex, and which is being redesigned to reflect changes in Agency procedures.

2.1.5 Subject File Naming Conventions

A set of standard subject names should be identified and used for consistent labelling of subject files throughout the Task Force.

2.2 Action Item Tracking System

The action item system should be automated in a similar fashion to the system developed in the Executive Secretariat's office. The tracking system should be available as a menu pick from NISIS (the NIS MIS).

2.3 Correspondence Tracking System

The correspondence tracking system should be automated and made available as a menu pick from NISIS. FA/IRM should be contacted to assist in developing the program.

2.4 Cable Control and Distribution System

There is a big problem with cable distribution. Too many people get too many cables. This has created a significant workload for the limited administrative support staff who must spend too large a percentage of their workday sorting and distributing cable hardcopy. The distribution profiles should be more limited.

2.5 Reading Files

Procedures should be implemented to coordinate the compilation of a Task Force reading file.

2.6 Travel Tracking System

The existing travel tracking system, as a module of the MIS, is adequate for Task Force needs.

2.7 Waiver Tracking System

There is a need to make existing manual waiver tracking information available Task Force wide. This should also be an option available through NISIS.

2.8 Copy Management

A copy management program should be instituted to control the reproduction volume and proliferation of printed material within the Task Force.

2.9 Classified Materials

A secure workstation should be acquired for the drafting of classified cables, messages, and documents.

2.10 MIS

Use of the MIS should be maximized for administrative purposes, such as tracking systems. The MIS is not an official record. A masthead should be developed for each document on the MIS indicating the drafter/authorizer, date, and pointer information for the physical location of the official hardcopy document.

The supervisory sphere of responsibility should be more clearly defined for the MIS and network/systems administration as each are complex tasks.

2.11 Complete Historical Files: Acquisitions Activity

There is a need for an 'acquisitions'-type activity that seeks out all documentation from whatever source to complete NIS files. This is particularly true of NIS-related activity predating the official formation and commencement of activities by the task force 1-Apr-92.

2.12 Information Policy

A Task Force information policy should be formulated to provide the context for maximizing the value of records and information resources.

3.0 Records Management Recommendations:

3.1 Phase I: Files Inventory

It is recommended that NIS/TF perform a files inventory, use a database management system to accumulate files inventory data, and make the contents of the inventory available as an administrative menu item through the MIS. The database management system should include user friendly interfaces including data entry screens, and have a customizable reports module for generating reports for NIS/TF needs, particularly A.I.D. Form 520 - the Official Files Plan.⁵ The inventory database should be related to the subject and disposition schedules of Handbook 21, Part II; be related to a database of document types; and it is also suggested the inventory database be related to a projects database providing current

⁵ A copy of A.I.D. Form 520-2 is included in Appendix 4.

project profiles.⁶ Automated linkages should also be established between the files inventory and the existing body of APDMS database records⁷ and microfiche administered through the DISC to take advantage of that historical records management resource.

The system configuration to support a files inventory will require an initial base system configuration of a 386-PC with 200 megabytes of storage tied to the LAN. This is in line with the existing Wang PC 361, 4mb RAM, 80 Mb hard disk workstations within the Task Force, although the hard disk would have to be upgraded. An integrated forms-database package is recommended to facilitate ease of use. PERFORM PRO and Dbase are recommended in this instance. Use of an automated system will require training of staff. A database access policy would have to be drafted by NIS/TF and the technical implementation performed by FA/IRM, unless resources external to the Agency were required.

3.1.1 Purpose

The primary objective of the files inventory is to acquire information for completion of a files plan for the Task Force as required by Handbook 21, Part II. The files inventory will provide the foundation for identifying the location, nature, and content of all record material. Conducting a files inventory as the first significant activity in implementing an automated records management program will benefit the Task Force in several ways, foremost of which is effective control over the Task Force's records during their lifecycle. This will enable timely retention scheduling and disposition. Other benefits will include (1) creation of a central database for use as an information identifier and resource; (2) make source document information accessible; (3) provide the basis for establishing, evaluating or improving records system standards; (4) detect overlap and duplication; and (5) reduce administrative costs through more efficient management and operations.

The establishment and maintenance of inventories is standard practice in the management of most resources. Records management is no different - the information contained within records is a valuable resource to the Task Force and should be managed as such.

⁶ Refer to Appendix 5 for a diagram illustrating the related databases.

⁷ An example of an Agency Project Document Micrographics System (APDMS) database structure, record, report, and fiche header are included in Appendix 6.

A record's value can only be realized if it is readily retrievable. The first step in retrieving the record and putting it to use is to determine its location. Using information technology to support an automated file identification and locator system is essential.

3.1.2 Method

The method used to perform the inventory will consist of four steps: data collection, data entry, data analysis, and reporting.

3.1.2.1 Data Collection

Data collection will consist of designing a simple, one-page form to capture the essential data for manual entry of label information into a database system. The form will be designed to maximize data collection efficiency by allowing for the widest flexibility in coverage for the potential universe of existing records and files. The data collection form will include fields for the inventory date, the office symbol, office location, cabinet number (A.I.D. property tag number), drawer number, estimated volume for that drawer, and label information. While precision is important, the file label information field will be left as a generic, unspecified field to enable capture of all label information regardless of format. This will allow for capture of information in multiple non-standardized label formats rather than trying to predefine specific points of identification which may or may not be consistent throughout the filing system. Please refer to the attached sample data collection form.⁸

Completion of the form will involve going to a cabinet, opening a drawer, and starting from the front of the cabinet, writing down the file label information for each file within the drawer. The file information entered on the form will be done sequentially, file by file, as they appear in the drawer.

Initially, only open file cabinets will be inventoried. Locked cabinets, bookshelves, or items not in organized containers (i.e. piles on the floor), will not be inventoried unless specifically authorized.

Boxes to be inventoried will be assigned a unique six-digit box number. That number will consist of the last two digits of the year (93) followed by the month (02), and then a number assigned from an accession list maintained by the RLO. The first box inventoried in February 1993 would then have the box identification

⁸ Appendix 7.

number of "930201".

3.1.2.2 Data Entry

Prior to actual data entry from the data collection forms, it will be necessary to define the fields for a database structure, and then to build the database. Initially, it is proposed that Dbase be selected as the most expedient and immediately available database management tool. It's contents are easily portable to other relational database packages as required (i.e. ORACLE, PARADOX, FOXPRO). The database structure will include the following fields and field lengths:

Date	8	Date of the inventory
Office	15	Office of the inventory
Location	20	Physical location
Cabinetno	11	Cabinet number, A.I.D. property tag number
Drawer_No	1	Drawer number
Volume	2	Volume - percentage drawer is full
Fiscalyear	15	Fiscal year identified on label
Labelcolor	1	Color of Label
Subcode	6	Subject code from Handbook 21, Part II, if on the label
Projectno	11	Project number
Projectitl	30	Project title information
Contractno	21	Contract number
Subject	100	Unformatted label contents
Keynumber	10	Any identifying number in a sequence, not a subject code
Country	15	Country
City	15	City
Doctype	10	Document type - any named AID document type or series
Mediatype	1	Media type (Paper, Microfilm, Video, Electronic, Optical)
Classification	1	Security classification
Item Number	6	Disposition Schedule Item Number
Item Desc	30	Disposition schedule item description
Disposition	30	Abbreviated disposition instructions
DisposeDate	8	Date for disposition
Kount	2	File count for internal dbase calculations

Total bytes per record - 371

The completed data collection sheets will then be divided between the contractor staff. Information will be entered into the database from the data collection forms. Quality control will be performed to verify that the information entered corresponds to

that recorded on the data collection form. Where errors occur, these will be corrected.

3.1.2 Data Analysis

3.1.2.1 Quantitative Analysis

A quantitative analysis will be performed based on the results of the inventory. This will include, at a minimum: number of records entered, number of files inventoried, compressed and uncompressed database storage requirements, volume of filing equipment covered, its storage capacity, the percentage of the capacity in use, label information sorted by contents, labelling errors or inconsistencies, media type, estimated disposition dates and volumes, security classification, and productivity numbers regarding what resources were required to perform the inventory (hours/people/volumes processed/etc.)

Using the A.I.D. Inventory Property Report (25-Jan-93) for description codes encompassing "cabinet", the Task Force has 58 filing units. Based on previous inventory experience, some production estimates can be made. It would take approximately two weeks to conduct the data collection portion of the inventory, and another week and a half for data entry.

3.1.2.2 Qualitative Analysis

A qualitative analysis will be performed to define and discuss management and administrative issues that arise as a consequence of the inventory. Recommendations for action to resolve these issues will also be made. Examples of qualitative issues may be the state of file labelling - its consistency and structure, management of electronic records, and clarity of filing responsibilities and workflow.

3.1.3 Reporting

Retrieving information from the database for management analysis and use is very important. Generating reports is very easy using Dbase or an equivalent database management system. Management will be called upon to identify information it needs to meet its requirements as well as the demands of its clients. Sample listings will be generated by location and contents. Other reports could include sorting by subject codes, subject headings, mediatype, retention/disposition scheduling.

The database will be delivered upon completion of data entry. The database will be in a compressed file called MASTER. It will be

necessary to transfer the database file and PKUNZIP.EXE to a hard disk and decompress it before use with Dbase software. After the transfer to the hard disk, decompression can be done by typing UNZIP MASTER. Access and use are then handled through Dbase.

3.1.4 Resource Requirements

The initial inventory will take 5 people approximately 3-1/2 weeks to complete based on the number of file cabinets reported in NIS/TF.⁹ In addition, the system manager and/or MIS administrator will have to make access to the inventory database available through NISIS as a menu pick.

3.1.5 Conclusions

As Phase I of a three-phased records management strategy, the files inventory process identifies the contents of filing cabinets by file label information. From this strategy, retention scheduling and item series codes can be determined and assigned. This will enable retention scheduling and implementation by NIS/TF. The files inventory can be used for completion of files plans for A.I.D./Washington as required by Handbook 21. Completed files plans provide the foundation for effective control over the Task Force's records and their lifecycle.

The precision and contents of the files inventory is dependent upon clear definition of management objectives and the commitment of resources. The utility of the inventory is without question. The establishment and maintenance of inventories is standard practice in the management of most resources. Records management is no different - the information contained within records is a valuable resource to the Task Force. It's value can only be realized if it is retrievable. The first step in retrieving the record and putting it to use is to determine its location. The inventory reported here does that in a rudimentary way.

A derivative application of the files inventory is a file identification or "locator" system. This includes providing information about the status of existing labelling systems. An evaluation of existing records management file labelling practices can then be performed to determine requirements for meeting Task Force needs from both the records and information management perspectives. A consequence will be the definition and implementation of an accurate, standardized file labelling system

⁹ The Phase I implementation plan and task schedule are included as Appendix 8.

covering all media.

The files inventory is only as useful as its contents. These contents are time sensitive and require a maintenance commitment. The most time consuming part of it is the initial phase of data collection. Maintenance will include updating the database on a regular schedule to account for additions, deletions, and transfers (i.e. retirement or disposal). One goal of the inventory mechanism should be to integrate the life-cycle stages to eliminate the unnecessarily duplicative and redundant reentry of source data already captured, and the proliferation (reinventing the wheel in each office/bureau) of systems performing the same function.

The files inventory provides the basis for Phase II, a centralized C&R operation supported by an automated records management system. We turn to this now.

**3.2 Phase II: Centralized C&R Operations and
Automated Records Management System**

Once all files have been inventoried, it is recommended that a centralized C&R operation be established to manage the hardcopy official files. That operation should be supported by an automated records management system. An automated records management system, in this case, refers to using a database to track file identification information (including file type), file location, file activity data, plus retention and disposition information. The files inventory will be the first component and source of baseline data for the automated records management system. Electronic records on the network could be managed from this central location as well, but the initial emphasis should be directed to controlling the paper-based official files system to maximize its utility. Management of electronic records is dealt with in Section 6.2. Phase III concentrates on migrating from the solid foundation of a paper-based system supported by an automated index to a digital records management system.

There are two primary areas of records control: permanent/official records, and working/unofficial records. The distinction between the two is critical and dictates the priority of the supporting infrastructure.

3.2.1 Permanent / Official Files

We recommend establishing a single, physical, central location for official files. A management decision should be made as to where these are to be kept. The physical requirements for the C&R

operation will be filing units, a LAN workstation, and a working stock of expendable supplies. Phase III calls for implementing optical technology which will require space for a scanner and an indexing workstation.

Official files should be arranged in accordance with filing guidance defined in Handbook 21, Part II which mirrors the project lifecycle. The NIS/TF streamlined implementation procedures and documentation should be aligned to correspond with this filing structure. The contents of the files inventory should be in a network accessible database on the LAN with access available from the workstation within the C&R center. The files inventory should be updated and maintained in accordance with new filing and refiling. A files plan should be prepared from the files inventory conducted on a regular basis.

3.2.2 Automated Records Management

An automated records management module should be available through the MIS administration menu. In addition to files inventory information developed in Phase I, it should include file control activity information such as check-out and check-in activity for physical files removed from the central files as well as retention and disposition information. New filing will add records to the files inventory and a file label will be generated in the correct format. Items will be deleted from this system based on retention schedules and disposition instructions. Functional requirements for the specification and selection of automated records management software are suggested in Appendix 9.

3.2.3 Records Management Workflow

Workflow supporting central C&R operations will include the establishment of 'file accumulation stations' in each of the Task Force work groups. These file stations will consist of in-boxes where files to be refiled or added to the central files are to be accumulated. It is recommended that a contractor circulate to each of the file accumulation points once a day/week, or as frequently as volume warrants, collect the accumulated files, return to the central files area and do the refiling, or format new material to be added to the central files. New material will be separated from the refiling stack and formatted and processed into the 'system'. File maintenance will also be performed.

3.2.4 Resource Requirements

It is recommended that a contractor be hired to do the formatting,

files inventory, file label generation, and files maintenance on a weekly basis. One **dedicated** - meaning **NOT** available for other clerical or administrative support tasks within the Task Force - part time files custodian should be adequate to process existing volumes. This should not be a fulltime task after the initial conversion and preparation of the existing backlog, and should be given top priority over other assignments if they occur. The danger is that these personnel will be appropriated for other administrative / secretarial tasks beyond the limits of their scope of work, subverting the opportunity for a successful records management program. The nature and scope of their duties should be clearly and precisely defined, and there should be an enforceable mandate that this is ALL they are to do. A sample position description is provided in Appendix 10.

3.2.5 Performance Reporting

Performance statistics should be kept recording the volume and nature of the filing activity over the first three months to determine resource requirements to support it. These are intended to provide a baseline for what processing volume can reasonably be expected during a workday. After that, monthly or quarterly volume to monitor activity should be adequate. Sample items for measurement include the number of "refiles", the number of new entries to the files inventory, number of new file labels generated, the number of requests for files. If the files accumulation and activity is of such a volume that a backlog is created, then a reevaluation should be performed to determine adequate resource levels.

3.3 General Records Management Considerations

3.3.1 File Label Generation

File label¹⁰ generation should be automated as an output of the automated records management system, like a report. When file labels are created, a barcode is also created keyed to the index used for and by the files inventory. When the inventory is updated, the file label and barcode will already have the correct information. Both will be applied to the file folder. Maintenance of the inventory can be greatly facilitated by the use of barcode technology to identify files. Someone updating the inventory will just wand the barcode label on the file. The information gathered

¹⁰ Examples of file labels are located in Handbook 21, Part II. For Subject files refer to HB21, Pt II, page 4-3. For case files, refer to HB21, Pt II, page 5-2 through 5-4.

from this process will then be correlated with the existing inventory and any filing discrepancies will be corrected. The capability to generate an on-demand report showing location and contents will be available. Exception reports will be generated for file maintenance.

A supply of 3-1/2" x 19/32" green and yellow, self-adhesive, smudge proof file folder labels should be ordered and kept on hand to support the generation of physical file folders. A large stock (order in lots of 5,000) of the appropriate colors should be ordered to assure the SAME color (only green and yellow) is available. Yellow signifies official files, and green working, unofficial files. If other colors are substituted, their purpose needs to be specified and tracked so that future users are able to benefit from the use of label color to identify file types.

Drawer labels should follow guidelines (HB21, Pt II, pg. 2-6), but be informative and support the files plans created from the files inventory.

3.3.2 File Color Coding

Physical filing would benefit from the use of a color-coded file folder system. For official project files, these colors could correspond to those used by the APDMS fiche system in differentiating documentation within different stages of the project lifecycle. Recommended colors could be Project Development (green), CORE Project (Blue), Correspondence (Orange), Conditions Precedent to Disbursement (Yellow), Disbursing Authorizations (Brown), Contracts and Contract Amendments (Red), and Reports (Black).¹¹ The use of color coding will greatly facilitate file location and retrieval as well as misfiling. Misfiles are obvious when they are out of sequence.

3.3.3 File Expendable Supplies

Inventory control for expendable supplies should be established and monitored regularly to determine inventory and reorder levels for files materials. This can be done by tracking all procurement requests through a single point - the NIS/EMS office. The inventory tracking system for expendable supplies should be on a computer in a database, where requests are entered and the accounting done automatically. an exception report should be generated when reorder levels are reached. These levels are defined by both anticipated/projected use volumes of the material,

¹¹ Please refer to the illustration in Appendix 11.

and turnaround time from generation of an order to actual receipt of stock. Turnaround time should include planning for budgeting, making the funds available (reserving), and the timing of the actual procurement process and the forms involved.

3.3.4 Formatting the Files

Regular file formatting activity should be programmed and scheduled as a duty of the files custodian. For any new material to be filed, unique documents will have to be identified, separated, and a file folder created with the appropriate file label. The file label will be generated using the procedures listed above. FA/AS/ISS/RM had a contractor available through an IQC who can do initial formatting. LTS will provide staff resources to format the existing backlog of filing and bring the office current. For existing backlogs, initial formatting requirements are a minimum of 320 person hours at a loaded hourly rate of \$16.00, totalling \$5,120.

3.3.5 Working / Unofficial Files

A policy decision should be announced indicating that working or unofficial files are the responsibility of the document/file generator. They are to be housed in the office of their origin for the period of time called for by retention schedules. The automated records management system could produce file label information based on Handbook 21, Part II subject files and be linked to the Agency records disposition schedules. However, these will be very difficult to enforce, and it is recommended that the resource focus be on permanent, official hardcopy records.

3.3.6 Mission Records and Files

The records management system for mission hardcopy files and records should be designed, implemented and maintained in accordance with guidelines established in Handbook 21, Part II. Establishing a records management program in the mission will require coordination and assistance from FA/AS/ISS/RM. The nature of the assistance will be acquisition of filing equipment and supplies, training of FSN's on issues including file formatting, files maintenance, and all collateral C&R procedures. Costs to NIS/TF may include funding one or more TDY's by AID/W staff or their contractor representatives to facilitate initial installation of the records management system. This should be incorporated into the budget cycle. Additional support will be required if implementation of the automated records management approach is authorized and funded.

A policy decision is required to formalize procedures to make sure the complete official record resides somewhere, and that access and retrieval of material within it is not a problem. Agency policy now dictates that the missions are responsible for the maintaining the official files.¹² This decentralized, distant relationship makes efficient information sharing difficult. While difficulties in information sharing may be circumvented through use of the MIS with its summary information, there is still a need to have access to the original documentation or a copy for the duration of the activity's lifecycle. It is considered prudent to maintain a copy, if not the original, of the complete official project file in AID/W.

Maintaining such a file, which in essence would be a duplicate of the mission copy, is not reasonable in hardcopy form. Alternative storage methods should be considered, and this is where use of records management technology is appropriate. The technology should preserve not only the content but the form of the original document, enable easy document identification, and enable easy document retrieving, printing, and distribution. The intent of Phase III of the recommended records management program is to provide such technology, promoting file integrity through an imaging system.

3.3.7 Equipment

Using the A.I.D. Inventory Property Listing Report by Description Code dated 25-Jan-93,¹³ the Task Force is reported to have 58 filing units. These are identified as three types: twenty 1-3 drawer legal size cabinets (code 01425), twenty-one 4+ drawer legal size cabinets (code 01430), and seventeen 5 drawer lateral cabinets (code 01440). Total space requirements for these cabinets, calculated at seven square feet per cabinet, is four hundred sixteen (416) square feet.

The estimated total drawer capacity is 230 drawers. Using a conservative estimate of two cubic feet storage capacity per drawer and based on the experience with the APDMS (Agency Project Document Micrographics System) project, it is estimated that one cubic foot can hold 78 documents comprised of 1,561 pages. Therefore, the

¹² This statement is made with the realization that at this time there are very few NIS/TF overseas missions. That is expected to change as the program grows.

¹³ The filing equipment listing for NIS/TF appears in Appendix 12.

maximum hardcopy file capacity is estimated at 35,989 documents comprised of 718,094 pages of material. These are conservative estimates based on all drawers in all cabinets being completely full of documents. At the current estimated rate of accumulation, the current stock of filing equipment should be satisfactory for accommodating future growth IF proper records management practices are adhered to and proper file maintenance is performed regularly and systematically. This means actively filing and maintaining the files on a regular, disciplined basis.

The study indicated there is an adequate installed base of secured filing equipment ("safes" - file cabinets with bar locks) to accommodate projected volumes of hardcopy classified material.¹⁴ Again the caveat applies: IF proper records management practices are adhered to and proper file maintenance is performed regularly and systematically.

3.3.8 Retention Schedules and Disposition

Adherence to retention schedules is mandatory to make the system work. Retention schedules are operable only if proper file formatting has occurred, database records created and maintained for each file, file label and item series information (disposition schedule) assigned accurately. If this has been done, then using the support of an automated records management system, files eligible for retirement or disposal can efficiently be transferred offsite according to Handbook 21, Part II retention schedules, and dealt with accordingly. Removal of these items will free up space to keep hardcopy files organized and operable within existing filing equipment tolerances.

The records liaison officer should enforce retention scheduling and disposition as defined in Handbook 21. The RLO should be the contact point and "expert" in evaluating actions to be taken in this regard. A copy of Handbook 21 must be on-hand as ready reference and support for any disposition actions.

3.3.8 Records Center Liaison

Coupled with retention and disposition schedules, it is important

¹⁴ There were claims that not enough secure filing cabinets were available. NIS/EMS should perform a brief survey via email to quantify whether this is true. Our review indicated an adequate supply of "safes" with surplus capacity Task Force-wide. A redistribution of existing "safes" from an underused area to a high demand area is recommended is the finding, support it.

NIS/TF C&R Assessment

to establish and maintain a relationship with A.I.D. record center personnel. Although this activity of necessity requires mediation through FA/AS/ISS/RM, it is highly recommended that personal contact be made with Jeremiah (Jerry) Perry 202-647-9121 to understand the retirement and retrieval process with any offsite storage. A written set of procedures would be useful.

The relationship with the records center is two-way: one for moving items from NIS/TF offices offsite to the records center; two, retrieving requested items within 24 hours. It is imperative that a good working relationship be established to assure a quick turnaround time for items stored offsite. The automated records management system should provide pointer information to identify exactly where a document or file is located whether onsite or offsite. When materials are transferred offsite, they are assigned a lot number, a box number, and a shelf location. NIS/TF should request complete storage location information from the records center when material is transferred there. This information should be included as part of the database. Although access frequency for offsite material is expected to be low, demand for such material usually arises within critical time sensitive constraints, and it will be imperative to have the facility to retrieve the correct file as quickly as possible. Establishing and maintaining a good working relationship with A.I.D.'s record center will do this.

3.3.9 Copy Management / Bulk Distribution

No copy management program was identified during the course of the assessment. Multiple copies of many documents, both paper and electronic, are made to fulfill the Task Forces' information distribution responsibilities, particularly to the field and PVO's. Many copies of project papers or project memoranda, grants, reports and PIO/T's are made, need to be prepared for shipment, and then shipped. There is no defined or formalized administrative infrastructure to support this. The dilemma here is the need to distribute information within the context of limited resources.

This should be seriously evaluated to control the proliferation of duplicate records, copying requirements and costs such as personnel (time), equipment and supplies needed to support the proliferation of copies. Existing distribution lists should be gathered, evaluated, winnowed, and then formalized to assure the most efficient reproduction and distribution of materials. It is suggested the the recipient can reproduce copies of material after the first is distributed to them. An evaluation of whether it is more cost effective to distribute materials electronically (as diskettes or email attachments) rather than in paper should also be considered.

The issue of copy management is directly related to resources required to produce the copies for bulk distribution(s). There is no existing support framework to allow for efficient reproduction of materials on demand. The printing office is unreliable because they do not adhere to time constraints. Professional staff oftentimes find they are the only resource available to photocopy, bind, and distribute materials. The reproduction and distribution process could be better managed if publication target dates and volumes were known beforehand. And they can be known in advance. These target dates could be determined through a 'work-in-progress' tracking system that would alert administrative resources about the timing of expected photocopying. Either additional administrative staff support is required, or an alternative paper reproduction means found, such as contracting an external vendor who has the equipment and staff for high throughput, quick turnaround, and reasonable quality assurance.

A retention and disposition schedule should be applied to the copy management program. The RLO could be responsible for monitoring it's implementation and maintenance. Once retention schedules were met, extra copies should be discarded. From an administrative and a records management perspective, this is very important for maintaining file space availability. If an automated records management system is implemented, including the optical storage option proposed in Phase III, then additional copies could be printed on demand after the initial reproduction for the distribution list.

The Task Force should exercise the initiative to establish a centralized C&R center serving as a single, central place to which anyone can walk, call, or email, to find out information about records and information locations - no matter what the format.

3.4 Phase III: Optical Storage System for Official Files

Phase III calls for the use of an optical mass storage device to house digital images of the hardcopy documents. Use of such technology will allow more efficient, cost-effective storage and retrieval of NIS/TF official records. The components IA may be defined as the set of activities required to digitally capture, index, quality control, and store record images on optical disks.

In large measure, (IA) is the functional equivalent of the input phase of data processing operations. It represents the starting point for all document management and image processing activities, and consequently serves as the basis for subsequent phases of the record image lifecycle - distribution, processing, retrieval,

reference, printing, etc. Success in imaging processing and the realization of benefits such as efficient storage, enhanced records retrieval, security and file integrity, space and labor savings, and improved responsiveness, are dependent upon the effective and efficient implementation of a imaging operation.

3.4.1 Raster Scanning

The conversion of paper records to digital, bit-mapped image facsimiles will occur via scanning. Raster scanning is the primary document input process for optical disk management systems. The proposed system will include such basic components as a high speed scanner; high resolution workstation that allows for on-line image viewing and controls key system functions; a CD-ROM publisher; magnetic storage (2 gigabyte hard disk); and base software such as the operating system and database management package. Raster-scanning does not involve character recognition. Raster-scanned images are simply electronic facsimiles of original documents. As such, these images must be indexed through a separate data entry step in which key identifiers are associated with scanned images. The key information will correspond in a similar fashion to the files inventory database.

3.4.2 General Work Steps

The general works steps for the optical process are outlined below:

3.4.2.1 Document Preparation

Document preparation addresses the requirements for making hard copy documents ready for scanning. Basic preparation activities include arranging documents in the order that they are to be scanned, removing extraneous filing materials (e.g. paper clips, staples, rubber bands), mending damaged documents as needed, and inserting separator sheets as required. Document preparation will also include preliminary checks on the completeness of documents submitted and checks on internal document arrangement (page order).

3.4.2.2 Image Capture

Documents will be scanned using a high-speed scanner. Scanned image precision will be defined according to industry and government standards for resolution and density.

3.4.2.3 Indexing

Indexing is data entry or keyboard input recording key image/document data elements which will be used to identify and

locate the digital images. Information will include things such as document number, name, author, project number, etc. The index will be developed in conjunction with the RLO and NIS/TF management.

3.4.2.4 Quality Control

QC addresses requirements for inspection and validation of both indexes and images. ANSI and AIIM standards will be used.

3.4.2.5 Storage

Interim storage of the images will be on a magnetic hard disk, while a sufficient volume of images is accumulated for transfer to the more permanent recording of images and indexes on CD-ROM. A one-up CD-ROM produced quarterly, or more frequently depending on volume, is recommended. This is a highly portable medium by which the entire records management collection could be distributed with great ease and cost-effectiveness.

3.4.2.6 Hardcopy Retention Scheduling

Once the scanned document has been validated and committed to the CD-ROM, the original paper document will follow defined disposition instructions for transfer to a semi-current or inactive storage facility such as a federal records center. If disposition instructions indicate destruction, the paper document will be destroyed accordingly.

3.4.2.7 Image Distribution

If the one-up CD-ROM recommendation is approved, funded and implemented, CD-ROM readers will have to be purchased for those wishing to use this resource. Approximate cost and installation of a CD-ROM reader begins at approximately \$400. The reader will become an additional 'drive' on individual PC's or workstations.

3.4.3 Key Hardware

The primary hardware items for optical operations are an image capture device (scanner), indexing equipment (such as a PC or workstation, high resolution workstations, and labelling systems), magnetic storage, an optical mass storage device and reader, and a laser printer.

3.4.4 Staffing

Depending on volume, optical workstation operation may require from

one to three people. LTS proposes to provide the staff this work. A supervisor (RLO) must be assigned overall responsibility for managing operations. They would work closely with the contractor in scheduling all production work. Production technician(s) such as a scanner operator, quality control person, and indexer (these could all be the same person, but probably not), and a system technician or administrator. The latter perform routine preventive maintenance on the equipment, monitor equipment operations, and maintain equipment logs. Other duties may include performing backups, powering the equipment up/down, and acting as vendor liaison for maintenance activity.

3.4.5 Flowchart and Estimated Costs

A flowchart for a records management system incorporating optical storage technology is displayed in Appendix 13. The cost breakdown of implementing the optical strategy appears in Appendix 14.

4.0 COMMUNICATIONS

4.1 Communications - Cables

All cable traffic is received in electronic form from the State Department communications center and forwarded to A.I.D.'s Automated Telegram System (ATS) where it is read electronically (OCR) using AMADS (Automated Message Analysis and Distribution System). Based on distribution profiles (TDR's - Telegram Distribution Requirements), the cable is assigned distribution and then printed using an XNP printer with 180 bins per printer. Profiles are typically defined by a list of keywords, cities, office, and action priority or precedence. The user profile definition used by the cable room is an effective method for defining distribution, up to a point. The sorted hardcopy output is then accumulated by mail slot, put in an envelope, and forwarded to the mailroom for delivery. There are four daily mail deliveries scheduled. The minimum cable distribution is three copies: one for the receiving office, one for the director's office, and one for the official Chron.

The daily volume in NIS/TF cable traffic ranges from 1,100 to 1,500 incoming and comeback copies. It normally takes from three to four days between overseas cable origination to receipt by addressee. It can take 2-3 days for A.I.D. to receive a cable from State. This is compounded by the lack of NIS/TF staff to physically separate and distribute cable traffic. NIS/PAC reported not having received ANY cable traffic in at least ten days at the time of the interview. Additional delays take the form of system downtime

caused by technical problems associated with old A.I.D. telecommunications equipment, or cables that have to be processed manually because the computer could not read them.

4.2 Distribution Profile

At the moment, however, the distribution profile is too generic and results in everyone getting a copy of all cables. Most of the time this is due to the Task Force's professional staff feeling the need to know what's going on from the broadest possible perspective. This program perspective is laudable but may not be the most efficient working structure (i.e. as the task force is relatively new, everyone is feeling their way in terms of spheres of responsibility and associated tasks).

The broad distribution profiles result in multiple physical paper copies of the cables having to be sorted and separated manually and then manually distributed. This task is very labor intensive, consuming far more time than is supportable by existing administrative staffing levels.

A policy review should be conducted to more precisely define the cable information requirements of those on the distribution list. A decision is needed concerning whether "everyone should get everything" of the cable traffic. This will require a review of profile requirements to a more appropriate level of specificity contingent upon the players involved and their areas of responsibility (desk officer's). Initial discussions to streamline the cable distribution process by editing user profiles have begun between NIS/TF and FA/IRM/TCO representatives. This initiative should be encouraged and supported by NIS/TF management.

4.3 Alternative Distribution Strategy using Email

Improvements in the cable distribution system naturally point towards making use of information technology. FA/IRM/TCO is experimenting with using email to facilitate origination of cables in AID/W. Its purpose is to eliminate the inherent delay in the hardcopy mail system and speed up the cable process. A prototype has been developed and is being tested permitting AID/W users to draft a cable and forward it to the cable room via email. The email message is received by FA/IRM/TCO staff in an "acceptance area" where the message is reviewed for signatures, authorization, and the appropriate format. It is then transcribed into the proper OCR format and printed to paper. The paper copy is then carried to the State communications center for transmission. While this will improve the efficiency of cable origination and transmission, cable generation was not viewed as a major workflow bottleneck.

Receipt of cables and distribution via email is the recommendation of choice for eliminating the time consuming manual intervention required by the current cable distribution system. Unfortunately, neither at this time, nor in the foreseeable future, will this be technically possible because of the age (12 years) of AID's telecommunications equipment. The existing hardware configuration is incompatible with the Agency's email system. FA/IRM/TCO estimates linkages to the email system are at least two years away.

A consideration for automating the distribution system is to scan the printed copies of the messages and forward them electronically. This can be evaluated at two levels, Task Force specific, or Agencywide. We believe this to be worth further investigation and recommend that a request be forwarded to FA/IRM for further review. This is an agenda item of the Agency's Information Strategic Plan (ISP) being developed by FA/IRM.

4.4 Communications - FAX control.

There are limited fax controls in place. Where they do exist, they consist of a log sheet which has to be completed manually, usually by whoever goes to the fax machine to retrieve faxes. While the concept and design are adequate, there are questions about the value of the implementation. There is an inconsistent pattern of who does the retrieval of the faxes. Filing is also a problem although a copy is supposed to be made and included in the file, while the original goes to the addressee. Only incoming faxes are filed now. Outgoing faxes have the confirmation attached to them and are filed in the senders personal files.

The logsheets are not completed on a consistent basis. There is some question as to the value of a logsheet. If it were more important to operations, and consequently assigned a higher value in daily operations, the system would work. As it is, individual users meet their own demands singularly, rather than supporting a unit-wide or Task Force wide method.

Tracking faxes seems to be a difficult and time-sensitive process. There is some question as to how high a priority fax tracking should be. An automated report generator is part of the fax machine. The report lists the phone numbers, location, and times of fax receipts and transmittals. This report could be accumulated on a regular basis and used as a mini-tracking system. If the report generator could direct output to a network PC, this would be useful for general access by each working group. Summary reports could be generated and forwarded to office management if this was deemed important.

In addition, there are overseas connectivity problems due to time, distance, and the host telecommunications infrastructure (i.e. U.S. fax machines are incompatible with the host telephone system).

A fax board could be installed in a network-based PC to enable receipt-distribution and transmission of fax messages. This PC could be part of the central C&R workstation that also would be close/linked to/or be the imaging workstation. All fax traffic could go to this office for central distribution via email upon receipt. The problem to be addressed with this is the resolution and storage requirements to receive something in this format.

4.5 Communications - Email tracking.

All users attest to the invaluable contribution email has made to the organization. Email is the preferred way of doing unclassified business. However, one of the natural consequences of this utility is the mushrooming daily volume and the associated information overload. Too many things are sent via this method in some cases. There are no reasonable system measures to quantify email traffic. The system administrator indicates that FA/IRM LAN system administrators may be able to generate these listings, but the procedures to do so are not conducive to making them useful. It is impossible to quantify email volume other than some people noting they receive so many daily messages their electronic mailboxes fill up making it is necessary to print them to paper so they can be deleted from their mailboxes. The point of automating systems is to reduce manual intervention, not add another burden.

A system review should be performed to isolate and more rigorously define communication strategies for types of actions. Such a review would determine the nature of the messages being sent via email, and also whether mailbox sizes should be expanded in certain instances to accommodate the necessarily large mail volume. Email traffic should be quantified by message "type" and these assigned a value for rating. As an initial means of bringing some control(s) to email traffic, a message priority ranking should be established listing messages in order of precedence. For those messages ranked below a certain level, an alternative distribution system is recommended. Some actions may be inappropriate for email, and more traditional, less time-sensitive hardcopy transactions and public postings may be the preferred method. An example are A.I.D. general notices, which while read, unnecessarily encumber the system when it's not required.

5.0 General Administration

5.1 Classified Material

There is no way to use information technology to generate classified materials within the Task Force. This includes both cables and other documents. A large percentage of the "business" of the Task Force is politically sensitive and therefore requires security classification and maintenance. NIS/TF would benefit from acquiring computer equipment to generate CLASSIFIED messages and documents. FA/IRM and IG/SEC should be contacted for guidance on acquiring and installing a 'secure' workstation.

5.2 Correspondence Control / Action Item

There is a need to develop a reliable, automated correspondence control / action item tracking system. An automated system was in use but was discarded after frequent system failures and lack of FA/IRM technical support and maintenance. Required fields for such a system would include a tracking number, subject, correspondence type, cable number if appropriate, action assignment - such as the office, receipt date, due date, and an automated reporting mechanism that can be accessed daily for a listing of due action items. The manual system now in use¹⁵ is adequate except that it is not easily accessible except through direct contact with the correspondence control clerk. This information should be made available on a wider basis through the LAN-MIS.

Cables are delivered from both the cable room and the front office cable reading file highlighted and forwarded by Bob Jimenez. The front office cable reading file usually arrives around three in the afternoon. For the cables received from the cable room, all action items are extracted and routed. The rest are trashed because they will be in the reading file.

The value-added contribution of highlighting keywords and phrases in front office cables as well as their accumulation by another office should be reviewed and evaluated.

5.3 Action Item Tracking

There is a need to automate the action item tracking system and make it available through the LAN. The current manual system, while adequate in support of the director's office, needs to be

¹⁵ Refer to Appendix 15 for a sample correspondence tracking form.

made available on a broader, more coordinated basis so that responsible divisions can track time sensitive items and follow-up accordingly. Reliance on the existing manual tracking system should be changed.

5.3.1 Action Item: Electronic Control

Electronic control for tracking action items should be modelled after the action item control system developed for the Executive Secretariat. An interim solution, while waiting for the ES system to be debugged, is to create a small database in the Director's office using the database technology available to NIS/TF. Required fields for such a system would include a tracking number, subject, correspondence type, cable number if appropriate, action assignment - such as the office, receipt date, due date, and an automated reporting mechanism that can be accessed daily for a listing of due action items. Technical assistance and support for developing and maintaining this system should be directed through FA/IRM. If they are unable to provide timely support, the task should be contracted out.

Typical sources of action items are the Executive Secretariat, LEG, cables, and the regular mail.

5.3.2 Action Item: Email

There are no controls in place for tracking email action items. Technical limitations prevent this from occurring - i.e. there is no functional accounting utility to monitor email traffic and content.

5.3.3 Action Item: Physical Control

Current controls of the hardcopy of action items are adequate. Upon receipt, they are time stamped and a cover sheet is completed with identifying information. This corresponds to the database fields. The material's content is scanned for the gist of it to determine the distribution, and then the item is forwarded to the responsible division or party. Two copies are made of the original. One copy goes into the reading file. A second into the blue tracking folder maintained by correspondence control clerk, and the original plus the original covers sheet is distributed to the action office. The tracking folder is organized by most recent item on top, oldest item on the bottom. There is no priority identification distinguishing one action item from another. Items are removed from the folder upon completion.

The physical file folders containing action items should continue

to be color-coded according to action priority (i.e. Congressional items are in red folders). The color-coding should be formalized (written down as part of a procedures manual) for maintenance and continuity over time.

5.4 Reading Files

The reading file is accumulated by correspondence control clerk during the day and distributed to the Directors and Deputies late in the afternoon. The directors office reading file is being expanded to include all correspondence that comes in or out of all the Task Force divisions. Division secretaries are to bring their reading files to correspondence control clerk for inclusion in the director's reading file distribution by late afternoon each day. The revision of reading file compilation and distribution now underway is endorsed.

Some consideration has been given to automating the reading file, for instance by scanning items and distributing them electronically. The technical and administrative support infrastructure does not exist for this transformation to occur. Also, security issues have not be addressed and resolved for this to occur.

5.5 Chron File

The Task Force official chron file is maintained in a locked filing cabinet by the Field Affairs office (NIS/TF/FA). It is organized by country, by month, and then chronologically. Retrieval is based on a best guess of the cable date. Current accumulation rates are two-thirds of a drawer per month. The staff are unfamiliar with disposition schedules for this material. It is reported the material will be kept for one year or until filing cabinet space limits are reached. Each director and their deputies have their own chron files maintained by their secretaries.

5.6 Coordinated Travel Planning and Tracking System

The travel tracking system is administered by the Field Affairs Office (NIS/TF/FA). It was developed as part of systems support project and is available through the administration menu of the MIS. Standardized reports can be prepared and used to monitor travel activity and should be accessible network-wide through the MIS. The travel tracking system is in place and working adequately for current and projected needs of the Task Force.

5.7 Waiver Tracking System

There is need for access to a waiver tracking system. Tracking waivers requires at least the following information: waiver number, amount, authority, country, project, and date.

5.8 Unsolicited Proposals

A formalized system for dealing with unsolicited proposals would help. It can be an administrative menu item on the NISIS. The unsolicited proposal log would function in the same vein as a correspondence tracking system. The log would be a database comprised of, but not limited to, the following fields: a unique tracking number, the receipt date, the task evaluation, the response, and the response date. Retention of the electronic records on the database would correspond to the hardcopy retention schedules defined in Handbook 21, Part II. The electronic record would be deleted simultaneously with the paper copy.

5.9 Complete Historical Files: Acquisitions Activity

There is a need for an 'acquisitions'-type activity that seeks out all documentation from whatever source to complete NIS files. This is particularly true of NIS-related activity predating the official formation and commencement of activities by the task force 1-Apr-92. Where this cannot be accomplished within the task force specifically, reference should be made to the resources of POL/CDIE/DI and APDMS fiche files. The POL/CDIE/DI client analyst should be contacted to help facilitate this process.

6.0 SYSTEMS

Currently, NIS/TF is supported by one Banyan CNS server with 16 Mb RAM, and two 300 Mb hard disks. The Task Force has 60 workstations (WANG PC 361, 4Mb RAM, 80 Mb hard disk, DOS 5.0), 100 user names and passwords, and one Hewlett-Packard III laser printer for each office (10 total printers). There were no modems or FAX boards identified. There is one system administrator, two MIS support personnel, and one FA/IRM client analyst.

6.1 NISIS - the NIS/TF MIS

The MIS is a critical tool for Task Force document management, assuring the circulation of information and helping to keep "everyone in the loop". It also supports active file sharing. The contents of the MIS are, for the most part, comprised of final, cleared and approved items for which action has been completed. These are materials used most often by the staff within time sensitive horizons.

The contents of the MIS do have certain, significant limitations. Documents on the MIS can make up to 10 pages of "approved" material available elsewhere electronically on the LAN. In most cases this is adequate in providing either the entire document, a worksheet, or a good synopsis of the contents of the larger, hardcopy document. But it may not encompass the entire document. Also, the MIS is NOT the repository for the complete official record, nor is anything on it legally an 'official record'. Legal requirements and government regulations still require the hardcopy documents.

It is suggested that a records/files inventory module be added to the MIS's administration menu. This linkage will provide Task Force-wide access to the files information locator system identifying the actual location of physical documents (as of the last update of the files inventory) for the official files, as well as providing pointers to other important working and reference files. The files inventory concept is elaborated as Phase I of our recommended implementation strategy.

6.1.1 Document Identification Standards

It is recommended that each "document" available through the MIS have a masthead, or identification line, as the first line. The masthead should contain, at a minimum, information such as the originator and office, the authorizing party, and the physical file location of the hardcopy document. It should be the first line in the upper left hand corner of the first page of the document. This will facilitate easy identification when 'browsing' through the MIS where the file name is on the left hand side of the screen and the document is on the right. The masthead should not be the footer of the last page of the document, as some suggest. This is not a readily accessible reference point.

6.1.2 Formalized Submissions Guidelines

MIS submissions and acquisitions procedures should be formalized as a set of guidelines and these guidelines disseminated throughout the Task Force. It is recommended that clearly defined, enforceable, Task Force-wide responsibility for getting documents onto the system be assigned to a specific individual who understands and can monitor the clearance process to identify eligible documentation. Such identification may be a collateral objective of a project activity tracking system. The named individual should be computer literate. Although the systems administrator views this as one of his tasks as "information administrator", it is more an administrative than a technical function. The position could be supervised by the systems administrator rather than performed by him. Decentralization of

this task to offices and individuals will not assure nor maximize consistent contributions. File integrity will be jeopardized as a consequence.

6.1.3 Retention Scheduling of MIS Items

The documents on the MIS are paralleled in the public and private directories of the originators and their offices. This includes the "final" version, plus all of the associated drafts. At present there are no formal policies, controls or guidelines for retaining documents on the LAN. Users are left to police themselves. A retention schedule and implementation procedures should be formalized whereby once a document is added to the MIS on the "I" drive, all other copies should be deleted from the active system. If a document is considered to have enduring value, and the electronic version is required in addition to the hardcopy version, the document should be so identified and cycled onto the permanent archive schedule of the LAN backup tape.

6.2 Network Administration - LAN Management

Work has to be done with the systems administrator to control use of storage space on the LAN. Electronic files management is a systems control task implemented in conjunction with Agency electronic records guidelines set forth in Handbook 21, Part II. Without a formalized electronic records management system in place, a preliminary step is to use Magellan (the MIS software) to either delete or archive material based on the creation date field in the magellan system. The archive procedure is one of the Magellan functions and will require little or no programming. Retention schedules would have to be designed to determine what date(s) these should be.

In lieu of having an automated retention and disposition system, there are two manual possibilities. One requires the intervention of the designated RLO to run the Magellan macro listing electronic files by oldest date first. The RLO would then follow defined procedures for removal of electronic files from the system. These procedures would include contacting the files originator giving them a specified number of days warning prior to actual removal of the electronic files from their, and the NIS network, directory. The "deletion cycle" would occur regularly, at least once a month or more frequently depending on percentage of storage used or remaining.

The second approach calls for the document/file originator to maintain their directories and remove old and unwanted material regularly at scheduled intervals. This last approach, while

sounding reasonable, relies totally on the cooperation of the end-user. Experience has demonstrated that this strategy is less than optimal and ultimately will fail, as the end-user has no incentive to maintain their electronic files and will continue to accumulate material until storage limits are reached.

The best approach for electronic file management is to have an automated retention scheduler based on the system date of the last modification. Magellan uses the system date required. A macro could be written which generates a listing of items which have reached a retention date of x time period after the date of the last file activity. That list would be referred to the user or directory administrator for their action. Any items not identified and queued for archiving would be deleted unless other action is taken.

6.3 Electronic Files Archiving

LAN backup and archiving procedures are a utility of the Banyan network. There is a full backup on Monday and Friday and incremental backups on Tuesday, Wednesday and Thursday. Incremental backups save changes from the date of the last backup, while full backups record all changes. The backup procedure is automatically scheduled and executed. Every month a full backup tape is given to the FA/IRM client LAN administrator and FA/IRM storage procedures are followed. Any calls for electronic files identified on the backup and archive tapes are restored through the Banyan RESTORE function which is administered by the FA/IRM client LAN administrator.

There were no retention schedules or disposition instructions identified regarding storage and retrieval of "archived" electronic files or records. Written documentation and procedures should be drafted given specific instructions on how an electronic file stored offsite on a LAN backup tape can be recalled and made accessible to a requestor.

6.4 Information Policy

A Task Force information policy should be formulated to provide the context for maximizing the value of records and information resources. An information vision needs to be articulated by and for NIS/TF management so that they understand the value of information to their organization. This is not a new idea. Formalizing it is however. Looking at information as a resource that must be cultivated and controlled to maximize it's utility is very important. There is an instrument that will establish the context to assign value to information. It is called an

information policy. The task force could use one for the following reasons: a,b,c. The steps to detailing an information policy begin with an inventory of records and information resources and the establishment of sound records management practices.

7.0 Conclusion

Creating a healthy and dynamic administrative infrastructure to support the records and information needs of NIS/TF will require several things. Foremost is a clear definition of how "systems", both records management and information management, can maximize the utility of staff resources within existing limits. We recommend adopting the tri-Phase records management plan. The plan will map existing hardcopy file resources, implement a centralized C&R operation to manage them, and transfer the official hardcopy files to an optical mass storage device. Use of the MIS will help provide needed tracking focus for administrative tasks such as action items, waivers, travel, and correspondence.

For success in the 1990s and beyond, the strategic dimension of records and their contents (information) must be recognized. The necessary first step for effective management of these records is to determine what and where these records are. The files inventory contributes significantly to this process. When the entire records inventory has been completed, A.I.D. will have a comprehensive overview of its records resources and systems, including knowledge of both the records themselves and the means for handling it. This will help expose the existing management framework within which it is all embedded. Together, these results of the discovery process will form the foundation for the future management and exploitation of the organization's records management resources.

Appendix 1

RECORDS MANAGEMENT LIAISON OFFICER

STATEMENT OF WORK / FUNCTIONAL DUTIES

Serves as the Records Management Liaison Officer (RMLO). In this capacity the RMLO will:

- o Oversee the records maintenance functions performed within the Office, and conduct periodic inspections for compliance with regulations.
- o Implement all mandated recordkeeping requirements.
- o Conduct supplemental training of direct hire employees, contractor personnel and support staff on the proper classification, maintenance, and disposition of the Office's records.
- o Develop and oversee the implementation of policy and procedures for the proper dissemination of all forms of communication, including cables, wire service, and teletype.
- o Develop and implement internal procedures for the consolidated annual submission of Files Inventory and Disposition Plan, Form AID 520-2 (9/92)--Report Control Symbol W-155, to the Records Management Branch.
- o Assure that all records (regardless of media) eligible for disposal are handled in accordance with recordkeeping requirements.
- o Manage files space and file storage planning and recommends equipment acquisition necessary for the records function.

Implements policy and procedures for the selection, protection, and movement of records which have been determined to be vital in accordance with the Vital Records Program.
- o Assists in the identification of all hardcopy and Automated Information Systems (AIS) records vital to the continued operation of the Office to ensure that the Office is in a state of readiness during emergencies.
- o Inventory annual submission of rights and interest records and emergency operating plans for paper, magnetic, and micrographic holdings to identify those for storage at a relocation site, including the preparation of transmittal forms and overseeing shipment.
- o Monitor the establishment of Office information systems for recordkeeping requirements.

Appendix 2

Prioritized Needs

1. Appoint a Records Liaison Officer (RLO).
2. Establish records management system.
3. Conduct files inventory.
4. Automate action item tracking system.
5. Establish central C&R center.
6. Change cable distribution profiles.
7. Automate records management tracking.
8. Generate file labels and barcodes for official files.
9. Make waiver tracking available through LAN.
10. Establish copy management program.
11. Maximize utility offered by NISIS for administrative uses.
12. Budget for and approve implementation of optical strategy for records management.
13. Coordinate compilation and distribution of reading file(s).
14. Establish Subject file naming conventions.
15. Get C&R training.
16. Request increased administrative support staff for C&R function.
17. Implement retention scheduling and disposition.
18. Automate correspondence tracking system.
19. Establish an NIS/TF information policy.
20. Acquire a classified workstation for generating classified materials.
21. Push for email and FAX linkages with overseas missions and representatives.
22. Perform retrospective acquisition of all NIS/TF-related documentation.
23. Establish contact and working relationship with POL/CDIE/DI client analyst.
24. Establish contact and working relationship with FA/AS/ISS/RM client analyst.

**AID PROJECT DOCUMENT MICROGRAPHICS SYSTEM
DOCUMENT CATEGORIZATION PLAN**

Appendix 3

10 Project Development Green Envelopes

- 11 Feasibility Study
- 12 Market Survey
- 13 Pre-PID Document, Misc
- 14 Market Study
- 15 Proposal
- 16 Research Proposal
- 17 Assessment Surveys
- 18 Assessment and Social Marketing
- 19 Concept Paper

20 Core Project Blue Envelopes

- 21 PID
- 22 PID Rev
- 23 PID Approval Document
- 24 PRP, Pre-1978 Proj
- 25 PRP Revision
- 26 PP/PAAD
- 27 PP Amendment
- 28 Project Authorization
- 29 Project Auth. Amendment
- 30 Grant Agreement
- 31 Grant Agreement Amendment
- 32 Loan Agreement
- 33 Loan Agreement Amendment
- 34 Waiver, General
- 35 Core Off. Correspondance
- 36 Loan and Grant Agreement
- 37 Miscellaneous Agreements

40 Correspondance Orange Envelopes

- 41 Cable, Incoming
- 42 Cable, Outgoing
- 43 Correspondance, General
- 44 Financing Request
- 45 Cables (In/Out)

50 CP to Disbursement Yellow Envelopes

- 51 Pre-Disbursement Condition
- 52 Implementation Letter

60 Disbursing Authorization Brown Envelopes

- 61 PIO/T
- 62 PIO/C
- 63 PIO/P
- 64 L/COM
- 65 Procurement Auth/Purchase Req
- 66 DRA/Dir Reimbursement Approval
- 67 Excess Property Ltr Order/PO
- 68 Procurement Plan

70 Contract/Contract Amendments Coral/Red Envelopes

- 71 Contract
- 72 Contract Amendment
- 73 IFB/RFP
- 74 Response to Invitation
- 75 Awarded Invitation for Bid
- 76 Work Order
- 77 Task Order
- 78 Delivery Order
- 79 PASA/RSSA

80 Reports Black Envelopes

- 81 Report, Research
- 82 Report, Progress
- 83 Report, Evaluation
- 84 Report, Audit
- 85 Report, Final
- 86 Report, Implementation
- 87 Report, Trip
- 88 Report, End of Tour
- 89 Report, Misc/NEC

AGENCY FOR INTERNATIONAL DEVELOPMENT
RECORDS INVENTORY AND DISPOSITION PLAN
 (INSTRUCTIONS ON REVERSE)

PLEASE TYPE OR PRINT

PAGE ____ OF ____ PAGES

1. ORGANIZATIONAL UNIT NAME			2. FOR RECORDS MAINTAINED From: ____/____/____ To: ____/____/____				
3. FILES PLAN (Check one) <input type="checkbox"/> New <input type="checkbox"/> Revised		4. DATE PREPARED		5. PREPARED BY (Files Custodian)		6. PHONE NUMBER	
7. RECORDS MANAGEMENT HANDBOOK 21, PART II			8. CLASSIFIED	9. MEDIUM	10. VOLUMES (CUBIC FEET)		
A ITEM NO. & LOCATION (FILE CABINET/DRAWER)	B TITLE OR DESCRIPTION	C DISPOSAL INSTRUCTIONS	YES OR NO	P - PAPER A - AUDIOVISUAL M - MICROFORM E - ELECTRONIC O - OTHER	A TRANSFERRED TO FRC OR LOCAL STORAGE	B DESTROYED	C ON HAND
11. THIS PLAN REFLECTS ALL RECORDS MAINTAINED BY THIS OFFICE. ➔			Supervisor's Signature			Date	
12. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS. ➔			Records Liaison Officer's (RLO) Signature (Appointed by Bureau/Office Director)			Date	
13. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS AND IS APPROVED. ➔			Agency's Records Manager's Signature			Date	

Appendix 4

BEST AVAILABLE COPY

Records Management Database "Cluster"

<i>Item Schedule</i>	<i>Subject Files</i>	<i>Document Types</i>	<i>Records Plans</i>	<i>Bibliographic</i>
Item Number	Item Number	Item Number	Item Number	Item Number
Chapter/Section Title Group Description of Records Authorized Disposition Cut off Destroy Date Destroy Method Cross-Reference	Instructions Subject Code File Classification Description of Records	Document Name Bibliographic Type Bibliographic Name Functional Group/Source Workflow Stage	Org Unit Name Org Unit Location Accountable Office Report Period Files Plan Status Date Prepared Files Custodian Phone Number Cabinet Number Drawer Number Item Description Contents - Proj # - Subject - Doc Type Disposal Instructions - Short-term - Long-term - Destruct Date/Method Medium Volume Supervisor / Date Records Officer / Date Records Manager / Date	Document Title Document Author Document Type Document Date Instrument Number Contract/Grant Number Contractor Name Project Number Project Title

1. This chart depicts possible databases and the fields which might comprise them.
2. All records could be linked by item number.
3. This cross-indexing would allow a common means of access and multiple uses of a single, cohesive records management system.

Office: NIS/PSI
 Location: NS 2638

Cabinet Number: AID 0097-576

Item Number	Drawer	Class	Folders Qty	Drawer Cu Ft	Media	Label Contents
14010	1	U	1		P	HANDBOOK 1B - INDEX
14010	1	U	1		P	HANDBOOK 1 - POLICY, PART IV
14010	1	U	1		P	HANDBOOK 1B - ENTIRETY
14010	1	U	26		P	HANDBOOK 1B - PROCUREMENT POLICY, CHAPTERS 1-26 (26 FILES)
14010	1	U	7		P	HANDBOOK 1 - POLICY, CHAPTERS 1-7 (7 FILES)
14010	1	U	6		P	HANDBOOK 2 - BUDGETING, CHAPTERS 1-6 (6 FILES)
		<u>Subtotal</u>	<u>42</u>	<u>0.25</u>		
14010	2	U	14		P	HANDBOOK 3 - PROJECT ASSISTANCE, CHAPTERS 1-14 (14 FILES)
14010	2	U	3		P	HANDBOOK 35 - PROJECT ASSISTANCE SUPPLEMENTS A-C (3 FILES)
14010	2	U	9		P	HANDBOOK 4 - NONPROJECT ASSISTANCE, CHAPTERS 1-9 (9 FILES)
		<u>Subtotal</u>	<u>26</u>	<u>0.25</u>		
14010	3	U	18		P	HANDBOOK 5 - DELEGATION OF AUTHORITY, CHAPTERS 1-18 (18 FILES)
14010	3	U	2		P	HANDBOOK 6 - SECURITY, TAB 1 - PERSONNEL SECURITY CLEARANCE PROG, CHAPTERS 1-2 (2 FILES)
14010	3	U	5		P	HANDBOOK 8 - FOREIGN DISASTER ASSISTANCE, CHAPTERS 1-5 (5 FILES)
14010	3	U	2		P	HANDBOOK 6 - SECURITY, TAB II - INFORMATION SECURITY PROGRAM, CHAPTERS 3-4 (2 FILES)
14010	3	U	10		P	HANDBOOK 6 - SECURITY, TAB IV, OVERSEAS SECURITY PROGRAM, CHAPTERS 7-16 (10 FILES)
14010	3	U	2		P	HANDBOOK 6 - SECURITY, TAB V, INSPECTIONS AND REPORTING PROGRAM, CHAPTERS 22-23 (2 FILES)
14010	3	U	6		P	HANDBOOK 7 - HOUSING GUARANTEES, CHAPTERS 1-6 (6 FILES)
14010	3	U	2		P	HANDBOOK 6 - SECURITY, TAB III, AID WASHINGTON SEC. PROGRAM, CHAPTERS 5-6 (2 FILES)
14010	3	U	1		P	HANDBOOK 8 - FOREIGN DISASTER ASSISTANCE, APPENDIXES
14010	3	U	13		P	HANDBOOK 9 - FOOD FOR PEACE, CHAPTERS 1-13 (13 FILES)
14010	3	U	1		P	HANDBOOK 9 - FOOD FOR PEACE, APPENDIXES
14010	3	U	1		P	HANDBOOK 9 - FOOD FOR PEACE, EXHIBITS
		<u>Subtotal</u>	<u>63</u>	<u>0.25</u>		
14010	4	U	38		P	HANDBOOK 10 - PARTICIPANT TRAINING, CHAPTERS 1-38 (38 FILES)
		<u>Subtotal</u>	<u>38</u>	<u>0.25</u>		
14010	5	U	3		P	HANDBOOK 11 - COUNTRY CONTRACTING, CHAPTERS 1-3 (3 FILES)
14010	5	U	1		P	HANDBOOK 12 - USE OF FEDERAL AGENCIES
14010	5	U	1		P	HANDBOOK 12 - USE OF FEDERAL AGENCIES, CHAPTER 1
14010	5	U	1		P	HANDBOOK 12 - USE OF FEDERAL AGENCIES, APPENDIX A
		<u>Subtotal</u>	<u>1</u>	<u>0.25</u>		
		<u>Total</u>	<u>175</u>			

BEST AVAILABLE COPY

DOCUMENT TYPE	DATE BEGIN / END	TITLE2	CONTRACT NUMBER	CONTRACTOR NAME	DOCID
Poland					
1800003 SUPPORT FOR DEMOCRATIC INITIATIVES Correspondence, General	1986-03-25 1986-08-21				PDCAR662
1810001 HOSPITAL EQUIPMENT Core Official Correspondence	1985-06-21 1986-02-05				PDCAN500
1810003 MEDICAL SUPPLIES POLAND Project Authorization	1985-11-20				PDCAN501
Grant Agreement Amend	1989-03-24				PDCBD344
Core Official Correspondence	1985-10-04 0000-00-00	AMEND.1 COOP.AGREEME	ANE-0003-A-00-6022-00	PEOPLE-TO-PEOPLE HEALTH FOUNDATION	PDCAN502
Cable, Incoming	1985-10-02				PDCAN503
Correspondence, General	1969-11-03 1985-12-19				PDCAN504
Financing Request	1989-08-18	FINANCIAL STATUS RPT.	ANE-0003-A-00-6022-00	PEOPLE-TO-PEOPLE HEALTH FOUNDATION	PDCBD345
Financing Request	1990-06-02	VOUCHER# 00024707	ANE-0003-A-00-6022-00	PEOPLE TO PEOPLE HEALTH	PDCBH141
Financing Request	1990-05-30	VOUCHER# 0004210	ANE-0003-A-00-6022-00	PEOPLE TO PEOPLE HEALTH	PDCBH139
Financing Request	1990-05-30	VOUCHER# 0015187	ANE-0003-A-00-6022-00	PEOPLE TO PEOPLE HEALTH	PDCBH140
PIO/T	1985-11-21	PIO/T 181-0003-3-6636			PDCAN505
PIO/T	1988-12-22	PIO/T 181-0003-3-6636			PDCBB937
Contract	1986-02-25		ANE-0003-A-00-6022-00	PEOPLE TO PEOPLE HEALTH FOUNDATION	PDCAN506
Response to Invitation	1985-08-14			PEOPLE TO PEOPLE HEALTH FOUNDATION	PDCAN507
Report, Research	1985-11-18				PDCAN508
1810004 SOLIDARITY SUPPORT PROGRAM Grant Agreement	1987-09-24	NATIONAL ENDOWMENT FO	ANE-0004-G-SS-7059-00		PDCAZ965
Financing Request	1989-11-27		ANE-0004-G-SS-9015-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBE509
Financing Request	1990-04-04	VOUCHER# 0014115	ANE-0004-G-SS-9015	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBF237
Financing Request	1990-04-04	VOUCHER# 0014977	ANE-0004-G-SS-8039	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBF238
Financing Request	1990-02-08	VOUCHER# 0014977	ANE-0004-G-SS-8039-00	NAT'L ENDOWMENT FOR DEMOCRACY	PDCBH111
Financing Request	1990-06-04	VOUCHER# 0026003	ANE-0004-G-SS-9015	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBF234
Financing Request	1990-05-24	VOUCHER# 0026003	ANE-0004-G-SS-9015-00	NAT'L ENDOWMENT FOR DEMOCRACY	PDCBH110
Financing Request	1990-06-01	VOUCHER# 0026988	ANE-0004-G-SS-9015-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBF231
Financing Request	1990-07-16	VOUCHER# 0031662	ANE-0004-G-SS-9015-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBF235
PIO/T	1987-09-18	PIO/T 181-0004-3-7636			PDCAW680
PIO/T	1988-06-17	PIO/T 181-0004-3-8636			PDCAZ966
PIO/T	1989-03-03	PIO/T 181-0004-3-9636			PDCBB938
1810005 ASSISTANCE TO PRIVATE FARMERS Core Official Correspondence	1987-12-10 1988-01-15	ACTION MEMORANDUM WIT		CATHOLIC RELIEF SERVICES	PDCAW681
Cable, Outgoing	1988-01-30 1988-03-01				PDCAW682
Cable, Outgoing	1988-03-01				PDCAZ967
Correspondence, General	1988-01-26	HUMAN RIGHTS PROCEDUR			PDCAW683
Financing Request	1989-12-18		ANE-0005-G-SS-8020-00	CATHOLIC RELIEF SERVICES	PDCBE510
Financing Request	1989-04-11	CATHOLIC RELIEF SERVI	ANE-0005-G-SS-8020-00		PDCBD346
Financing Request	1990-10-22	V# 037417	ANE-0005-G-SS-8020-00	CATHOLIC RELIEF SERVICES	PDCBH204
Financing Request	1989-12-19	VOUCHER# 0006977	ANE-0005-G-SS-8020-00	CATHOLIC RELIEF SERVICES	PDCBH144
Financing Request	1990-07-02	VOUCHER# 0023588	ANE-0005-G-SS-8020-00	CATHOLIC RELIEF SERVICES	PDCBH145
Financing Request	1990-07-02	VOUCHER# 0030386	ANE-0005-G-SS-8020-00	CATHOLIC RELIEF SERVICES	PDCBH146
PIO/T	1990-03-05	PIO/T 181-0005-3-0183			PDCBF221
PIO/T	1988-01-20	PIO/T 181-0005-3-8631			PDCAW684
1810006 MEDICAL SUPPLIES & EQUIPMENT Grant Agreement	1989-09-27		ANE-0006-G-SS-9043-00	PACCF	PDCBE511
Core Official Correspondence	1990-05-17	ACTION MEMORANDUM			PDCBF898

THU, FEB 25, 1993

DOCUMENT TYPE	DATE BEGIN / END	TITLE2	CONTRACT NUMBER	CONTRACTOR NAME	DOCID
Financing Request	1990-03-07	V# 0014925	ANE-0006-G-SS-9043-00	POLISH AMERICAN CONGRESS	PDCBH205
Financing Request	1990-05-16	V# 0023631	ANE-0006-G-SS-9043-00	POLISH AMERICAN CONGRESS	PDCBH207
Financing Request	1990-08-20	V# 0034614	ANE-0006-G-SS-9043-00	POLISH AMERICAN CONGRESS	PDCBH208
Financing Request	1990-09-13	V# 0035671	ANE-0006-G-00-0026-00	THE PEOPLE TO PEOPLE	PDCBH206
PIO/T	1990-05-23	PIO/T 181-0006-3-0183			PDCBF899
PIO/T	1990-05-23	PIO/T 181-0006-3-0183			PDCBF900
PIO/T	1990-05-23	PIO/T 181-0006-3-0183			PDCBF901
PIO/T	1989-08-30	PIO/T 181-0006-3-9636			PDCBD347
1810007 ASSISTANCE TO DEMOCRATIC TRANSITION					
Core Official Correspondence	1989-09-11 1989-09-14	CONGRESSIONAL NOTIFIC			PDCBF902
Financing Request	1990-10-29	V# 0039984	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEM.	PDCBH209
Financing Request	1990-12-31	V# 1004143	ANE-0007-G-00-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCB1932
Financing Request	1990-03-09	VOUCHER# 0014934	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH150
Financing Request	1990-04-03	VOUCHER# 0017444	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH147
Financing Request	1990-04-13	VOUCHER# 0020325	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH153
Financing Request	1990-04-13	VOUCHER# 0020326	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH148
Financing Request	1990-06-04	VOUCHER# 0024161	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH149
Financing Request	1990-06-26	VOUCHER# 0027663	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH151
Financing Request	1990-07-20	VOUCHER# 0031766	ANE-0007-G-SS-9044-00	NATIONAL ENDOWMENT FOR DEMOCRACY	PDCBH152
PIO/T	1989-09-21	PIO/T 181-0007-3-9631			PDCBE512

<u>Date:</u>	<u>Office Symbol:</u>	<u>Location:</u>
--------------	-----------------------	------------------

Collection Init:
Time



<u>Cabinet No.</u>	<u>Drawer No.</u>	<u>Vol.</u>
--------------------	-------------------	-------------

Date Entry:
Time

Page

Sequence	Subcode	Proj Num	Proj Title	Number	Color
	FY				
	Subcode	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				
	Subj Code	Proj Num	Proj Title	Number	
	FY				

Appendix 7

Appendix 8

NIS Files Inventory Workplan

The following workplan outlines activities to be performed by LTS supporting an NIS/TF records inventory.

1. **Define purpose for records inventory (3 hours, Activity Completed)**

LTS will draft a statement of purpose for the records inventory.

2. **Prepare records inventory implementation strategy (2-days, Activity Completed)**

LTS will draft an implementation strategy for the records inventory.

3. **Design Data Collection Form (1 day, Activity Completed)**

LTS will design and produce a data collection form for use in the records inventory. The form will be designed to maximize data collection efficiency by allowing for the widest flexibility in coverage of the potential universe of existing records and files.

4. **Obtain Support Materials (Ongoing)**

Obtaining support materials for performance of the inventory is an ongoing task. The primary focus of these materials is use of A.I.D. property listing sorted alphabetically by bureau and office to specifically identify records management filing equipment (specifically cabinets) within the targeted bureaus and offices. Additional support materials will include acquisition of any computerized indices for existing filing systems. Also, we will be looking for functional statements.

5. **Prepare Briefing Materials for Office Directors (3-days)**

A briefing packet for office directors and bureau personnel will be prepared including handouts describing the rationale (purpose/ goals/ objectives/ tasks) for the inventory. Also included will be a brief description of the procedures, staffing and support requirements, and a model of potential system output, such as reports including an inventory analysis, a listing of files, and the computerized data for the inventory.

6. **Schedule Briefing with Office Directors (at Staff Meetings) (1 hour as scheduled.)**

NIS Files Inventory Workplan

The briefing materials prepared in the previous step will be used at the briefing.

7. Schedule Actual Inventory Activity in Specific Offices (5 Weeks)

Based upon an analysis of the property listing and approval from the bureaus and offices, the timing and scheduling of inventory activity will be based on projected volumes commensurate with the number of file cabinets. Our intent is to schedule the inventories on the "greatest need" basis.

8. Perform Data Collection for Records Inventory (3 Weeks Max)

From the scheduling exercise, actual data collection will begin and be completed as quickly as possible in the scheduled offices and bureaus. LTS staff will work onsite at the files locations to complete and compile the data collection sheets.

9. Identify and Select Preliminary Database Software and Hardware Platform (2 Weeks)

System requirements will be defined to maximize the utility of the records inventory. These requirements will be forwarded to FA/AS/ISS/RM who will contact FA/IRM for fulfillment of the requirements.

10. Create Interim, Working Database Structure, Data Entry Screen and Report(s) (2-Days, Activity Completed)

An interim database will be created using Dbase to accumulate inventory data. A simple report will be created to provide a listing of materials inventoried.

11. Perform Data Entry of Raw Data Collected (Ongoing, Completion Date within 2 Weeks of Completed Data Collection)

Information from the data collection sheets will be entered into the inventory database.

12. Assign Record Series and Disposition Information for Database Records (1 Week per Office, depending on Volume, commencing immediately after completion of data entry)

After completion of data entry, HB21 disposition information will be assigned to each record. For record series identification problems, LTS will forward questions to FA/AS/ISS/RM for appropriate record series identification.

13. Analyze the Records Inventory (3 Days per Office)

NIS Files Inventory Workplan

The files inventory for each office will be analyzed from a records management perspective. A report will be drafted and submitted to FA/AS/ISS/RM and the bureau/office involved in each inventory.

14. Federal Records Center Liaison - Receipt/Delivery Procedures (1 Week)

Contact will be established with FRC and a working arrangement negotiated and procedures formalized for the transfer of records from the offices to the records center.

15. Draft Procedures Manual for Records Inventory Procedures (1 Week)

A procedures manual will be drafted articulating methods and procedures used in performing the files inventory.

16. Format and Organize Bureau / Office Files (Ongoing upon completion of the inventory. Completion date contingent upon volumes.)

LTS will format the inventoried files in accordance with HB21 guidelines. Format scheduling will correspond to the files inventory schedule.

17. Phase II - Draft Plan to Establish Bureau Central C&R Centers (6 Weeks upon Approval and Funding)

LTS will draft and present a plan to establish bureau central communications and records centers. LTS will assist in the definition and establishment of a central communications and records center within each of the bureaus. Procedures will be drafted in report form.

18. Phase II - Support Bureau Central C&R Centers Operations (4 Weeks upon Approval and Funding, or Ongoing)

LTS will draft resource requirements and tasks necessary to provide ongoing support of the bureau's central files. Support procedures will be drafted for approval by NIS/TF.

19. Phase III Implementation - Optical Station

APPENDIX 9

Functional Considerations for an Automated Records Management System

Evaluation of an automated records management software package should include consideration of the following functional requirements. In addition, one needs to look at lifecycle costs of the product as well as the data processing architecture requirements.

Functional Requirements

1. Major Applications: Specify the following applications.
 - a. **Files management** - Management and tracking of all types of records from creation to destruction.
 - b. **Retention Scheduling** - Online development of retention schedules.

2. General Features: Specify the following general features:
 - a. **Menu-driven functions**: Functions are performed using menus
 - b. **Command-driven functions**: Functions are performed by user-entered commands.
 - c. **Windows**: Functions can be performed through a graphical user interface (GUI).
 - d. **Toggle between programs**: There should be the ability to toggle (move or window) between independent programs without exiting programs.

3. Customization (Product can be customized in following areas:)
 - a. **User-defined Record Structure**: The number and types of fields (data elements) which define the record.
 - b. **User-designed Reports**: The search parameters, sort parameters, and output format of reports.
 - c. **User-designed Data Entry Screens**: The presentation of the fields of the screens which are used for adding and modifying records.
 - d. **User-defined Help Messages**: The wording of help messages.

4. Field Information (specification of field (data element) characteristics should include:)
 - a. **Character Fields**: Fields which allow any type of character to be entered. Specify the maximum length of these fields and whether they can be used for searching the database (i.e. full-text searching).
 - b. **Numeric Fields**: Fields which allow numeric values only (including decimal points and minus signs). Specify

APPENDIX 9

- whether these fields can be searched using range symbols, such as greater/less than, etc.
- c. **Date Fields:** Fields which allow date information only. Specify whether these are searchable and under what conditions.
 - d. **Logical Fields:** Fields which allow a value of YES or NO only. Specify whether these are searchable and under what conditions.
 - e. **Text Fields:** Fields which allow large volumes of text to be entered. Specify the maximum length of the text field and whether the text can be used for searching the database.
5. **Data Entry Features:** Specify which of the following data entry features are supported by the product.
- a. **Full Screen Editing:** Ability to move up and down through the data entry fields to add and edit records much like the capabilities of a word processor.
 - b. **Code Tables:** Use of tables to store authorized field values which can be accessed during data entry.
 - c. **Authority Control:** Use of an online thesaurus to maintain a list of authorized field values and relationship pointers which indicate preferred usage and synonyms.
 - d. **Repeating Fields:** Ability to enter multiple values for specified fields.
 - e. **Global Modifications and Deletions:** Ability to modify and delete selected groups of records using a single command.
 - f. **Global Additions:** Ability to add selected groups of records to the database using a single command.
 - g. **Item Classification:** Ability to generate classification schemes based upon the content of the records, using fields such as department, division, employee, etc.
6. **Data Retrieval Features:** Specify which of the following data retrieval features are supported by the product.
- a. **Keyword Searching:** Ability to search any single word from within a field.
 - b. **Phrase Searching:** Ability to search on two or more consecutive words from within a field.
 - c. **Boolean Logic:** Ability to combine search statements using the operators, AND, NOT, OR in order to limit or expand the scope of the search.
 - d. **Truncation (Leading/Trailing Wild Card):** Ability to use a wild card symbol to represent multiple prefixes or suffixes.
 - e. **Embedded Wild Card:** Ability to use a wild card symbol to represent alternate spellings of words.
 - f. **Search All Fields:** Ability to search the database using

APPENDIX 9

- any of the fields contained in the record.
 - g. **Sort Retrieved Fields:** Ability to sort the records retrieved by the search.
 - h. **Print Retrieved Fields:** Ability to print the records retrieved by the search.
 - i. **Stop Word Maintenance:** Ability to add or delete words from the list of words which are not to be indexed, e.g. the, but, and, a, etc.
7. **Retention Management:** Specify which of the following retention management functions are supported by the product.
- a. **Active Records Scheduling:** Ability to automatically calculate retention periods for all active records and list the records whose active period has ended.
 - b. **Inactive Records Scheduling:** Ability to automatically calculate retention periods for all inactive records and list the records whose inactive period has ended.
 - c. **Vital Record Maintenance (Permanent Records):** Ability to identify 'vital records' and maintain a set of instructions for their safe storage.
 - d. **Destruction Notification:** Ability to print destruction notifications for records due for destruction.
8. **Request Handling:** Specify which of the following request handling (circulation) functions are supported.
- a. **Charge-out and Return:** Ability to record the loan of an item to a patron and record its return.
 - b. **Waiting Lists:** Ability to place a patron on a waiting list for an item which is currently on loan to someone else.
 - c. **Barcodes:** Ability to assign a barcode to each item.
 - d. **Online Item Requesting:** Allow users to send requests for items directly to the C&R center through the LAN.
 - e. **Overdue/Call-in Notices:** Ability to send notices to patrons requesting the return of borrowed items when items have not been returned on time or when another patron needs them.
 - f. **Activity Reports:** Ability to print reports which list the lending activity of items, patrons, and workgroups.
9. **Patron/Employee Information:** Specify the fields to describe patron/employees.
- a. **Address/Phone Number:** Contact points
10. **Reporting:** Specify the reporting features supported.
- a. **Total Number of Reports:** The total number of reports which have been predefined or which can be defined by the user.

APPENDIX 9

- b. **Print Labels:** Ability to print labels.
 - c. **Print Barcodes:** Ability to print barcodes.
 - d. **Print Statistical Graphs/Charts:** Ability to print graphical representations of statistical data.
 - e. **Number of Fields for Sorting**
 - f. **Multiple Printer Configurations:** Ability to specify the type of printers which will be used for printing.
11. **Security:** Specify the following security features.
- a. **Menu-level Security:** Ability to restrict access to specified menu options.
 - b. **Record-level Security:** Ability to restrict access to specified records.
 - c. **Field-level Security:** Ability to restrict access to specified fields.
 - d. **User Password Access:** Use of a user password to access the system and set security levels.
 - e. **Transaction Logging:** Ability to record user activities and the dates on which the activities were performed.
 - f. **Audit Trails:** Ability to record data which has been added, modified, and deleted within data files.
12. **Online Help:** Specify the following online help features.
- a. **Context Sensitive Help:** Help messages specific to the current activity (i.e. data entry, reports, etc).
 - b. **Indexed Help:** Help messages available through an online index.
 - c. **Multiple Levels of Help:** Help message oriented to varying levels of expertise.
 - d. **Online Tutorial**
13. **Documentation:** Specify the following types of written documentation.
- a. **System Manager Documentation:** Documentation specific to the needs of the person who will be in charge of running the system.
 - b. **User Documentation:** Documentation specific to users performing data entry functions and queries.
 - c. **Training Documentation:** Documentation used for training staff and other users.
 - d. **Indexes:** Does the documentation include indexes?
 - e. **Error Messages Guide:** Does the documentation include a guide to error messages?
14. **Other:** Specify any other major functions required by the unit, and any other functions available in the product which were not included above.

APPENDIX 9

Lifecycle Costs

1. Software and Hardware Costs
2. Customer Support Fees
3. Miscellaneous

Data Processing Architecture

1. Hardware Compatibility
2. Operating Systems
3. PC LAN Software
4. Application Programming Language
5. Database Capacity
6. Interfaces

APPENDIX 10

Records and Information Clerk

Function: The records and information clerk assists in processing incoming information, sorts and classifies material for intergration into systems. Retrieves and references information for users. Maintains logs and indexes to provide status of information. Collects files, formats, enters index information, generates labels and reports, and maintains files in accordance with established procedures and guidelines.

Duties and Responsibilities:

- a. Accumulate, sort and classify material for filing.
- b. File various media.
- c. Set up new files and file categories.
- d. Access, compile, gather, and issue requested records and information.
- e. Maintain accurate charge-out system.
- f. Follow-up on material charged out to users.
- g. Maintain personal activity reports on regular.
- h. Coordinate with RLO to maintain standardized system procedures, practices, and policies.
- i. Process and transfer records for inactive storage or destruction, according to retention schedule.
- j. Assist in maintaining security of files and system integrity.

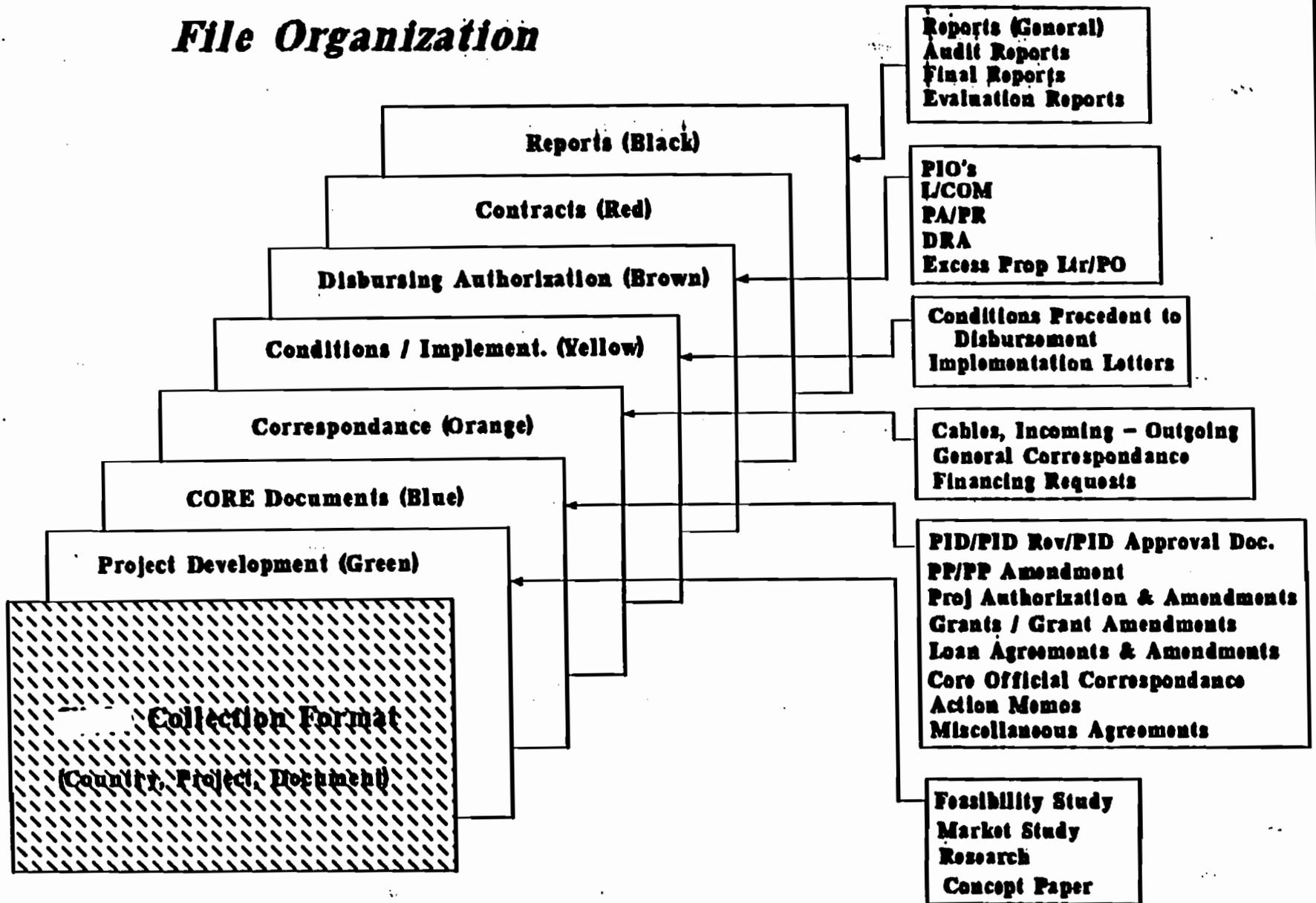
Principal Contacts:

Interfaces with supervisors, co-workers, and other staff members for the purpose of exchanging information.

Position Requirements:

- a. Demonstration of good oral and written communication skills equivalent to that of a high school graduate.
- b. Demonstration of general clerical typing skills.
- c. Ability to operate office equipment and be computer literate. (i.e. photocopier, scanner, microfiche equipment, calculators, PC, typewriter)
- d. Some lifting may be required.

File Organization



Appendix 12

Page No. 1
02/25/93

NIS FILING EQUIPMENT LISTING

** NIS/DIHHR, NS 2450
NIS/DIHHR, NS 2450 003390 01430 CABINET, METAL FILE, LEG 4+ DR

** NIS/DIHHR, NS 3327A
NIS/DIHHR, NS 3327A 094840 01440 CABINET, METAL LATERAL 5-DRAWER

** NIS/DIHHR, NS 5665
NIS/DIHHR, NS 5665 070689 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/DIHHR, NS 5665 000373 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/DIHHR, NS 5665 026602 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/DIHHR, NS 5665 094820 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/DIHHR, NS 5665 094845 01440 CABINET, METAL LATERAL 5-DRAWER

** NIS/EA, NS 3320
NIS/EA, NS 3320 092536 01425 CABINET, METAL FILE, LEG 1-3 DR

** NIS/EET, NS 2637
NIS/EET, NS 2637 097446 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/EET, NS 2637 047409 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/EET, NS 2637 070682 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/EET, NS 2637 097151 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/EET, NS 2637 099680 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/EET, NS 2637 097486 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/EET, NS 2637 097511 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/EET, NS 2637 094830 01440 CABINET, METAL LATERAL 5-DRAWER

** NIS/EHA, NS 2450
NIS/EHA, NS 2450 092195 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450 092183 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450 029626 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/EHA, NS 2450 053823 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/EHA, NS 2450 097401 01430 CABINET, METAL FILE, LEG 4+ DR

** NIS/EHA, NS 2450A
NIS/EHA, NS 2450A 097636 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450A 092534 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450A 092282 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450A 097422 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EHA, NS 2450A 097427 01430 CABINET, METAL FILE, LEG 4+ DR

** NIS/EMS, NS 2645
NIS/EMS, NS 2645 092113 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EMS, NS 2645 092229 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EMS, NS 2645 092265 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EMS, NS 2645 092287 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EMS, NS 2645 092531 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/EMS, NS 2645 044398 01430 CABINET, METAL FILE, LEG 4+ DR

** NIS/ER, NS 3720
NIS/ER, NS 3720 058430 01430 CABINET, METAL FILE, LEG 4+ DR

NIS FILING EQUIPMENT LISTING

** NIS/FA, NS 3320

NIS/FA, NS 3320	097192 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/FA, NS 3320	053552 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/FA, NS 3320	097483 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/FA, NS 3320	097497 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/FA, NS 3320	097576 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/FA, NS 3320	067090 01440 CABINET, METAL LATERAL 5-DRAWER

** NIS/FA, NS 3320A

NIS/FA, NS 3320A	094404 01430 CABINET, METAL FILE, LEG 4+ DR
------------------	---

** NIS/PAC, NS 3327

NIS/PAC, NS 3327	092227 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PAC, NS 3327	097412 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PAC, NS 3327	092552 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PAC, NS 3327	092477 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PAC, NS 3327	014080 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	094572 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	097421 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	097516 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	097592 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	054182 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	097207 01430 CABINET, METAL FILE, LEG 4+ DR
NIS/PAC, NS 3327	094825 01440 CABINET, METAL LATERAL 5-DRAWER

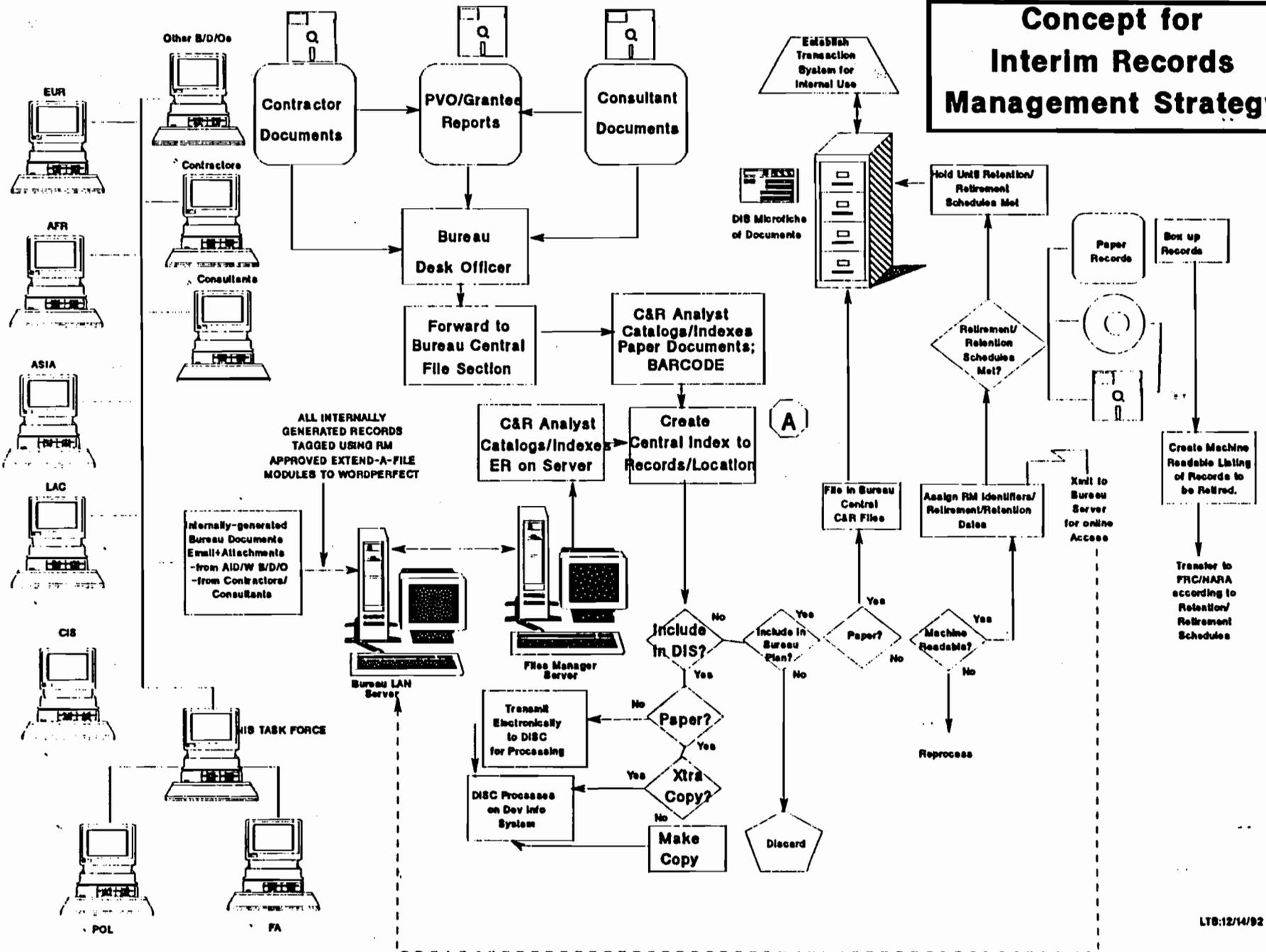
** NIS/PAC, NS 3720

NIS/PAC, NS 3720	094907 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/PAC, NS 3720	094902 01440 CABINET, METAL LATERAL 5-DRAWER

** NIS/PSI, NS 2638

NIS/PSI, NS 2638	092253 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PSI, NS 2638	092533 01425 CABINET, METAL FILE, LEG 1-3 DR
NIS/PSI, NS 2638	094627 01440 CABINET, METAL LATERAL 5-DRAWER
NIS/PSI, NS 2638	097556 01440 CABINET, METAL LATERAL 5-DRAWER

Concept for Interim Records Management Strategy



Appendix 15

**CORRESPONDENCE TRACKING SYSTEM
NIS TASK FORCE**

DATE: _____

FILE NAME: _____

SUBJECT: _____

DOC. DATE: _____ DATE REC'D; _____

FROM: _____ ORG. NAME: _____

DATE DUE: _____ TO: _____

DATE REF'D: _____ ACTION OFFICE: _____

PREPARE FOR SIGNATURE OF: _____

REC'D. FINAL: _____ ADDL CLC SENT: _____

SIGNED BY: _____ DATE SIGNED: _____

COMMENTS: _____

DO NOT REMOVE FROM ORIGINAL ACTION. RETURN TO ALBERTEENE LEACH,
ROOM 5318, PHONE NO. 6-7328. THANKS.

APPENDIX 16

Interview List

Tim Dubel
Evie Hooker
Michelle Lemmon
Gloria Halm
Susan Hudec
Robert Jimenez
Alberteene Leach
Pat Matheson
Jan Mozee
Terry Myers
Bob McCarthy
Theresa Rausch, FA/IRM/TCO

Interviews with management were difficult - in fact there were none. It was impossible to schedule interviews with these people to discuss communications and records issues. This evidences a lack of understanding about the substantive role and contribution that an effective C&R operation can make. It evidences a less than rigorous understanding of the values and costs of information. It is extremely important, even critical, for management to reconsider the role of information within the achievement of the task force's mission. While everyone will unanimously endorse the primacy of the role of information, no one seemed willing to commit the resources to assure its effective implementation. It is not someone else's job. It is everyone's job to ensure '*the right information gets to the right person at the right time in the right format for the least cost*'.

Addendum

NIS C&R Assesement

File Formatting

1. Project Files - Offices to be formatted in order of precedence.

- (1) DIHHR
- (2) PSI
- (3) EET
- (4) PAC
- (5) EHA
- (6) ER
- (7) FA

Existing project files will be reviewed for proper label identification and proper filing order. The prescribed order is by country, by project, and then by document type. The attached, expanding listing of page 5-7 in Handbook 21, Part II will be the organizational guide. Labels not in compliance with handbook standards will be redone in the correct manner.

Unformatted or filed project material will be formatted and filed by LTS staff. LTS staff will prepare file labels in accordance with Handbook 21, Part II guidelines. Labels will be applied to file folders containing individual documents types per unique project number. For unique documents requiring specific identification (i.e. PIO/T's, reports), individual folders will be prepared. The completed file folders will be accumulated in a box at the workstation until the box is full. When a box is full, or when material runs out, the entire box will be filed in the identified filing unit.

It will be useful for the individual offices to prepare or provide a list of projects - project numbers, subproject numbers, project titles, subproject titles - for use by the formatters.

2. Subject Files - Offices to be formatted in order of precedence.

- (1) PSI
- (2) DIHHR
- (3) EET
- (4) PAC
- (5) EHA
- (6) ER
- (7) FA

While all NIS/TF project files are being formatted, LTS will compile a preliminary listing of the universe of subject headings currently in use. Representatives from each office will be contacted and a "subject" list generated. Use of any existing

documentation will provide shortcuts as available. An example is the use of the budget and its 'activity headings' in NIS/TF/PSI. A final, standardized set of subject headings will be distilled from the preliminary list. This distillation will follow, as much as is reasonable, the official Agency subject headings defined in Handbook 21, Part II. Subject headings will be customized to fit individual offices needs when and if appropriate. From there, the formalized and finalized list will be used as the guide to format NIS/TF subject files.

Upon completion of the standard subject headings, subject filing will begin in the PSI office. The procedures for label and folder preparation will be the same as for project files. The label information will differ however.

Resource Requirements:

1. A "workstation" needs to be made available when formatting is done in each of the offices. This is a physical location requiring a desk and a chair. There needs to be a surface area upon which material to be formatted can be piled and processed. If the labels are to be typewritten, the exclusive use of a typewriter is required. A separate room is not needed.

In lieu of having a workstation available, LTS has use of NS B930. Material would have to be put in a box, transferred to that location, processed there, then returned. LTS staff could transport the boxes back and forth.

2. A quantity of filing supplies are required. An initial stock of 2,500 file folders, 5,000 file labels (2,500 yellow, 2,500 green) are needed.

Additional Interviews:

Jim Bever	NIS/TF/EET
Darin Dixon	NIS/TF/EET
Dennis Long	NIS/TF/EET
Renee Brown	NIS/TF/ER
Adrena Williams	NIS/TF/FA
Regina Coleman	NIS/TF/DIHHR
Bryant George	NIS/TF/DIHHR
Sheila Lutjens	NIS/TF/DIHHR
Pamela Pearson	NIS/TF/DIHHR
Michael Pianca	NIS/TF/PAC
Annette Tuebner	NIS/TF/PAC
Heather Degarmo	NIS/TF/PSI
Laurie Mailloux	NIS/TF/PSI