

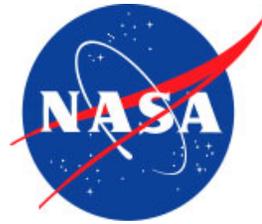
JPL Records Management Improvement Initiative

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Overview of JPL

A Change Begins and Why

Initial Steps, NARA Assistance

The Plan

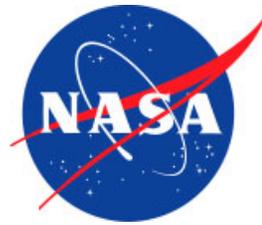
The Process

Challenges, Improvements, Benefits

Status and Next Steps

Questions



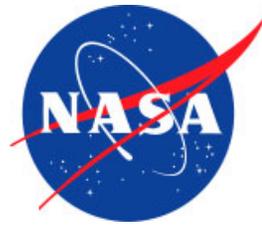


As part of the NASA team, JPL enables the nation to explore space:

- Organization
 - Nine directorates with ~ 5500 employees, 1500 on-site contractors
- Operation
 - Prime Contract between NASA and Caltech
 - Only one has been closed
- Records Management
 - Historically, no organized program
 - New Prime has RM requirements



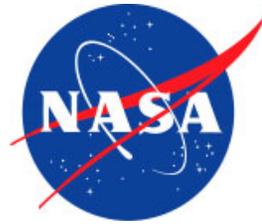
FY03 - A Change Begins...



- Identify and better manage records throughout JPL, regardless of media (paper, electronic, audio/visual, etc.)
- Develop a partnership between JPL and the National Archives and Records Administration



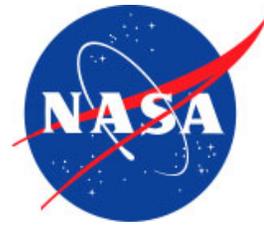
Why?



- Comply with the new Prime Contract
- Improve management of electronic records
- Establish records continuum
 - Ensure records are created & retained
 - Improve accessibility
 - Improve institutional decision making
 - Maintain JPL's history
 - Protect public right to information
 - Ensure legal compliance



Taking Some Initial Steps

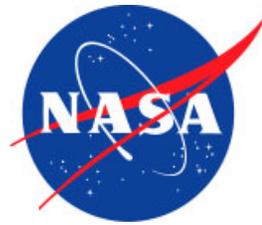


A business procedures review was held in the fall of 2002:

- New partnership with subcontractor
- 33 customer interviews were conducted
- Observations led to recommendations
 - Clarify definitions
 - Develop and deliver training
 - Map files to retention schedules



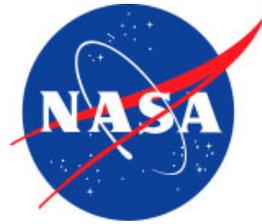
Requested NARA Assistance



- JPL's NASA Management Office entered into a Targeted Assistance agreement with NARA to assist the Contractor (Caltech)
- At the same time, NASA offered to work with NARA as a pilot – producing a flexible schedule for Program/Project records



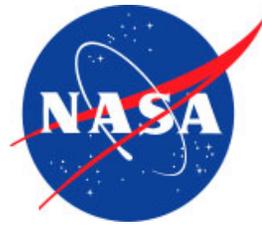
What Is Our Plan?



- Develop file maps
- Revise and simplify requirements documents
- Develop awareness and training program
- Integrate records management into software through lab-wide partnerships
- Develop an electronic archives



What Is a File Map?



- Provides file descriptions for each organization
- Identifies whether files are Government or Caltech records
- Designates files as vital and/or controlled records, if applicable
- Provides information on how long to retain the files



Sample File Map

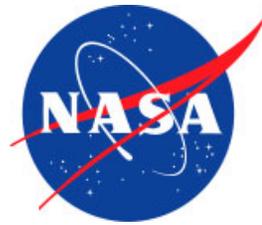
Government
or Caltech

File name	Description	Retention	Record copy?	Controlled?	Vital?	Caltech?
Project Authorization File	This file contains authorization background and documents, including Project Planning Documents and Project Authorization Documents.	May retire when 2 years old. Transfer to Archives 15 years after Project completion or when 25 years old, whichever is sooner.	✓		✓	
Project Review Files	This file documents PDRs, CDRs, FRRs, etc.	May retire when 2 years old. Transfer to Archives 15 years after Project completion or when 25 years old, whichever is sooner.	✓			
Project Correspondence	This file consists of routine project correspondence, not including administrative files.	Destroy 6 years after project completion/termination/cancellation.	✓			
Engineering Change Requests			✓		✓	

how long to
retain the
files

Record
copy or
reference

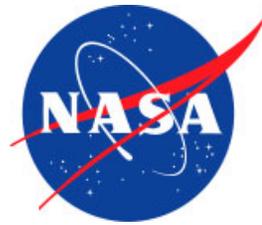
Getting Started



- Created teams: two people per interview
(Manager, Archives staff, NARA partner, contractor)
- Planned sequence of orgs, contacts and interviews
- Developed tools
 - Customizable overview presentation
 - Interview form
 - Web interface database for data collection
- Began with a pilot in our “home” division
- Expanded interviews to other organizations
- Conducted interviews and processed data
- Requested review/comment from interviewees, managers, and/or POC



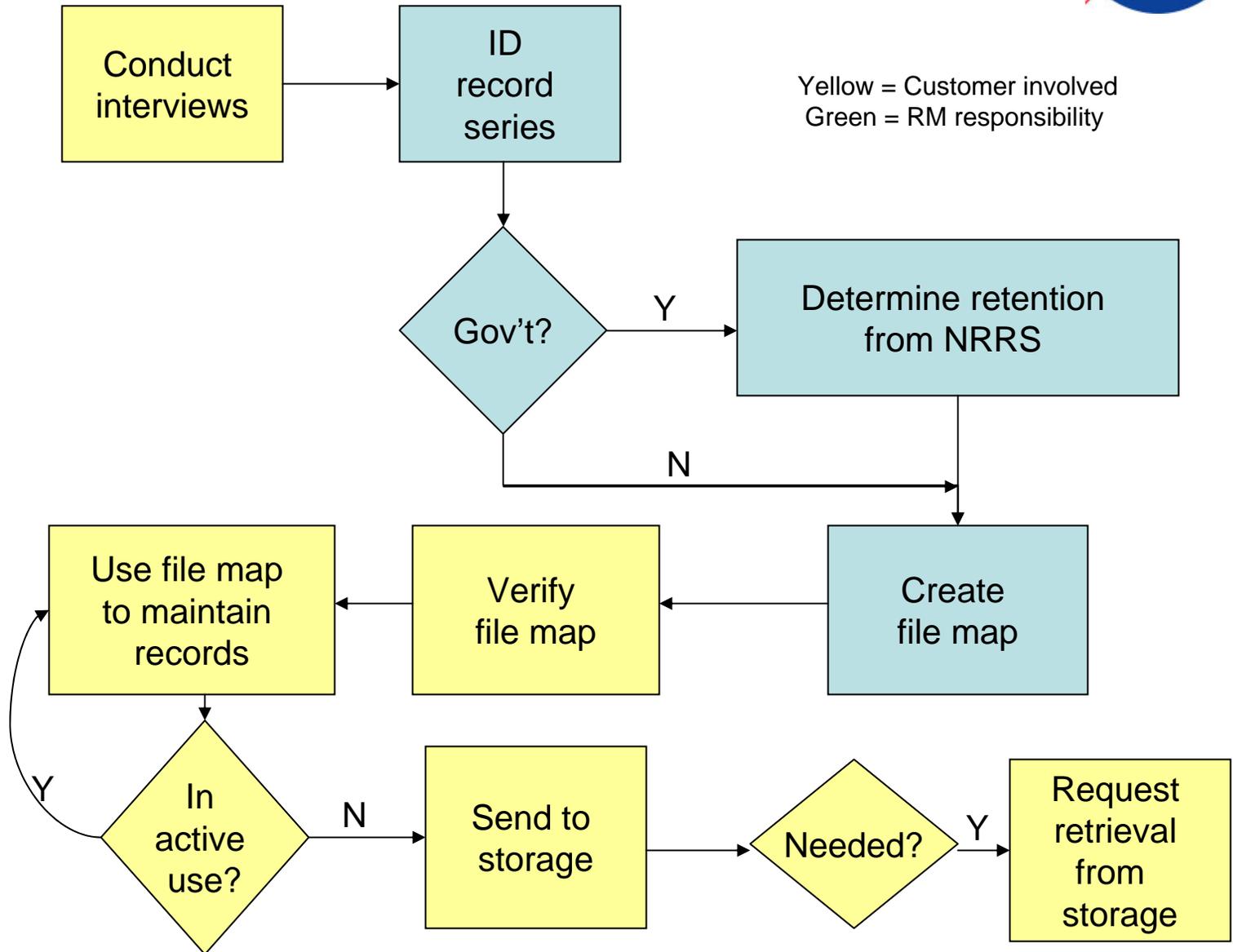
What Is Our Process?



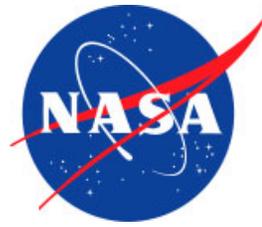
- Manager identifies “point of contact” (POC)
- POC provides:
 - Functional business processes
 - Charters, organization charts
 - Recommendations for interviewees
- RM meets with individuals
 - Review their business processes
 - Review records generated/received (all media)
- RM creates draft lists of files
- POC/interviewees review/comment on the lists
- RM maps records on lists to the NASA Records Retentions Schedules (NRRS)
- RM delivers lists (now “file maps”) to Manager



How Do We Apply the Process?

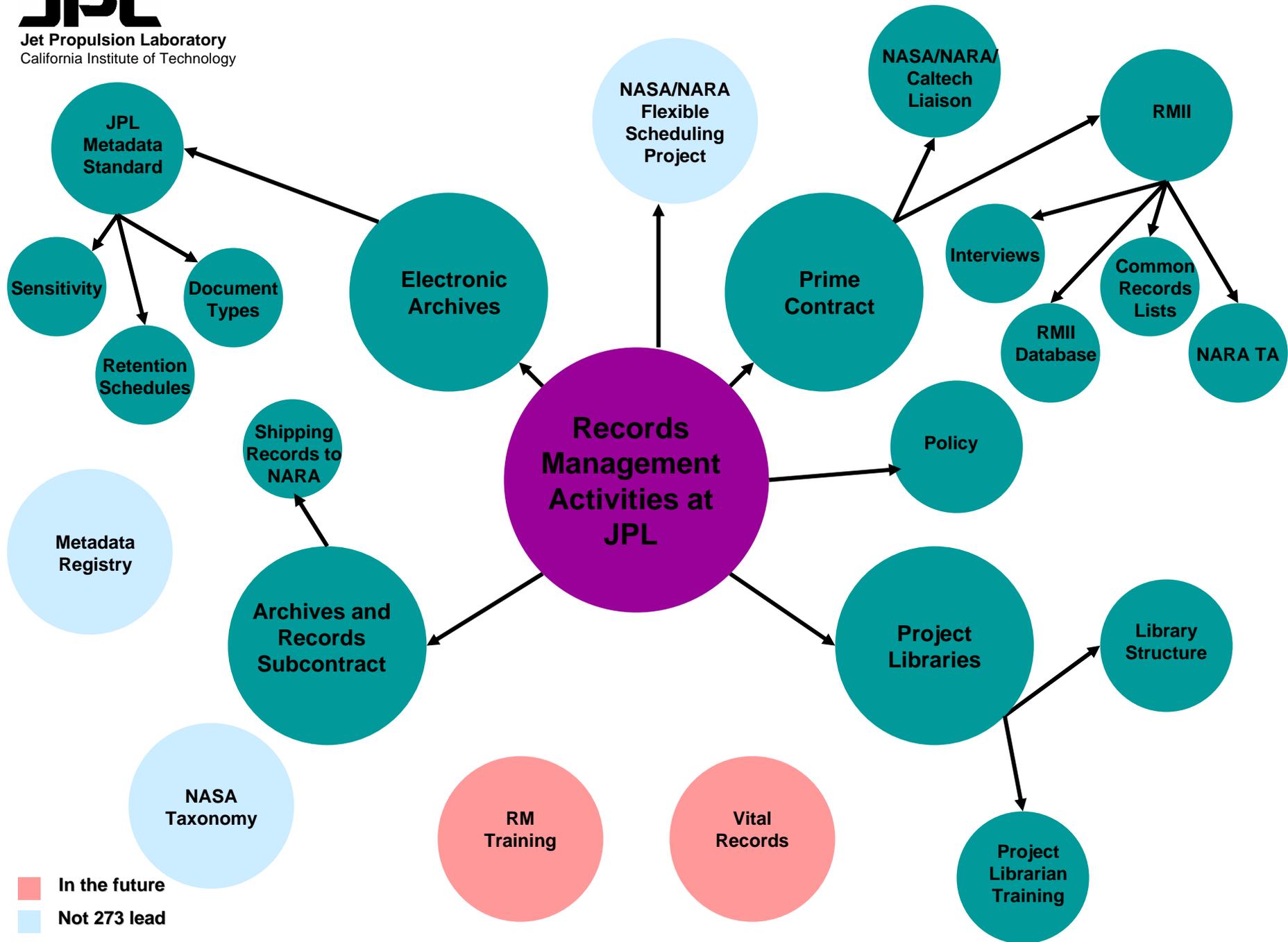


What Are Our Challenges?

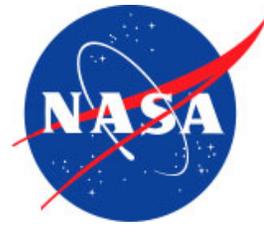


- Multiple definitions of “record”
 - ISO “got here first”
- Competing priorities for RM staff
- Contractor/NASA relationship
- Resistance to managing records as institutional asset
- High-profile projects occurring
- Little to no RM/inventory experience
 - limited resources
 - underestimation of time required
 - inadequate review/QC of data entry





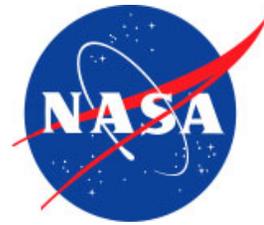
What Improvements Did We Make?



- Developed lists of common admin and common project records
- Increased knowledge of projects, functions, processes
- A dedicated team for each org
- Interviewer also needs to perform data entry, in timely fashion
- Preferable to have single person review/QC the data



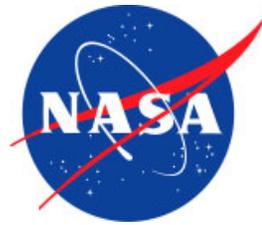
What Benefits Have We Observed?



- Makes new contacts and partnerships
 - assists in working issues going forward
- Increases RM awareness lab-wide
 - Interviews serve as educational opportunity
- Reduces duplications
 - record copies, space, staff, costs, etc.
- Streamlines future dispositions
 - records mapped to retention schedules



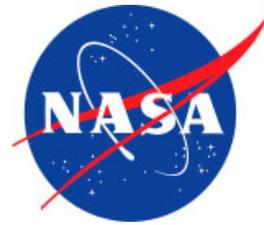
Where Are We Now?



- One-third of interviews & file maps completed
- Labwide training in beta testing
 - Records awareness
 - Files management
- Core metadata will include retention periods
- Increased resources
 - full-time Records Manager (CRM)
 - contract Records Analyst (file maps = single focus)



What's Next?



- Short-term:
 - Review/improve our process, including training
 - Deliver training
 - Schedule and conduct remaining interviews
 - Complete remaining file maps
 - Get approval and publish file maps
 - Develop file map maintenance process

- Long-term:
 - Develop “best practices” by addressing other RM issues (“e” records, web pages, email, media migration/disposition, legacy records, etc.)
 - Develop/enhance tools to make compliance easier
 - Maintain retention schedules w/NARA & NASA
 - Develop vital records management effort





QUESTIONS?

