Records and Information Management Improvement 2016
Generally Accepted Record Keeping Principles & DOTD

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
Accountability

- Management Support
- Policies
- Procedures
- Audits
Accountability

- Revision and Approval of Records Management Procedures
- Creation and Approval of RM Policy
- Development of Fast Facts Sheets on RM Topics
Accountability

Records Management Handbook:

- How to Transfer Records to RMU
- Classifying Records
- Box Transmittals
- Are your email and electronic files records?
- Official, Public, & Confidential Records
- Non-records
- Using the Retention Schedule and Guides
- Records Management Procedures
Accountability

Is staff in your section aware of the DOTD Records Management Program?
Answered: 36  Skipped: 0

Is staff in your section aware of the DOTD Retention Schedule?
Answered: 36  Skipped: 0

Is staff in your section regularly submitting records to Content Manager?
Answered: 36  Skipped: 0

Does staff in your section dispose of convenience copies (e.g., working copies, drafts, and duplicates) when no longer needed for business purposes?
Answered: 36  Skipped: 0
Transparency

- Processes and activities are open and verifiable
- Documentation available to all
Transparency

- Expanded the Records Management Coordinator Network
- Established a Subject Matter Experts list
- Computer Based RM Basics Training
- District RM Coordinator RM Basics Training
DOTD’s Records Management Program: The Road Connecting You to the Information You Need.

Mission: The Records Management (RM) program builds successful strategies to make records easier to organize, store, protect, and access throughout the Department.

Click Here for the 2015 Retention Schedule

Welcome to DOTD’s Records Management Program’s home on the Intranet. Here you will find a variety of Records Management Resources, including:

- The approved DOTD 2015 Retention Schedule, the Retention Schedule Function Guide, and the Retention Schedule Section Guide. For questions about the Retention Schedule or Guides, or to suggest revisions to the Records Retention Schedule Section Guide, please email the RM Unit at DOTDRMRequests@LA.GOV.
- DOTD’s Record Management Policy
- DOTD’s official Transmittal Sheet for transferring records to offsite storage
- Fast Facts Sheets, providing overviews of RM topics and step-by-step instruction for RM procedures
- A direct link to the SharePoint site for the DOTD Records Coordinator Network
- Contact information for members of the RM team
- Computer-based training on RM topics

Information will be updated and new content will be provided on an as-needed basis, so please check this page regularly to ensure the information you are using to make RM decisions is up-to-date.

Questions? Comments? Suggestions for additions to this page? We are happy to hear from you! Please contact Claire Dixon at 3-1849 or DOTDRMRequests@la.gov and our team will do our best to assist you.
<table>
<thead>
<tr>
<th>Box Number</th>
<th>Record Series</th>
<th>Description</th>
<th>Project #</th>
<th>Destruction Date</th>
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<tbody>
<tr>
<td>26-1001</td>
<td>03-Records Storage Administration</td>
<td>Box Transmittal Sheets June-Dec 2012</td>
<td>N/A</td>
<td>12/31/2016</td>
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</table>

**From:** 26-Enterprise Support Services

**First and Last Name of Sender:** Laurie Blandino

**Date:** 12/31/2015

*Please enter the retention period start date for this box, e.g., Final Acceptance Date.*

**Where do we pick up?** s-114

**Check:** Ready to Dispose

**In Content Manager:**
Integrity

- Records and Information are authentic and reliable
  - Correct Policies and Procedures
  - Training
  - Audit Trails
  - Reliability of systems
Integrity

- Imaging Exception Application approved
- Centralized Scanning Pilot Plan completed
Protection

- Private, Confidential, Privileged
- Vital Records – essential for business continuity
Protection

- Physical Records
- Offsite Storage Facilities
  - Inventory
  - Shelf Locations
- Microfilm Collection
  - Rescued 3000+ rolls
## Protection

<table>
<thead>
<tr>
<th>A-D Strip Level</th>
<th>Film Condition</th>
<th>Recommended Actions</th>
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<tbody>
<tr>
<td>0</td>
<td>Good—no deterioration</td>
<td>Cool or cold storage</td>
</tr>
<tr>
<td>1</td>
<td>Fair to Good—deterioration starting</td>
<td>Cold storage Monitor closely</td>
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<tr>
<td>1.5</td>
<td>Rapid decay starting—point of autocatalytic decay</td>
<td>Cold or frozen storage</td>
</tr>
<tr>
<td>2</td>
<td>Poor—actively degrading</td>
<td>Freeze Copying advisable</td>
</tr>
<tr>
<td>3</td>
<td>Critical—shrinkage and warping imminent, possible handling hazard</td>
<td>Freeze immediately Copy</td>
</tr>
</tbody>
</table>
Protection
Protection
Protection
Protection

- Box to exact shelf location tracking
Compliance

- Comply with applicable laws
- Comply with DOTD’s policies
- Comply with Industry Standards

Compliance

- Researched, assessed, and compiled rules and regulations that DOTD must comply with in regards to records management
Availability

- Timely, efficient, and accurate retrieval of needed information
## Availability

- **Taxonomy Development**

<table>
<thead>
<tr>
<th>Section</th>
<th>Function</th>
<th>Activity</th>
<th>Document Class</th>
<th>Document Type</th>
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<tbody>
<tr>
<td>Section 24 - Road Design</td>
<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Calculation</td>
<td>Design Calculations</td>
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<tr>
<td>Section 24 - Road Design</td>
<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Correspondence</td>
<td>Design Exceptions</td>
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<tr>
<td>Section 24 - Road Design</td>
<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Engineering Plan</td>
<td>As-Built Plans</td>
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<tr>
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<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Engineering Plan</td>
<td>Final Plans</td>
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<td>Engineering and Construction</td>
<td>Engineering Plan</td>
<td>Preliminary Plans</td>
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<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Engineering Plan</td>
<td>Shop Drawings</td>
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<tr>
<td>Section 24 - Road Design</td>
<td>Project Design and Delivery</td>
<td>Engineering and Construction</td>
<td>Report</td>
<td>Transportation Management Plans (TMP's)</td>
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</table>
Availability

2015 – 1000+ miles

2016 – 1162 miles
Open Water!
Retention

- Keep records for appropriate time
- Legal, regulatory, fiscal, operational, historical requirements are considered.
Retention

- Complete overhaul of the retention schedule
  - From 900 records series to less than 100
  - Function based
- Finding Aids
- Retention Schedule Training
  - Trained 248 individuals
  - 4 District offices remain
Disposition

- Secure and appropriate disposition when records are no longer needed
- In compliance with laws and org’s policies
Disposition

- Flat File Review/Microfilming complete
  - 2237 projects
- Donation of 1200+ items to the State Archives and State Library
- 900+ boxes past retention disposed in 2015
2015

- Field books - Completed Disposal: 33.90%
- WH5 2014 - Completed Disposal: 0.93%
- WH5 2015 Box Disposal In Progress: 2.46%
- WH8 Microfilming In Progress: 0.76%
- WH8 Waiting to be Microfilmed: 0.76%
- Project Plan Review In Progress: 2.03%
- Public Works File Review In Progress: 0.93%
- In Short Term Storage or Undetermined Status: 1.49%

2016

- Field books - Completed Disposal: 57.67%
- Disposed in 2014: 55%
- microfilmed 2015: 8%
- Project Plan Disposal/Microfilming: 9%
- Public Works Donations: 4%
- Disposed in 2015: 1%
- In short term Storage: 1%

Green = disposed / Purple = In storage
## Contact Us

<table>
<thead>
<tr>
<th>Team Member</th>
<th>Department</th>
<th>Email</th>
</tr>
</thead>
<tbody>
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<td><a href="mailto:brad.d.doucet@la.gov">brad.d.doucet@la.gov</a></td>
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