

Administrative Services

Improving Records Management in Regional Office File Rooms

Ensure Regional Administrative Officers maintain file rooms in a manner that is consistent with DTSC's records retention schedule, maximizes utilization of space, and properly secures essential records.

Goal: Improve the records management systems in file rooms located in DTSC's regional offices to maximize file space, improve access to files, and ensure compliance with the Department's records retention schedules. Establish and follow a consistent system of record review, update, and disposition.

Background: DTSC's regional office file rooms provide essential records management for the Department's cleanup, enforcement, permitting, and other programs. DTSC faces multiple challenges in maintaining its file rooms, including an aging electronic tracking system, lack of physical and electronic storage space, duplicative records, records retention requirements, and limited human resources.

This work plan is a continuation of efforts that were initiated under Fixing the Foundation. DTSC completed its migration to a new records management database system in the fall of 2013. The volume of records exceeds the space available in DTSC's file rooms. Additional space is needed to store incoming new records. Because of limited space to store records, staff use common areas, meeting rooms, and vacant cubicles to store records. Records retention schedules specify how long records are retained, and when they are to be sent offsite to the State Records Center (SRC), expunged, or sent to the California State Archives for historical preservation. A great number of site files qualify for transfer to the State Records Center; these need to be systematically identified and prepared for off-site storage.

Timeline:

6 months: July 2014 – December 2014

- Execute contracts for moving and shipping boxes to the State Records Center.
- Conduct detailed inventories of all file room records.
- Conduct inventories of records located outside of file rooms.
- Review record lists, identify priorities, and establish targets.
- Develop statewide file room training for project managers and support staff:
 - Analyze training needs and intended training audiences.
 - Design training sessions.
 - Develop training materials.

- Deliver statewide file room training to the DTSC Office of Permitting and Enforcement Branch project managers and support staff.
- Clean and update one-eighth of individual site files inside the file room:
 - Gather site files and bring to an established work area.
 - Put all records in chronological order.
 - Remove and recycle duplicates and records that were not part of the decision-making process.
 - Identify documents that require uploading to EnviroStor.
 - Scan documents to be uploaded to EnviroStor.
 - Identify appropriate disposition in accordance with the appropriate records retention schedule.
- Prepare and transfer appropriate records to the State Records Center or the California State Archives.

12 months: January 2015 – June 2015

- Deliver statewide file room training to Cleanup Program project managers and support staff.
- Clean and update second one-eighth of individual site files inside the file room: using the process outlined above.
- Prepare and transfer appropriate records to the State Records Center or the California State Archives.
- Convene cross-functional team to address electronic storage and document management needs.

Beyond June 2015

- Establish a regular system of record review, update, and archiving.
- Revise and update written records management procedures.
- Develop work plan to address further electronic storage and document management needs.