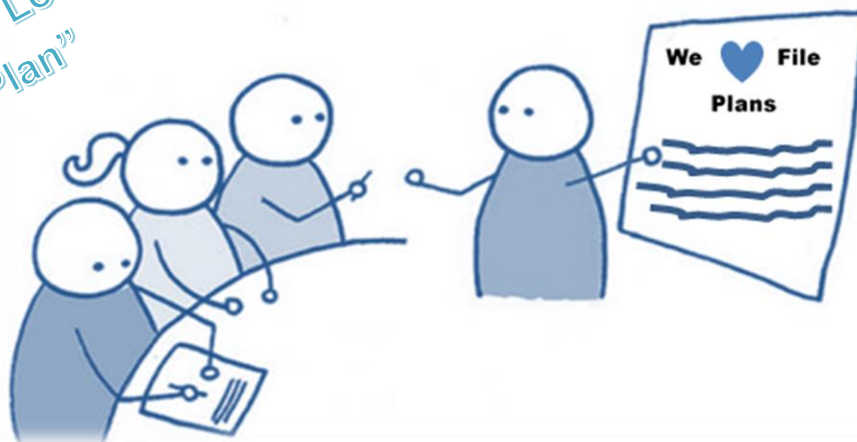# Office File Plan Workbook

Inventory Questionnaire, Worksheets & Office File Plan Template

"Everybody Loves a File Plan"

We ♥ File Plans

Purpose: To conduct a records inventory in order to identify all records made or received by you, your team, or office; and to create or update an individual, team, or office file plan.

Workbook Contents: This workbook includes the following tools that you will need to conduct a successful inventory and create a successful file plan:

- Steps to conducting a records inventory
- Key definitions
- Worksheets: "Is It a Record?" "Inventory Questionnaire," and "Inventory Checklist"
- Imbedded Documents: "Office File Plan Template"- Micosoft Excel Workbook and the Micosoft Word version of this document, "Office File Plan Worksheet."

What is a "records inventory"?

A "records inventory" is a detailed listing of the location, scope, volume and complexity of an organization's records. The results of this survey can be used to analyze the records for various purposes including retention and protection. A records inventory is not a list of each document or each folder.

What are the steps to conducting a records inventory?

- For a large group, it is best to get buy-in from senior management prior to starting this task. This step is not necessary for an individual or team file plan.

- Initiate the task with an email from senior management, followed by an (optional) kickoff meeting with (optional) candy.

- Interview staff to identify the records created and maintained by each office or group. Use the "Is it a Record?" worksheet to quickly determine whether or not the item is a record.

- Include records in all media (i.e. physical records, systems, documents on shared drives, email, records on the agency or local government website, social media records, and the Cloud.)

- Complete the "Inventory Questionnaire" and "Inventory Checklist" forms for each program office.

- Use "Office File Plan Template" to align inventory with authorized records dispositions in one of the following apropriate state retention schedules.

Other Key Definitions:

Record

- Long definition Virginia Public Records Act, 2006

    "…information that documents a transaction or activity by or with any public officer, agency or employee of an agency. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record."

    Code of Virginia § 42.1-77

Shorter definition *A record is…*

- *E V I D E N C E of the work that you do*
- *A record is made or received*
- *A record is regardless of media*
- *A record is either temporary or permanent*
- *At least 95% of all records are temporary*

Records are also known as: IT Investments … Assets … Data *Do you make or receive State records? (The answer is "yes").*

Non-record

Virginia Public Records Management Manual

"Convenience, courtesy, or information-only copy of a record, such as a reading file or duplicate copy that is disposed of after use."

- *A non-record is always a government document. Personal information is not a non-record.*

- *The disposition for a non-record and personal material is to delete or destroy it when no longer needed.*

Record Series A category of records, or a group of related documents that support a common activity.

Schedule, Retention Schedule

Virginia Public Records Management Manual

"The Library of Virginia–approved documents listing descriptions of records grouped by common function, the length of time they must be kept, and the required method of destruction.

Retention schedules reflect the length of time that records have historical, administrative, legal, or fiscal value."

- *A schedule is a manual that provides Disposition Authority*

Disposition The actions taken regarding records no longer needed for current government business. These actions include the disposal of temporary records, transfer to agency or locality storage facilities (or the State Record Center, if appropriate), and transfer of permanent records to the Library of Virgina, or permantly storage at the agency or locality.

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Is It a Record?

email   documents
spreadsheets
presentations
or other social media

RECORD — **YES**
Are you or your organization the creator of the record? Did you generate or receive the message to use for your technical/administrative work in conducting agency business?

NO

RECORD — **YES**
Does it contain informational value as evidence of your organization's functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?

NO

RECORD — **YES**
Is it material that originated in another office or outside your agency, but you commented or took action on the material?

NO

RECORD — **YES**
Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events and decisions?

NO

RECORD — **YES**
Is it an original message/document related to agency business that does not exist elsewhere?

NO

Is it a draft or interim document that has not been circulated to others or does not contain substantive comments and for which there is a final version being maintained?   **YES** → **NOT A RECORD**

NO

Is it published or processed information that you received and use as reference?   **YES** → **NOT A RECORD**

NO

Was the message sent to you "for information only?" Is it a copy of a document or correspondence kept only for convenience of reference on which no action is taken?   **YES** → **NOT A RECORD**

NO

Is it information accumulated and kept at the workplace, but does not affect or reflect agency program business?   **YES** → **NOT A RECORD**

NO

Is it spam or documentation that has no work-related informational or evidentiary value? Is it routine chit-chat?   **YES** → **NOT A RECORD**

When in doubt treat as a record
Contact your Records Officer for information

LIBRARY OF VIRGINIA

Inventory Questionnaire

- *How many separate offices, functions, or work groups are performed within your business unit?*

- *What kind of documents, forms, emails, or other information do you (or your team members) make or receive that are related to the agency's mission, or support of the mission?*

- *Do you or your teammates use any systems? Do you use the Cloud?*

- *What kind of other documents, forms, emails, etc. do you (or your team members) make or receive in an official capacity?*

- *Do you or your teammates use social media or your organization's website for work?*

- *Do you already know the retention schedule and record series for these records?*

- *Where are they kept right now? (i.e. file cabinet, hard drive, network drive, Electronic Information System [database], email, your organization's website, social media platform, the Cloud, or other [please identify])*

CHECKLIST

(Examples of records you may make or receive)

- ☐ Administrative Records
- ☐ Fiscal Records
- ☐ General Services
- ☐ Information Technology
- ☐ Personnel Records

- ☐ GSLOC - Human Services
- ☐ GSLOC - Judiciary
- ☐ GSLOC - Local Departments
- ☐ GSLOC - Public Safety
- ☐ GSLOC - Specific Departments

- ☐ GSSAG - College and University
- ☐ GSSAG - Criminal Justice Trg. Ac.
- ☐ GSSAG - Fire, Safety and Security
- ☐ GSSAG - Food Service
- ☐ GSSAG - Governor's Cabinet
- ☐ GSSAG - Health Records
- ☐ GSSAG - Law Enforcement
- ☐ GSSAG - Library and Museum
- ☐ GSSAG - Mailroom
- ☐ GSSAG - Motor Vehicle

- ☐ SSSAG – Mission Records
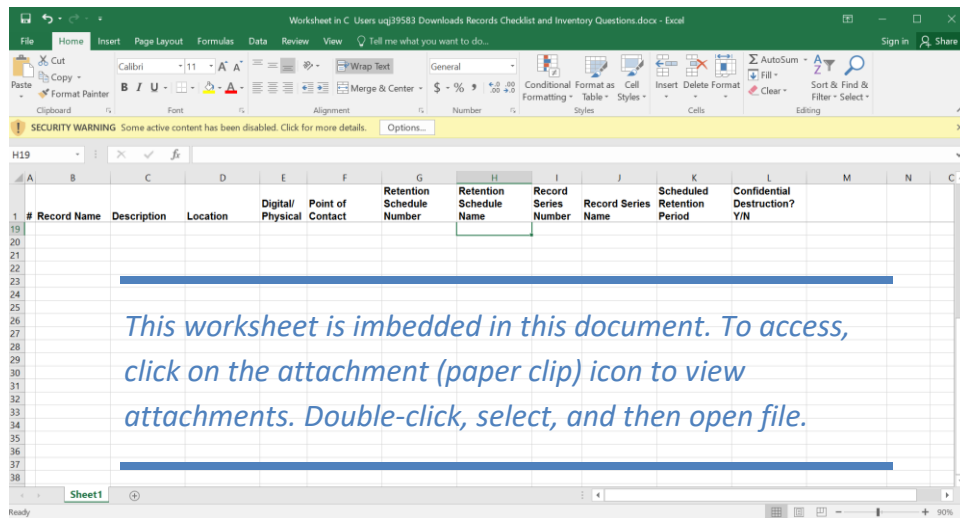
Inventory Checklist

Document/Record/System Name	Administrative Records	Fiscal Records	General Services	Information Technology	Personnel Records	GSLOC - Human Services	GSLOC - Judiciary	GSLOC - Local Departments	GSLOC - Public Safety	GSLOC - Specific Departments	GSSAG - College and University	GSSAG - Criminal Justice Trng. Ac.	GSSAG - Fire, Safety and Security	GSSAG - Food Service	GSSAG - Governor's Cabinet	GSSAG - Health Records	GSSAG - Law Enforcement	GSSAG - Library and Museum	GSSAG - Mailroom	GSSAG - Motor Vehicle	SSSAG – Mission Records		

Office File Plan Template

This worksheet is imbedded in this document. To access, click on the attachment (paper clip) icon to view attachments. Double-click, select, and then open file.

Instructions:

Step 1- (Columns A-F): Enter office record name and all relevant information collected during the inventory phase.

Step 2 - (Columns G-L): Use the appropriate state record schedule to match the best record series with each office record on the list. **Note:** Consider consolidating the office record name and descriptions for office records containing the same record series.

Step 3 - Review update, and approve completed office file plan with appropriate records management stakeholders in your organization.

MS Word version of this document
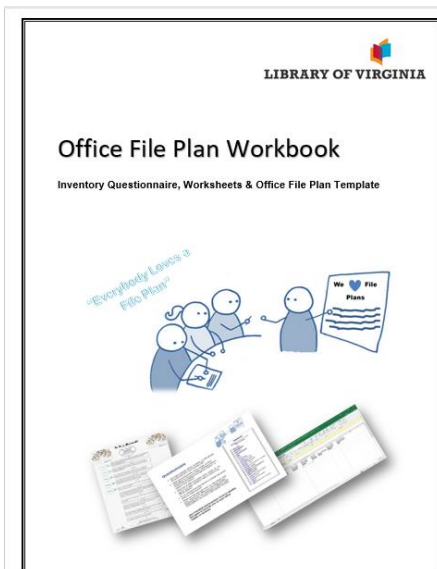
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