Enhance Your Records Management Program With a Taxonomy

SLA 2013 Annual Conference
San Diego, CA
June 9th, 3:30 – 5:00 PM
#slataxo
What is a Record?

Title 44, Section 3301USC

...all books, paper, maps, photographs, machine-readable materials or other documentary materials, regardless of the physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency...as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government...
Federal Records Management

NARA

Government-wide records management requirements and broadly applicable guidance

VA

Policies and programs that comply with NARA’s requirements; Adapts NARA guidance to management of VA records

VHA

Policies for the establishment and maintenance of a formalized records management program within all VHA facilities; Roles and responsibilities
VHA Records Management

- Under Secretary for Health
  - Chief, Health Information Management
  - VHA Records Officer

- VHA Program Chief Officer, VISN Director, Facility Director
  - Facility Records Manager

- Service Chiefs, Product or Service Line Managers, Program Supervisors or Managers
  - Records Liaisons
  - All VHA Personnel
VHA Records Schedules

- General Records Schedules (GRS)
  - NARA
- RCS 10-1
  - Veterans Health Administration
- OI&T
  - VA Office of Information & Technology
- MP-4, Part X
  - Finance records
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Transmittal No. 22
April 2010

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Introduction to the General Records Schedules

Schedule 1. Civilian Personnel Records

Schedule 2. Payrolling and Pay Administration Records

Schedule 3. Procurement, Supply, and Grant Records

Schedule 4. Property Disposal Records

Schedule 5. Budget Preparation, Presentation, and Appor...
Nutrition & Food Service

Temperature Strips -- Readings for Patient Meal Refrigerators

RCS 10-1

- 113-2: Laboratory Service
  - Blood Bank Monitoring
    - 5 years

- 113-10: Laboratory Service
  - Morgue Record
    - 3 months

- 138-2: Engineering Service
  - Morgue Inspection
    - 3 months

- 138-10: Engineering Service
  - Physical Records Information
    - Destroy records that have been replaced by new records.
Purchase Orders in Nuclear Medicine

GRS
• Schedule 3; Procurement, Supply, and Grant Records
  • #3,a(1)(a): Procurement or purchase organization copy, and related papers (over the simplified acquisition threshold)
    • 6 yrs., 3 mos.

RCS 10-1

• 90-20: Office of Acquisition and Materiel Management
  • General Procurement
    • 6 yrs., 3 mos.

• 119-3: Pharmacy Service
  • Purchase Order File
    • 2 yrs. After date of order

• 121-5: Prosthetic and Sensory Aids Service
  • Home Improvement Structural Alterations
    • 6 yrs., 3 mos.

• 133-31: Canteen Service
  • Vendors Purchase Order Files
    • 1 yr. and after audit
Identifying the Record Series Number

Records Manager confirms with VHA Records Officer

When there is no clear match, or multiple possibilities – Records Liaison consults with facility Records Officer

Records Liaison searches schedules for record series description matching their records
Toward a Taxonomy

Fee Basis Records → Administrative Claims Files
## Toward a Taxonomy

<table>
<thead>
<tr>
<th>User Reference</th>
<th>Service</th>
<th>Record Schedule &amp; Series</th>
<th>Record Title</th>
<th>Notes</th>
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<tr>
<td>Fee Basis Disapproved</td>
<td>Accounting</td>
<td>GRS # 6,10,a</td>
<td>Claims Against the United States</td>
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<td>Fee Basis Disapproved</td>
<td>HAS</td>
<td>RCS 10-1 # XLIII-1</td>
<td>Consolidated Health Record</td>
<td>Health information component</td>
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<td>Temperature Strips</td>
<td>Nutrition &amp; Food Service</td>
<td>RCS 10-1 # 138-10</td>
<td>Physical Records Information File</td>
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<tr>
<td>(Patient Meal Refrigerators)</td>
<td></td>
<td></td>
<td>Purchase Orders</td>
<td></td>
</tr>
<tr>
<td>Purchase Orders</td>
<td>Nuclear Medicine</td>
<td>GRS 3,a(1)(a)</td>
<td>Procurement or purchase organization copy...</td>
<td></td>
</tr>
<tr>
<td>Purchase Orders</td>
<td>Pharmacy</td>
<td>RCS 10-1</td>
<td>Purchase Order File</td>
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Toward a Taxonomy

- Save inquiry language of the end user along with the response language of a professional records manager
- Share questions and answers broadly across the organization
- Relate functions to organizational units