

EFCOG Best Practice #129

Best Practice Title: Ensuring Notification of Recordkeeping Personnel When Documents are Created or Revised

Facility: Waste Isolation Pilot Plant

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Brief Description of Best Practice: Each time a new document or a revision to an existing document is created, formal notification via the electronic document management system (EDMS) is provided to the departmental Records Coordinator of the organization having ownership of the document. A "required response" field has been added to the Document Revision Checklist form and the name of the identified Records Coordinator must be entered in the EDMS before the review/approval process is started.

Why the best practice was used: In the past, Records Coordinators were at times inadvertently omitted from being informed about all document activity related to their areas of responsibility. The result was that Records Inventory and Disposition Schedules (RIDS) were not always updated to reflect new documents, cancelled documents, or changes to documents that might impact retention periods or other recordkeeping requirements relevant to the applicable document and/or RIDS.

What are the benefits of the best practice: This process improvement has resulted in consistent, documented notification of the appropriate Records Coordinator for 100% of documents created or revised since its implementation.

What problems/issues were associated with the best practice: Not all Records Coordinators were informed prior to implementation of the new practice and did not know why they were receiving notices from the EDMS. A formal briefing or similar dissemination of information regarding what to expect may have prevented any confusion or misunderstanding.

How the success of the Best Practice was measured: Long-term outcome as to whether or not this practice will result in a greater overall degree of accuracy of departmental RIDS may not be known for some time. However, making this additional information available to Records Coordinators on a consistent basis is certain to have a positive impact.

Description of process experience using the Best Practice: Records Coordinators are better informed of planned and actual changes that might affect records storage and retention. This supports ISMS Core Functions 4 (performing work within controls) and 5 (provide feedback and continuous improvement). The RIDS is a controlled process to assure that appropriate records are properly maintained, which is very important for long term operations at high hazard/nuclear facilities.