METAKNOWLEDGE REPOSITORY (AKA: MKR)

NF/SG VHS

Records Management Program

MKR RECORDS INVENTORY

- Guide to creating a records inventory for your department in MKR.

- Log onto MKR: https://vaww.va.gov/mkr/rm

  - If you have never logged into MKR before, you will need to register.

  - This process is approved by the National MKR guys. They usually complete registration within 24-48 hrs.

- Once in MKR Records Management, you should see this menu to the left of your screen:
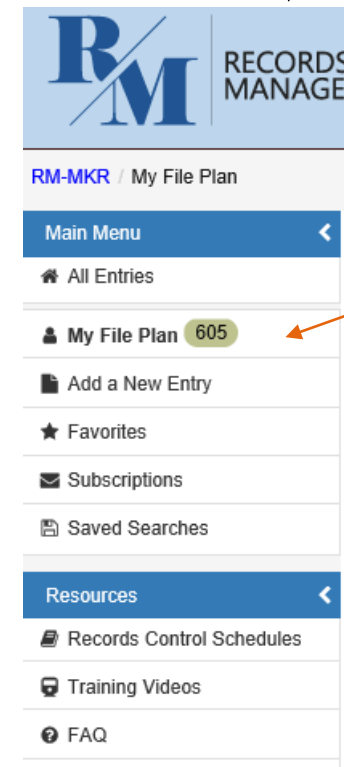
"My File Plan" will display the number of records assigned to you in MKR.

CREATING A RECORDS INVENTORY

- This training will take you step by step in creating a records inventory in MKR. Each field is a Directive requirement.

- To create a new entry in MKR, you will select "Add a New Entry" from your menu:
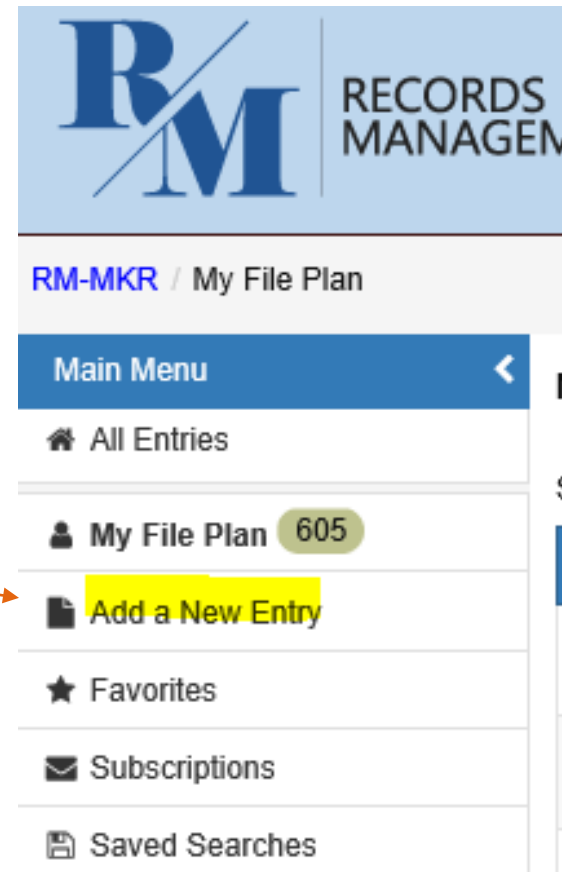
"NEW ENTRY" WITH EMPTY FIELDS WILL POPULATE:

New Entry

<div style="text-align:right">↻ Clear form   ↻ Cancel   ☑ Save</div>

General

*Title:	
*Location:	
*Description:	
*Keywords:	
Restrictions:	

*Record Size: ○ Single Record   ⦿ Record Series (default)

Category:	Select Category	**Other:**
Record Type:	Select Record Type	**Other:**
Record Media:	Select Record Media	**Other:**
Volume:	Select Volume	
Arrangement:	Select Arrangement	
Inclusion Start Date:	🗓	
Inclusion End Date:	🗓	
Information Type:	Select Information Type	
Cut Off:	Select Cut Off	
Hold:	Select Record Hold	

*Vital Or Essential: ○ Yes   ⦿ No (default)

*Active: ⦿ Yes (default)   ○ No

Records Control Schedule Information

Records Control Schedule: [ ] [ ] ＋ ✕

RCS Description:

RCS Disposition:

Disposition Alert(s)

Disposition Date	Alert settings	Remarks

⚏ Add Disposition Alert

Disposition(s)

Start Date	End Date	Dispositioned	Disposition Date

＋ Add Disposition

Records Contacts

Records Liaison:		＋ ✕
Alternate Records Liaison:		＋ ✕
Records Manager:		＋ ✕
Alternate Records Manager:		＋ ✕
Organization:		＋ ✕

TITLE:

*Title: [   ]

- Your "Title" entry is the title of your record.

- This is what your department calls the record:
  - IE: Timekeeping, Personnel Files, Supervisor Records, Temperature tracking, Records Management Files, Committee Minutes, CAP Survey, Administrative Records, etc.

LOCATION:

*Location:

Location is the physical location of your record.

Be specific.

- <u>Paper records</u>: Building number, Room number, Cabinet number, Drawer number.

  - Never enter the persons name the record belongs to. Records should be department specific, NOT person specific.

- <u>Electronic Records</u>: Enter the complete electronic file path of your record.

  - Records should be on a **SHARED** drive.

  - NEVER enter a computer name or personnel name.

  - You will enter the Drive (i.e. S: Drive) and the Folder name and any additional fields needed to access the record.

DESCRIPTION:

*Description:

- This is where you will enter the complete description of your record.

- For example: Committee Records:

   Description: Meeting Agenda's, Meeting Minutes, Reports, Membership Records, Charters, Correspondence

- Your **Description** will go into detail about what the record contains.

KEY WORDS AND RESTRICTIONS:

*Keywords:

- Keywords is a short entry to enable you to search your database for your record.
  - You can enter your department name or something that may help you identify your record.

Restrictions:

- Restrictions: If this record is restricted to supervisor or a specific position, this is where you will enter that information. (Remember to never enter a person's name. You would enter their VA position. ie: Pharmacy Supervisor)

RECORD SIZE:

*Record Size: ◯ Single Record ⦿ Record Series (default)

Single Record:

A single record would be a document that is NOT continually created. It is a "One-Time Creation."

Record Series: A record that is continually created.

Most of our Records are Record Series.

For example: Finance records that are created each year:

These are the same records that are continually created. You would NOT enter a new entry each year for the same type of records.

(You will update your location when/if that changes, and you will update your inclusion dates annually.)

RECORDS CONTROL SCHEDULE:

Records Control Schedule Information

Records Control Schedule: [ ] [_____] [+] [x]

    RCS Description:

    RCS Disposition:

- Some of your Records Inventory information is found in the Records Control Schedule.

- You will determine (with help from the Records Officer) what records control schedule item number to schedule each of your records.

- You will select the "+" to search and assign each record inventory entry in the Records Control Schedule (RCS).

RCS:

Select applicable RCS Schedule/Entry

GRS   NCA   OGC   OIG   OIT   OSDBU   SECVA   VBA Part I   VBA Part II   **VHA**

- FIRST: Select "**VHA**" from the top of the screen. This is VERY IMPORTANT.

- Second: Enter the item number in the "Find" box at the bottom of the screen to search the RCS 10-1 and schedule your inventory item. Once you select your item, select "set" to assign it to your entry. Note: There may be multiple pages of references that display. You will scroll through the pages to find your desired reference.

Showing 11 - 15 of 22 records |◀ ◀ Page 3/5 ▶ ▶|

RCS Entry ∧	Disposition
○ 3075.14.b. Family Medical Leave Act program Family Medical Leave Act program individual case files. Includes: • employee eligibility to participate in program • eligibility notice given to employee • notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them • medical certifications • employee identification data • records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid • leave request, approval/non-approval • leave records • records of premium payments of employee benefits • records of disputes between employers and eligible employees regarding designation of leave as FMLA leave • periodic reports of employee status and intent to return to work	Temporary; destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use. (GRS 2.4 item 141, DAA-GRS-2016-0015-0020) Legal Citation: 29 CFR 825.500
○ 3075.15. Phased-Retirement Employees' Overtime Documentation. Records documenting, ordering, or permitting phased-retirement employees to work overtime. Legal Citation: 5 CFR 831.1715, section 4	Temporary. Destroy when 6 years old. GRS 2.4, item 035 DAA-GRS-2018-0001-0001
○ 3075.2. Tax withholding and adjustment documents. Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.	Temporary; destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use. (GRS 2.4 item 020, DAA-GRS-2016-0015-0002) Legal Citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.
○ 3075.3. Time and Attendance Records. Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work. Legal Citation: 29 U.S.C. 516.5a	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. GRS 2.4, item 030 DAA-GRS-2019-0004-0002
○ 3075.4. Agency payroll record for each pay period. Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.	Temporary; destroy when 56 years old. (GRS 2.4 item 040, DAA-GRS-2016-0015-0004) Legal Citation: 5 U.S.C. 8466

Showing 11 - 15 of 22 records   Page Size: 10 20 30 40 50 100 |◀ ◀ Page 3/5 ▶ ▶|

Find: [   ] 🔍 Go   ⟳ Clear   ⟳ Cancel   ⤷ Set

CATEGORY:

Select the category of your records from the drop-down menu:

Category:
Select Category
F=Federal
NR=Non-Record
Other

- Most of our records are "Federal" records.

- This information will always be found in your **Disposition**. If it only states "Temporary" then it is a F=Federal Record. These records are "Non-Records" because the Disposition states it is a non-record.

- An example of "Other" would be a personal record.

Disposition

Temporary (non-records); destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.

Temporary; destroy when obsolete or replaced by a more current register. (Non-records)

RECORD TYPE:

- Select the Record Type from the drop-down menu.

  Record Type:

Select Record Type
Copy
Other
Permanent
Temporary
Unscheduled

- The below Financial Record is a "Temporary" record. You know this because it states it in the Disposition.

- You will never have to "guess" what type of record you have. It will state it in the disposition.
  If you're not sure – reach out to the Facility Records Officer.

RCS Entry ∧	Disposition
4000.1.b.(1). Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting. Official record held in the office of record.	Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

RECORD MEDIA:

Record Media:

Select Record Media
A=Architectural
AV=Audiovisual
C=Cartographic
E=Electronic
EN=Engineering
M=Microform
Other
P=Paper
PE=Paper & Electronic
PU=Published
RSI=Remote-sensing imagery
S=Scanned

- You will select the type of record from the drop-down menu.

- Is it a paper record stored in a department office or storage room?

- Is it an electronic record on a shared drive?

- If you have both Paper & Electronic records, you will select "PE."

VOLUME:

- You will select the "Volume" of your records from the drop-down menu.

- Electronic Records Only: NA/Non-Paper Records

- If you have both paper and electronic records, then you will select the volume of the paper records.

- There are only 4 options for volume of records in MKR.
  If you are scheduling a large volume of records, you will select the type of storage (legal-size file drawer; letter-size file drawer; or standard records center carton) and enter specific number into the description of your records:

Volume:

Select Volume
NA/Non-Paper Records
One cubic foot contains about 2,000 sheets of paper
One legal-size file drawer holds 2 cubic ft of records
One letter-size file drawer holds 1.5 cubic ft of records
One standard records center carton holds 1 cubic ft

Volume: One standard records center carton holds 1 cubic ft

Title: Finance Accounting - Wareho
Location: Warehouse - Building 23 - Se
Description: Financial transaction records
travel. (179 boxes)
Keywords: Finance

ARRANGEMENT:

Arrangement:

Select Arrangement
Alphabetical
Chronological
Geographical
Naming Convention/File Name
Numerical

- Select the filing arrangement of the records from the drop-down menu.

- How would you search for the record in your department?

    - Are they filed by Patient Name, Employee Name, event name or committee name?

        - Yes? They are Alphabetical.

    - Are they filed by date?

        - Yes? They are Chronological.

INCLUSION DATES:

Inclusion Start Date: [_____] 📅

Inclusion End Date: [_____] 📅

- Inclusion Start Date: The beginning date of your record.

- Inclusion End Date: The end of the fiscal or calendar year – depending on how you retain this information.

  NOTE: We are updating these items at least annually. You want to account for the entire year's data.

- You will NOT enter the Inclusion End Date to the end of the year if you no longer create this record (ie: Closed Clinic Records – clinic was closed in May 2020, so they are no longer creating records.)

INFORMATION TYPE:

- Select the Information Type of your record from the drop-down menu.

  Information Type:

  | Select Information Type |
  | PHI/IIHI |
  | PII |
  | Unrestricted |

- Does your records contain Protected Health Information or individually identifiable health information?

  - Yes? It's PHI

- Does your records contain Personally Identifiable Information?

  - Yes? It's PII.

- Does your record only have data on machines or temperature with no person specific data?

  - Yes? It's Unrestricted.

CUT OFF:

Select Cut Off
Bi-Annual
Calendar Year
End of Month
Fiscal
Quarterly

Cut Off:

Disposition

Temporary; cutoff at end of CY, Destroy 3 years after cutoff. (NN-163-22 Item 5)

- Select your Cut Off from the drop-down menu.

- Sometimes this information is in the **Disposition** of the record (like the example shown here).
  - If it is specified in the RCS, then you <u>MUST</u> account for the record by the specified cut off.

- If it is not specified in the Records Control Schedule Disposition, then the Cut Off is how <u>your department</u> tracks this information.
  - Some departments track everything by Fiscal Year (FY = 10/1/20XX - <u>9/30/20XX</u>)
  - Other departments track by Calendar Year (CY = 1/1/20XX - <u>12/31/20XX</u>)

HOLD:

Hold: Select Record Hold
         FOIA
         Legal

- IF you have a record that is subject to a Legal Hold or FOIA Hold, then you would select the applicable hold.

- IF you have a record that is subject to a Record Hold, then you will know because the Records Officer or FOIA Officer would have you account for the record, and have it appropriately labeled.

- IF you have not heard from the Records Officer or FOIA Officer or previous RLO regarding a Legal Hold on your records, you will NOT select either option.

VITAL OR ESSENTIAL:

*Vital Or Essential: ◯ Yes ◉ No (default)

- Select whether your record is an Essential Record (previously called "Vital Records").

- The default is "NO."

- You will select "NO" unless the Records Officer instructs you to assign it as an essential record.

- The Facility Records Officer keeps a separate inventory of our Essential Records for NF/SG and conducts an annual monitor of these records.
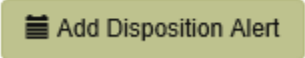
ACTIVE:

*Active: ◉ Yes (default) ◯ No

- Is your record an active record or inactive record?

- Is this record something that is actively created?

    - Yes? It is an Active Record. (Select "Yes")

- Is this record an old record that is no longer referenced, but is kept because RCS or other federal mandates require you retain it?

    - Is it kept in the Warehouse or in a File Storage Room?

    - Yes? It is no longer an active record. (Select "No")

DISPOSITION ALERT:

Disposition Alert(s)

Disposition Date	Alert settings	Remarks

Add Disposition Alert

- Disposition Alert(s) is an optional field.

- This is if you want to alert yourself to coordinate with the Facility Records Officer to destroy old records.

    - One of the questions on our Facility Self Assessment, is if we are retaining records longer than required?

    - Timely ridding of paper files eliminates space issues – which is a valuable commodity!! This is also why we are asking Services to move towards paperless record-keeping. <u>Unless a record is on a freeze (litigation, etc.), dispose of all records when they have met their retention period.</u>

Disposition Alert(s)

Disposition Date	Alert settings	Remarks
1/1/2022	7 Day(s) before	RLO will reach out to Records Manager and notify records are due to be destroyed.

DISPOSITION(S):

Disposition(s)

Start Date	End Date	Dispositioned	Disposition Date

+ Add Disposition

Select Disposition
Permanent - Accessioned to NARA
Temporary - Destroyed

- Since form 7468's are retained for an additional <u>6 yrs </u>after a record is dispositioned, and maintained outside of MKR, feel free to leave this data blank.

RECORDS CONTACTS:

- <u>Records Liaison</u>: Select the "+" sign and search for RLO name.

- <u>Alternate Records Liaison</u>: Select the "+" sign and search for Alternate RLO Name.

- <u>Records Manager</u>: Select the "+" sign and search for Records Officer name.

- <u>Alternate Records Manager</u>: Select the "+" sign and search for Alternate RO name.

Records Contacts

Records Liaison:	**+** ✖
Alternate Records Liaison:	**+** ✖
Records Manager:	**+** ✖
Alternate Records Manager:	**+** ✖

This step is important to ensure it is assigned to the correct people in our Health System for review & oversight.

ORGANIZATION:

Organization: [   ] ➕ ✖

Select Records Organization   ✖

Showing 1 - 1 of 1 records |◄ ◄ Page 1/1 ► ►|

Name ▲	Organization Name	Organization Code	Source	Date Created
○ VHA, JJP, VAMC, #657A4, Finance	VHA, John J. Pershing, VAMC, #65...	657A4	MKR	10/29/2019

Showing 1 - 1 of 1 records   Page Size: 10 20 30 40 50 100 |◄ ◄ Page 1/1 ► ►|

Find: [jjp finance   ]   🔍 Go   ⟳ Clear

- Select "+" to assign your record to your organization.

- You will enter "JJP" at the beginning of your search, and then a key word for your department and select "Go." You will select YOUR department from the list.

- This step is very important to assure it is assigned in MKR appropriately.

SAVE YOUR ENTRY!

- Once you have completed all the required fields for your Records Inventory Entry, SAVE YOUR ENTRY!!

  Clear form   Cancel   Save
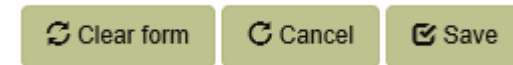
- You will repeat these steps for each entry of your Department Records Inventory.

- You will be required to conduct an annual review of your Department Records Inventory every year.

ANNUAL UPDATES:

⊕ Generate File Plan and Inventory

- You will receive an annual notification from the Facility Records Officer to update your Department Records Inventory. This is a VHA Directive requirement.

- On the MKR Home Page, you will select "Generate File Plan and Inventory" to pull your department records inventory entered in MKR.

  - This is when you will verify what you have entered, and if you have any blank fields.

FACILITY RECORDS OFFICER

If you have any questions regarding this information, please contact:

Frankie Roberts

Records Officer

Frankie.Roberts@va.gov

Office: (352) 548-7170

x10-7170