

# General Records Management Training

# Objectives

- Upon completion of this training, you will understand how to:
  - Determine Federal records from non-records
  - Manage Federal records throughout their lifecycle
  - Understand your responsibilities in properly managing Federal records

# What are Federal Records?

- Information created or received in the course of conducting federal business
- Documents the activities of Government
  - Agency internal activities
  - Transactions with the public or other agencies

Regulation Reference: [36 CFR 1222 –Creation and Maintenance](#)

# Why are Records Created?

- Protect the rights of the public
- Ensure government accountability
- Facilitate the agency's mission
- Document government agencies history

**Regulation Reference:** [36 CFR 1220 –Federal Records General](#)

# Locations of Federal Records

- Email systems
- Document imaging systems
- Databases
- File rooms
- Office file cabinets
- Portable electronic media
- File servers
- Contractor's offices
- Federal Records Center

# Permanent Records

- 1% - 3% of all Federal records
- Determined by agency records officer, agency information officers, and Archivist of the United States
- Sent to National Archives for permanent preservation and accessibility by the public

Regulation Reference: [36 CFR 1235 -Transfer of Records to the National Archives of the United States](#)

# Temporary Records

- Determined by agency records officer, agency information officers, and Archivist of the United States
- May be kept locally or stored
- Kept separate from Permanent Records

**Regulation Reference:** [36 CFR 1235 -Transfer of Records to the National Archives of the United States](#)

# What are Non-Records?

Extra copies of records, convenience, reference, and exhibit materials are not considered records.

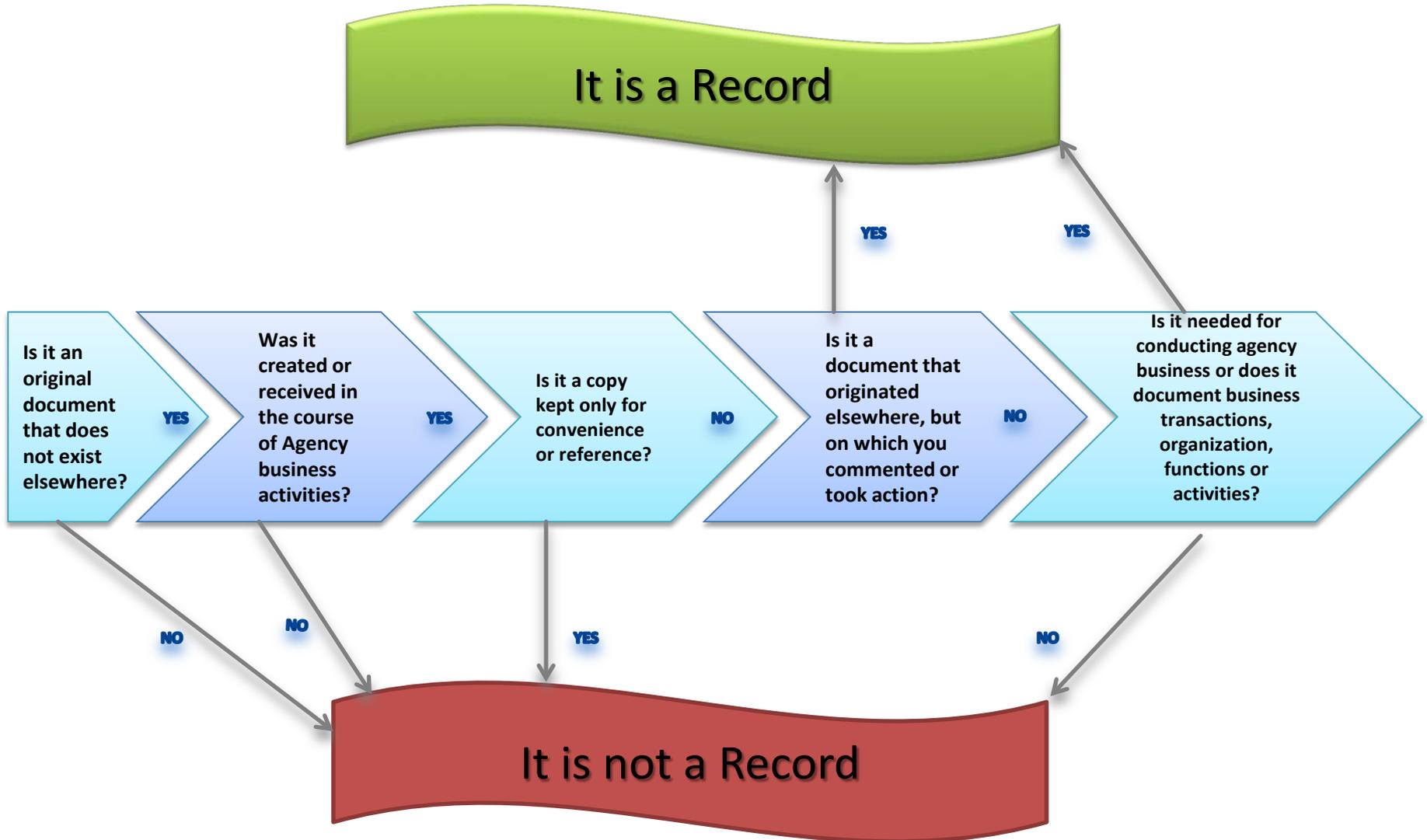
**Regulation Reference:** [36 CFR 1222 –Creation and Maintenance of Federal Records](#)

# How to Identify a Record

- Ask yourself
  - What does this relate to?
  - How does it impact my duties?
  - Is it related to government work?

Regulation Reference: [36 CFR 1222 –Creation and Maintenance of Federal Records](#)

# Determining a Record



# Presidential Memorandum and Records Management

President Barack Obama signed a Memorandum on November 28, 2011, which stated:

“The current federal records management system is based on an outdated approach involving paper and filing cabinets. Today’s action will move the process into the digital age so the American public can have access to clear and accurate information about the decisions and actions of the Federal Government.”

# What is Records Management?

Records management is the systematic control of records from their creation to final disposition.

# Why Manage Your Records?

- Protect the rights of the public
- Ensure government accountability
- Facilitate the agency's mission
- Document government agencies history

Regulation Reference: [36 CFR 1220 – Federal Records General](#)

# Records Lifecycle

- Creative Phase
  - Example: Create an email, memorandum, or form
- Utilize and Maintain Phase
  - Active status: current contracts and unpaid invoices
  - Inactive status: completed tasks, closed cases
- Disposition
  - Destruction or transfer of records according to record schedules

# Records Control Schedule

- Provides authority for the retention and final disposition of records
- Instructs the handling and management of records
- Two types of schedules:
  - General Records Schedules (GRS) maintained by NARA that include records common to Federal agencies
  - Records Control Schedule created by Agencies for records unique to their mission

# Litigation and FOIA

- Records must be kept when they are involved in one of these situations:
  - Litigation (pending or current)
  - FOIA request
  - Privacy request
  - Audit
  - Investigation
  - Civil or administrative action

# Organize Your Records

To ensure access and retrieval later:

- Classify by function
- Keep related content together

# Organizing Your Information

- Develop a classification scheme
- Create folders using classification scheme
- Place files in appropriate folder

# Example – Classification Scheme



# Departing Employees

- Federal Records belong to your agency and not to individuals
- Copies may be taken if approved by the organization and do not violate federal laws or regulations

Regulation Reference: [36 CFR Chapter XII, Subchapter B, Part 1230 – Unlawful Or Accidental Removal, Defacing, Alteration, or Destruction of Records](#)

# Contact Your Records Professionals

- Department Records Officer
- OPDIV or STAFFDIV Records Officer
- Records Liaison
- Records Custodian

Records Management Training Certificate for Non-LMS Account Holders

I certify that I have completed the Records Management (RM) Training course. I understand that completion of Records Management Training is a requirement for access to Departmental information technology (IT) systems and my responsibilities as a system user.

**Please complete all of the information below:**

STAFFDIV/Office: \_\_\_\_\_

Last Name: \_\_\_\_\_

First Name: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Manager's Name: \_\_\_\_\_

EOD/Date you started work at HHS: \_\_\_\_\_

Date Records Management Training completed: \_\_\_\_\_

*Contractors complete this section*

Name of Company: \_\_\_\_\_

Contract Number (*prime only*): \_\_\_\_\_

Contracting Officer's Technical  
Representative (COTR) Name: \_\_\_\_\_

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*Signature*

*Date Day*

*Phone*

**Print this certificate, sign and date it.**

- **Employees: Send the completed certificate to the Records Officer for your OPDIV/STAFFDIV.**
- **Contractors: Send the completed certificate to your COTR.**

This form cannot be processed if your name or completion dates are omitted or illegible, or if your signature is omitted.

If you need assistance please contact the Department Records Officer at 202-690-5521 or Darius.Taylor@hhs.gov.