Federal Records Management for Managers

What's in it for me?

National Archives and Records Administration, 2003

Have you noticed…..

Records management is in the news and it's not about good stuff!

INS "Failure" Cited in Visa Case

FBI Management Will Probe Failure to Produce Papers in McVeigh Case

Destruction of Iran Coup Data Sparks CIA Search for Other Missing Records

Up to 40,000 Tax Returns Lost in PA Facility

Interior Dept. Accounting System Faulted

Papers Found During Fifth Search at Federal Facility
Failure Blamed on Storage Lapses

Dept of Interior Admits Some Indian Trust Records "No Longer Exist"

Auditors Say U.S. Agencies Lose Track of Billions

What do _their_ problems have to do with me?

- They are were Federal employees **X**

- You are a Federal employee, too, and are subject to the same laws and regulations

- You must manage records so as not to make the same (or different) mistakes that put you or your agency in jeopardy

Well managed records...

- provide information you need to conduct business

- document your work

- help Government operate efficiently

- ensure accountability

- protect rights and interests of the public and other stakeholders

- protect information with archival value

So what should I do?

📁 **Ensure that records of your business activity are trustworthy**

📁 **Apply ISO 15489**

📂 **AUTHENTICITY**

📂 **RELIABILITY**

📂 **INTEGRITY**

📂 **USABILITY**

📁 **Ensure that records are adequate to support business needs**

Remember...

📁 **Trustworthy records may be in any format**

📁 **Most agencies are now creating records electronically**

    📂 **Media and format issues**

    📂 **Version control**

    📂 **Distributed data**

    📂 **Everyone has a delete key**
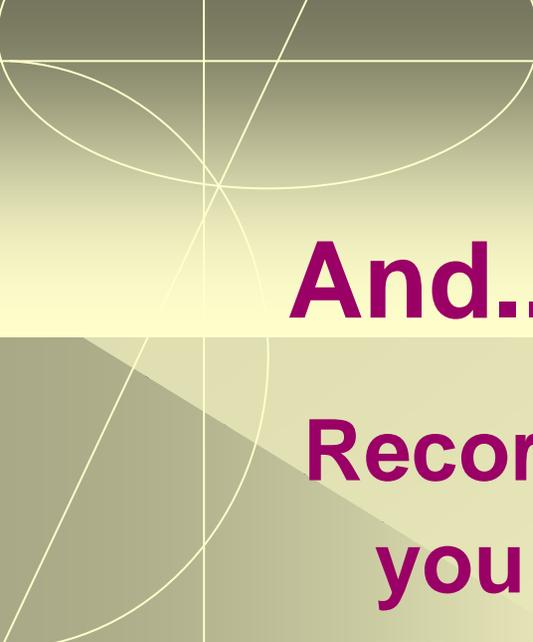
And...

Records contain information that you use to conduct business. Their systematic management is essential to protect and preserve records as evidence of actions.

Furthermore...

Managing this information is critical because it

- 👝 Supports most important business of program/agency

- 👝 Affects other entities

- 👝 Provides accountability for you, your agency, and the Federal government

So, to make sure information is available when you need it,

You MUST manage your records or you may be looking for information here
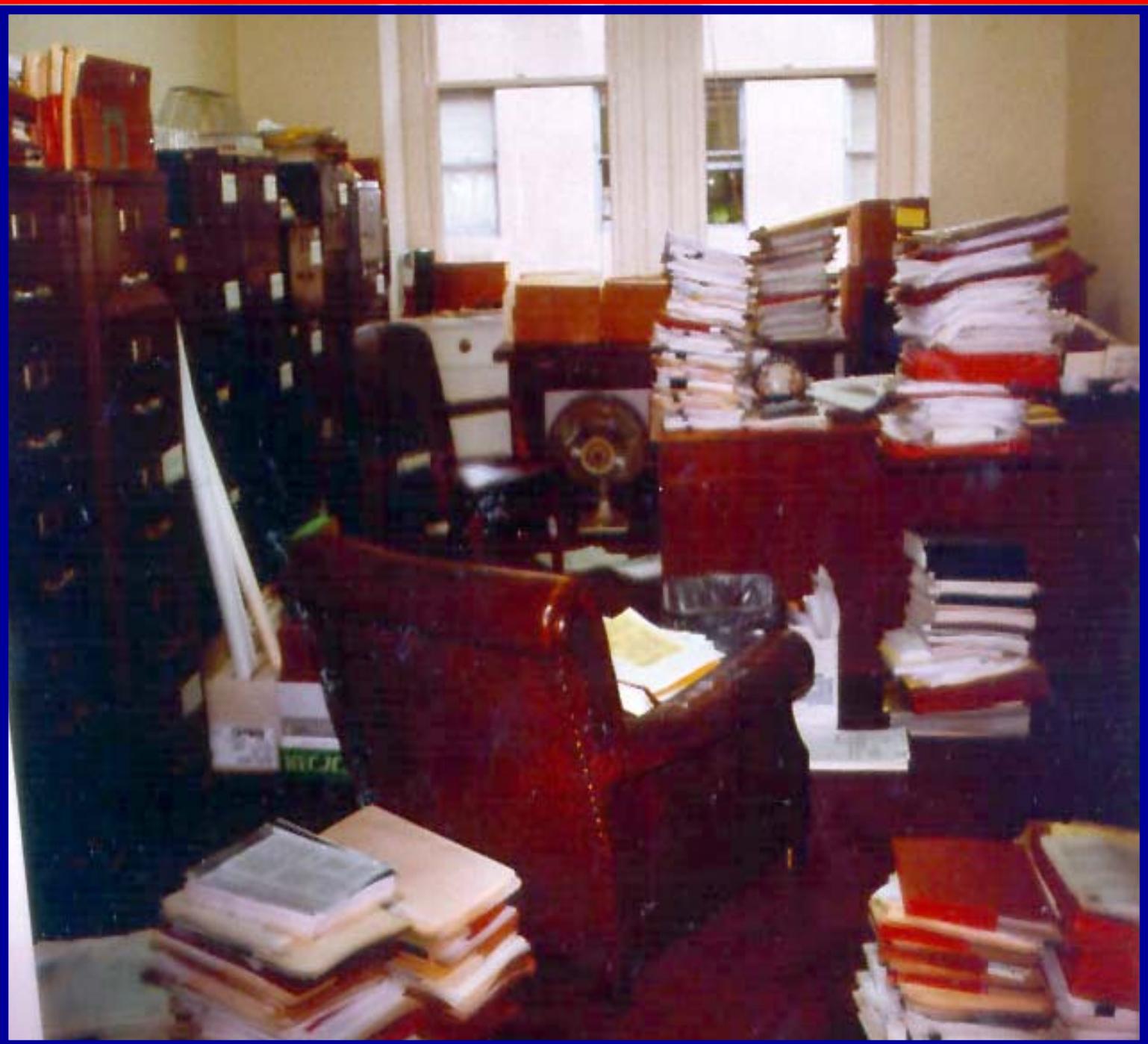
So, where do I start ?

 Define and develop a policy for records management to

  create and manage records that are characterized by authenticity, reliability, integrity and usability

  ensure that records support business needs as long as required

This policy should...

📁 derive from an analysis of business activities

📁 identify laws, regulations, standards, and best practices that affect your business

📁 identify risks of poorly managed records

    📂 to your program

    📂 to your agency

    📂 to the Federal Government

    📂 to the public and other stakeholders

How do I do that?

Use risk assessment as a tool to identify

- 📁 possible risks
- 📁 likelihood of these risks occurring
- 📁 impact of these risks on your business processes

How do I rate these risks?

100%

Impact

Litigation

Absence of staff
when information
is needed

0%

Likelihood

100%
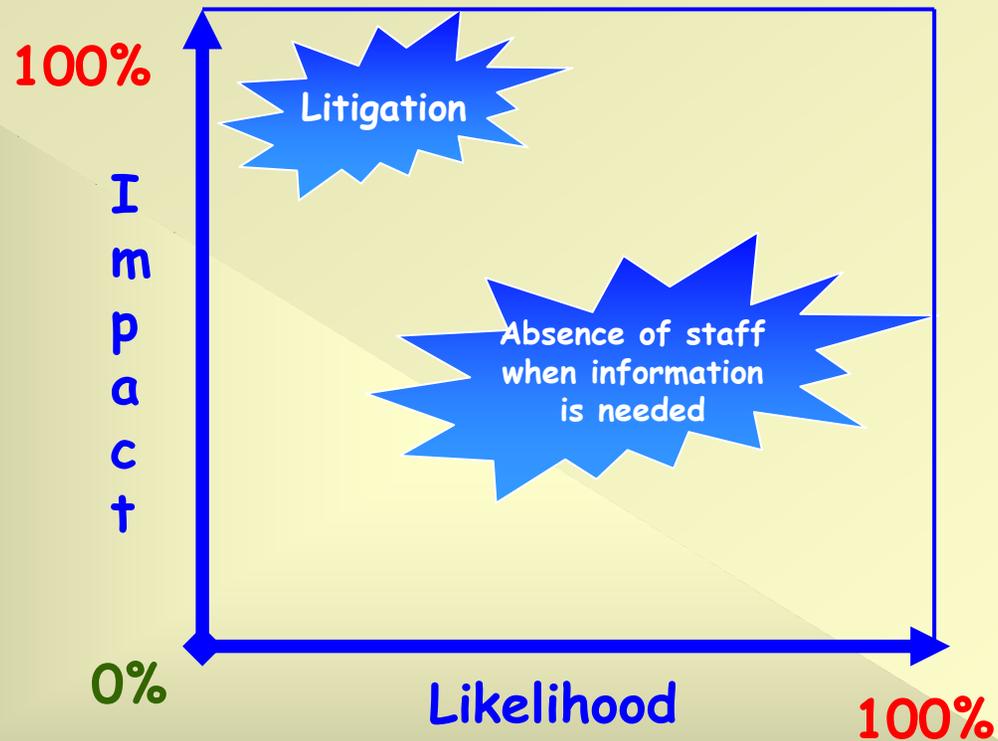
OK, *now* what?

Use your findings to

📁 **determine vulnerabilities**

📁 **prioritize records management activities and allocate resources**

📁 **develop recordkeeping requirements**

📂 **which documents to create and maintain?**

📂 **how long to retain them?**

My TO DO list:

- **Become familiar with** ~~the~~ **agency's records sched**~~ule~~
  - ~~Identif~~ ~~that~~ aren't included
  - ~~Work with~~ my RO to get them included
- **Learn how to handle email**
- **Develop policy for recordkeeping requirements**

Is anyone out there?

NARA can work with you...

in partnership to resolve your records management issues.

NARA's records management toolkit

Available now:
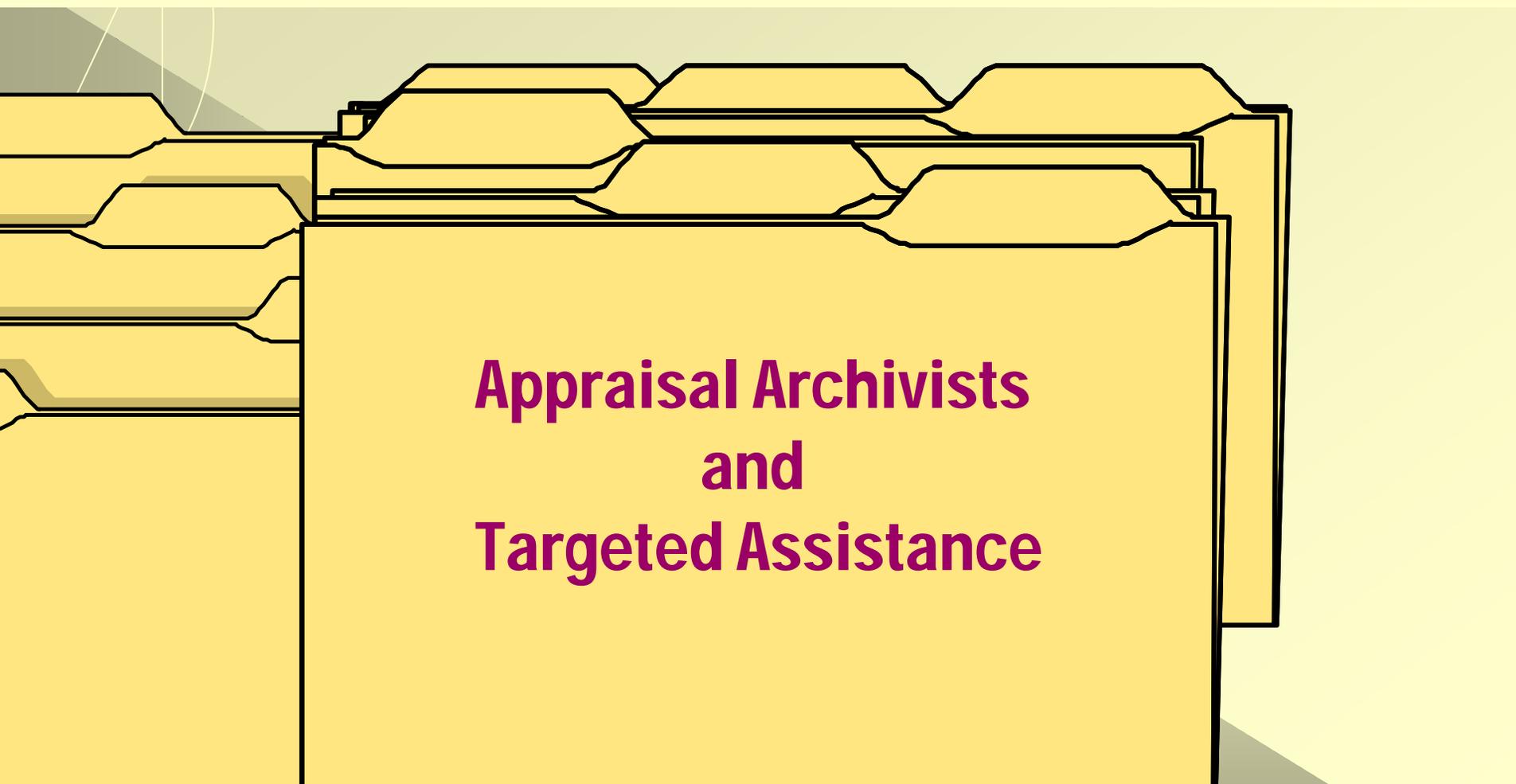
**Appraisal Archivists
and
Targeted Assistance**

NARA's toolkit

Available soon:
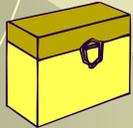
- Permanent records schedules
- Flexible scheduling
- ERM guidance
- Updated and expanded training
- E-learning
- Certification
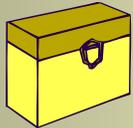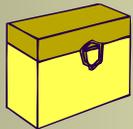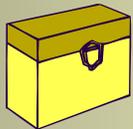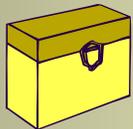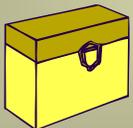
More help is available from your ...

- Records Officer
- Agency Historian
- General Counsel
- Chief Information Officer
- Inspector General
- Information Security Officer
- Interagency Group POC
- FOIA and Privacy Officers
- Webmaster

A word from the White House

Position cursor over camera button, click when hand appears, then move cursor over to this box.
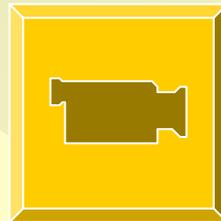
In summary...

📁 **Business information is contained in your records**

📁 **Your records must be managed to:**

📂 **meet business needs**

📂 **comply with legal requirements and ensure accountability**

📂 **meet the needs of stakeholders**

📂 **protect records with archival value**

For more information...

📁 **Contact your agency records officer for guidance on**

📁 **media choices**
📁 **retention issues**
📁 **storage issues**
📁 **records policies**

What'll it be...Paper or Plastic?

Records Manager

For more information, www.archives.gov

We the People

Records Management

Where Is...? / How Do I...?

November 8, 2002

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ABOUT US

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RECORDS CENTER PROGRAM

FEDERAL REGISTER

NHPRC & OTHER GRANTS

EXHIBIT HALL

DIGITAL CLASSROOM

RECORDS OF CONGRESS

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SEARCH

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- Policy & Guidance

- Communications

- Training

Resources

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- Federal Agency Records Officers

- CIO Link

- Federal Laws Relating to Records Management

- Other Federal Laws & Regulations

- Other Resources

- Federal Web Site Snapshot Information

- Records Schedules

NARA News and Events

- White House Announces "Our Documents: A National Initiative on American History, Civics, and Service." More . . .

- **The NARA web site will be unavailable Sunday, November 10, 2002, from 6:00 a.m. to noon EST for scheduled maintenance. We apologize for any inconvenience this may cause.**

Featured Topics

- **White House Counsel Judge Alberto Gonzales discusses Records Management.**
  Judge Gonzales comments on the importance of Federal agencies' records officers and all Federal employees as stewards of records. More...

- **What's happening with NARA's efforts to improve records management?**
  We welcome your comments on our new proposal for the Redesign of Federal Records Management. More . . .

- **Learn more about our work with the Electronic Records Management Initiative.**
  The E-Government initiative will provide the tools that agencies will need to manage their records in electronic form. More . . .

- **Concerned about security?**
  We invite you to learn more about Vital Records, a necessary part of any successful agency records management program. More . . .

Questions ?