



**Records Management:
Plan for Transition
RACO 2008**

Where to Begin?

- Agency Program
- Agency Policies
- Outgoing Staff
 - Records Management Activities
 - Support Policies/Procedures/Tools
- Incoming Staff
 - Records Management Activities
 - Support Policies/Procedures/Tools

Agency Program Elements

- Defined authorities, roles, and responsibilities
- Articulated policies, procedures, and guidelines
- Education and training
- Operations consistent with policies
- RM integration with Information Technology
- RM integration with business processes
- Skilled RM workforce

Agency Policy Elements

- RM Order or Directive
 - Records as critical asset
 - Roles and responsibilities for RM and IT
- Document/Records removal by departing staff
 - Record ownership
 - Public domain information
 - Policy and process for removal of copies

Outgoing Staff: RM Activities

- RM notified of outgoing staff and dates of release
- Reminder of responsibilities under policies
- Operational approach and assigned responsibility for checkout
- Plan for capture and processing of paper and electronic records
- Plan for loan back of records that are within agency RM control

Exit Policies, Procedures and Tools

- Written procedure for notifying Records Managers of list of departing staff and departure dates
- Defined internal policy or directive on who is responsible for checkout
- Defined procedures for capture of identified records
- Checkout procedures, forms, and checklist for departing staff

Incoming Staff: RM Activities

- Identified component records manager
- RM notified about incoming staff
- Identified responsibility for new staff briefing/training on RM
- Process for briefing/training new staff
- File plans in place for agency components

Entrance Policies, Procedures and Tools

- Briefing package
 - File plans
 - RM contacts within component
 - Office level policies and procedures for RM
 - Handbook
 - Website
 - Instructional aids
- List of incoming staff for RM
- Web based training

Questions ?

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