

5 FAM 420 CREATING RECORDS

(CT:IM-69; 10-11-2005)
(Office of Origin: A/RPS/IPS)

5 FAM 421 SCOPE

(CT:IM-69; 10-11-2005)

This subchapter provides the policies that govern the creation of records, including the establishment of essential controls and the requirements for adequate documentation.

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(CT:IM-69; 10-11-2005)

The Federal Records Act of 1950, as amended (see generally, 44 U.S.C. 2101 - 18, 2901 - 09, 3101 - 07, and 3301 - 24) requires the Department's Records Officer, representing the head of the agency, to ensure that:

- (1) Records "containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency" are made and preserved; and
- (2) "Effective controls over the creation and over the maintenance and use of records in the conduct of current business" are provided.

5 FAM 422.1 Controls for Records Creation

(CT:IM-69; 10-11-2005)

- a. Controls over the creation of records are essential to ensure that:
 - (1) Important policies, decisions, and operations are adequately recorded;
 - (2) Routine paperwork is kept to a minimum; and
 - (3) The accumulation of unnecessary files is prevented.
- b. The Records Management Handbook, 5 FAH-4, sets forth the methods and procedures, developed in accordance with the general criteria established by the National Archives and Records Administration (NARA), which all offices should follow when creating records.

5 FAM 422.2 Adequacy of Documentation

(CT:IM-69; 10-11-2005)

The recording of activities of officials of the Department should be complete to the extent necessary to:

- (1) Facilitate the making of decisions and policies and the taking of action by the incumbents and their successors in office;
- (2) Fulfill the requirements of Federal statutes;
- (3) Make possible a proper scrutiny by the Congress and duly authorized agencies of the U.S. Government of the manner in which the functions of the Department have been discharged;
- (4) Protect the financial, legal, and other rights of the U.S. Government and of the persons affected by the actions of the Department; and
- (5) Provide appropriate documentary materials for research and other historical purposes.

5 FAM 422.3 Employee Responsibilities

(CT:IM-69; 10-11-2005)

Within his or her area of responsibility, every Department of State employee must create and preserve records that properly and adequately document the organization, functions, policies, decisions, procedures, and essential transactions of the Department.

5 FAM 423 THROUGH 429 UNASSIGNED