

Records Management



Understanding how the pieces fit together?

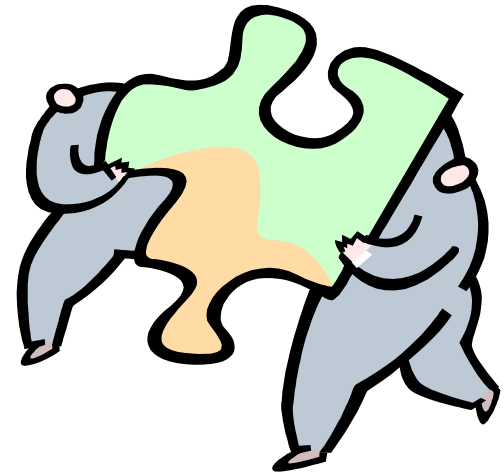
Record Management Agenda

- Overview of Records Management
 - Record terms & concepts
- Records Management Tools
 - OPIC's Records Schedule
 - Records Common to Most Offices
 - General Records Schedule
 - Records Management Directive and Handbook



What is Records Management ?

- Planning, controlling, organizing, maintenance and use and disposition of all types of records from creation to disposal

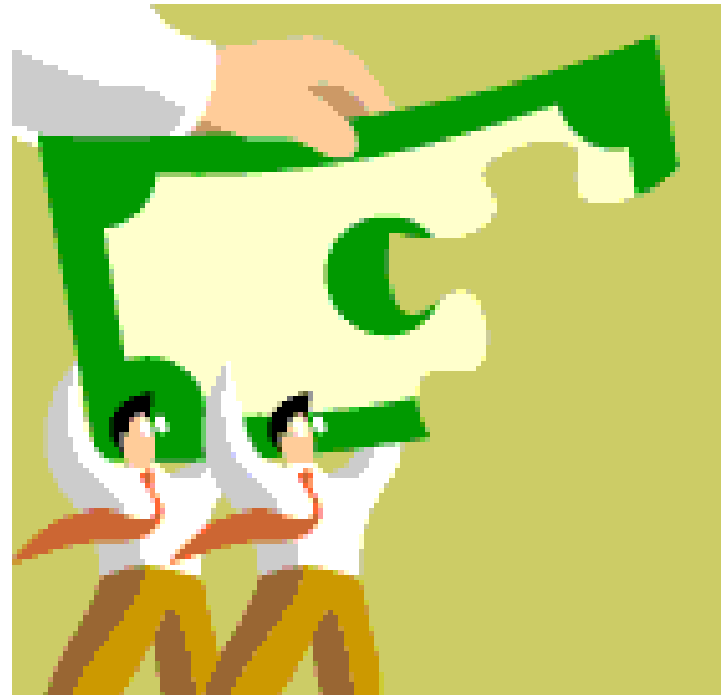


Why Do We Need Records Management ?

Provide information
when needed

Reduce litigation risk

Reduce lost time and
resources finding or
recreating
information

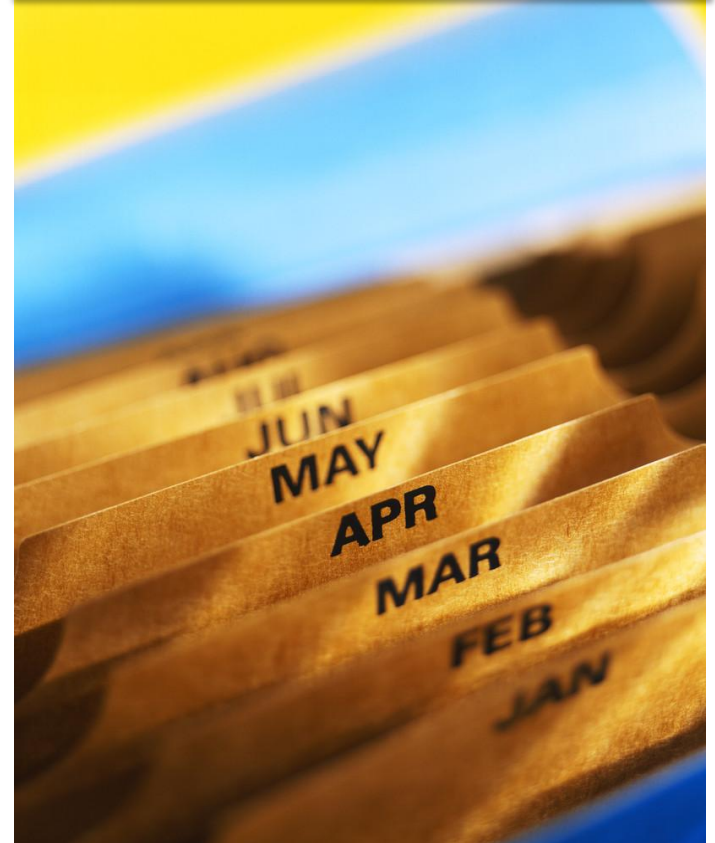


Why Do We Need Records Management ?

Ensure accountability
to public and
oversight bodies

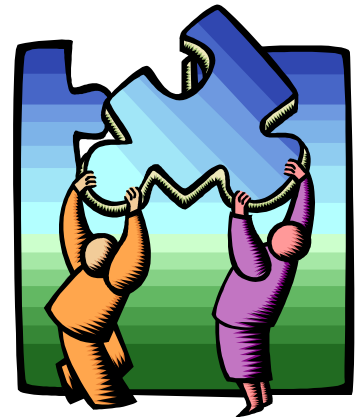
Protect information
with enduring value

Business confidential



What is a Federal Record?

- Inclusive term for all books, papers, maps, and machine-readable materials..... **regardless of physical form** or characteristics **made or received** by an agency in connection with the transaction of Government business.....preserved because they constitute **evidence** or contain **information** of value.
- 44 U.S.C. 3301





In Other Words...

- Were these records created or used as a document or e-record to conduct OPIC's business?
- Were the documents distributed to others?
- Were the documents filed in agency files?



In Other Words ...

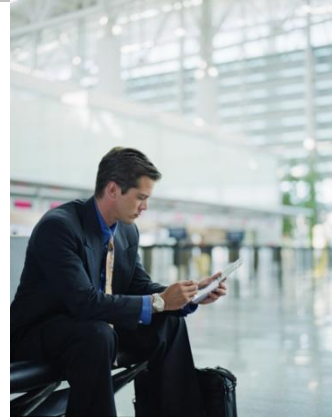
- Will these records need to be referred to later to conduct OPIC's business?
- If you answer **YES** to **any** of these questions, the document is a Federal record

Does This Apply to Electronic Records?

Yes!

Examples include:

Databases
Spread sheets
Other E-devices



Is e-mail a Federal Record?

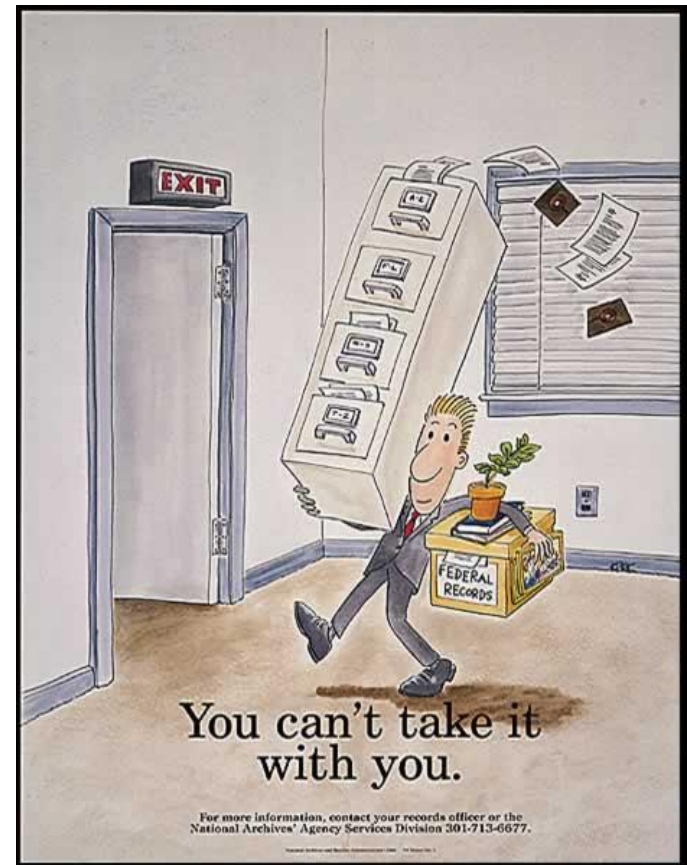
Yes!

Your e-mail is probably
a record, unless it is
truly personal in
content and use



Federal Records

- Belong to the Government
- **Not** to individuals
- www.nara.gov



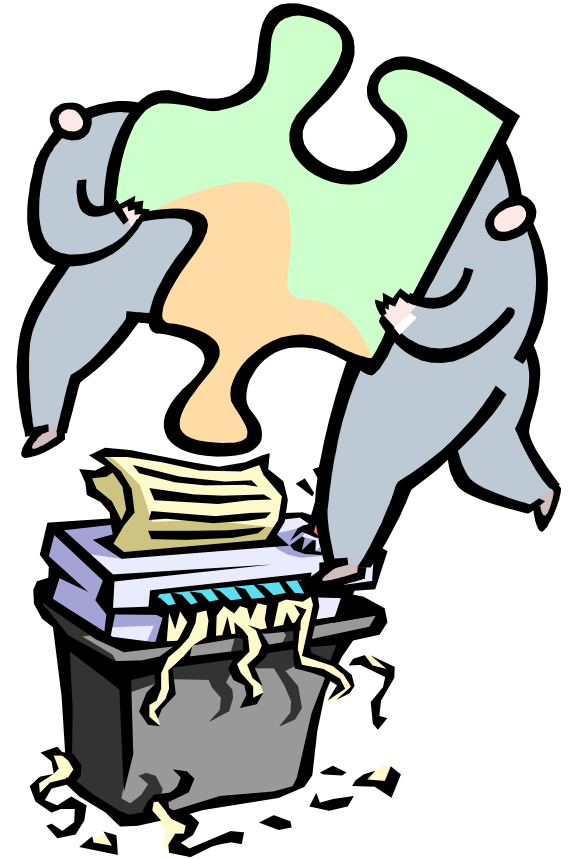
Non-Record Materials

- Documents or informational material excluded from the legal definition of records.
- Non-record material has no real long-term information value and can be destroyed once its purpose has been served.



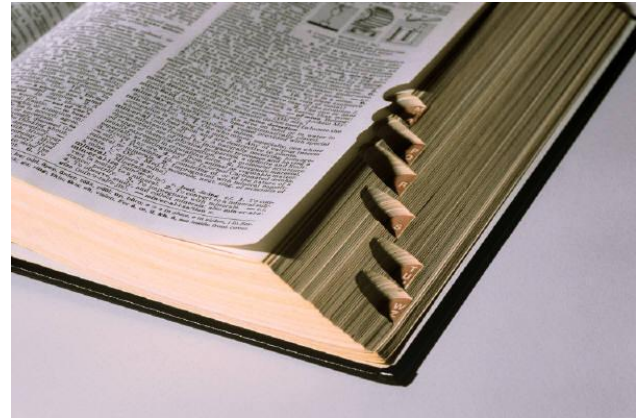
Non-Record Material

- Examples
 - Duplicate copies of documents maintained in the same file
 - Extra copies used solely for convenience of reference
 - Catalogs
 - Un-official personnel files



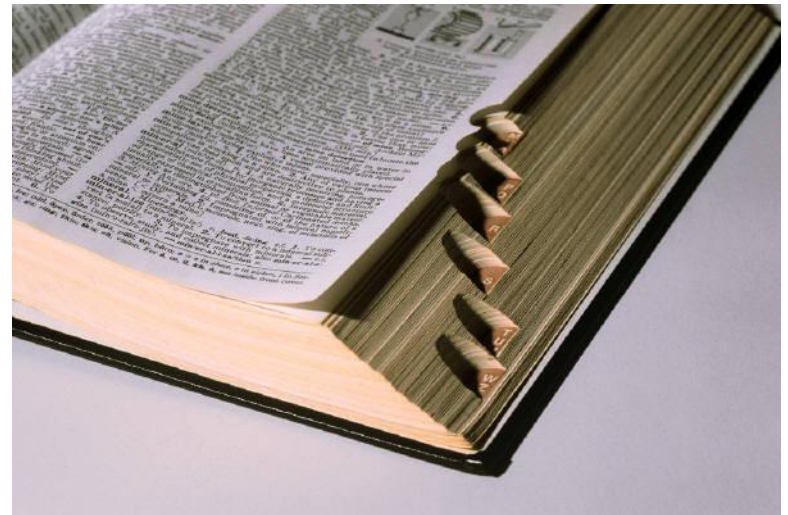
Records Management Terms

- Records Life Cycle
- Record Series
- Disposition



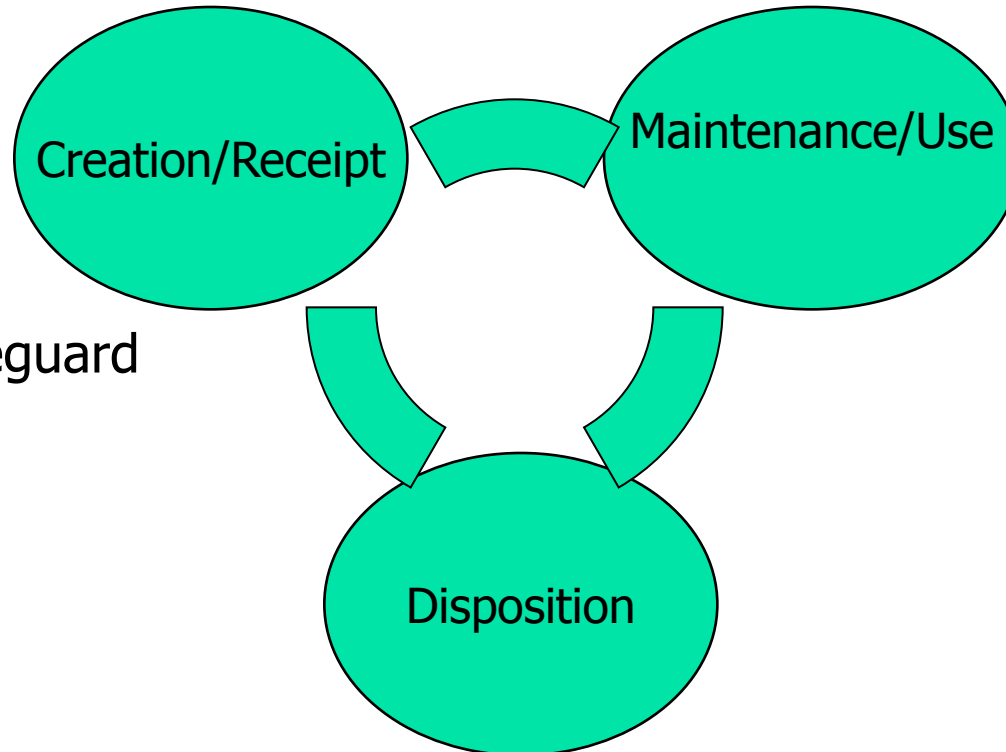
Records Management Terms

- Cut Off
- Retention
- Records Schedule



Records Management Terms

- Records Life Cycle



- Safeguard





Record Series

- File units or documents arranged according to a filing system or kept together because they relate to one another. Examples include:

Project Records

Reports

Correspondence

Disposition

- Actions taken on records no longer needed for current business
- Inclusive term....includes destruction and other actions



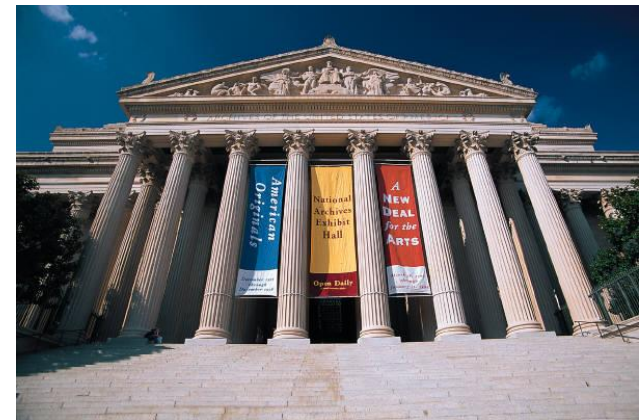
Disposition

- Temporary
 - Approved for disposal
 - Federal Records Center or Private Storage



Disposition

- Permanent
 - Enduring historical value
- Transfer to the National Archives



Cut-off

- Ending files at regular intervals
 - Calendar Year
 - Fiscal Year
 - Close of case



Retention

- Length of time that records are to be kept
- Can range from few months to many, many years



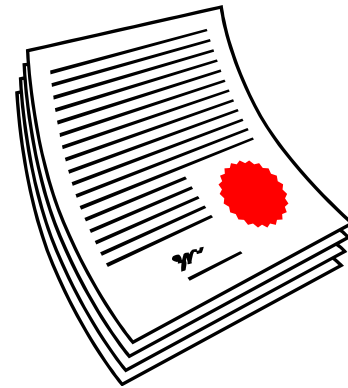


Records Schedule

- Document gives mandatory instructions for what to do with records no longer needed for current business
- NARA authorizes either disposal or transfer to the National Archives and Records Administration (NARA) for preservation and research

Record Schedules and Records Common to Most Offices Schedule

- Records Common to Most Offices in OPIC was Approved by NARA January 2001
- Gives mandatory instructions for what to do with OPIC's records
- Identifies unique program records





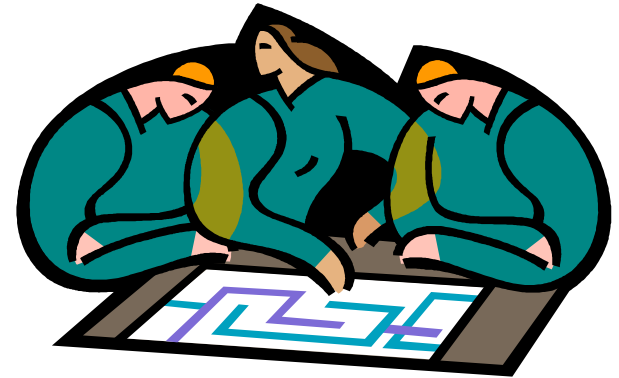
Records Schedule - Sample

Project files. These records consist of a copy of the application, investor consulting report, pre-disbursement project review and analysis, finance/loan agreements, amendments and extensions, legal documents, and other records. Records are housed in Central Files or the official E-records Management System. When the case is closed, repaid, or cancelled they are stored off site for 20 years, destroy or forwarded to NARA.

Disposition: Temporary. Documents are files in case folders by program type and grouped by case number. Cut off files after case is closed, retire to FRC 7 years after closing date, destroy.

Records Management Tools

- Policy and Procedures
- Record Schedules
- FOIA Guidance
- Directive
- OPIC's Records Management Handbook



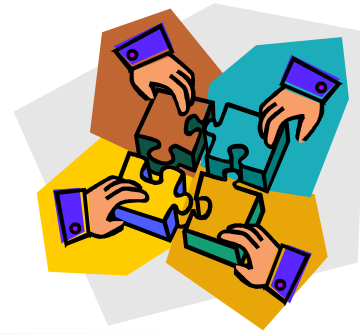


Records Management Tools

- www.opic.gov



Summary of Records Program



- Meet OPIC's business needs
- Comply with legal requirements
- Ensure government accountability
- Meet the needs of the public

Need More Information?



- OPIC's Records Management Intranet Site
chapter : 57
- www.nara.gov
- www.arma.org
- Essie Bryant
(202) 336-8563



Organize, Organize.....

