

# RECORDS MANAGEMENT GUIDANCE

All  
Senior Officials

2011

Office of Technology and  
Information Management,  
Records and Information  
Management Program



## RECORDS MANAGEMENT GUIDANCE FOR SENIOR OFFICIALS

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### WHY RECORDS MANAGEMENT?

- Ensure statutory and regulatory compliance;
- Preserve the rights of the government and citizens;
- Support better decision making;
- Safeguard vital information;
- Preserve organization's memory;
- Ensure systematic and routine disposal of records; and
- Reduce operating costs through control over creation and growth of records.

### WHO ARE SENIOR OFFICIALS?

Senior officials include the Director of FHFA, the Deputy Directors, Associate Directors, and Office Directors. Others may be added to the list if warranted by the position held.

### WHAT RECORDS RESPONSIBILITIES DO SENIOR OFFICIALS HAVE?

- Create records necessary to document your activities and actions taken on behalf of the Agency;
- Ensure that you capture information that is a record if it is not captured elsewhere;
- Identify a custodian who can file and efficiently retrieve records;

- Ensure records are managed appropriately so they can be accessed by authorized staff; and
- Identify and transfer records prior to your departure.

### WHAT IS A RECORD?

- Created in the course of business  
Examples: *correspondence, agreements, studies*
- Received for action  
Examples: *FOIA requests, controlled correspondence*
- Documents FHFA activities and actions  
Examples: *calendars, meeting minutes, project reports*
- Mandated by statutes or regulations  
Examples: *administrative records, dockets*
- Supports financial obligations or legal claims  
Examples: *contracts, litigation case files*
- Communicates FHFA requirements  
Examples: *guidance documents, policies, procedures*
- Can be in any format  
Examples: *paper, electronic including e-mail, photos, video, maps, sound recordings, posters, slides*

### WHAT IS NOT A RECORD?

- Personal papers not related to FHFA business  
Examples: *soccer schedule, personal notes, papers accumulated before joining FHFA or Government service*
- Reference materials  
Examples: *vendor catalogs, phone books, technical journals*

- **Convenience Copies**  
Examples: *duplicate copies of correspondence, directives or FHFA publications*
- **Draft documents\***  
Examples: *drafts with no substantive revisions/comments*
- **Working papers\***  
Examples: *rough notes, calculations*

\*Unless needed to support the decision trail; to understand the policy or transaction; or required in the records schedule

Note: A record as defined by the Federal Records Act is different than a record under the Freedom of Information Act (FOIA). Contact your FOIA Officer for additional guidance as needed.

## WHAT RECORDS DO SENIOR OFFICIALS TYPICALLY HAVE?

- Calendars, schedules, and logs of daily activities;
- Records pertaining to various committees, including federal advisory boards, committees, and councils, interagency and external committees in which the senior official participated, personal papers;
- Materials for internal and external meetings:
  - May include briefing materials, minutes, personal notes (if they are only personal observations or reminders, they may be personal papers); and
  - Need to be preserved if not captured elsewhere.

- Records that document the development of FHFA policies and programs:
  - May include correspondence, briefings, issue papers and reports about policy, strategy, research and legislative priorities, program evaluation and planning, and similar topics
- Reports to Congress and/or the President;
- Speeches and testimony; and
- Substantive correspondence.

## WHAT HAPPENS WHEN I LEAVE THE AGENCY?

When leaving the agency, you may take with you:

- Extra copies of selected federal records, such as materials you drafted, reviewed, or otherwise acted upon;
- Copies of public affairs records such as news clippings and photographs taken at official functions and celebrations; and
- Personal papers.

Approval to remove extra copies of records and associated reference materials will only be granted if the following conditions are met:

- Removal would not detract from or create a gap in the content of the official records;
- The cost to make copies for removal would not exceed normal administrative economies;
- The materials do not contain national security classified information;
- The information removed is not subject to the Privacy Act of 1974, 5 U.S.C. 552a, or is exempt from disclosure under the Freedom of Information Act, 5 U.S.C. 552; and
- Disclosure of the information removed is not otherwise prohibited by law.

Departing officials **may not** remove official agency records, including but not limited to:

- Information that is confidential or proprietary in nature;
- Deliberative information;
- Information about individuals that is protected by the Privacy Act; and
- Information relating to any pending or contemplated civil, criminal, or administrative proceeding or other program activity when the information would impair or prejudice the outcome of the proceeding or government policy deliberation.

## RECORDS EXIT PROCEDURES

Prior to departure, you should contact the Information Management Officer who will:

- Work with your staff to review and identify your records for preservation, and
- Schedule your Records Management Exit Interview.

## FURTHER ASSISTANCE

If you need further assistance with your records management responsibilities or the agency's records management exit procedures, please contact one of the following RIM employees:

- Information Management Officer, Jeanne Ratchford, 202-649-3670
- Records Officer, Susan Sallaway, 202-649-3674
- Records and Information Management Specialist, Karen Rogers, 202-649-3673
- Records and Information Management Specialist, Brigitte Tolbert, 202-649-3675