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Category: Information and Records Management

OPR: OIM

Title: CREATION OF AGENCY RECORDS

This regulation was written by the Office of the Associate Deputy Director for Administration/Information Services, secure).

2. CREATION OF AGENCY RECORDS

SYNOPSIS. This regulation is added to the regulatory system to provide guidance and policy regarding the creation of Agency records, distinguishing records from nonrecords (see the Appendix), and determining what records are needed to adequately document Agency activities. The goal is to document the governments decision making process, without creating or maintaining unnecessary documentation.

a. **AUTHORITY.** (See AR .)

b. **POLICY.** In compliance with Federal and Agency policies specified in AR requiring the creation of adequate and proper records to document the organization, functions, policies, procedures, decisions, and transactions of the Agency, the following policies apply to the creation of Agency records:

(1) All Agency recordkeeping systems will be in compliance with standards set forth in the Agency Information Services Strategic Architecture. Additionally, all Agency Recordkeeping systems, including electronic recordkeeping systems, will be explicitly identified and established to collect, organize, and manage records in a manner that will:

- (a) Ensure their proper preservation.
- (b) Facilitate their efficient and timely retrieval by all authorized staff.
- (c) Ensure their security and integrity.

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- (d) Preserve their context by providing for grouping of related records.
 - (e) Implement approved records disposition instructions based on the appropriate Records Control Schedules -- the legal authority defining Agency temporary records to be deleted or destroyed and permanent records that must be maintained forever.
- (2) All Agency records, including e-mail , microforms, drawings, imagery, audiovisual records, photographs, maps, word processing documents, spreadsheets, and databases will be managed in identified Agency recordkeeping systems.
- (a) Drafts and working papers at the Deputy Director level will be filed in recordkeeping systems.
 - (b) Drafts and working papers below the Deputy Director level formally coordinated outside that work unit or containing comments, changes, or annotations documenting substantive policy developments, actions, or decision making will be filed in recordkeeping systems along with the final version.
 - (c) Drafts and working papers below the Deputy Director level not formally coordinated outside that work unit and not reflecting substantive policy developments, or decision making, need not be filed in recordkeeping systems.
 - (d) Agency Contractor records that are necessary for adequate and proper documentation of the Agency's organization, functions, policies, decision, procedures, and essential transactions will be specified and managed as Agency records.
 - (e) Receipts for messages sent via the Lotus Notes E-mail messaging system will be created and maintained when necessary to verify that a message has been transmitted. (See (pending publication.))
 - (f) Distribution lists for record e-mail messages must be maintained in a manner that ensures the identification of the addressees.
 - (g) Future electronic information systems, or those existing systems scheduled for major modification, will integrate the Federal electronic recordkeeping requirements listed above into the design phase.
 - (h) All electronic information systems will be inventoried and added to the Agency Catalog of Databases prior to going into operation.
 - (i) System back-up tapes will not be used in lieu of recordkeeping systems to manage records.
 - (j) Periodic information management audits will be performed to

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ascertain that information of record value, including e-mail, is properly created, maintained and filed in designated Agency recordkeeping systems.

c. RESPONSIBILITIES

- (1) Program Managers who control and administer programmatic, financial, contractual requirements, and other resources are responsible for:
 - (a) Conducting work in accordance with Federal records management laws and regulations and in consultation with Information Management Officers to ensure compliance with Agency Information and Records Management Program policy.
 - (b) Identifying program policies, decisions, procedures, and essential transactions that warrant documentation, e.g., when receipt copies of transmitted E-mail messages is required.
 - (c) Determining what records constitute adequate and proper documentation of policies, decisions, procedures, and essential transactions.
 - (d) Issuing recordkeeping requirements that identify and prescribe specific categories of records to be created and maintained, including media format.
 - (e) Ensuring that adequate and proper documentation is created and maintained in established recordkeeping systems to document those policies, decisions, procedures, and essential transactions.
 - (f) Periodically evaluating the currency of program recordkeeping requirements.
 - (g) Ensuring employees receive training necessary to properly implement the Agency Information and Records Management Program.
 - (h) Defining migration strategies to subsequent electronic information systems during the planning phase.
- (2) Agency boards, committees, and task forces will create documentation which:
 - (a) Reflects names and organizational titles of members.
 - (b) Includes meeting dates, agenda, and lists of materials distributed.
 - (c) Summarizes significant policy or procedural matters actions to be taken discussed, decisions reached, actions decided upon, after the meeting, and assignments of responsibility.
- (3) All Agency staff employees and contractors will:

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- (a) Create and manage records necessary to document their activities. This includes creating appropriate records documenting meetings, conversations, telephone calls, and other forms of communication that affect the conduct of significant Agency business, including policy, decision making, and commitments.
- (b) Indicate the appropriate file category for each record in accordance with the Agency File Guide, (*pending publication*), (Agency list of file categories for organizing and maintaining records to facilitate their retrieval, completeness, and proper disposition), or other approved filing schemes.
- (c) Indicate the appropriate classification for each record in accordance with the Agency Classification Guide,
- (d) Indicate the appropriate disposition for each record in accordance with the Records Control Schedules.
- (e) Segregate records, nonrecords, and personal papers, regardless of media. Records will be further segregated by disposition date as defined in the Records Control Schedules.
- (f) Extract and file official information documenting Agency business when personal information and official business appear in same document.
- (g) File received documents in an Agency recordkeeping systems if they contain information impacting on the business of the receiving organization.

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