|  |  |
| --- | --- |
| Records Management 101 | |
| **Course Title** | Records Management 101 |
| **Course Description** | This course is designed to help CDOT employees selected to act as Records Coordinators to follow guidance on state and federal requirements as to how long a document needs to be saved as a record, the file plan for the document and how to destroy the document at the end of the lifecycle. |
| **Target Audience** (Total #) | All CDOT Records Coordinators |
| **Process** | Records Coordinators |
| **Process Touch Points** | All processes that produce documentation at CDOT |
| **Sections** | List the sections or topics of the course:   * Learning Logistics * Course Introduction * What is a Record? * What is the Records Management Program? (includes responsibilities of the team) * Responsibilities of the Records Coordinator * What is a File Plan?   + Following your file plan   + Identifying documents that are not included in the file plan * Where and How Do I Save/Store a Records?   + Paper records (legal / business reason to keep in paper form?   + Electronic records     - Must be in a shared folder, not on a desktop, flash drive or other location that only allows a person to access;     - Must use consistent naming convention using project code, po number, year (decide on consisten naming convention with supervisor) * Disposing of a Record   + - Filling out destruction form     - Properly disposing of documents * Conclusion |
| **Course Duration (Est.)** | 1 hour |
| **Delivery Method(s)** | eLearning |
| **Prerequisites** | * None |
| **SME(s)** | * Mary Frances Nevans, Esq (7-9723) * Rachel Desormes (7-9174) |
| **Training Developer(s)** | Jason Prince (503-522-8448) |
| **Training Evaluator** | The OED Manager |
| **Instructor(s)** | eLearning |
| **Frequency** | Once and as required to maintain competency |
| **Course Content Reviewer(s) and Approver** | * Mary Frances Nevans, Esq (7-9723) * Rachel Desormes (7-9174) |
| **Location** | * LMS |
| **List of Training Documents Required to Support Course Delivery** | * [C.R.S 24-80-102.7 Records Management Programs – Records Liaison Officers](http://codes.findlaw.com/co/title-24-government-state/co-rev-st-sect-24-80-102-7.html) * [FHWA Order 1324.1B FHWA Records Management](https://www.fhwa.dot.gov/legsregs/directives/orders/13241b.cfm) * [PD 0051.1 Retention of Documents](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0051-01/view) * [CDOT Records Destruction Inventory Form](http://intranet.dot.state.co.us/business/records-management/cdot-records-destruction-inventory-form) * [CDOT Region Retention Schedule](http://intranet.dot.state.co.us/business/records-management/regional-retention-schedule/view) * [State Record Management Manual](http://intranet.dot.state.co.us/business/records-management/regional-retention-schedule/view) * [PD 0021.1 Construction Records Retention](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0021-1/view) |

|  |
| --- |
| **Course Purpose** |
| This course is designed to help CDOT employees to determine if a document needs to be saved as a record, the retention schedule for the document and how to destroy the document at the end of the lifecycle. | |
| **Course Objectives** |
| Upon completing this course, participants should be able to:   * Identify the mission of the Records Management Program and its employees * Explain when a document needs to be retained as a record * Describe when a document moves from active to inactive and needs to be archived * Identify how to archive Electronic and Physical Documents and how to prepare the file * Apply appropriate record destruction guidelines * Describe the process to complete the Record Destruction Inventory Form * Where to go if you need additional help or have questions | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section: Learning Logistics** | | | **Time:** 5 minutes | | | | |
| **Section Objectives:** | Upon completing this section, participants should be able to:   * Introduce the learning objectives of the course * Explain how to navigate the course * Describe the course assessment | | | | | | |
|  |  | | | | | | |
| **Business Process** | Identify Business Process(es) to be discussed:   * None | | | | | | |
| **Terms and Concepts** | * None | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| None | |  | |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section 1 –** Course Introduction | | | **Time:** 5 minutes | | | | |
| **Section Objectives** | Upon completing this section, participants should be able to:   * Name the records management team and their goal * Describe why keeping records is important * Identify the Records Management Teams goals and the State and Federal policies that guide them * Describe the role of Record Coordinators | | | | | | |
| **Business Process** | High-level record retention process | | | | | | |
| **Terms and Concepts** | * Record * Document * Record Retention (schedule) * Record Retention Specialist | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| C.R.S 24-80-102.7 Records Management Programs | |  | | **X** |  |  |  |
| [PD 0051.1 Retention of Documents](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0051-01/view) | |  | | X |  |  |  |
| [PD 0021.1 Construction Records Retention](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0021-1/view) | |  | | x |  |  |  |
| Records Liaison Officers | |  | |  | x |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section 2 – What is a Record?** | | | **Time:** 15 minutes | | | | |
| **Section Objectives** | Upon completing this section, participants should be able to:   * Identify what is a record and is not a record * Describe the difference between electronic and physical records (none other than storage) * Explain when a document needs to be retained as a record | | | | | | |
| **Business Process** | High-level record retention process | | | | | | |
| **Terms and Concepts** | * Document * Record * Electronic record * Physical Record | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| [PD 0051.1 Retention of Documents](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0051-01/view) | |  | | X |  |  |  |
| [PD 0021.1 Construction Records Retention](http://intranet.dot.state.co.us/resources/policy-procedure/documents/0021-1/view) | |  | | x |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section** 3 **–** When Do I Archive a Record? | | | **Time:** 15 Minutes | | | | |
| **Section Objectives** | Upon completing this section, participants should be able to:   * Describe when a document moves from active to inactive and needs to be archived * Identify how to archive Electronic and Physical Documents and how to prepare the file (removal of duplicates and non-records)   Describe how to use the General and Unique Record schedule   * Identify how long you need to archive the file * Describe what to do with the record until it is disposed of | | | | | | |
| **Business Process** | High-level record retention process | | | | | | |
| **Terms and Concepts** | * Active Record * Inactive Record * Ongoing subject * Permanent * + current * Resolution date * Until superseded * Record Destruction Freeze | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| [State Record Management Manual](http://intranet.dot.state.co.us/business/records-management/regional-retention-schedule/view) | |  | | x |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section 4 – Disposing of a Record** | | | **Time:** 15 minutes | | | | |
| **Section Objectives** | Upon completing this section, participants should be able to:   * Explain how to find and complete the Records Destruction Inventory form * Identify what happens after the Records Destruction Describe the approval process and what to do if not approved * Inventory form is submitted to Records Management * Identify who to contact if you need help with the process * Describe how to destroy the Record (shred / recycle) * What to do with the completed Records Destruction Inventory form | | | | | | |
| **Business Process** | High-level record retention process | | | | | | |
| **Terms and Concepts** | * Supervisor with Knowledge of Record | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| Records Destruction Inventory Form | | x | |  |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Section: Conclusion** | | | **Time:** 5 minutes | | | | |
| **Section Objectives** | Upon completing this course, participants should be able to:   * Explain when a document needs to be retained as a record * Describe when a document moves from active to inactive and needs to be archived * Identify how to archive Electronic and Physical Documents and how to prepare the file * Apply appropriate record destruction guidelines * Describe the process to complete the Record Destruction Inventory Form * Who to contact if you need additional help | | | | | | |
| **Business Process** | None | | | | | | |
| **Terms and Concepts** | None | | | | | | |
| **Supporting Documents** | | **Forms** | | **Policy** | **Other** | **Demo** | **Exercise** |
| None | |  | |  |  |  |  |