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| 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)
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| **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)
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| **Location** | * LMS
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| **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)
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|  **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
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| **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
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| **Business Process** | Identify Business Process(es) to be discussed:* None
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| **Terms and Concepts** | * None
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| **Supporting Documents** | **Forms** | **Policy** | **Other** | **Demo** | **Exercise** |
| None |  |  |  |  |  |

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| **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 |  |  |

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| **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 |  |  |  |

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| **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 |  |  |  |

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| **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
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| **Supporting Documents** | **Forms** | **Policy** | **Other** | **Demo** | **Exercise** |
| Records Destruction Inventory Form | x |  |  |  |  |

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| **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  |  |  |  |  |  |