Records Management 101 Outline

1. Introduction
   1. Who we are
      1. Records Management Team, introduction and roles
      2. Part of the Office of Policy and Government Relations (OPGR)
   2. The Records Management Program’s goals
      1. Compliance with State and Federal laws and regulations
      2. C.R.S. 24-80-102.7 requires each state agency to establish and maintain a records program and to designate a records liaison officer
      3. Assisting CDOT employees in identifying their records
      4. Assisting CDOT employees in following file plans
2. Provide support and guidance to CDOT offices and divisions regarding the management and preservation of information
3. Record vs Non-Record
   1. Records document the business and history of CDOT, regardless of their physical or electronic format. Any books, papers, maps, photographs or other documents that:
      1. Document CDOT business conducted by CDOT staff;
      2. Are evidence of how CDOT functions and operates;
      3. Establish CDOT’s policies and procedures;
      4. Document business decisions made by CDOT staff;
      5. Have been published by CDOT; and
      6. Are made or received by CDOT staff as a result of their job duties are considered records.
   2. Non-records are:
      1. Library books, pamphlets, newspapers, or museum material made, acquired, or preserved for reference, historical, or exhibition purposes; or
      2. Private personal papers;
      3. Documents of immediate or transitory value only (ex.: post-it notes, to do lists)
      4. Newspapers and museum materials may have historical value; however, if the newspaper was not published by CDOT, it is not considered a CDOT record.
4. Records Retention
   1. Agency-wide management of records designed to meet legal requirements, optimize the use of space, minimize costs, and preserve CDOT’s vital history.
   2. CDOT must follow the State of Colorado Records Retention Schedule
      1. Retention schedules outline how long a record must be kept
      2. General Records Schedules are developed by the State Archives Office and CDOT Unique Schedules are developed by the State Archives and the CDOT Records Officer in order to meet state and federal regulations specific to transportation.
   3. When applicable, CDOT must follow Federal regulations regarding the management of records
5. Records Lifecycle
   1. Active records
      1. Currently being used
      2. Needed for current tasks or projects
      3. Referenced on a daily or weekly basis
   2. Inactive records
      1. No longer being used but still need to be retained
      2. Not needed for current tasks or are part of projects that have closed
      3. Referenced infrequently
6. Why we manage records
   1. Legal purposes
      1. State and federal regulations
      2. Litigation
      3. Audits
   2. Financial purposes
      1. Track expenditures and money received
      2. Stewards of taxpayer dollars
      3. Audits
   3. Historical
      1. Documents the history of CDOT
      2. Documents the history of the State of Colorado
   4. Information Access
      1. Easier to find information
      2. Ensures the right people can access certain information
      3. Space limitations – we can’t keep everything forever, regardless of its format.
      4. Continuity – when the Records Officer wins the lottery or gets her purse stipend from another agency and moves there, the next Records officer is going to need to know what to do.
7. Records Coordinator Responsibilities – see PD 51.1
   1. Acting as the point of contact between their division or office and the Records Management Team
   2. Notifying the Records Management Team if any changes need to made to their file plan
   3. Helping to coordinate destruction efforts for their team
      1. Complete the destruction approval form
      2. Send it the Records Management Team for review and approval
      3. Clarify any outstanding questions
      4. Schedule records destruction
   4. Actively communicating with the Records Management Team about any records questions their team may have
   5. Notifying records management if there are any changes to their records processes
   6. Working with Records Management to implement “records clean ups” within their team
   7. Working with Records Management to plan for future records endeavors
   8. Working with Records Management to implement the file plan for their division or office
8. File Plans
   1. Reference source for each division or office that states what you create, what you are responsible for within your role, gives you examples, retention periods for record copies and desk copies
   2. Implementing a file plan
      1. Start with the non-records you know can be destroyed. For example, the following documents are easily identified and can typically be destroyed when you no longer need them:
         1. Brochures and pamphlets
         2. To-do lists and memos to yourself
         3. Conference handouts you no longer use and outdated reference materials
         4. Non-CDOT manuals that you no longer need for business purposes
         5. Anything that you no longer need for business purposes AND falls under the “non-record” definition (see above)
         6. You do not need to fill out a destruction form for these
      2. Next, address your division or office’s inactive records by:
         1. Identifying what they are
         2. Putting the same records in boxes. Don’t mix in purchase card records with timesheets and don’t mix in different projects in the same box. It is important to segregate records by the type of record.
         3. Completing the first part of the Destruction Inventory form by:
            1. Filling in the “Submitted By” section;
            2. Filling in the "Date Of Submission To OPGR” section;
            3. Filling in the "Date Range” section;
            4. Filling in the "Description Of Record" section;
            5. Filling in the “Quantity” section;
            6. Filling in the “Electronically Available” section;
            7. And if applicable, correcting the issues listed in the “If Not Approved, State Issues That Must Be Resolved Here” section.
         4. Getting approval from a supervisor with knowledge of the records as the second step in completing the Destruction Inventory Form. The supervisor needs to complete the “Approved By” section on the form by entering in his or her name and email..
         5. Sending in the Destruction Inventory Form to Records Management at [dot\_records\_mgmt@state.co.us](mailto:dot_records_mgmt@state.co.us). Records management will:
            1. Complete the “Item No./Retention Schedule Ref. No.” section;
            2. Complete the “Approved By CDOT Records Officer” section;
            3. “If Not Approved, State Issues That Must Be Resolved Here” section if applicable;
            4. Complete the “Date Approved” Section;
            5. And send the records coordinator a copy of the approved Destruction Inventory to be retained with their records.
         6. Contacting the Records Management Team with any questions.
9. Digital Records
   1. CDOT will be transitioning to an electronic records management system but until then, we will be addressing the backlog of paper.
   2. RED:Anything else we want to say regarding digital records
10. Conclusion
    1. Our contact information, once we get our new inbox address
    2. Ask if anyone has questions