

# OAR RECORD MATTERS Special Edition



## Yes, to Records Management for Senior Officials Records!



### What is a Record?

**Documents EPA activities and actions;**

*Examples: correspondence, agreements, studies*

**Received for action, created in the course of business**

*Examples: FOIA requests, controlled correspondence*

**Mandated by statutes or regulations**

*Example: administrative records, dockets*

**Supports financial obligations or legal claims**

*Examples: grants, contracts, litigation case files.*

**Communicates EPA requirements**

*Examples: guidance documents, policies, procedures.*

**Can be in any format**

*Examples: paper, electronic including email, videos, maps, sound recordings, posters, slides.*



### What is not a Record?

**Personal papers not related to EPA business**

*Examples: soccer schedule, PTA roster, vendor catalogs, phone books, technical journals, duplicate copies of correspondence, directives or EPA publications; draft documents with no substantive revisions/comments; working papers with rough notes, calculations.*

### Records Responsibilities of Senior Agency Officials

Besides the every day responsibilities of an EPA employee, senior officials have additional records management responsibilities. For example, senior officials (e.g., Assistant and Regional Administrators) are responsible for designating Records Liaison Officers (RLOs) and implementing a records management program within their program office.

The list of senior officials responsibilities are found in the EPA Records Management Policy (2155). They include: 1) Creation of records necessary to document activities and actions taken on behalf of the agency; 2) Ensures that information captured is a record, if it is not captured elsewhere; 3) Identifies a records custodian who can file records for safe storage and efficient retrieval; 4) Ensures records are managed appropriately and can be accessed by authorized staff; 5) Identifies and transfers records prior to the departure of the senior official; 6) Protects records from unauthorized destruction; 7) Does not use a non -EPA email account to conduct official business; 8) Understands that all records generated during the tenure of a senior official belong to EPA.



### Typical Records of Senior Officials

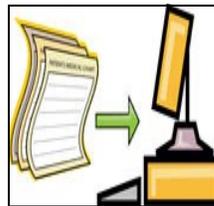
The typical records senior officials may have are: 1) Calendars, schedules, logs of daily activities; 2) Records pertaining to various committees and councils, including Federal Advisory Boards, inter-agency and external committees in which the senior official participated. In addition, the materials used for internal and external meetings; which may include briefing materials, minutes, and personal notes. The personal notes may be **personal papers**, if they are personal observations or reminders. These documents are also preserved because the information is not captured elsewhere.

Other records that can be found among senior official records are records that document the development of EPA's policies and programs. These records may include: correspondence, briefings, issue papers, and reports about policy, strategy, research and legislative priorities; program evaluation and planning; and similar topics.

Senior official records also include: Reports to Congress and/ or the President; speeches and testimony; and major correspondence.

### Emails & Instant Messages

Emails and instant messages may have substantive comments on draft action memos; document significant Agency decisions; and captured in the Agency's electronic recordkeeping system, ECMS, on a regular basis.



### Record Formats

Some records may not be in a paper format. The specific formats may include: 1) Emails and Instant messages (IM); 2) Calendars; 3) Personal Digital Assistants (PDAs); which include smartphones; tablet and laptop computers; and 4) Oral Communications.

This is especially true in the present day as smartphones (iPhones, Androids, and Blackberries) can do nearly everything a laptop or desk-top computer can! All that is needed is an application and they are ready to send and retrieve emails, instant messages, text messages; compose, edit and print documents; set up a calendar with the senior official's schedule that can list the time and dates of meetings, hearings, appointments and travel.

### Calendars

As an EPA employee, your calendar is a federal record if it includes *substantive information* about official Agency activities. Calendar records of *senior officials and their assistants* are permanent records, which must be transferred to the National Archives five years after the end of the calendar year, as defined in the guidance section of Records Schedule 111 - **Calendars, Schedules, and Logs of Daily Activities**. The calendars should be captured into a recordkeeping system on a monthly basis.

Calendar records of **staff acting for a senior official**, for the time period he or she is acting, must be captured with the senior official's calendar records. Calendar records of other employees are temporary records, which must be destroyed two years after the end of the calendar year.



### Inside this issue:

Yes, to Records Management for Senior Agency Officials Records/Personal Papers	1-2
Emails: What You Need to Remember	2
Record Formats	2
Records Word Search Game	2
End of the Year Records Close Out	2



### Personal Papers of Senior Agency Officials

Some materials that you come across when clearing out desks, file cabinets, computers may be classified as personal papers. Personal Papers is defined in federal regulations as:

"...documentary materials, or any reasonably segregable portion thereof, of a private or non public character that do not relate to or have any effect upon the conduct of agency business." 36 CFR 1222.36(a).

There are three generally accepted classes of personal papers:

- 1) Materials accumulated before joining government service that are not used in the transaction of Government business;
- 2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business;
- 3) Diaries, journals, or other personal notes that are not prepared or used for, or circulated or communicated in the course, or transacting government business.

By using this information, the senior agency official's records can be separated from their personal papers. The personal papers can be destroyed or be removed by the owner's discretion. See Records Schedule 999- Personal Papers for additional information.



### Leaving or Transfer Within the Agency

When a senior official leaves the agency they must fill out *EPA Form 1340-8, Senior Agency Officials and Political Appointees Separation and Transfer Records Checklist*. All departing senior Agency officials and other political appointees are to submit a completed form to their organizations Information Management Officer (IMO). All senior Agency officials departing the Agency or transferring to other positions within the Agency are responsible for identifying EPA records in their possession (paper and electronic).

The records must be maintained in a recordkeeping system and that custody is transferred to the Records Contact or Records Liaison Officer (RLO). Many of the paper or electronic documents the senior official received and created during their tenure are especially important because they are considered permanent records. The records are permanent because they document EPA's important decisions and policies.

ADDRESSING THE NEEDS OF AGENCY RECORDS  
AND SOWING SEEDS FOR AN ORGANIZED FUTURE.



### EMAILS: What You Need to Remember!

- Agency e-mail systems are for "official use" only by authorized personnel.
- Emails concerning agency business should never be sent on your personal computers, smartphones (iPhones, Androids, and Blackberries), or tablet computer (iPads, Kindles).
- Before deleting any e-mail message, the author should determine whether it meets the legal definition of a record and, if so, preserve a copy of the message in ECMS.
- E-mail records must be maintained in a recordkeeping system; either in your organization's paper filing system or in ECMS.
- Printed messages kept as a record must contain essential transmission, receipt data, and attachments; if not, print the data or annotate the printed copy.
- Delete messages that are not records when no longer needed.
- Email messages that are records can be deleted only **after** they have been placed in the recordkeeping system.
- When an e-mail is retained as a record, its retention is governed by records schedules.

### Record Formats: Yes, you may find records in all shapes and sizes...



### Records Word Search Game

Hint: Words are entered horizontally, vertically, and backwards!

S A P E D D D V F E C N H H T  
 J E C C F V P Y O A I E D A S  
 H I N T S D F H R E N V D R K  
 P Q N I I I R J M A O I F D P  
 A O M S O O D T A M R R Q D I  
 R E L G T R N E T T T D I R I  
 G P M X Q A O S K J C H L I Z  
 O F A A V T G F P Q E S R V D  
 T D A P I M Z R F R L A J E I  
 O D N C E L D L A I E L R L B  
 H W C E E R B O F M C F Q I V  
 P M U G G B S E P A T I U G V  
 R E C O R D O M E D I A A Q J  
 T W I T T E R O S H F A B L V  
 C O M P U T E R K G M G Q T H

ACTION  
 COMPUTER  
 DISC  
 DVD  
 ELECTRONIC  
 EMAIL  
 FACEBOOK  
 FLASH DRIVE  
 FORMAT  
 HARD DRIVE  
 MEDIA  
 PAPER  
 PHOTOGRAPH  
 RECORD  
 SENIOR OFFICIAL  
 TAPES  
 TWITTER



### End of the Year Records Close Out!

With the end of calendar year 2012, it is now time to move records from "active" to "inactive" status. This is the next phase in the records lifecycle. Inactive records are those records that are "closed," which means no more information will be added to them. Inactive records must be separated from the active records. Active records are records that concern current agency business and generally can be maintained in the office and office equipment.

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