Indian Health Service

Records Management
It Is Everyone's Responsibility

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Objective

- Distinguish between records vs. non-records.

- Classify the various types of records.

- Define (Electronic) Records Management.

- Understand why federal agencies must manage records.

- State how records are managed.

- Recognize records management best practices.

What is a Record?

Records consist of all recorded information regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.
(44 U.S.C. Sec. 3301)

What is a Record?

- Medical Records
- Grant Files
- Manuals/Directives
- Reports/Legal Documents
- Training Logs
- Emails
- Audits
- Policy
- Handbooks/Manuals/Photos

What is a Record?

- Organizational Chart
- Procurement
- Travel
- Annual Reports
- Drafts
- Records Management

What is a Non-Record?

- Documentary materials excluded from the legal definition of records

- Copies of documents received for information that don't require action

- Unofficial copies of documents kept for convenience or reference

- Materials needed for exhibition in libraries

- Articles/journals/copies (i.e., rough drafts, notes, cards, etc.)

What is a Non-Record?

- Routing/Transmittal sheets that add no information to the transmitted material.

- Personal papers or notes which are not prepared for, used for, or communicated during government business.

The "personal papers" category does not apply to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephones calls, trips, visits, and other activities of Federal employees while serving in an official capacity, during Government business.

Types of Records

Permanent

Permanent records are Federal records that have been determined by NARA to have sufficient value to warrant their preservation in the National Archives even while they remain in agency custody. Permanent records are those for which the disposition is permanent as documented on a records schedule.

Temporary

Records approved by NARA for disposal after a specified retention period.

For more information click on link Temporary-Permanent Records

Formats of Records

- Paper (i.e., letters, memos, forms, reports)
- Audio recordings, voicemail files
- Photographic prints/negatives
- Video films
- Digital (i.e., pdf, .tif, spreadsheets, blogs, social media, e-mail)

What is (Electronic) Records Management?

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- Records Management is the management of paper or electronic information in organizations as records are created maintained, used, retained, stored, inspected, destroyed, or preserved

- Electronic Records Management (ERM) is information or data files that are created and stored in a digital format through the use of computers and other applications software.

- Electronic records managed within IHS approved records management applications must include the appropriate disposition and metadata.

What is Records Management (RM)?
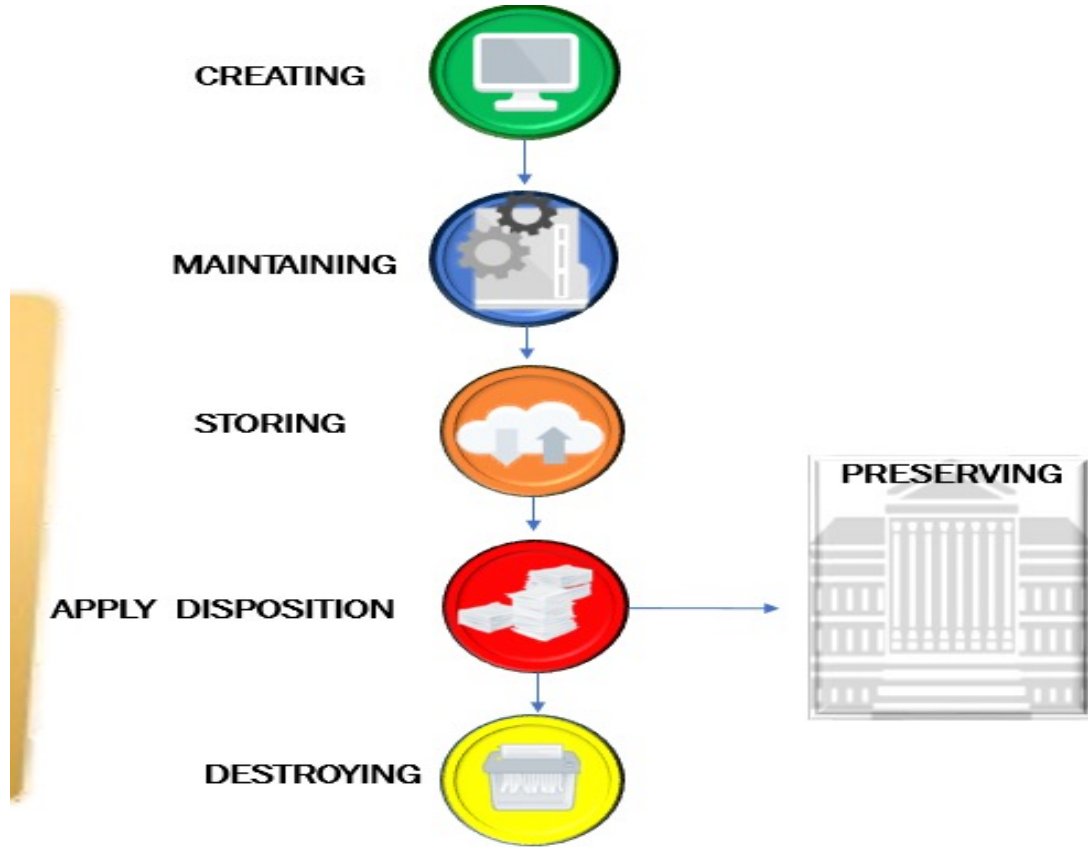
Why Manage Records?

The Federal Records Act 44 U.S.C. 31 and 36 CFR 1220.14 .

Why Manage Records?

- To document and preserve the history and legacy of the IHS.

- To document IHS' mission, function, policy, decisions, procedures, and essential transactions.

- To protect the legal and financial rights of the government (IHS) and persons directly affected by IHS activities.

Why Manage Records?

OFFICE OF MANAGEMENT AND BUDGET (OMB)

▪ OMB Memorandum M-23-07 (previously M-19-21) – This memorandum directs all agencies to:

- Ensure all Federal records are created, retained, and managed in electronic formats, with appropriate metadata; and

- Consistent with records management laws/regulations, develop plans to close agency-operated storage facilities for paper and other, analog records, and transfer those records to Federal Records Centers operated by NARA or approved commercial storage facilities.

For more information click the link M-23-07

Why Manage Records?

UNAUTHORIZED DISPOSITION OF FEDERAL RECORDS

- IHS staff and contractors are required to notify Records Management Officer of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, elimination, or other destruction of records in custody of the agency (36 CFR Part 1230).

- NARA establishes unauthorized disposition case files to track each allegation of any communications with the agency until the issue is resolved.

- Since 1963 (with the latest being 2020) there are have been 13 notable thefts/convictions from NARA and countless former federal employees and/or contractors indicted for stealing and/or selling federal records.

Best Practices

- The information you create, receive, and use as part of your work is a federal record, and it belongs to IHS.

- Ensure electronic and paper records are stored securely and control who has access to records.

- Record, track, and monitor movement of records within your office.

- Keep personal files at home whenever possible. If you must bring personal information to work,

- Consult with your Records Liaison or Records Management Officer if you have any concerns regarding Records Management

- Remember…Managing Records is **The Law** and **Everyone's Responsibility.**

QUESTIONS???