

DOC Records Management Employee Checklist And In/Out-Processing Attestation

DOC Records Management Employee Checklist

Departing /Exiting Employee's Responsibilities:

All agency/bureau records may not be removed from the agency/bureau to repurpose the records without a proper and explicit approval in writing.

1. No departing employee or contractor shall remove any materials, which contain classified security information or other information of a confidential nature.
2. No departing employee or contractor shall remove records relating to any pending or contemplated civil, criminal, or administrative proceeding or other program activity when the information, if released, would impair or prejudice the outcome of the proceeding or Government policy determinations, decisions, or other actions.
3. Prior to separation, the departing employee or contractors must make a request in writing for records removal to Agency Records Officer /Bureau Records Management Officer (ARO/BRMO) or their designee at least ten days before the last working day.
4. Agency Records Officer/Bureau Records Management Officer (ARO/BRMO) must review the nature of requested records in consultation with the Office of General Council and the applicable program manager and make a formal determination in writing. Only upon the removal approval, the requesting staff may remove a duplicate of the records.
5. If the request or the decision is not made in a timely manner, the requestor must not have a copy, but the person has the full rights to make a FOIA request for the document after separation.

Departing officers or employees may not remove non-record materials (including collected reference publications, extra copies, working papers, drafts, and the like maintained in connection with the official business of the Department) or personal papers of an unofficial nature (such as office diaries, logs, or personal correspondence), if their removal would:

1. Impose substantial handicaps on the efficient, continued functioning of an office or of the successors of an officer or employee,
2. Diminish the records or other documentary information needed for the official business of the Department,
3. Violate the confidentiality required by national security, privacy, or other interests protected by law, of
4. Exceed normal administrative economies.

Note: *** Ensure that your Appendix A and B has been dated and signed by you, your supervisor, and Agency Records Officer/Bureau Records Management Officer (ARO/BRMO), Records Liaison Officer (RLO), Records Custodians/Specialist (RC/S), and that it is included with your out-processing checklist and electronically maintained. ***

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APPENDIX A

Records Management Entrance/ In-processing Checklist

This checklist describes important records management responsibilities you should understand as you begin Federal service. As a reminder, agency business should be performed on agency systems and accounts. Personal accounts should only be used in exceptional circumstances and not as a routine practice. More information about your responsibilities and the definitions of records management terms. Please contact your Bureau Records Management Officer (BRMO) for all responses below that are NO or NA.

#	Questions	Yes	No
1	Have you completed your agency's/bureau's records management training? If not, when will it be completed MM/DD/YYYY		
2	Are you aware of the types of records you will likely create or work with and the length of time they must be kept? Please contact your Bureau Records Management Officer (BRMO).		
3	Do you know how to properly maintain and store Federal records you create, including in electronic and analog formats? Specifically, do you know where to save your records?		
4	You should not mix personal materials and agency/bureau business records together. Have you set up procedures for maintaining personal materials separately from agency work?		
5	Are you aware of the agency/bureau policies and NARA requirements related to the use of personal email accounts to conduct official business?		
6	Are you aware of your agency's//bureau's policies if you want to use a new software, tool, or service to conduct agency business?		
7	Are you aware of the requirements to cc or forward any Federal record created or received in personal email or electronic messaging accounts to your official account within 20 days?		
8	If you are using a non-agency provided device (including a computer or mobile phone) for work, are the information and records you create captured in agency/bureau accounts or systems?		
9	If your agency provides you a mobile device, do you know how to ensure records created using the device are captured in record keeping systems?		

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#	Questions	Yes	No
10	Do you know who to contact with questions about managing your records and information?		

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Records Management Official signature block

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APPENDIX B

Records Management Exit/Out-processing Checklist

This checklist describes tasks you should complete to ensure your records are properly managed as you leave Federal service. More information about your responsibilities and the definitions of records management terms. ***Make sure that you check in and out-process with your Bureau Records Management Officer (BRMO) or RM designee. ***

#	Questions	Yes	No	N/A
1	Have you ensured that all records are captured in official recordkeeping systems and available to agency/bureau staff after you leave? Note, depending on the length of service at your agency, it may take several business days to properly identify and capture all paper and electronic records found at your office or telework location and on shared drives, cloud networks, and agency-provided or personal devices.			
2	Have you arranged for an exit interview with your agency's/bureau's records management staff or designated official?			
3	Can all password protected or encrypted accounts, systems, and files be accessed after your departure?			
4	Have you returned all records checked out to you to the appropriate Bureau Records Management Officer (BRMO) or storage facility (either a NARA Federal Records Center, an agency records center, or an approved third-party storage provider)?			
5	Have you turned over all information requests for which you were responsible, for example FOIA requests?			
6	Have you identified and preserved records in your care relating to audits or Congressional inquiries?			
7	Have you identified and notified your agency's legal staff of all records in your care relating to litigation holds?			
8	Have you ensured that all sensitive personally identifiable information, protected health information, FOIA-restricted, and classified information is still under agency control?			

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#	Questions	Yes	No	N/A
9	Do you understand that Federal records may not be removed from Government custody, nor may they be destroyed without a record(s) Disposition schedule that has been approved by the Archivist of the United States? Penalties may be enforced for the unlawful removal or destruction of records. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is three years in prison (18 USC 2071)			
10	Has an official at your agency/bureau reviewed all personal material, non-record, and copies of record material (both in digital and paper format) you wish to remove to ensure no sensitive information or records are leaving the agency?			

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