# National Archives Office of the Chief Records Officer Logo**Model Federal Records and Information Management Entrance and Exit Checklists**

The following checklists serve as models records management staff can adapt to their own agencies. These checklists describe basic records management responsibilities and tasks all individuals should complete when entering or leaving Federal service.

* [Records and Information Management Entrance Checklist](#_Records_Management_Entrance)
* [Records and Information Management Exit Checklist](#_Records_Management_Exit)

The following are some best practices for briefing individuals on their records management responsibilities:

**Start as early as possible in each phase of service.**

As individuals enter Federal service, agencies should have procedures in place to inform individuals how to manage the records and information they create and use, how long the records must be maintained, and whom they should contact for specific questions.

While individuals should properly manage records throughout their service, records management staff should remind individuals of their responsibilities as soon as a departure is planned. Records management staff should encourage individuals to complete their final records management tasks early as it can easily take several days to go through their office areas, computer systems, and telework locations to capture all records and information that must stay with an agency. For senior officials and political appointees, records management staff should begin working with those employees at least 3 months out before a transition is planned.

**Integrate records management training into existing practices and procedures.**

Adding records management training to existing processes ensures more individuals learn about their records management responsibilities. After individuals receive their initial briefing, agency records management staff should follow up with the trainees to ensure they remember their responsibilities and know where to find additional information. Depending on the size of your agency, this responsibility can be delegated to program managers or other supervisory officials.

If your agency has a designated office or committee to oversee the entrance and exit procedures, ensure that records management staff are involved in the process. While there are many stakeholders in the entrance and exit process, records management should play an equal role with security, general counsel, and human capital. Records and information are core work products of Federal agencies and need to be protected.

**Ensure the removal of any material by an individual is cleared by appropriate staff.**

Records management staff should emphasize Federal records and information are the property of the Government and must stay under agency control. Individuals should be informed of any restrictions on removal of information when they enter service.

If an individual is requesting approval to remove non-record materials, consider having the individual’s supervisor, agency’s records management staff, legal counsel, privacy office, or Freedom of Information Act (FOIA) office review the material before permission is granted. Contractors must consult with the appropriate contracting officer representative or agency official for approval prior to the removal of materials upon expiration of the contract. By having agency officials review materials, you can ensure that Federal records and government information are protected.

# **Records Management Entrance 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 can be found in the National Archives and Records Administration’s (NARA) web publication, *Documenting Your Public Service*:
<http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>

| # | Questions | Yes | No |
| --- | --- | --- | --- |
| 1 | Have you completed your agency’s records management training? |  |  |
| 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?  |  |  |
| 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 business records together. Have you set up procedures for maintaining personal materials separately from agency work? |  |  |
| 5 | Are you aware of agency policies and NARA requirements related to the use of personal email accounts to conduct official business? |  |  |
| 6 | Are you aware of your agency’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 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? |  |  |
| 10 | Do you know who to contact with questions about managing your records and information? |  |  |

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# **Records Management Exit 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 can be found in the National Archives and Records Administration’s (NARA) web publication, *Documenting Your Public Service*: <http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>

| # | Questions | Yes | No | N/A |
| --- | --- | --- | --- | --- |
| 1 | Have you ensured that all records are captured in official recordkeeping systems and available to agency 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 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 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? |  |  |  |
| 9 | Do you understand that Federal records may not be removed from Government custody, nor may they be destroyed without a records 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 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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