

**Department of Defense (DoD)
Records Management
Functional Process Improvement (FPI)
TO-BE Report**

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FINAL

DoD Records Management Functional Process Improvement (FPI) TO-BE Report

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Executive Summary

This report documents the Functional Process Improvement (FPI) TO-BE session, conducted during the period 29 November 1993 through 13 December 1993, for the process "MANAGE RECORDS". Representatives of DoD components (Air Force, Army, Office of the Secretary of Defense (OSD), and Navy) participated in the session. The TO-BE model has four processes: CREATE RECORDS, MAINTAIN RECORDS, TRANSFER RECORDS, and DESTROY RECORDS.

Additionally, throughout the first two weeks, the participants provided their functional and technical requirements for the support mechanisms, producing a comprehensive list of requirements to support the process in the year 2003.

Participants revised and refined improvement opportunities identified during the comparison matrix workshop. Working only on those opportunities dealing with policy and procedures, the participants initially identified twelve improvement opportunities. After two days of intensive group discussions and effort, that list was refined to six opportunities. Three of the opportunities were determined to be outside the scope of the current FPI work and three others were merged into the final six. These final six improvement opportunities are:

- Develop standard DoD retention schedules.
- Reduce the number of records retention periods.
- Migrate toward a standard DoD coding system for records.
- Develop standard DoD functional and automated system requirements for records management.
- Incorporate records management requirements into Automated Information Systems development and redesign.
- Develop standard DoD systems requirements for voice and E-Mail records.

Introduction

There were four objectives established for the "MANAGE RECORDS" TO-BE session. The four objectives were to:

- Develop a TO-BE IDEF0 Model of the process "MANAGE RECORDS", from the viewpoint of an action officer in the year 2003.
- Identify the requirements for the mechanisms to support the processes in the year 2003.
- Revise and refine the Improvement Opportunities initially identified in the AS-IS Comparison Matrix Workshop.
- Develop and propose recommended DoD standards and areas requiring migration in records management.

All four of the objectives were accomplished. The TO-BE IDEF0 model was completed at the end of the second week of the session. Through the first two weeks, the participants entered their requirements for the mechanisms to support the TO-BE processes, resulting in a comprehensive list of requirements to support the process in the year 2003. A summary of the participant entries is in the chapter entitled Support Requirements.

The improvement opportunities developed by the Comparison Matrix Workshop were presented to the participants on the first day of the TO-BE session. However, revising and refining those opportunities was not attempted until the final two days of the session. The participants only worked on those opportunities dealing with policy and procedures. Twelve improvement opportunities were identified which met that criteria. After two days of intensive group discussions and effort, that list was refined to six opportunities. Three of the original twelve opportunities were determined to be outside the scope of the current FPI. Three others were merged into the final six. A discussion of these improvement opportunities is contained in the chapter entitled Improvement Opportunities.

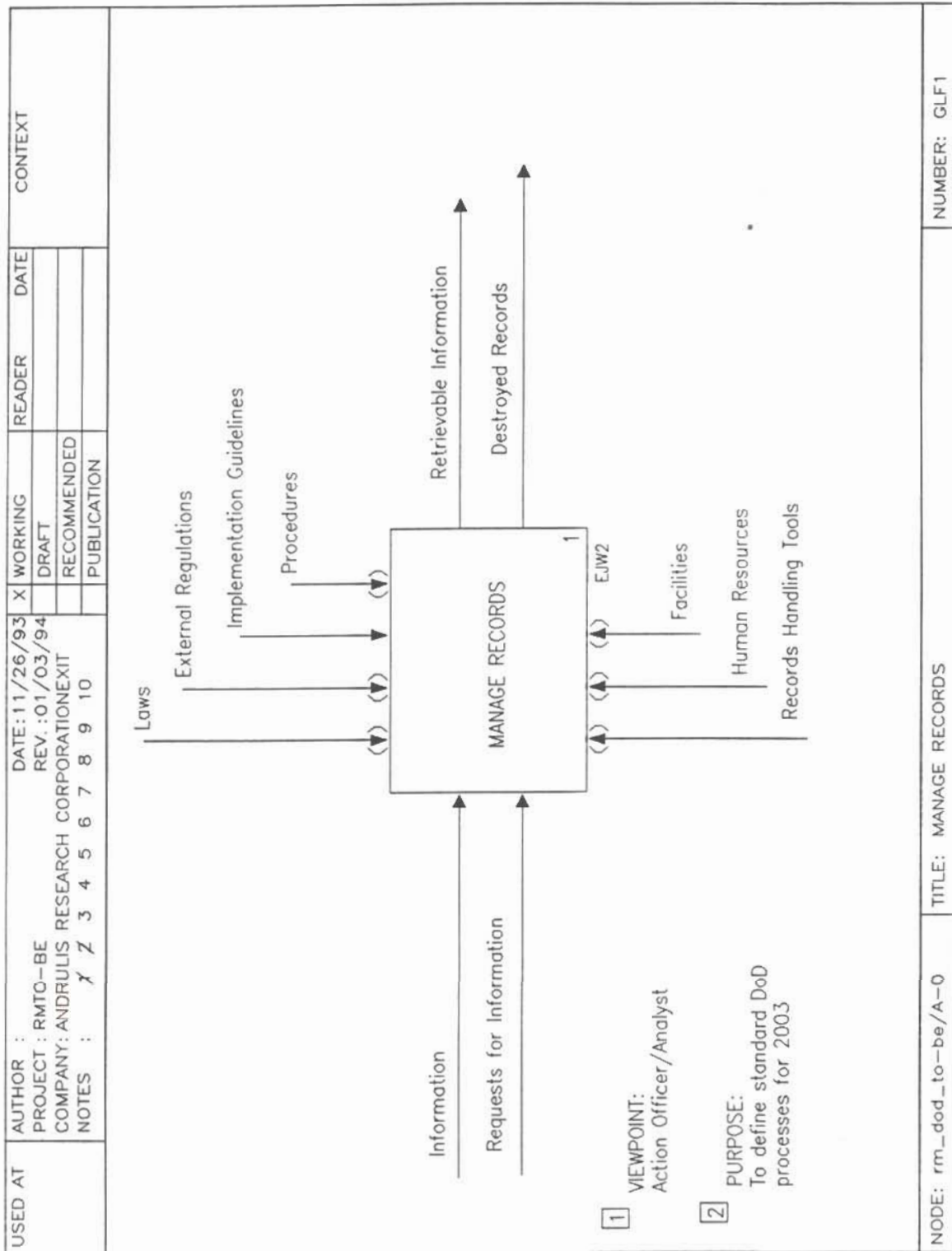
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The TO-BE Model

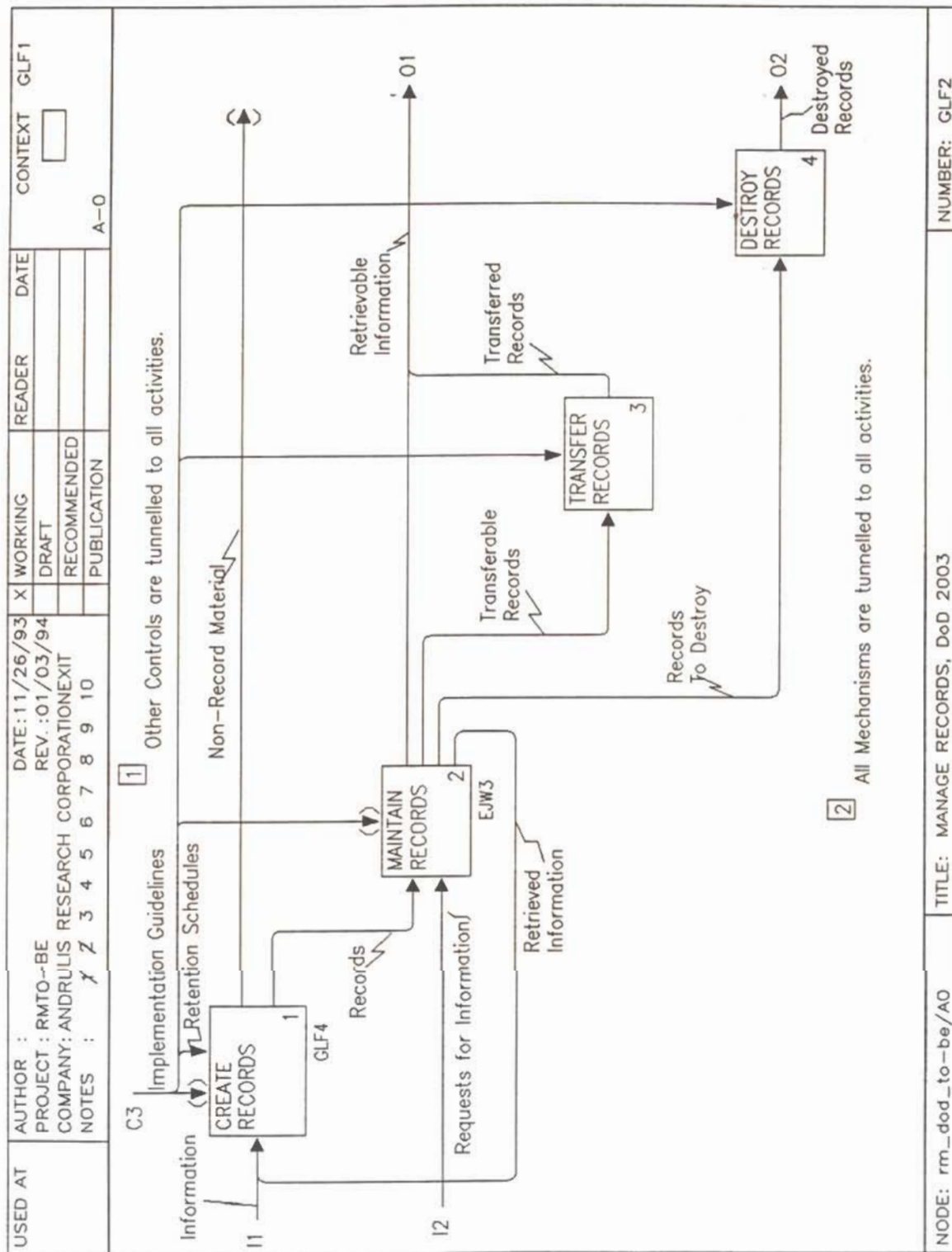
The participants used the context diagram developed during the initial scoping session, and later refined by the AS-IS sessions, as a strawman starting point for the development of the TO-BE model. However, since the TO-BE model is not dependent on the AS-IS model, the group discovered that there were changes required to the context diagram. These changes include the changing of the output "*Retrievable Records*" to "*Retrievable Information*", and the merging of the mechanisms "*Record Creation/Receipt Devices*" and "*Record Storage Devices*" into one mechanism called "*Record Handling Tools*". The rationale for these changes is explained in the text diagrams presented along with the model on the following pages. The TO-BE model has four processes decomposed as follows:

- A1 - CREATE RECORDS
 - A11 - FILTER INFORMATION
 - A12 - MAKE RECORDS
 - A13 - ASSIGN DISPOSITION INSTRUCTIONS
 - A14 - INDEX RECORDS
- A2 - MAINTAIN RECORDS
 - A21 - STORE RECORDS
 - A22 - SCREEN RECORDS
 - A23 - RETRIEVE RECORDS
- A3 - TRANSFER RECORDS
- A4 - DESTROY RECORDS

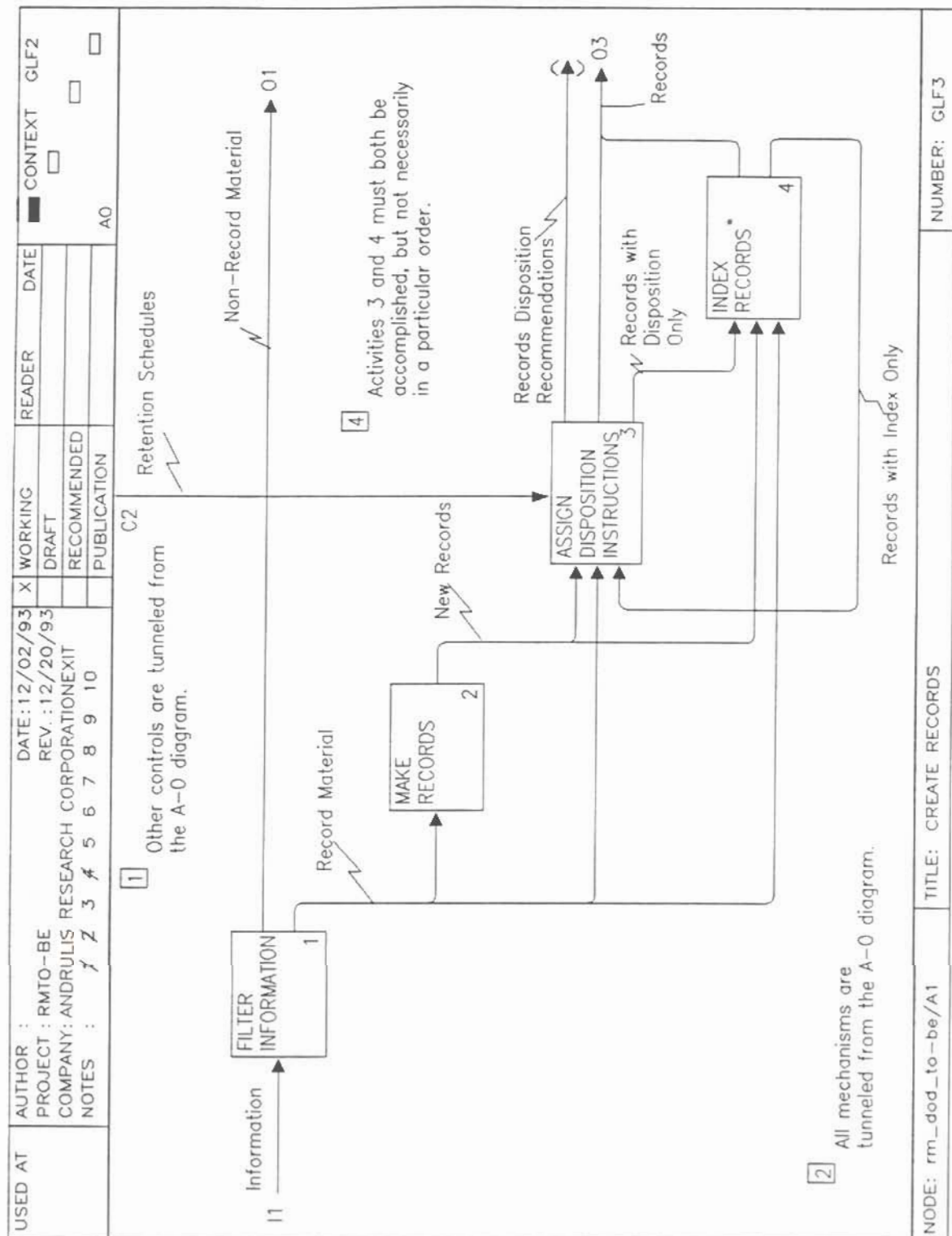
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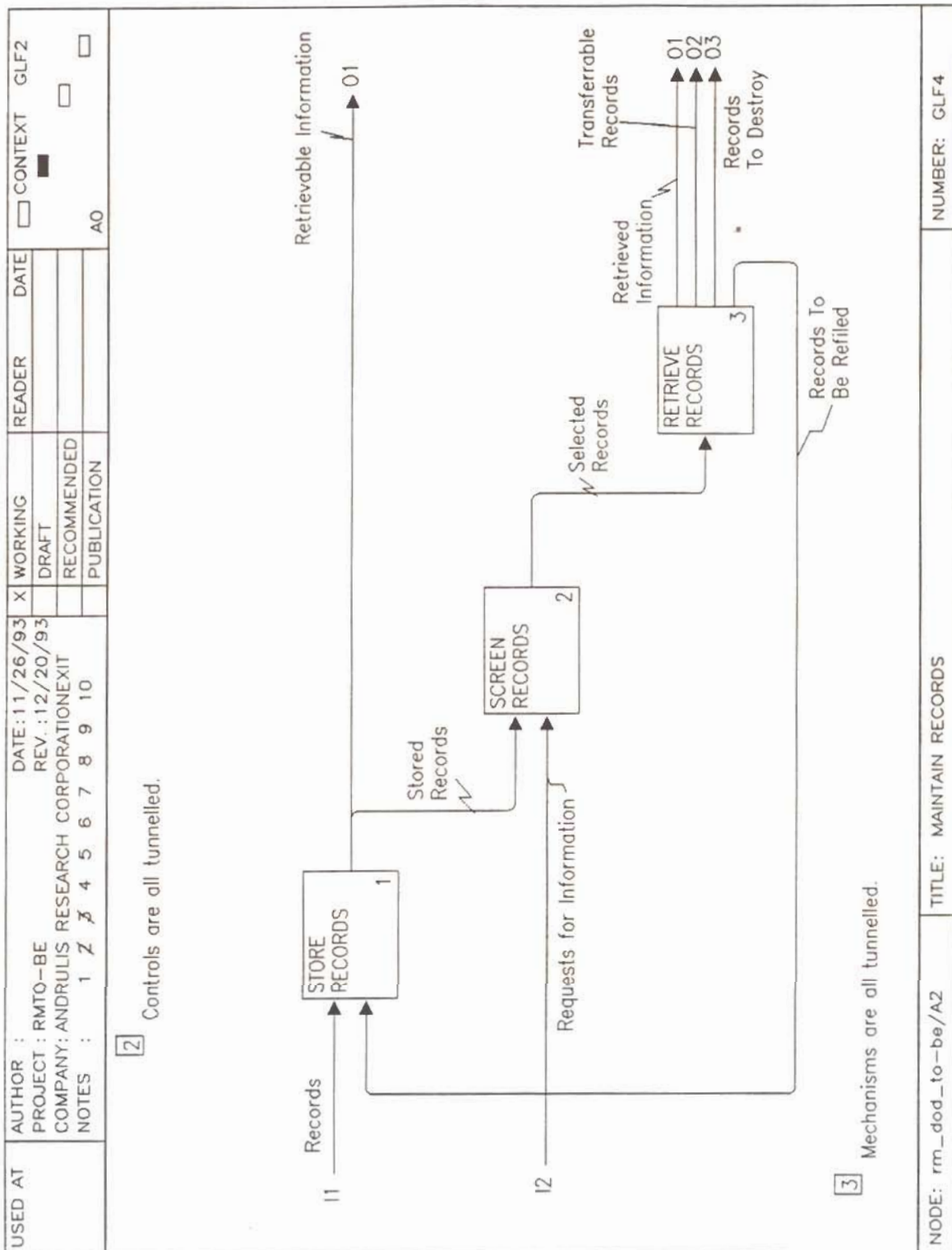
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<p>A0, Manage Records:</p> <p>Information is facts or data communicated or received. Upon receipt by the action office, the information may become a record. All records, either physical or electronic, are managed in four activities – create, maintain, transfer, and destroy.</p> <p>In the CREATE activity, information received as data or facts that is not already organized as a record may be made into a record. In some cases a received record is used immediately to make a new record. Information that is not made into a record is considered non-record material. Newly created records and the information received that was already in a record format will move into the maintain activity to be maintained as an official record. In the CREATE activity, retention schedule controls and indexing for retrieval are assigned.</p> <p>The MAINTAIN activity involves the storage, retrieval and handling of records by the action officer. The output of maintain records is retrievable information (and retrieved information used to create new records) and disposable records. Retrievable information is the goal of records management. Records must be organized so that they can be easily retrieved. When records are no longer needed for official business they become transferrable or destroyable.</p> <p>The TRANSFER activity involves the movement of records from one organization to another, from office space to agency storage facilities, from one federal agency to another, to a Federal records center, or for records requiring permanent preservation to the National Archives. Transferred records are retrievable information.</p> <p>The DESTROY activity changes the characteristics so that the information is no longer retrievable.</p>								
NODE: rm_dod_to-be/AOT1		TITLE: MANAGE RECORDS, DoD 2003					NUMBER: GLF2	



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<p>A1, Create Records:</p> <p>Creation of a new record is the beginning of its life cycle. Action officers create records in the process of performing staff work; records are also received from sources outside the office such as incoming mail. This creation process consists of four activities: filter information, make records, assign disposition instructions, and index records.</p> <p>FILTER INFORMATION. This is the process where management, action officers, and others sort information and decide what will be placed into the organization's records management system. The filter works primarily on information provided to the office from outside sources. This process results in discarding some information and maintaining other information as record material. The process separates information of continuing value to the organization from non-record material; e.g., "junk" mail, routine announcements, business advertisements, and other information not relevant to the activities of the office.</p> <p>MAKE RECORDS. This is the internal process by which an action officer documents the business processes of an organization. Various tools can be used in this process, such as word processors, spreadsheets, data bases, visual information products, etc. This activity consists of retaining the record copy of outgoing communications, management information, and other information commonly produced in the conduct of government business.</p> <p>ASSIGN DISPOSITION INSTRUCTIONS AND INDEX RECORDS must both be accomplished, but not necessarily in a particular order.</p> <p>ASSIGN DISPOSITION INSTRUCTIONS. The process of tagging records with disposition instructions based on established retention schedules. The retention schedules are established by the value of the record and assign a retention period based on length of time (destroy after two years), an event (destroy on separation of individual), or a length of time after an event (destroy six years after final payment).</p> <p>INDEX RECORDS. Tagging records with unique identifiers for storage and retrieval. Indexing may use tools to aid in finding both the record and the information contained in them. These indexes may contain several key criteria which may be used in identifying a record or group of records. Examples are name, date, subject, type of records, Social Security Number, and recipient.</p>								
NODE: rm_dod_to-be/A11		TITLE: CREATE RECORDS					NUMBER: GLF3	



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<p>A2, Maintain Records:</p> <p>Maintain records is the second stage of the records management life cycle process. It is generally considered to be the most important part of the records management process.</p> <p>The maintain records activity is defined as any action taken to administer, use, and preserve a record during its life cycle. Implementation guidelines are dependent upon federal laws and regulatory instruments initiated by the defense agencies such as regulations, instructions, letters, etc. The three major activities are store, screen, and retrieve.</p> <p>The STORE RECORDS activity is defined as retaining records in an organized manner for ease of retrieval and to ensure preservation throughout their life cycle. This includes periodic reviews of media and record quality and integrity. INPUTS are Records and Records To Be Refiled. Records To Be Refiled are records that have been retrieved, used, and are being returned to records storage. OUTPUTS are Retrievable Information and Stored Records. Retrievable Information is information, regardless of media, that can be found easily through the use of standardized approaches including cataloging and indexing techniques.</p> <p>The SCREEN RECORDS activity is defined as identifying all stored records which meet a particular set of characteristics, e.g., eligible for disposition, exceptions to standard disposition, FOIA, and Privacy Act queries. INPUTS are Stored Records and Requests for Information. Requests for Information are expressed as needs or desires for information which is expected to be contained in government records. The OUTPUT is Selected Records. Selected Records are records identified as a result of a search using a given set of criteria. In an automated environment, the Selected Records process includes the ability to perform batch dispositions without physically retrieving the records.</p> <p>The RETRIEVE RECORDS activity is defined as accessing a stored record. The INPUT is Selected Records and the OUTPUTS are Retrieved Information, Transferrable Records, Destroyable Records, and Records To Be Refiled. Retrieved Information is information extracted from retrieved records. Transferrable Records are records eligible for movement from one organization to another, from office space to agency storage facilities, from one federal agency to another, to a Federal Records Center, or, for records requiring permanent preservation, to the National Archives. Destroyable Records are records eligible for destruction according to the retention schedule.</p>							
NODE: rm_dod_to-be/A2T1	TITLE: MAINTAIN RECORDS					NUMBER: GLF4	

Support Requirements for the Year 2003

During the session, the participants entered functional and system requirements for mechanisms to support the "MANAGE RECORDS" process. **Participant functional and system requirements necessary to support the TO-BE process for the year 2003 are presented below.** Unedited participant recommendations are contained in the session Source Data Report.

Any system which creates, maintains, transfers, or destroyed records will have the following capabilities. These requirements must be performed in support of the activity listed. All systems will be reviewed for Freedom of Information Act (FOIA) and Privacy Act considerations.

A1: CREATE RECORDS

1. Interface transparently with the operating environment and support tools such that certain functions, such as indexing, are performed transparently to the action officer.
2. Be compatible with existing paper records. Some paper records may still be in existence and possibly new types of non-electronic records may be created by the year 2003.
3. Automatically index all records created.
4. Automatically determine the proper disposition of each record created and store the disposition instructions with the record.
5. Provide automatic electronic date stamp or equivalent on created records.
6. Provide for the creation and storage of "working papers," both prior to and simultaneously with the addition of indexing and disposition instructions to the record before it can be stored.
7. Convert the storage medium of the record (i.e., hard disk to optical disk).
8. Feature common predetermined retrieval fields (i.e., subject, date, creator office) for ease of mass retrievals.
9. Provide a means to manually enter disposition instructions or override those the system selects.

A11: FILTER INFORMATION

1. Automatically filter out such items as E-Mail lunch invitations from actual information that should become a record.
2. Filter on standard data and information structures (i.e. E-Mail, Memorandums, Letters) to the maximum extent possible.
3. Convert from any format to the accepted standard (i.e., SGML, ASCII, etc).

A12: MAKE RECORDS

1. Generate standard reports (i.e. manpower documentation reports).
2. Add suspense times/events for the purposes of Freedom of Information or Privacy Act requirements.
3. Automatically track revisions to a record, document attachments, and addenda (i.e. provide an audit trail).
4. Incorporate margin notes on records without changing the actual record.
5. Integrate different information medium formats (i.e. optical disk, scanned paper, magnetic disk) to make a single record.

A13: ASSIGN DISPOSITION INSTRUCTIONS

1. Link records disposition to the coding/indexing scheme.
2. Assign disposition instructions automatically, but will allow for overriding the automatic selection through a selection from a displayed list.

A14: INDEX RECORDS

1. Create indexes based on characteristics such as disposition instructions, key words, subject, or full text.
2. Index automatically .
3. Allow for keyword search capabilities (subject, executive summary, full text, etc.).

A2: MAINTAIN RECORDS

1. Handle electronic copies, such as the creation and storage of information and reference copies. These copies will be handled as records themselves, but will have unique identifiers.
2. Include the capability to protect and distinguish access to classified and otherwise sensitive records.
3. Integrate indexing system with the paper indexing system such that retrievals are kept simple (i.e., multiple indexing systems not required).
4. Maintain an audit trail of record access, changes, etc.
5. Not allow changes to a record using the same record identifier (i.e. if a record is changed, a new record should be created and the old record kept in tact).
6. Provide a predetermined number of retrieval fields to simplify retrieval operations.
7. Recognize and utilize access restrictions such as clearance, need-to-know, etc.

A21: STORE RECORDS

1. Eliminate the possible loss of records due to system failures or operator errors through automated back-up procedures.
2. Store records in their native format (i.e., WordPerfect) or in an agreed standard.
3. Allow for both ease of retrieval and proper physical and electronic safeguarding of records.
4. Easily designate emergency records (Vital Records Program) that require duplicate storage.

A22: SCREEN RECORDS

1. Allow screening by either the action officer or the records manager.
2. Automatically display records for screening based on their disposition instructions. This capability will also incorporate features to handle event driven dispositions.
3. Incorporate features to ease screening for FOIA and Privacy Act requirements.

A23: RETRIEVE RECORDS

1. Retrieve records based on user level of access. Ensure that the records manager can also retrieve all records created within an agency.
2. Provide to the user the capability to retrieve by either the index or other predetermined fields. The system will give the user a list of records meeting retrieval criteria.

A3: TRANSFER RECORDS

1. Generate all required forms to transfer records, such as the Standard Form (SF) 135. The forms and the records should be transferred electronically when possible.
2. Allow for the transformation of records into the proper medium for transfer to Federal Records Centers and the National Archives if electronic transfer is not feasible.
3. Verify the quality of records being transferred.
4. Maintain a detailed audit trail of transferred records including date, recipient, losing organization, and descriptions (identifier, file name, etc).
5. Automatically identify, according to disposition instructions, records requiring transfer.

A4: DESTROY RECORDS

1. Automatically identify records to be destroyed and notify the owner of the record or the records manager of the destruction requirement. Local policy will establish who to notify.
2. Build in safeguards to avoid accidental destruction of records. This will include a message which tells the user that the record hasn't reached its proper disposition period and queries the user to continue with the operation or cancel the operation. The system will have the capability to absolutely delete the record such that it is not retrievable, restorable, or reconstructible. Double checks for deletion/destruction are required.
3. Allow deletion only through the records management function of the system, based on access restrictions.

DoD Records Management Functional Process Improvement (FPI) TO-BE Report

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Improvement Opportunities

Participants revised and refined improvement opportunities identified during the comparison matrix workshop. Working only on those opportunities dealing with policy and procedures, the participants initially identified twelve improvement opportunities. After two days of intensive group discussions and effort, that list was refined to six opportunities. Three of the original twelve opportunities were determined to be outside the scope of the current FPI work and four others were merged into the final six. In the merging process, one new improvement opportunity was developed. The final six improvement opportunities are:

- Develop standard DoD retention schedules.
- Reduce the number of records retention periods.
- Migrate toward a standard DoD coding system for records.
- Develop standard DoD functional and automated system requirements for records management. (Include public access to electronic records.)
- Incorporate records management requirements into automated information systems development and redesign. (New)
- Develop standard DoD systems requirements for voice and e-mail records.

The original twelve improvement opportunities are:

- Develop a standard numbering system for records
- Develop a standard DoD retention schedule.
- Define, in the standard DoD retention schedule, the minimum number of discrete retention periods needed to meet mission requirements efficiently.
- Develop a standard DoD automated system.
- Require the review and approval of automated support systems by records managers to ensure compliance with the law.
- Build Privacy Act and FOIA rules into information systems.
- Promulgate improved policies for voice and E-Mail.

- Provide electronic access/dissemination of electronic information (public access).
- Implement a common DoD records schedule compatible with electronic records.
- Simplify records schedules for electronic use (7 - 9 retention periods).
- Integrate records management functions with information resource management (IRM).
- Request NARA issue up-to-date guidelines for permanent electronic storage.

The three improvement opportunities determined to be outside the scope of the current FPI work are:

- Build Privacy Act and FOIA rules into information systems.
- Integrate records management functions with IRM.
- Request NARA issue up-to-date guidelines for permanent electronic storage.

The four improvement opportunities that were merged into the final six are:

- Simplify records schedules for electronic use (7 - 9 retention periods).
- Define, in the standard DoD retention schedule, the minimum number of discrete retention periods needed to meet mission requirements efficiently.
- Implement a common DoD records schedule compatible with electronic records.
- Provide electronic access/dissemination of electronic information (public access).

The one new improvement opportunity that resulted from merging others is:

- Incorporate records management requirements into automated information systems development and redesign.

Briefings

The participants received four briefings during the session. Two of the briefings described and demonstrated commercially available off the shelf software (COTS) designed to perform records management tasks. The technical support team will further research both products. The team will also visit commercial and government users of these and similar products. The third briefing, by Dr. Bill Underwood of the Army Research Laboratory, Atlanta, Georgia, addressed the generic nature of records management and the current and planned research concerning the application of artificial intelligence and other advanced technologies to aid in accomplishing records management activities. Additionally, Linda Ebben, National Archives and Records Administration (NARA), briefed the merger of the various DoD components' financial and commissary records into new joint records sets for the Defense Finance and Accounting Service (DFAS) and the Defense Commissary Agency (DeCA).

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References

1. Department of Defense Records Management Functional Process Improvement Scoping Report, October 1, 1993.
2. Department of Defense Records Management Functional Process Improvement Air Force AS-IS Report, November 10, 1993.
3. Department of Defense Records Management Functional Process Improvement Army AS-IS Report, November 10, 1993.
4. Department of Defense Records Management Functional Process Improvement OSD AS-IS Report, November 10, 1993.
5. Department of Defense Records Management Functional Process Improvement Navy AS-IS Report, November 10, 1993.
6. Department of Defense Records Management Functional Process Improvement Comparison Matrix Workshop Report, November 26, 1993

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Glossary

The following terms and definitions were developed by the participants during the TO-BE session. Terms in all capital letters (i.e. CREATE RECORDS) indicate a process. Terms in lower case (i.e. Destroyed Records) indicate an input, output, control, or mechanism. The alphanumeric designations Ax (Ay) indicate where the terms appear on the IDEF0 model.

ASSIGN DISPOSITION INSTRUCTIONS

A1 (A13)

The process of matching retention schedules to records.

CREATE RECORDS

A0 (A1)

The process of collecting, organizing, and recording information on the appropriate media to document the agency's business, determining whether information is record or non-record material, categorizing by disposition schedule, and indexing for retrieval. A record may be made by internal processes of an agency.

DESTROY RECORDS

A0 (A4)

Change the characteristics of temporary records so the information is not retrievable.

Destroyed Records

A-0 / A0

Records which no longer exist.

Disposition

Not on model

A term which denotes transfer and/or destruction.

External Regulations

A-0 / A0 / A1 / A2

Guidance from the organizations of the Office of the President, Office of Management and Budget (OMB), National Archives Records Administration (NARA), General Services Administration (GSA), General Accounting Office (GAO), Department of Justice (DOJ), etc.

Facilities**A-0 / A0 / A1 / A2**

Places where records are created and stored. This includes current files areas, holding/staging areas, and record centers.

FILTER INFORMATION**A1 (A11)**

Process of sifting incoming information and documents to separate record and non-record material.

Human Resources**A-0 / A0 / A1 / A2**

People.

INDEX RECORDS**A1 (A14)**

Tagging records with unique identifiers for storage and retrieval.

Implementation Guidelines**A-0 / A0 / A1 / A2**

Regulatory instruments initiated by the defense agencies such as regulations, letters, etc.

Information**A-0 / A0 / A1**

Information is facts or data communicated or received. Upon receipt by the action officer it may become a record.

Laws**A-0 / A0 / A1 / A2**

Legislation.

MAINTAIN RECORDS**A0 (A2)**

Any action taken to administer and preserve a record during its life cycle.

MAKE RECORDS**A1 (A12)**

Generating a new record, in any media, by the internal processes of an agency. This is the beginning of the life cycle of a record.

MANAGE RECORDS**A-0**

Manage the life cycle of information, including the creation, maintenance (use, storage, retrieval), and disposition, regardless of media.

New Records**A1**

A collection of record material (including original thought) organized as defined by the business processes of the office that has not been tagged with indices or disposition.

Non-Record Material**A0 / A1**

Any information that the action officer is not required to manage as a record.

Procedures**A-0 / A0 / A1 / A2**

Detailed methods for managing records that are prescribed at various levels in each Component (Army, Navy, Air Force, Defense Agencies).

Record Material**A1**

Any information that the action officer is required to manage as a record.

Records**A0 / A1 / A2**

Records includes all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an office in connection with the transaction of official business and preserved or appropriate for preservation by that office as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of that office or because of the value of data in the record.

Records Disposition Recommendations**A1**

A proposal to change retention schedules.

Records Handling Tools**A-0 / A0 / A1 / A2**

Hardware, software, and other devices used to manage records throughout their life cycle.

Records to Destroy**A0 / A2**

Records eligible for destruction according to the retention schedule.

Records to Be Refiled**A2**

Records that have been retrieved, used, and are being returned to records storage.

Records with Disposition Only**A1**

Records which have been tagged with the appropriate retention instructions but have not yet been indexed.

Records with Index Only**A1**

Records which have been tagged with unique identifiers but have not yet been tagged with appropriate retention instructions.

Requests for Information**A-0 / A0 / A2**

Expressed needs or desires for information which is expected to be contained in Government records.

Retention Schedules**A0 / A1**

The legal authority establishing the length of time a record must be kept before it is transferred or destroyed.
(permanent records are not authorized for destruction)

Retrievable Information**A-0 / A0 / A2**

Information, regardless of media, that can be found easily through the use of standardized approaches including cataloging and indexing techniques.

RETRIEVE RECORDS**A2 (A23)**

To identify and/or remove a record from a storage system.

Retrieved Information**A0 / A2**

Information, regardless of media, that can be found easily through the use of standardized approaches including cataloging and indexing techniques.

SCREEN RECORDS**A2 (A22)**

Review for compliance with record "freezes," legal requirements, searches, declassification, disposition and quality control.

Selected Records**A2**

Records identified as a result of a search using a given set of criteria.

STORE RECORDS**A2 (A21)**

To retain records in an organized manner for purpose of (safeguarding and) preserving information throughout its life cycle and for ease of retrieval.

Stored Records**A2**

Records organized for ease of retrieval and for preservation throughout their life cycle.

TRANSFER RECORDS**A0 (A3)**

The movement of records from one organization to another, from office space to agency storage facilities, from one Federal agency to another, to a Federal Records Center, or for records requiring permanent preservation, to The National Archives.

Transferred Records**A0**

Records moved from one organization to another, from office space to agency storage facilities, from one Federal agency to another, to a Federal Records Center, or, for records requiring permanent preservation, to The National Archives.

Transferable Records**A0 / A2**

Records eligible for movement from one organization to another, from office space to agency storage facilities, from one Federal agency to another, to a Federal Records Center, or for records requiring permanent preservation, to The National Archives.