National Archives and Records Administration

Transmittal Memo

DATE: December 30, 2019

SUBJECT: NARA 860, Supplement 1, Procedures for Managing Permanent Electronic Records to be Maintained in ZL Unified Archive

Purpose: This supplement provides requirements for NARA organizations to follow in order to bring NARA into compliance with Target 1.1 of the Transition to Electronic Records Memorandum. These requirements include the use of Permanent Record Google Shared Drives (formerly called Google Team Drives) as an interim storage repository for permanent electronic records not already being captured in another approved repository prior to their ingestion into the designated records repository (currently ZL Unified Archive [ZLUA] repository).

Available forms: None.

Canceled policy: Admin 201, Chapter 13, Public Outreach, Part 5, Public Programs, Sections 7 and 8, dated June 30, 1986

Canceled forms: None.

Effective date: This directive is effective the date of signature.

Contact information: For questions on this supplement, please contact Corporate Records Management (CM) at recordsmatter@nara.gov.

DEBRA STEIDEL WALL
Deputy Archivist of the United States

National Archives and Records Administration

NARA 860
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Part 1. Requirements

a. All NARA corporate records scheduled as permanent that are created electronically ("born digital") must be captured, preserved and managed electronically.
b. Corporate Records Management (CM) uses ZLUA to capture, store and maintain permanent unclassified electronic records not yet eligible for accessioning which are filed in the Permanent Record Google Shared Drives (formerly called Team Drives).
c. Organizations file permanent electronic records in Permanent Record Google Shared Drives when these records are not already being captured in another approved repository. For example, email scheduled as permanent under the Capstone approach are captured and managed in the repository associated with the Google Mail application, currently ZL Unified Archive (ZLUA).
d. Born-Digital permanent records required to be maintained in analog formats due to legal requirements or because the analog version has intrinsic value are exempt from the provisions of this supplement.
e. Organizations should consider the benefits of digitizing analog permanent records. Organizations considering such conversions must contact CM for guidance on determining whether such conversion is warranted, whether the digital version will become the record copy and to discuss the disposition of the analog copy.
f. Permanent electronic records should be created in compliance with NARA's government-wide guidance:
    i. Bulletin 2015-04 - Metadata Guidance for the Transfer of Permanent Electronic Records
    ii. Bulletin 2014-04 – Format Guidance for the Transfer of Permanent Electronic Records

    Contact CM for additional information and guidance on how to implement these requirements.

Part 2. Implementation

a. Organizations
    i. Organizations that create and/or maintain permanent electronic records file their permanent records in the designated Permanent Record Google Shared Drive structure provided by CM. This is a high-level drive and folder structure managed by CM where organizations temporarily store all permanent electronic records not captured in another approved repository.
    ii. The Information Management Officer (IMO) in each functional area ensures that the permanent records are filed into the Permanent Record Google Shared Drive

folders and subfolders created specifically for that business unit. The Permanent Record Google Shared Drive contains subfolders meant for each records series.

iii. The IMO or other designated staff member in each organization that creates or receives permanent electronic records is responsible for filing the record copy of these permanent records in the appropriate folder.

iv. The IMO, in consultation with the organization's supervisor responsible for the records, must establish a process that determines when and how the record should be captured prior to being filed in the Permanent Record Google Shared Drives . This process should be documented in the organization's file plan.

v. Business units may be required to provide additional metadata entries for capture in Google or ZLUA to meet NARA's Metadata Guidance for the Transfer of Permanent Electronic Records in NARA Bulletin 2015-04.

vi. IMOs consult with CM on the creation of new Permanent Record Google Shared Drive folders.

vii. Organizations may not store permanent records in shared collaborative spaces (such as individual Google Drives, the ICN, etc.), shared drives, or individual drives. These spaces currently do not have the capability to appropriately manage permanent records and are only acceptable for drafts and working/reference copies of permanent records.

b. Corporate Records Management

i. CM creates a high-level Permanent Record Google Shared Drive and file structure for each business unit that creates and maintains permanent electronic records.

ii. CM trains designated staff (e.g., IMOs) on how to drag and drop their records to their appropriate Permanent Record Google Shared Drive.

iii. CM, with the assistance of Information Services, oversees the process for ZLUA to regularly crawl the Permanent Record Google Shared Drives to capture and ingest the records into the records repository.

iv. CM, with the assistance of Information Services, establishes disposition rules within ZLUA.

v. When records are eligible, CM obtains concurrence for accessioning the records from the creating organization or its successor. Once the organization concurs, CM submits a transfer request to the National Archives via the Electronic Records Archives (ERA) for approval. Once the request is approved, CM transfers the records and associated metadata via ERA using the most acceptable method at the time of accessioning.