

**Participant Guide
January 2017**

Knowledge Area 1

RECORDS MANAGEMENT OVERVIEW

THE
NATIONAL
ARCHIVES
AND RECORDS
ADMINISTRATION

RECORDS
MANAGEMENT
TRAINING
PROGRAM

**Participant Guide
January 2017**

Knowledge Area 1:

RECORDS MANAGEMENT OVERVIEW

Welcome

THE
NATIONAL
ARCHIVES
AND RECORDS
ADMINISTRATION

RECORDS
MANAGEMENT
TRAINING
PROGRAM

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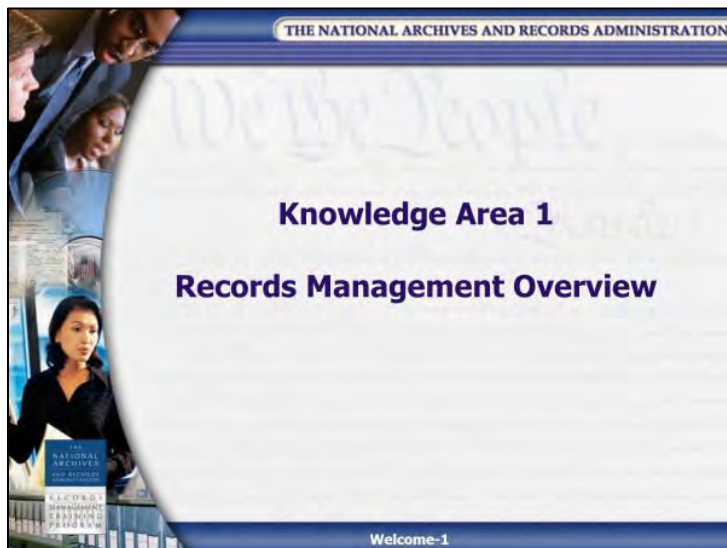
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Administrative Items

Slide Welcome-1



NOTES

Administrative Items

Slide Welcome-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Administrative Items

- Emergency procedures
- Emergency exits
- Restrooms
- Break facilities
- Lunch facilities
- Cancellation policy
- Course attendance policy
- Please turn off mobile devices



Welcome-2

- Emergency procedures
- Emergency exits
- Restrooms
- Break facilities
- Lunch facilities
- Cancellation policy
- Course attendance policy
- Please turn off mobile devices*

*Mobile devices include, but are not limited to, portable computers, laptops or notebooks, netbooks, tablet computers, electronic readers, PDAs, smartphones, BlackBerrys and MP3 players.

NOTES

Getting to Know You

Slide Welcome-3

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Getting to Know You: The Dream Team

1. If you were going on a long-term mission to outer space, which 3 people would you want with you, and why? Take a moment to consider your choices, then share them with your table.
2. As a table, select two people from your group's lists to recommend for our class Dream Team. A spokesperson will tell who your two choices are, and why your table chose them.
3. Finally, we'll each share:
 - Name
 - Agency/organization
 - City

Welcome-3

In this workshop, we'll discuss the people, processes, technology and tools needed in effective records programs. Let's get to know each other by focusing first on people.

If you were going on a long-term mission to outer space, which three people (from today, from history, or from literature, movies, etc.) would you want with you, and why? You can assume you'll have a professional crew to pilot the ship, navigate, and provide basic care for the passengers. Take a moment to think about your choices, then discuss them with your group.

Once you've learned about each person in your table group, it's time to assemble our spaceflight dream team. As a group, choose two people from your lists to recommend to the class as a whole. Select one spokesperson who will share your two recommendations and tell why you picked them.

When we return to the full class, your spokesperson will share your two choices, and then everyone in your table group will briefly introduce him/herself (name, agency/organization, and city).

NOTES

Your Records Management Experience

Slide Welcome-4

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Your Records Management Experience

How much records management experience do you have?

- Less than one year
- 1-4 years
- 5 or more years

How much time do you spend on records management tasks every month?

- 80%-100% of my time
- 50%-79% of my time
- 25%-49% of my time
- 10%-24% of my time
- Less than 10% of my time

Welcome-4

How much records management experience do you have?

- Less than one year
- One to four years
- Five or more years

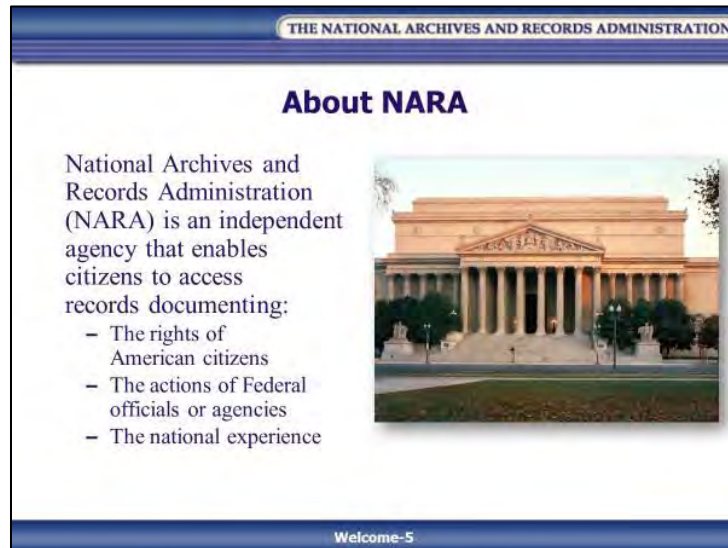
How much time do you spend on records management tasks every month?

- 80-100% of my time
- 50-79% of my time
- 25-49% of my time
- 10-24% of my time
- Less than 10% of my time

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About NARA

Slide Welcome-5



As you probably know by now, NARA stands for the National Archives and Records Administration. We are the archivists and records management experts who provide guidance for managing Federal records and other business information.

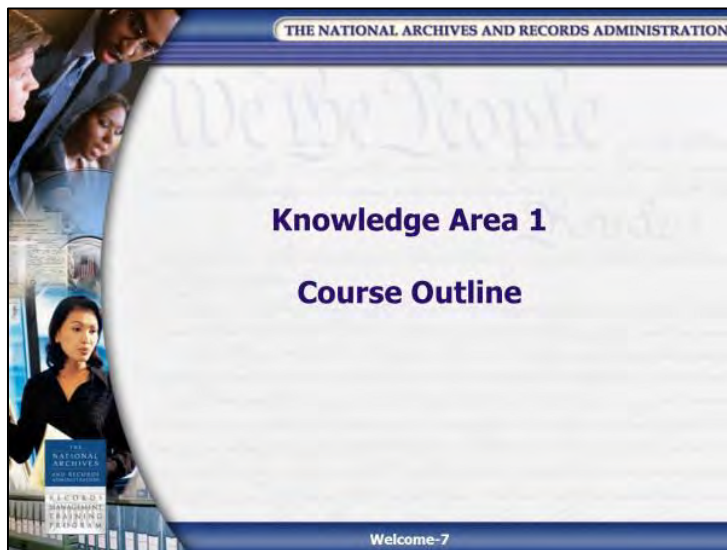
More formally, NARA holds a public trust that enables officials and agencies to review their actions and helps citizens hold them accountable. NARA ensures continuing access to essential evidence that documents:

- The rights of American citizens
- The actions of Federal officials
- The national experience

NOTES

Course Outline

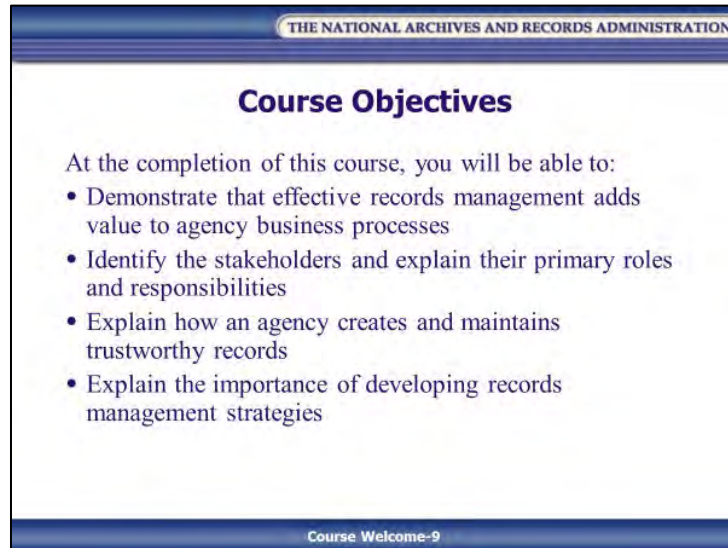
Slide Welcome-7



NOTES

Course Objectives

Slide Welcome-9



The slide features a blue header with the text 'THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'. Below the header, the title 'Course Objectives' is centered. The main content area lists four bullet points under the heading 'At the completion of this course, you will be able to:'. The footer of the slide reads 'Course Welcome-9'.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Course Objectives

At the completion of this course, you will be able to:

- Demonstrate that effective records management adds value to agency business processes
- Identify the stakeholders and explain their primary roles and responsibilities
- Explain how an agency creates and maintains trustworthy records
- Explain the importance of developing records management strategies

Course Welcome-9

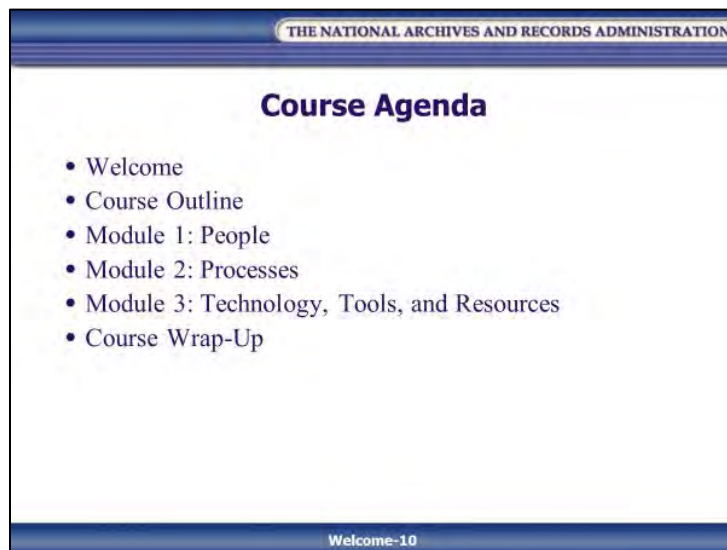
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- Demonstrate that effective records management adds value to agency business processes
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- Explain how an agency creates and maintains trustworthy records
- Explain the importance of developing records management strategies

NOTES

Course Agenda

Slide Welcome-10

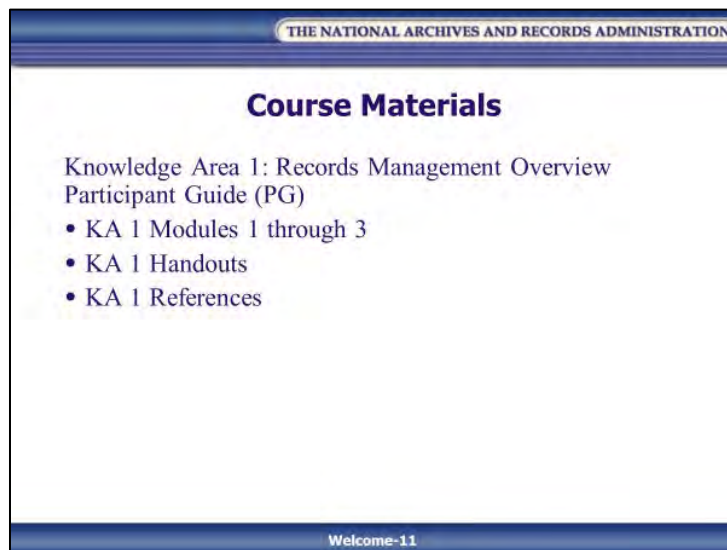


- Welcome
- Course Outline
- Module 1: People
- Module 2: Processes
- Module 3: Technology, Tools, and Resources
- Course Wrap-Up

NOTES

Course Materials

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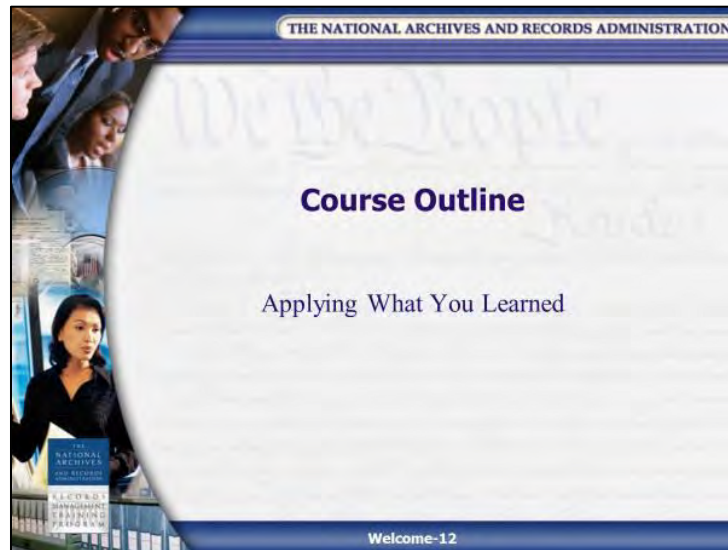


- Knowledge Area 1: Records Management Overview Participant Guide (PG)
 - KA 1 Modules 1 through 3
 - KA 1 Handouts
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Applying What You Learned

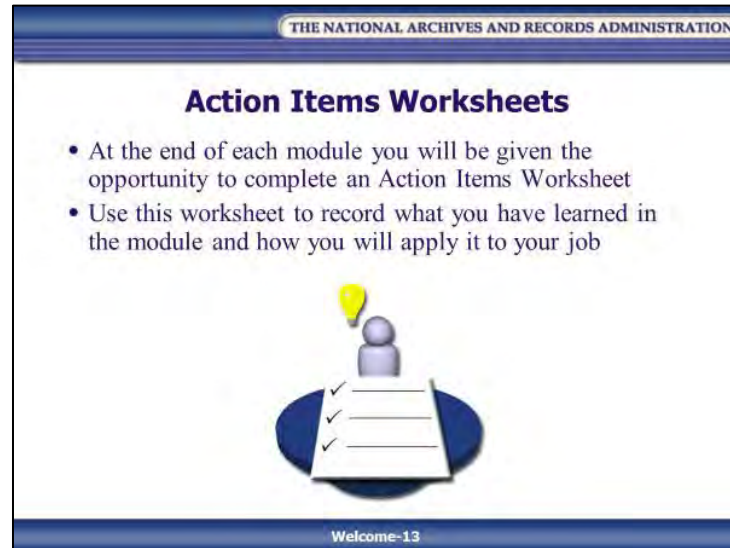
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NOTES

Action Items Worksheets

Slide Welcome-13



Training is useful only if you can apply it to your everyday responsibilities. It is important that you use the information and concepts you learn in this course to create a plan of action for when you return to your office.

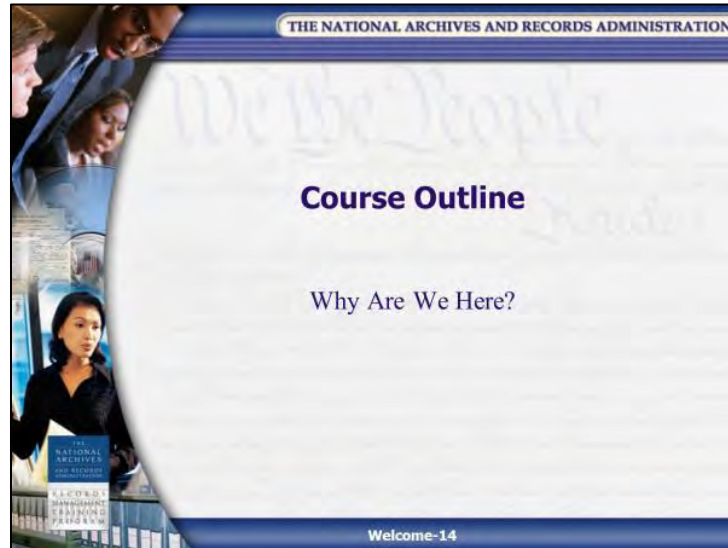
To facilitate development of your plan, you will be given a few minutes at the end of each module to complete an Action Items Worksheet so you can reflect on what you have learned in the module and how you will apply it to your job. The worksheets will also give you a venue for recording any “aha!” moments you may have had during the module, including moments you so often forget upon leaving the training environment and returning to your office.

During this time, you will also be given the opportunity to share voluntarily items from your Action Items Worksheet with the rest of the class.

NOTES

Why Are We Here?

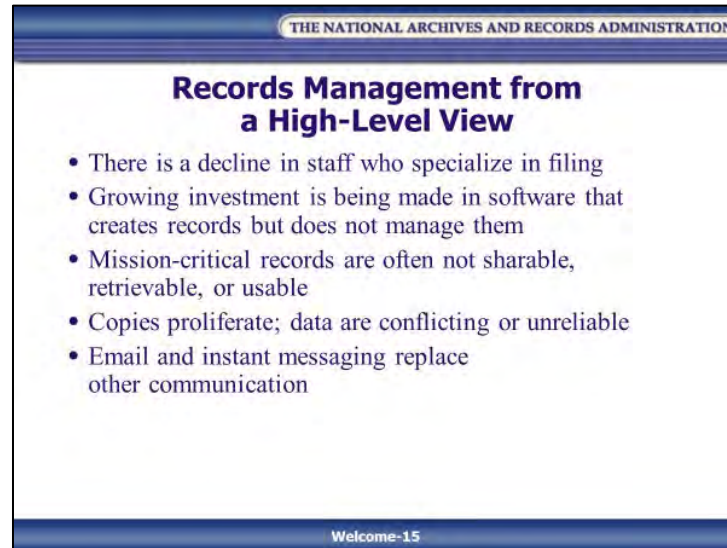
Slide Welcome-14



NOTES

Records Management from a High-Level View

Slide Welcome-15



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management from a High-Level View

- There is a decline in staff who specialize in filing
- Growing investment is being made in software that creates records but does not manage them
- Mission-critical records are often not sharable, retrievable, or usable
- Copies proliferate; data are conflicting or unreliable
- Email and instant messaging replace other communication

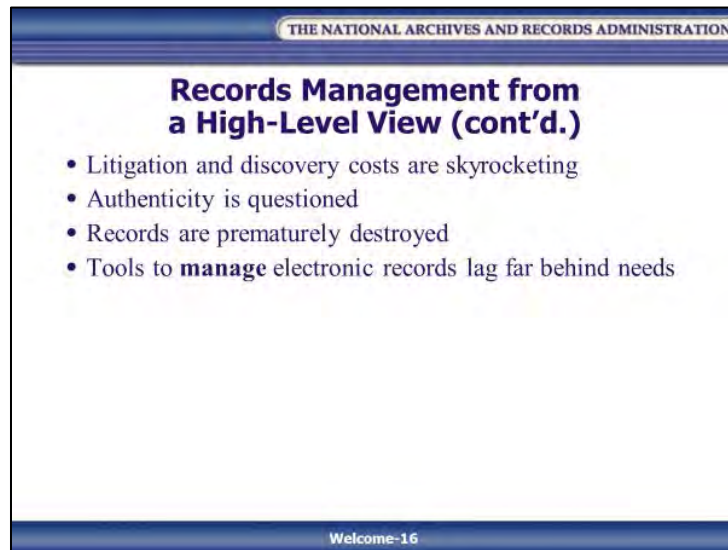
Welcome-15

Today's records management environment is ever-changing, fast-paced, and electronically driven. The records management challenges include the following:

- There is a decline in staff who specialize in filing
- Growing investment is being made in software functionality that creates records but does not manage them
- Mission-critical records are often not sharable, retrievable, or usable
- Copies proliferate; data are conflicting or unreliable
- Email, instant messaging, and social media technologies replace traditional phone conversations, meetings, and formal written communication

NOTES

Slide Welcome-16



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Records Management from a High-Level View (cont'd.)" is displayed in bold. A bulleted list contains four items: "Litigation and discovery costs are skyrocketing", "Authenticity is questioned", "Records are prematurely destroyed", and "Tools to **manage** electronic records lag far behind needs". The slide number "Welcome-16" is in the bottom right corner.

- Litigation and discovery costs are skyrocketing
- Authenticity is questioned
- Records are prematurely destroyed
- Tools to **manage** electronic records lag far behind needs

- Litigation and discovery costs are skyrocketing
- Authenticity of information is often questioned
- Records are not destroyed in a timely or appropriate manner
- Tools to **manage** electronic records lag far behind current needs

NOTES


Consequences of Poor Records Management

Slide Welcome-17

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Consequences of Poor Records Management

- Arthur Andersen's downfall was its work for Enron
- A 2001 memo directed Arthur Andersen workers to destroy all Enron audit material



Welcome-17

There are high-profile, records-related incidents, like those listed here, help illustrate the current state of affairs in records management:

- Management of email in Federal agencies
- Arthur Andersen and Enron – Everyone remembers the downfall of accounting giant Arthur Andersen LLC in the Enron case. One of its problems was a November 12, 2001, memo that directed Andersen workers to destroy all Enron audit material, except for the most basic “work papers.”


NOTES

Slide Welcome-18

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Consequences of Poor Records Management (cont'd.)

- Missing war records – Army issued guidelines
- Guidelines not followed in Iraq
- No records for 15 field units between 2003 and 2008
- Increased challenges in documenting what occurred and determining benefits



Welcome-18

- Missing War Records – To offset the records management problems the Army encountered during the Gulf War, the Army developed and issued guidelines for preserving the records. However, the guidelines were not followed in the Iraq War, 2003–2007, and a large portion of the field records were lost. Not only does the Army not have a complete history of what happened in the early years of the Iraq conflict, soldiers are having difficulty proving that they were even there. Without the field records, the Army, soldiers, and the Veterans Administration experienced increased challenges in documenting what occurred and determining benefits.

NOTES


Do Records Matter?

Slide Welcome-19

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Do Records Matter?

- The BP Deepwater Horizon oil spill – biggest in U.S. history
- President Obama created the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling
- Records kept by BP and Federal agencies were critical to the investigation and final report



Welcome-19

Here is an example of a high-profile incident where good records management aided in the investigation. Records held by British Petroleum (BP), the National Archives, and Federal agencies allowed the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling to complete a thorough investigation the biggest oil spill in U.S. history. The investigation led to recommendations that will help prevent similar accidents in the future. Imagine how difficult the Commission's job would have been without those records.

- British Petroleum (BP) Oil Spill Investigation – The BP-Deepwater Horizon oil spill, the worst in U.S. history, began after a rig explosion aboard the Deepwater Horizon in the Gulf of Mexico on April 20, 2010. Eleven workers died.
- On May 22, 2010, President Barack Obama created the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling

NOTES

- The Commission reviewed thousands of pages of documents from dozens of government agencies, private companies, and other entities and interviewed hundreds of witnesses from these same agencies, companies, and entities. Records from four major Federal agencies – the Chemical Safety Board, the Coast Guard, the Department of Energy, and the Department of Interior were reviewed during the Commission’s investigation and in the creation of its final report. Additional records from the Departments of Energy and Interior, in the holdings of the National Archives, were also reviewed by the Commission. All of the Commission’s files were sent to the Department of Energy for research, and they will be transferred to the National Archives at a later date.

For more information on the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling, go to <http://digital.library.unt.edu/ark:/67531/metadc132999/>.

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**Participant Guide
January 2017**

Knowledge Area 1: Records Management Overview

Module 1: People

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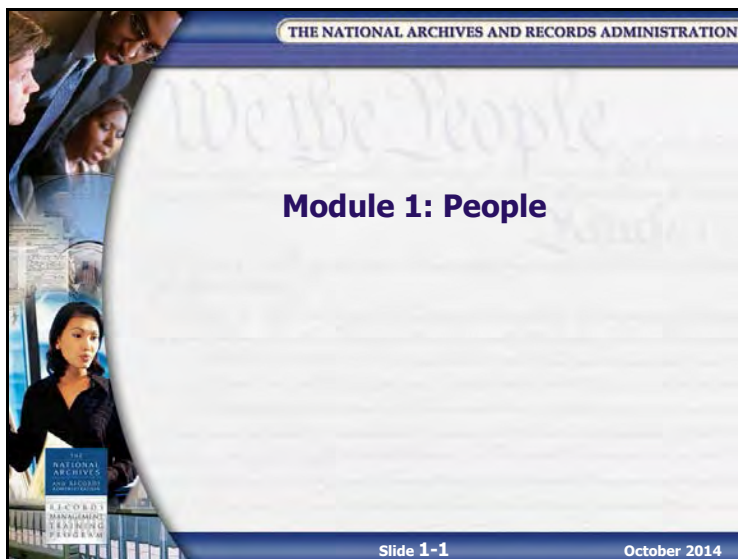
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Introduction and Objectives

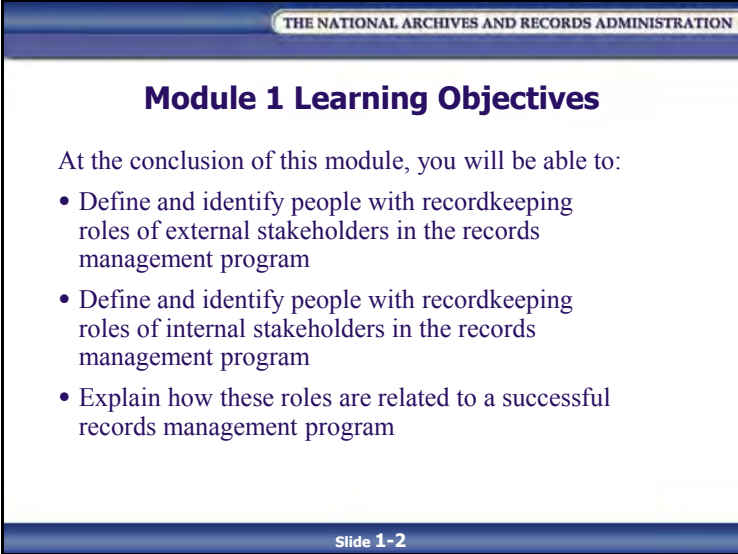
Slide 1-1



NOTES

Objectives

Slide 1-2

A presentation slide with a blue header and footer. The header contains the text 'THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'. The main content area has a title 'Module 1 Learning Objectives' and a list of three bullet points. The footer contains the text 'Slide 1-2'.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 1 Learning Objectives

At the conclusion of this module, you will be able to:

- Define and identify people with recordkeeping roles of external stakeholders in the records management program
- Define and identify people with recordkeeping roles of internal stakeholders in the records management program
- Explain how these roles are related to a successful records management program

Slide 1-2

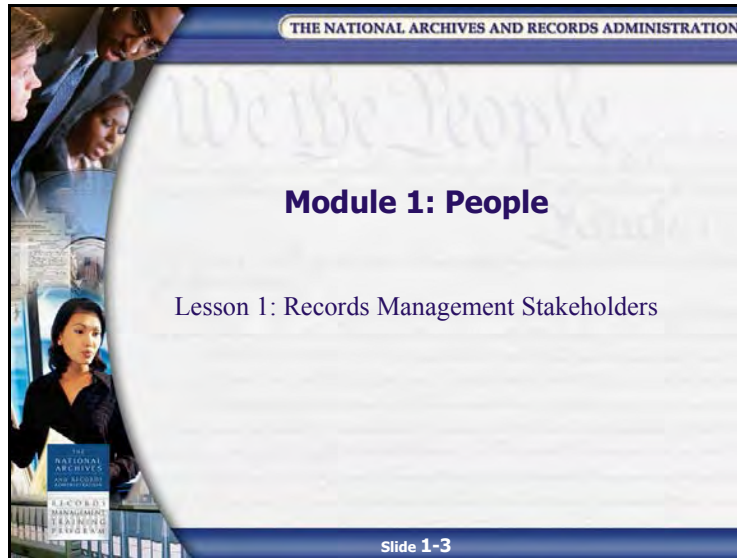
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- Define and identify people with recordkeeping roles of external stakeholders in the records management program
- Define and identify people with recordkeeping roles of internal stakeholders in the records management program
- Explain how these roles are related to a successful records management program

NOTES

Lesson 1: Records Management Stakeholders

Slide 1-3



“Records are the foundation of open government, supporting the principles of transparency, participation, and collaboration. Well-managed records can be used to assess the impact of programs, to improve business processes, and to share knowledge across the government. Records protect the rights and interests of people, and hold officials accountable for their actions.”

Presidential Memorandum “Managing Government Records,”
dated November 28, 2011.

NOTES

Records Management Stakeholders

Slide 1-4

Records Management Stakeholders

People and organizations who may affect, be affected by, or perceive themselves to be affected by, a decision or activity.

- Can be internal or external
- Consider:
 - Your agency's interest in stakeholders
 - Stakeholders' expectations of you

Slide 1-4

Who is responsible for managing Federal records and information?

The Presidential and Federal Records Act (PFRA), as codified in Title 44 of the United States Code (U.S.C.) 3101 and 3102, places responsibility on agencies to create and preserve records that adequately document their missions and functions, policies, procedures, decisions, and transactions. While the records staff handles much of the work of preserving records, there are additional people in the agency who are also responsible for records management. They are called stakeholders.

Stakeholders can be broadly defined as people and or programs who may affect, be affected by, or perceive themselves to be affected by a decision or activity.

NOTES

Stakeholders are both internal and external. Internal stakeholders include the General Counsel, Inspector General, and other business units in the agency. External stakeholders include clients, customers, public lobby groups, business partners, regulators, and those regulated by the agency.

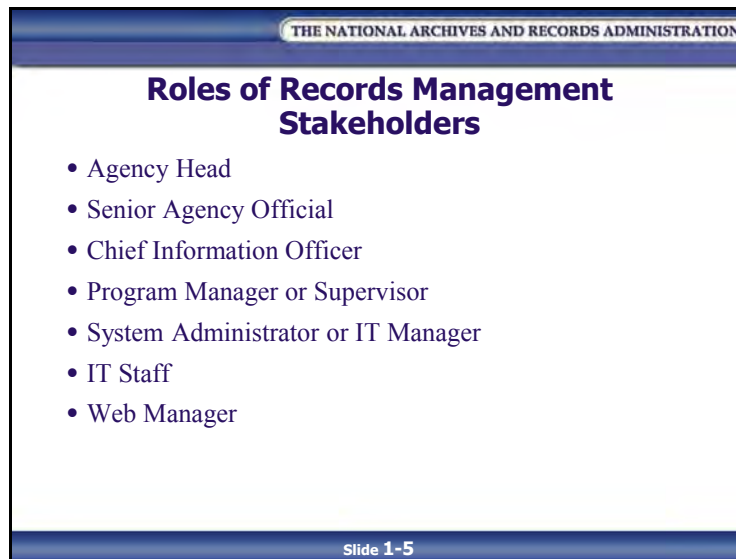
Whether internal or external, stakeholders are part of your business and social context, and may be a source of accountability requirements and expectations. An effective Agency Records Officer (ARO) must manage and understand the interest of every stakeholder.

Although not everyone is directly responsible for the records management program, everyone has an interest in records. Everyone needs to ensure access to records, to document agency decisions and actions, to preserve essential evidence and guarantee its authenticity.

NOTES

Roles of Records Management Stakeholders

Slide 1-5



The National Archives and Records Administration is an external stakeholder. NARA plays a key role in offering guidance and procedures for managing Federal records, and without our role, most records cannot be scheduled, transferred for intermitted storage, or transferred to the custody of NARA.

Agency Head

The PFRA of 2014, as amended, states that the Agency Head is responsible for the entire records management program in the agency, but normally delegates this responsibility to the Senior Agency Official (SAO) or Chief Information Officer (CIO). The head of each Federal agency shall:

- Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities (44 U.S.C. 3101)
- Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency (44 U.S.C. 3102)

NOTES

- Establish safeguards against the removal or loss of records and make requirements and penalties known to agency officials and employees (44 U.S.C. 3105)
- Notify the Archivist of any actual, impending, or threatened unlawful destruction of records and assist in their recovery (44 U.S.C. 3106)

Senior Agency Official (SAO)

- Ensures that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy
- Coordinates with the ARO and appropriate agency officials to ensure the agency's compliance with records management statutes and regulations
- Ensures permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA
- Sends a single annual report to the Chief Records Officer of the U.S. Government

Chief Information Officer (CIO)

- Serves as the agency official responsible for the information resources management (IRM) program. The CIO is responsible for managing information resources to accomplish agency missions, which encompasses information itself and related resources, or assets, such as personnel, equipment, funds, and information technology (IT).
- Coordinates with the ARO to ensure that the design and implementation of the agency's information systems incorporate Federal and agency records management requirements

Program Manager (PM) or Supervisor

- Ensures that the office has a designated Records Custodian who coordinates the office's records management activities with the Records Liaison and others
- Ensures that the staff receives basic records management training and guidance
- Ensures that the staff creates and maintains records documenting the office's program and administrative activities
- Works with the Records Custodian to make sure that all the office's records are listed in the office file plan and described accurately in the agency's records schedule
- Reviews and implements the office file plan annually
- Instructs staff to not mix personal papers and nonrecord materials with Federal records, including personal email, and to not remove records from the office without proper authorization
- Implements procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody

NOTES

- Ensures that the Records Custodian follows the agency's records schedule in carrying out the disposition of the office's records
- Cooperates with the Records Custodian, the Records Liaison, and the ARO in efforts to promote and evaluate the office's records management activities
- Is responsible for a program's overall records management activities and is therefore a source of information for records creation and maintenance

System Administrator or Information Technology Manager

- Serves as the person primarily responsible for managing an information system
- Works with the ARO, Records Liaison, Records Custodian, and others to ensure that the design and implementation of an electronic system incorporate Federal and agency records management requirements

Information Technology (IT) Staff

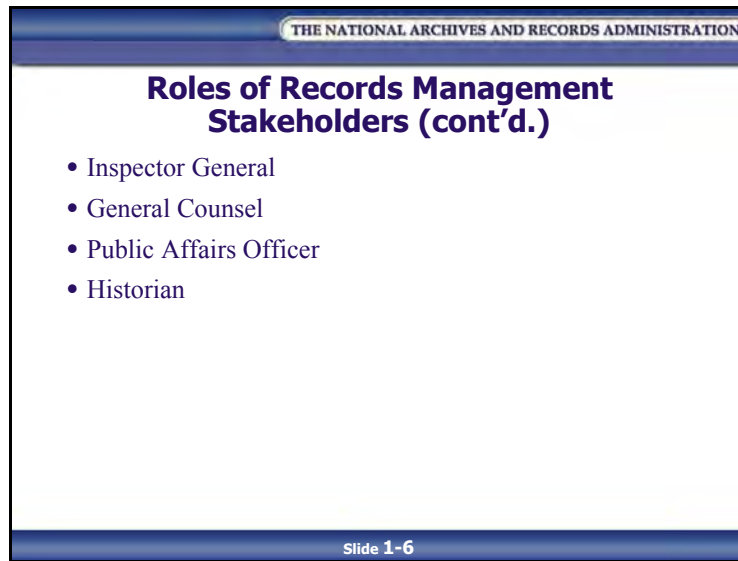
- IT staff responsibilities vary greatly in task and title. Regardless of where they are placed within the agency, they can be:
 - Application, Development, and System Programmers
 - Network and Infrastructure Engineers and Specialists
 - Security Specialists
 - Operations Personnel
 - PC Support, Help Desk
 - IT Management and Planning
 - IT Procurement and Vendor Relations Specialists
 - IT Administrative Support Staff

Web Manager

- Serves as the person primarily responsible for managing the webpages to assure compliance with agency directives. The Web Manager usually is not the person responsible for creating webpage content.
- Works with the ARO, Records Custodian(s), and others to ensure that the Web Page Content Managers understand and adhere to Federal and agency recordkeeping requirements

NOTES

Slide 1-6



Inspector General (IG)

- Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud, and to improve agency management
- Coordinates with the ARO and others regarding any recordkeeping deficiencies identified during inspections and investigations
- Assists in determining the retention period of agency records that might be needed for internal audit purposes

General Counsel (GC)

- Serves as the official responsible for providing legal advice and assistance to agency officials and employees
- Provides advice to the ARO and others regarding the legal value of the agency's records and the issue of public access to them

NOTES

Public Affairs Officer

- Serves as the official responsible for coordinating information being released to the public, such as news releases, speeches by high-level officials, media presentations, appearances of agency representatives at public events, etc. The Public Affairs Officer may be responsible for coordinating the content of public websites.
- Works with the ARO and Records Liaison to ensure that release of information is in compliance with Federal and agency public affairs directives

Historian

- Serves as the official responsible for writing historical narratives of agency activities
- Provides advice to the ARO on what agency records are likely to have long-term or permanent value

NOTES

Slide 1-7

A presentation slide titled "Roles of Records Management Stakeholders (cont'd.)" from "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The slide lists the following roles: Digital Imaging Manager, Federal employee, and Others. Under "Others", it lists: FOIA Officer, Privacy Officer, Information Security Officer, NARA, Contractors, and Public. The slide is labeled "Slide 1-7" at the bottom.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Roles of Records Management Stakeholders (cont'd.)

- Digital Imaging Manager
- Federal employee
- Others
 - FOIA Officer
 - Privacy Officer
 - Information Security Officer
 - NARA
 - Contractors
 - Public

Slide 1-7

Digital Imaging Manager

- Serves as the official responsible for directing the agency's imaging operations, or monitoring contractors who scan records for the agency
- Cooperates with the ARO to ensure that the agency's scanned records comply with Federal records management policies and procedures and agency requirements

Federal Employee

- Receives basic records management training and guidance from the office's Records Custodian, Records Liaison, or ARO
- Recognizes that the office's records are government property and consist of recorded information (documentary materials) required by law or used to conduct agency business
- Creates and maintains records documenting office activities
- Cooperates with the Records Custodian to ensure that all records are listed in the office file plan and described accurately in the agency's records schedule
- Does not mix personal papers and nonrecord materials with Federal records, including emails
- Cooperates with the Records Custodian in transferring eligible records to a Records Center and permanent records to NARA

NOTES

- Cooperates with the Records Custodian in destroying records only as authorized
- Avoids removing records from the office without proper authorization
- Manages records when teleworking

While agency management is ultimately responsible, **every single Federal employee** and contractor is responsible for the records they create.

Others

- Freedom of Information Act Officer (FOIA)
- Privacy Officer
- Information Security Officer
- NARA
- Contractors
- Public

Records management should not be viewed as the sole domain of the ARO. All employees and contractors play a role in generating a successful records management program.

NOTES

Making Records Decisions

Slide 1-8



Chief executive officers, senior managers, information professionals, and employees make choices every day as stakeholders. All stakeholders should have:

- Adequate understanding of the organization's recordkeeping requirements
- Assessment of the risks of failing to meet such requirements
- Appreciation of the most appropriate methods for obtaining organizational compliance

NOTES

Lesson Summary

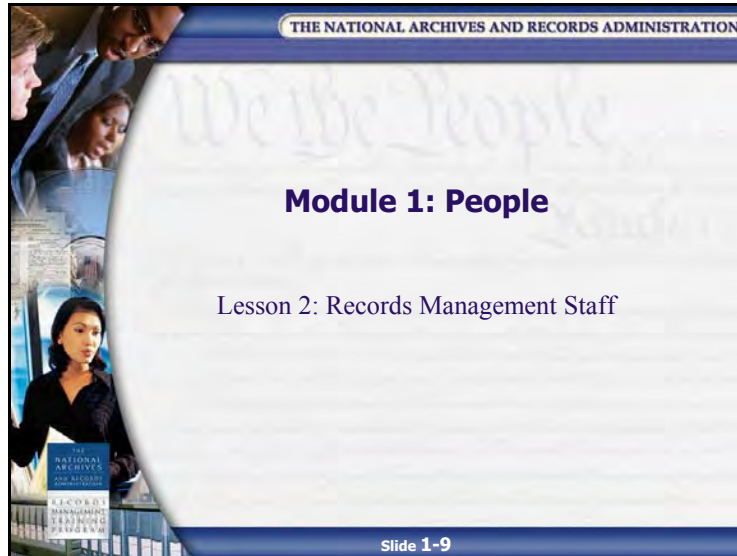
In this lesson, you learned that:

- Everyone is responsible for managing Federal records
- Records are found everywhere in an agency, and often flow from one area to another, so it is important to view records management as a **core** function that cuts across agency lines

NOTES

Lesson 2: Records Management Staff

Slide 1-9

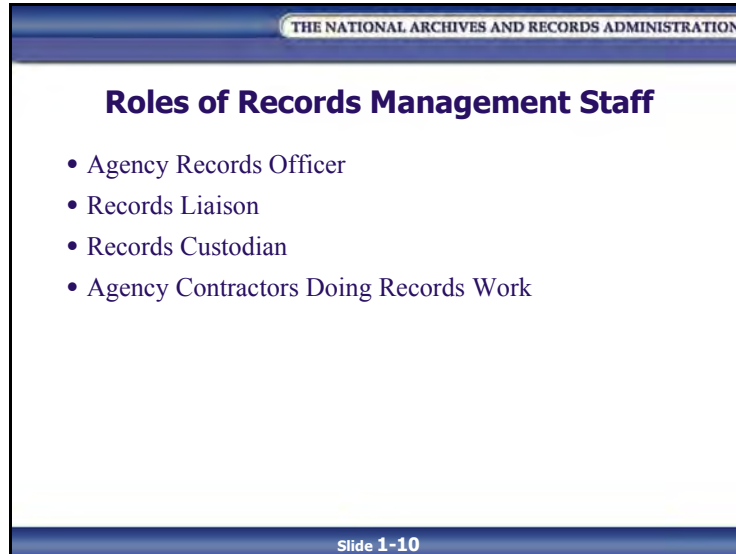


While everyone is affected by how records are managed, certain people are designated as records management staff. For some people, records management is a full-time duty, while for others it is only a collateral duty. In this lesson, we will discuss records management staff responsibilities.

NOTES

Roles of Records Management Staff

Slide 1-10



Agency Records Officer (ARO)

- Serves as the official responsible for overseeing the agency's records management program
- Ensures that the agency has an up-to-date records management directive
- Creates and maintains a network of Records Liaisons responsible for overseeing the program in headquarters and field offices in cooperation with the ARO
- Serves as the primary agency official who coordinates records management matters with NARA and other oversight agencies
- Coordinates the development of a records schedule with NARA, IT, program, and agency officials. The records schedule identifies records as either temporary or permanent. All records schedules must be approved by NARA.

NOTES

- Coordinates matters relating to records management with the agency's:
 - FOIA and Privacy Act Official(s)
 - IT Official
 - System Administrators
 - Program Managers
 - Inspector General
 - General Counsel
 - Public Affairs Officer
 - Web Manager
 - Agency Historian
 - Digital Imaging Manager
- Coordinates with program officials responsible for special media, such as audiovisual records, electronic records, cartographic and architectural records, and printed records
- Ensures that recordkeeping requirements are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special media records

Records Liaison

- Coordinates the records management activities of a major component, whether at headquarters or in regional offices
- Serves as the primary component official who coordinates records management matters with the regional NARA office and any other local oversight agencies
- Coordinates changes to the records schedule with the ARO and local Program Managers

NOTES

- Coordinates matters relating to records management with the component's:
 - FOIA and Privacy Act Official(s)
 - IT Officials
 - System Administrators
 - Program Managers
 - Inspector General
 - General Counsel
 - Public Affairs Officer
 - Web Manager
 - Agency Historian
 - Digital Imaging Manager
- Coordinates with program officials responsible for other special media, such as audiovisual records, electronic records, cartographic and architectural records, and printed records
- Ensures that component recordkeeping procedures are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special media records
- Coordinates with the ARO to report that each office within the component has a designated records custodian
- Ensures that each office creates and maintains records documenting its program and administrative activities
- Works with Records Custodians to make sure that all the records of each office are listed in the office file plan and are described accurately in the agency's records schedule
- Works with Records Custodians to ensure the transfer of eligible records to a records center, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to NARA

NOTES

Records Custodian

- Has assigned responsibility within a particular office for records management matters and complies with guidance issued by the Records Liaison or the ARO
- Makes sure that all the office's records are listed in the office file plan and are described accurately in the agency's records schedule. Checks with the Records Liaison or the ARO for assistance
- Follows the agency's records schedule to ensure the proper disposition of the office's records, including:
 - Systematic file cutoffs (breaks)
 - The retirement of eligible records to a records center
 - The prompt disposal of temporary records when their retention periods expire
 - The timely transfer of permanent records to NARA
- Assists the Program Manager in reminding the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove or delete records from the office without proper authorization
- Assists the Program Manager in implementing procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody
- Cooperates with the Records Liaison and the ARO in periodic evaluations of the office's records

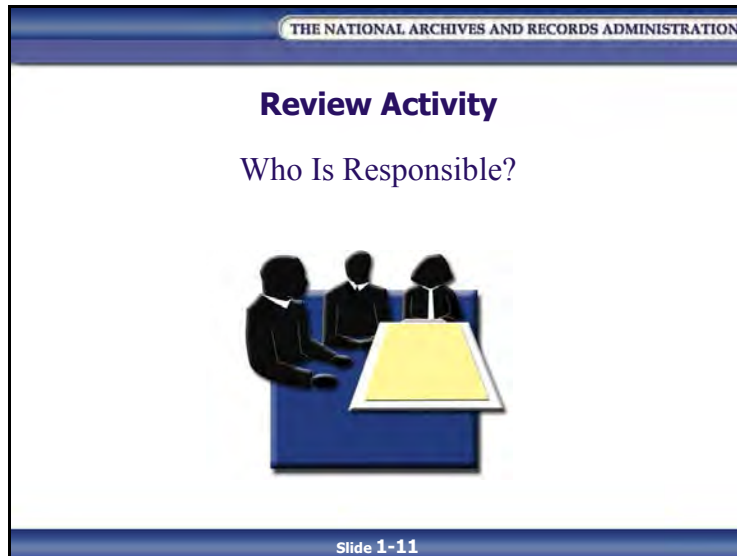
Agency Contractors Doing Records Work

- May support the ARO, Records Liaisons, and Records Custodians in their duties

NOTES

Review Activity: Who Is Responsible?

Slide 1-11



NOTES

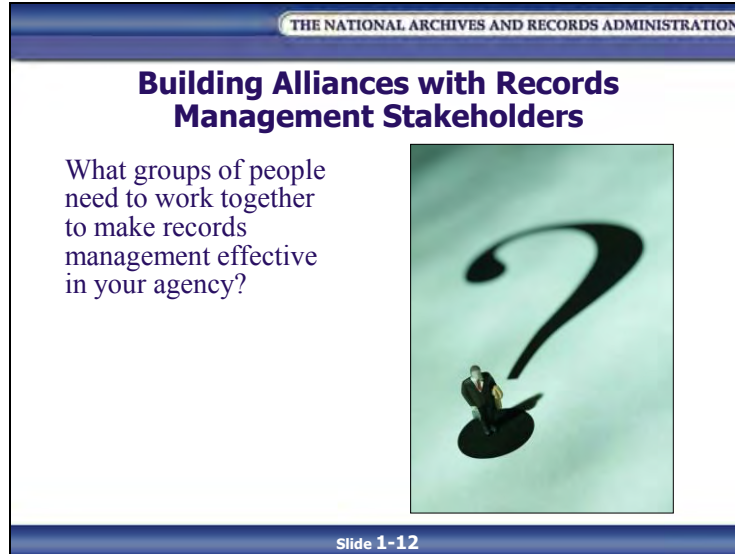
Table 1-3: Who Is Responsible? Worksheet

ACTION	(ANSWERS) WHO IS RESPONSIBLE?
1. Coordinates with the ARO to ensure that the agency's information systems incorporate records management requirements	
2. Receives basic records management training and guidance from the office's Records Custodian, Records Liaison, or ARO	
3. Recognizes that the office's records are government property and consist of recorded information (documentary materials) required by law or used to conduct agency business	
4. Cooperates with the records custodian in destroying records only as authorized in the agency's records schedule	
5. Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud, and to improve agency management	
6. Is responsible for overseeing the agency's records management program	
7. Works with NARA and other oversight agencies	
8. Serves as the official responsible for providing legal advice and assistance to agency officials and employees	
9. Works under the Records Liaison and has responsibility within a particular office	
10. Assists Program Managers	
11. Is responsible for the entire records management program, but normally delegates to the ARO	
12. Ensures that the staff receives basic records management training and guidance	
13. Serves as the person primarily responsible for managing the webpages within a component	
14. Coordinates the records management activities of a major component, whether at headquarters or in the regional offices	
15. Coordinates with the ARO	
16. Works with Records Custodians	
17. Works with the Records Liaison, Records Custodian, and others to ensure that the design and implementation of the system incorporate Federal and agency recordkeeping laws and regulations	
18. Ensures that permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA.	

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Building Alliances with Records Management Stakeholders

Slide 1-12

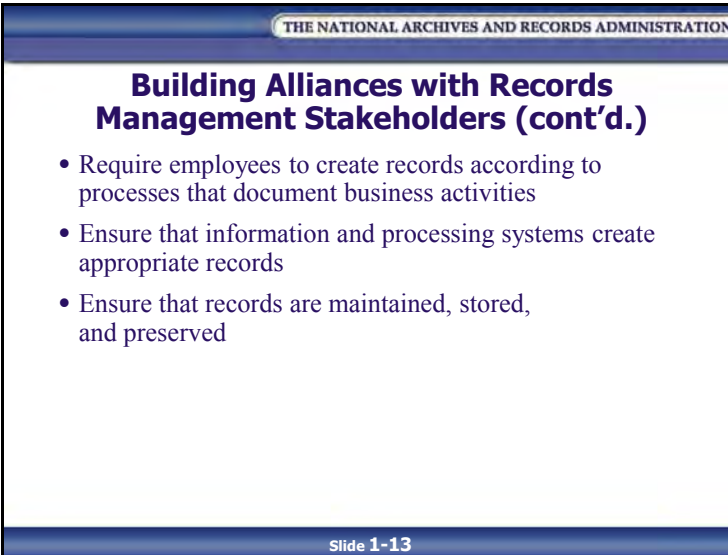


In the modern office, no one can develop and promote a records management program in isolation.

It is vital to convince top management that the records management program will be beneficial to the agency and that it is critical to obtain their support. Building alliances with agency stakeholders are important steps towards ensuring the success of your records management program. You may work top-down or bottom-up or both – depending on your skills, agency culture, and personalities involved.

NOTES

Slide 1-13



The slide is titled "Building Alliances with Records Management Stakeholders (cont'd.)" and is part of a presentation from "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". It lists three bullet points: "Require employees to create records according to processes that document business activities", "Ensure that information and processing systems create appropriate records", and "Ensure that records are maintained, stored, and preserved". The slide is labeled "Slide 1-13" at the bottom.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Building Alliances with Records Management Stakeholders (cont'd.)

- Require employees to create records according to processes that document business activities
- Ensure that information and processing systems create appropriate records
- Ensure that records are maintained, stored, and preserved

Slide 1-13

One way to build alliances is to involve the stakeholders in establishing standard practices or business rules that:

- Require employees to create records according to business needs and business processes that document adequately the business activities in which they take part
- Ensure that information and processing systems that support business activities create appropriate records as part of supporting those activities
- Ensure that records, regardless of format, are maintained, stored, and preserved for the period of their usefulness to the agency and, if appropriate, to external stakeholders

NOTES

To help you, NARA offers guidance for building an effective enterprise-wide records management governance structure that:

- Defines governance and its importance to the success of IT, the purpose and function of that governance, and how project-specific governance (such as that instituted for enterprise-wide Electronic Records Management (ERM) fits within and alongside other established governance structures
- Defines the risks associated with the lack of proper governance

Guidance for Building An Effective Enterprise-wide Electronic Records Management Governance Structure can be found at <http://www.archives.gov/records-mgmt/policy/governance-guidance.html>.

NOTES

Lesson Summary

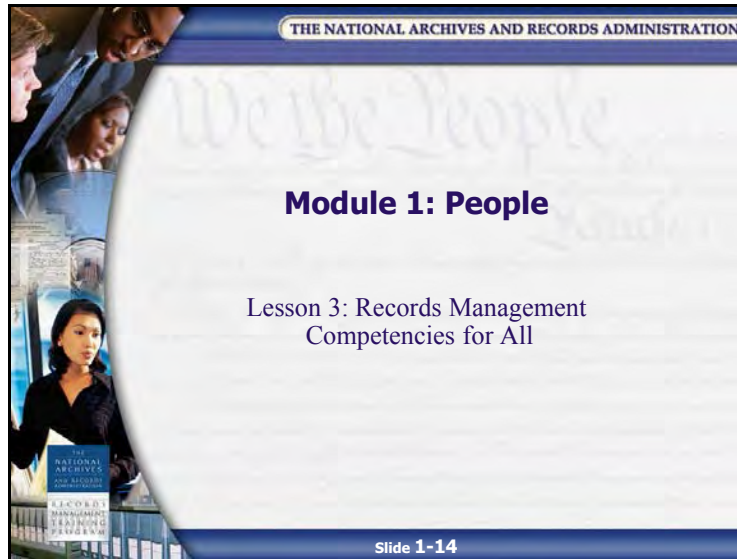
In this lesson, you learned:

- The roles and responsibilities of records management staff
- The importance of building alliances with IT, Program Managers, and legal staff, as well as with the records users themselves

NOTES

Lesson 3: Records Management Competencies for All

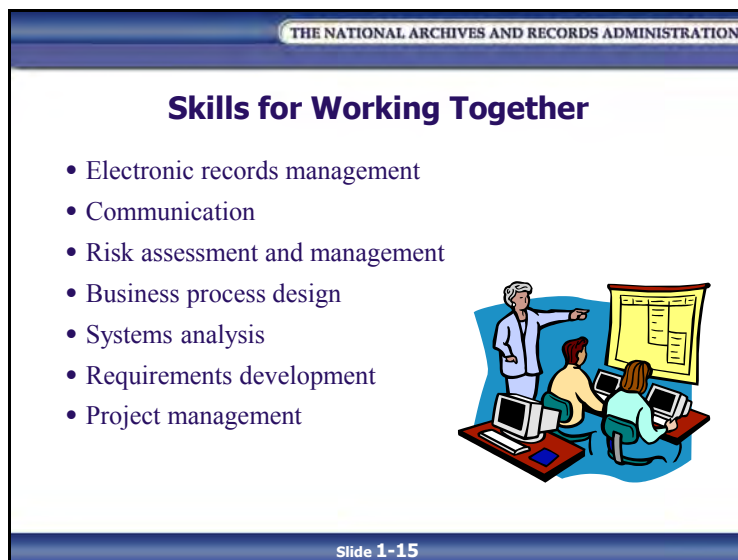
Slide 1-14



NOTES

Skills for Working Together

Slide 1-15



AROs are not alone in needing new skills to face today's records management challenges. Because of the technology we currently use in creating, maintaining, and disposing of Federal records, we must now look at records management competencies for every employee.

The following list identifies the core subject competencies and training agency staff may need:

- Electronic records management
- Communication
- Risk assessment and management
- Business process design
- Systems analysis
- Requirements development
- Project management

NOTES


Records Management Responsibilities

Slide 1-16

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management Responsibilities

- Connect agency employees to records management task by:
 - Using incentives and rewards
 - Including them in performance plans
 - Providing continuing training
 - Implementing change management



Slide 1-16

One way to handle the issue of who is responsible for records management tasks is to create records management duties and responsibilities for all position descriptions throughout the agency and suggest that they be part of:

- Incentives and rewards
- Performance plans
- Continuous training
- Change management

By the end of this course, you will have a clearer understanding of why the competencies listed on the previous page are needed in records management work. These competencies will allow records management staff to build the necessary alliances with all agency staff and to improve records management agency-wide.

NOTES

What Does an Agency Records Officer Need to Know?


Slide 1-17

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Does an Agency Records Officer Need to Know?

- The organizational goals
- A firm foundation on which to build additional layers of expertise:
 - IT
 - Business Analysis
 - Legal Implications
- Not the details!

RM Takes a Team!



Slide 1-17

AROs need to develop subject area competencies to properly advise their organizations effectively. Knowledge of key IT, business analysis and legal implications are critical to managing a successful records management program:

- **IT** – The ARO should be familiar with how records management intersects with IT responsibilities, and be able to help IT incorporate records management requirements into all systems development. The ARO should be able to advise IT on functional requirements of all recordkeeping systems.
- **Business Analysis** – The ARO should be able to provide advice from a policy perspective on records management issues as they relate to the organization's business processes and records regulations
- **Legal Implications** – The ARO must work with General Counsel to ensure that records management is in compliance with current laws and regulations

The constantly changing technical, business, and legal environments require continuous learning by AROs. Working as a team with colleagues in these areas will also be critical.

NOTES

Lesson Summary

In this lesson, you learned that:

- Core competencies and skills are needed for the management of records in the 21st century
- Building alliances, incorporating incentives, and continuous records management training for all employees will make everyone accountable for their roles and responsibilities

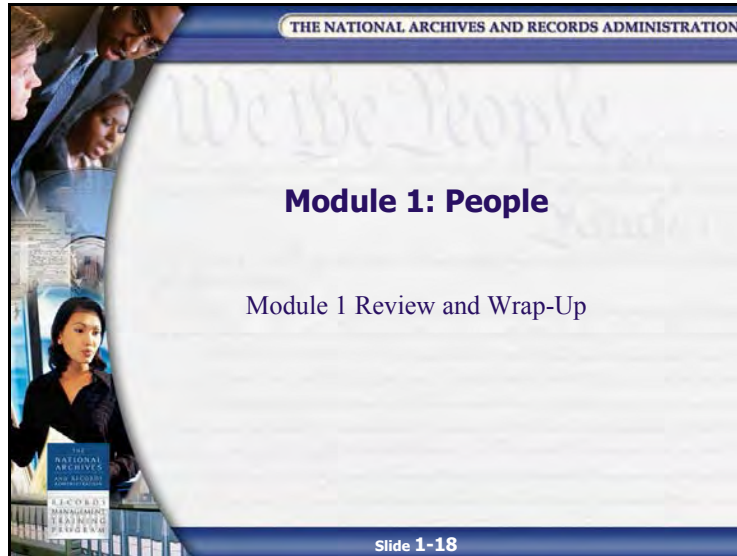
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NOTES

Module 1 Review and Wrap-Up

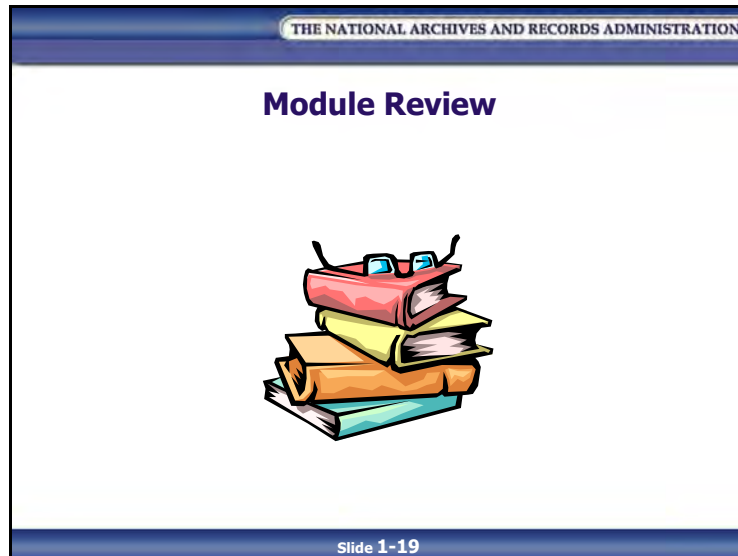
Slide 1-18



NOTES

Module Review

Slide 1-19



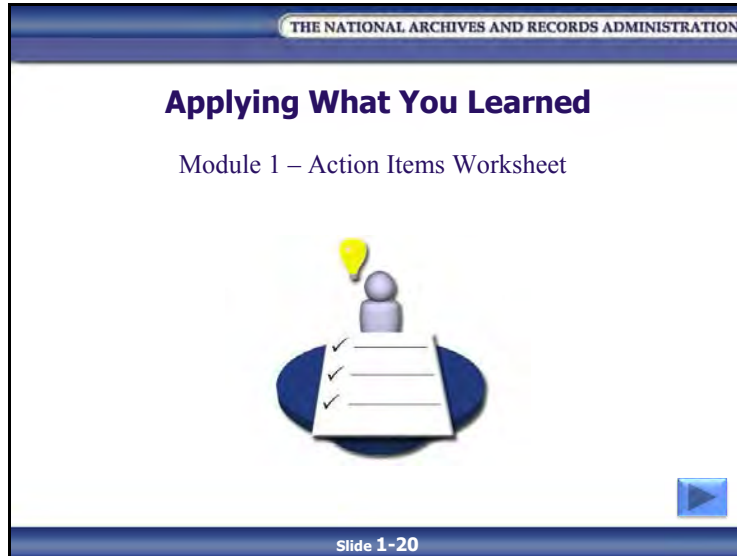
In Module 1, you learned that:

- Recordkeeping roles exist inside and outside of the records management program
- Not everyone is responsible for the records management program, but everyone has an interest
- Records management is a functional activity that cuts across agency lines
- Core competencies for the management of records in the 21st century are needed by all records management stakeholders
- Incorporating incentives and training into career development and evaluation for all employees can make everyone responsible

NOTES

Applying What You Learned

Slide 1-20



Reflect upon what you have learned in Module 1 and how you will apply it to your job.

NOTES

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NOTES

Module 1 – Action Items Worksheet

What did I learn about records management roles and responsibilities?

List at least one thing you learned about records management roles and responsibilities within your organization.

How will I apply what I learned to my job?

List at least one thing you learned in this module that you will apply to your job, and explain how you will apply it.

What “aha!” moments did I have during this module?

List any “aha!” moments you experienced during this module.

(As an example: “Records management should not be viewed as solely the domain of records management staff?! Aha!”)

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**Participant Guide
January 2017**

Knowledge Area 1: Records Management Overview

Module 2: Processes

THE
NATIONAL
ARCHIVES
AND RECORDS
ADMINISTRATION

RECORDS
MANAGEMENT
TRAINING
PROGRAM

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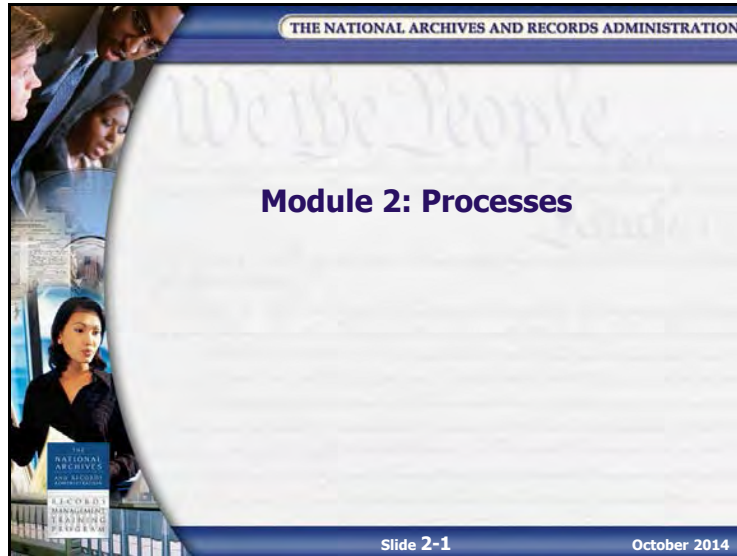
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Introduction and Objectives

Slide 2-1

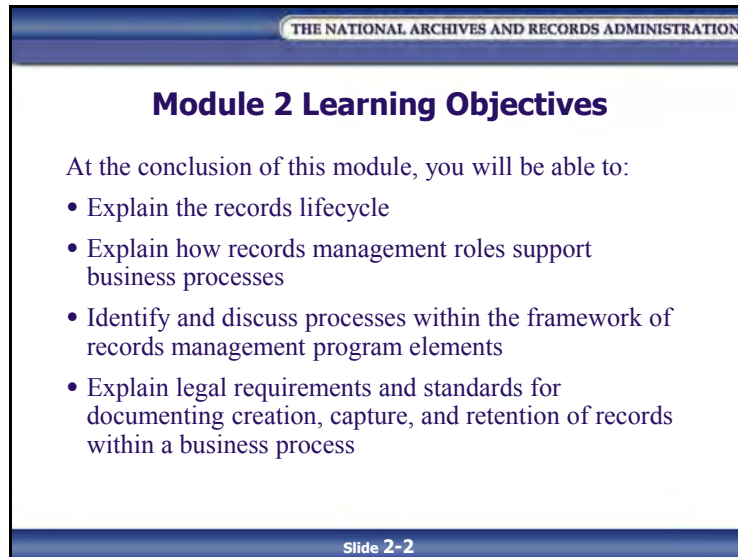


Module 2 introduces the concept of how records pass through three stages: creation, maintenance and use, and final disposition – also known as the **records lifecycle**. The module will also provide an overview of how processes relate to and involve stakeholders and Agency Records Officers (AROs). We will also discuss how an organization creates and maintains authentic, reliable, and usable records by instituting a comprehensive records management program.

NOTES

Objectives

Slide 2-2



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 2 Learning Objectives

At the conclusion of this module, you will be able to:

- Explain the records lifecycle
- Explain how records management roles support business processes
- Identify and discuss processes within the framework of records management program elements
- Explain legal requirements and standards for documenting creation, capture, and retention of records within a business process

Slide 2-2

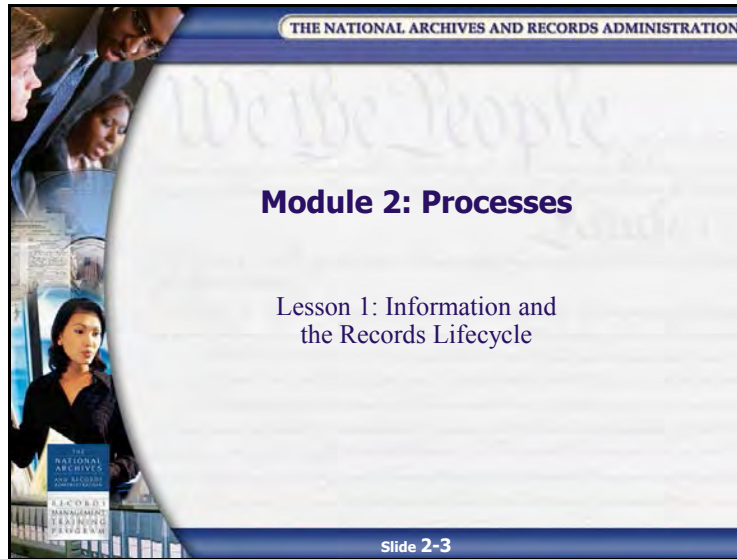
At the conclusion of this module, you will be able to:

- Explain the records lifecycle
- Explain how records management roles support business processes
- Identify and discuss the processes within the framework of records management program elements
- Explain legal requirements and standards for documenting creation, capture, and retention of records within a business process

NOTES

Lesson 1: Information and the Records Lifecycle

Slide 2-3



NOTES

What Is a Record?

Slide 2-4

A presentation slide titled "What Is a Record?" from The National Archives and Records Administration. The slide contains a definition of a record and is labeled "Slide 2-4" at the bottom.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is a Record?

...includes 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 the data in them.” (44 U.S.C. 3301, Definition of Records)

Slide 2-4

The Presidential and Federal Records Act (PFRA) Amendments of 2014 defines a record as:

...includes 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 State Government or because of the **informational value** of data in them.” (44 U.S.C. 3301)

NOTES


Slide 2-5

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is a Record? (cont'd.)

A record:

- Accurately reflects what was communicated or decided
- Correctly reflects what action was taken
- Supports needs of business to which it relates
- Provides evidence for Congress and for litigation
- Is the object of FOIA requests



Slide 2-5

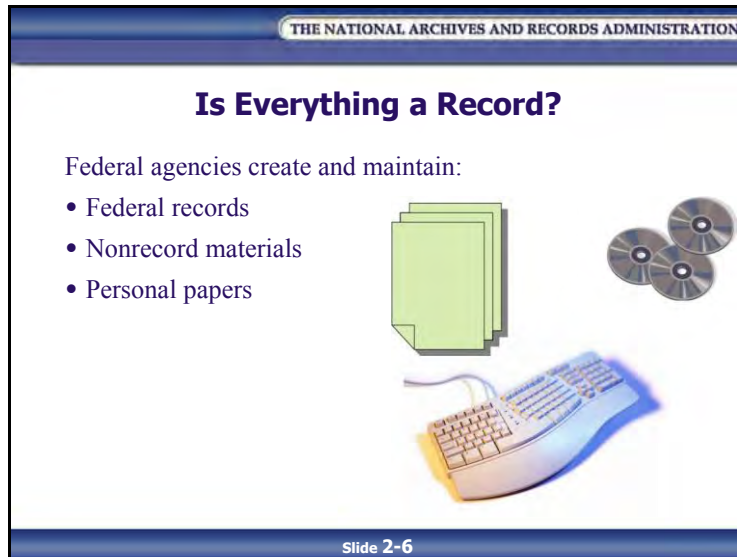
A record accurately reflects what was communicated or decided, or what action was taken. It supports the needs of the business to which it relates.

Furthermore, it must document your agency's actions for the public, providing evidence for Congress and even for litigation, and is the basis for, or object of, Freedom of Information Act (FOIA) requests.

NOTES

Is Everything a Record?

Slide 2-6



What are nonrecord materials?

Nonrecord materials are any informational material excluded from the definition of records or not meeting the requirements of that definition. This includes extra copies of documents or electronic files kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

NOTES

Other nonrecord materials

Let's look at a few more examples of nonrecord materials:

- **Library and museum material:** Material used solely for reference or exhibition purposes
- **Stocks of publications:** Extra copies, in large quantity, of documents printed or otherwise produced for wide distribution inside or outside an agency
 - Blank forms
 - Vendor catalogs
 - Drafts and worksheets
 - Professional journals
 - Copies of directives
 - Reference information on multiple webpages

What are personal papers?

Personal papers are documentary materials belonging to an individual that are not used to conduct agency business. They are related solely to an individual's own affairs or used exclusively for that individual's convenience. Personal papers must be clearly designated as such and kept separate from the agency's records.

NOTES

Key issues to consider when determining a record

Creation

- Was the document or information created or received by an agency employee or contractor?

Content

- Does the document or information contain substantive information about agency business, or does it contain information on the employee's personal matters?
- If the document or information contain both, can the substantive agency information be segregated from any personal information?

Purpose

- What is the business purpose of the document or information?
- What business process is the document or information supporting?
- Why do you have the document or information?
- How is the document or information used?

Distribution

- Was the document or information distributed to other employees for an official purpose?

Maintenance

- Was the document or information properly placed in agency files if identified as agency records? Was the document or information kept in personal files if identified as personal papers?

NOTES


Why Distinguish Which Documents Are Records?

Slide 2-7

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Why Distinguish Which Documents Are Records?

Why is it important to know that not all documents are Federal records?

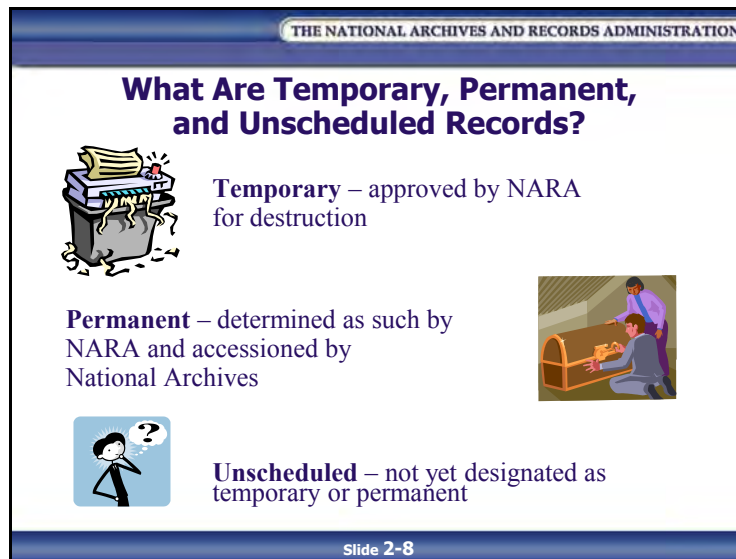


Slide 2-7

NOTES

What Are Temporary, Permanent, and Unscheduled Records?

Slide 2-8



Records are determined to be temporary or permanent by the Archivist of the United States.

- **Temporary Records** are records approved by NARA for destruction, either immediately or after a specified retention period. The majority of Federal records are temporary. Even if they are kept for 30 years, they will be destroyed eventually.
- **Permanent Records** are records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for agency's administrative, legal, or fiscal purposes. Permanent records will eventually be accessioned (legally and physically transferred) by the National Archives. Government-wide, about 2-5 percent of Federal records are permanent.

NOTES

For your agency, depending on its function, the number of permanent records may be higher or lower than that average. For example, about 80 percent of Department of Justice (DOJ) litigation case files are permanent, and about 25 percent of the FBI investigation case files are permanent.

If records have not been approved as temporary or permanent, then they are considered unscheduled.

- **Unscheduled Records** are records that do not have an approved schedule. Unscheduled records are potentially permanent and must be maintained as permanent records. You may find unscheduled records when new programs are created or new systems developed. Unscheduled records may not be destroyed.

NOTES


What Are Vital Records and Essential Records?

Slide 2-9

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What are Vital Records and Essential Records?

- Vital agency records are needed to:
 - Meet operational responsibilities during emergencies
 - Protect legal and financial rights
- Federal Continuity Directive 1 refers to essential records as:
 - Information systems technology
 - Applications and infrastructure
 - Electronic and hardcopy documents
 - Reference documents



Slide 2-9

Vital Records

The identification and management of vital records is an essential part of a Federal agency's emergency preparedness responsibility. Vital records as defined in 36 Code of Federal Records (CFR) 1223.2 are the essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operational records), or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records).

- Vital records constitute a small percentage of all records (typically 1-7 percent)
- Management of vital records includes clear identification of the records, strategies for protecting the records, and procedures for ensuring their access and security under a variety of conditions

NOTES

Essential Records

Vital records are also known as essential records, as cited in Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA) Federal Continuity Directive (FCD) 1, January 2017. FCD 1 refers to essential records as the information systems technology, applications and infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions during a continuity activation.

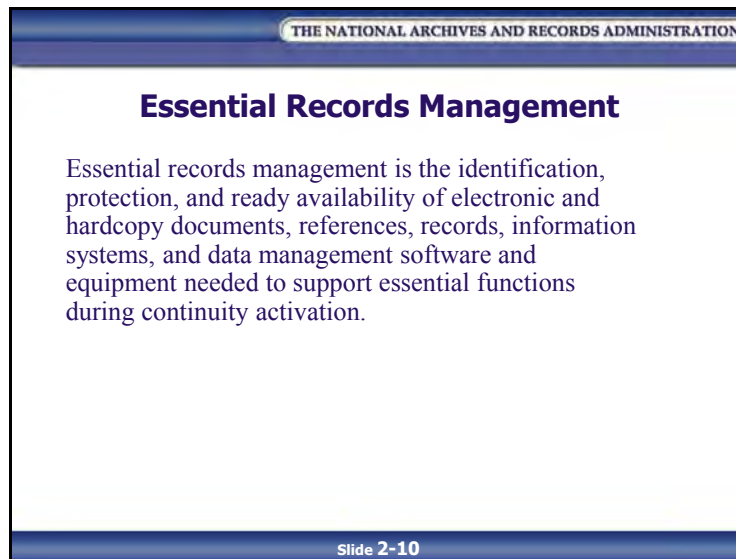
Categories of essential records include the following:

- **Emergency Operating Records** include records and databases essential to the continued functioning or the reconstitution of an organization during and after continuity activation
- **Rights and Interests Records** include records critical to carrying out an organization's essential legal and financial functions vital to the protection of the legal and financial rights of individual who are directly affected by that organization's activities

NOTES

Essential Records Management

Slide 2-10



Essential records management is the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during continuity activation. Access to and use of these records and systems enable the performance of essential functions and reconstitution to normal operations. To ensure performance of essential functions, organizations pre-position and regularly update these essential records.

For additional information, see the Department of Homeland Security, Federal Emergency Management Agency, Federal Continuity Directive 1 – Federal Executive Branch National Continuity Program and Requirements, January 2017 at <http://www.fema.gov/guidance-directives>.

NOTES

Records Scheduling

Slide 2-11

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Scheduling

- Provides specific, mandatory instructions for records no longer needed for current government business
- A records schedule may also be known as a:
 - Records disposition schedule
 - Records control schedule
 - Records retention schedule
 - SF-115
 - ERA Records Schedule
 - Schedule

Slide 2-11

Records scheduling is the process of developing a document – the records schedule – that provides the specific and mandatory instructions for what to do with records that are no longer needed for current government business. All Federal records must be scheduled so that by the end of the records lifecycle they are handled correctly – either destroyed at the specified time or transferred to the National Archives for permanent preservation.

A records schedule is also called a records disposition schedule, a records control schedule, a records retention schedule, an SF 115, ERA Records Schedule, or simply a schedule.

The Records Control Schedule (RCS) Repository provides Federal agencies and the public with open access to a large body of unclassified, NARA approved legacy paper SF 115s and ERA Records Schedules. See <http://www.archives.gov/records-mgmt/rcs/>.

NOTES

What Is Records Management?

Slide 2-12

The slide is titled "What Is Records Management?" and is part of "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION" presentation. It features a list of management functions on the left and a list of record-related activities on the right, connected by a large curly bracket. The management functions are: Planning, Controlling, Directing, Organizing, Training, and Promoting. The record-related activities are: Creation, Maintenance, Use, and Disposition, each preceded by a checkmark. The slide is labeled "Slide 2-12" at the bottom.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is Records Management?

- Planning
- Controlling
- Directing
- Organizing
- Training
- Promoting

Regarding records:

- ✓ Creation
- ✓ Maintenance
- ✓ Use
- ✓ Disposition

Slide 2-12

Records management is:

“... planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition, in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.” (44 U.S.C. 2901(2))

NOTES

The Records Lifecycle

Slide 2-13



We just learned that in Federal agencies, much of the information created or received is identified as a Federal record because it documents government activities – or because of the value of the data it contains.

Records and information are created, captured in some form, maintained, and ultimately destroyed or preserved for posterity. In the world of records management, this is known as the **records lifecycle**.

NOTES

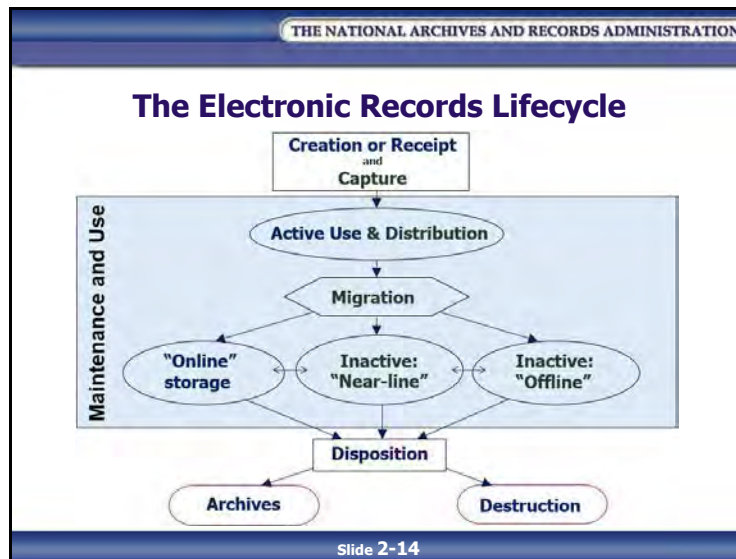
According to the lifecycle concept, records go through the three stages listed below, and decisions are made on how to handle records as they pass through each one of the interrelated phases of the lifecycle:

- **Creation and Receipt** is the first stage of the records lifecycle. In this stage, records are made (or received) by an office in order to support a business function.
- **Maintenance and Use** is the second stage of the records lifecycle. This stage encompasses any action involving the storage, retrieval, and handling of records kept in offices by or for a Federal agency. During this stage, the record is placed in an appropriate system so that it can support a business function.
- **Final Disposition** is the third and final stage of the records lifecycle. In this stage, the records are no longer needed to support a business function, so they undergo their final disposition: either disposal, for temporary records, or transfer to the National Archives, for permanent records.

NOTES

The Electronic Records Lifecycle

Slide 2-14



Electronic records have a more complicated lifecycle than nonelectronic records because of the design stage and preservation requirements are more complex.

Once the records have been **Created or Received**, they must then be **Captured** in the system. This is followed by:

- **Distribution** includes the process of disseminating e-info through automated means
- **Migration** deals with transferring digital materials from one hardware or software configuration to another
- **Online storage** means information is stored on a hard drive or on a server
- **"Near-line"** means information is stored on disks that are not immediately accessible
- **"Offline"** refers to information stored in a vault or some other secure location

NOTES


Trustworthy Records

Slide 2-15

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Trustworthy Records

- Document recordkeeping system's operation, controls, and safeguards
- The following characteristics ensure trustworthy records:
 - Authenticity
 - Reliability
 - Integrity
 - Usability



Slide 2-15

In order to support agency business needs, records must be handled in a manner that ensures trustworthiness during each stage of the lifecycle. The trustworthiness of a record is established by thoroughly documenting the recordkeeping system's operation and the controls and the safeguards imposed upon it.

According to the International Organization for Standardization (ISO) 15489-1:2001 Information and Documentation – Records Management, Part 1: General, the following characteristics are needed in a recordkeeping system to ensure trustworthy or authoritative records:

- **Authenticity** – Accurate accounting of an activity, transaction, or decision
- **Reliability** – Content that can be trusted as a full and accurate representation
- **Integrity** – Ensure that the information has not been changed subsequent to its creation
- **Usability** – Information that can be located, retrieved, presented, and interpreted by all who need it, throughout the entire lifecycle

NOTES

Lesson Summary

In this lesson, you learned:

- Records are defined by the Presidential and Federal Records Amendments (PFRA) Act of 2014
- Records, nonrecord materials, and personal papers must be distinguished from one another
- Records are created; captured and maintained; and ultimately destroyed or preserved for posterity. This is the records lifecycle.
- During each stage of the lifecycle, records must be handled in a manner that ensures trustworthiness
- Trustworthiness for records is defined as involving the following characteristics: authenticity, reliability, integrity, and usability

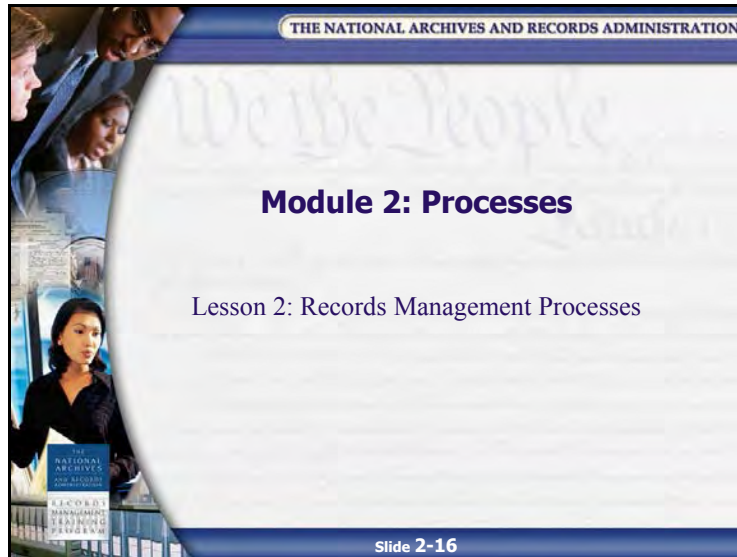
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NOTES

Lesson 2: Records Management Processes

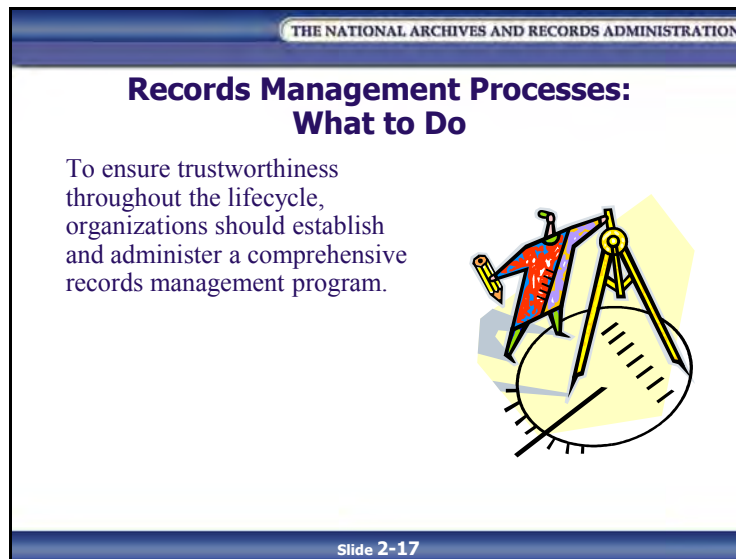
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NOTES

Records Management Processes: What to Do

Slide 2-17

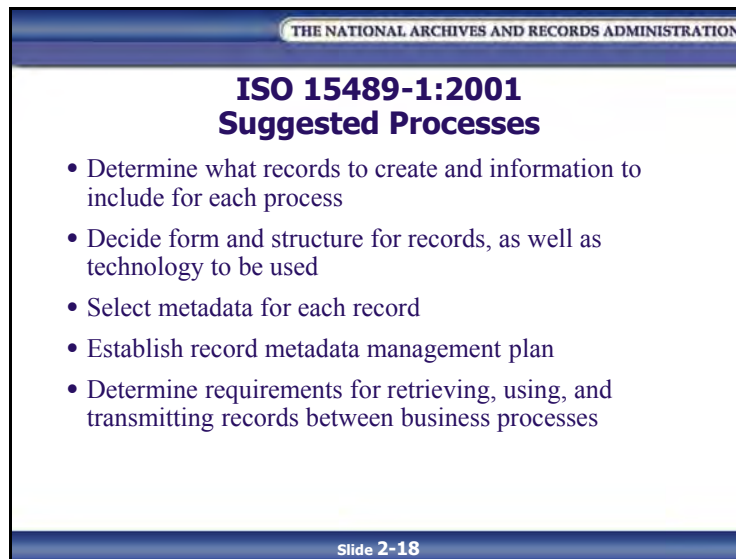


In order to manage organizational records properly and ensure trustworthiness through every stage of the records lifecycle, organizations should establish and administer a comprehensive records management program with certain processes in place. These processes are defined in ISO 15489-1:2001.

NOTES

ISO 15489-1:2001 Suggested Processes

Slide 2-18



**ISO 15489-1:2001
Suggested Processes**

- Determine what records to create and information to include for each process
- Decide form and structure for records, as well as technology to be used
- Select metadata for each record
- Establish record metadata management plan
- Determine requirements for retrieving, using, and transmitting records between business processes

Slide 2-18

International Organization for Standardization (ISO) is a nonprofit organization that develops and publishes standards in areas ranging from information technology to fluid dynamics and nuclear energy.

ISO 15489-1:2001 Information and Documentation – Records Management, Part 1: General, is designed by ISO to provide broad internal standards for records management policies and procedures; it applies to both paper-based and electronic systems.

NOTES

The following processes and actions – performed on an ongoing basis – are identified by ISO as being essential to establishing and maintaining an effective records management program:

- Determine what records should be created in each business process, and what information needs to be included in the records
- Decide in what form and structure records should be created and captured, and decide on the technologies to be used
- Select what metadata should be created with the records and through records processes
- Establish how those metadata will be consistently linked and managed
- Determine requirements for retrieving, using, and transmitting records between business processes and other users, and determine how long the records need to be kept to satisfy those requirements


NOTES

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**ISO 15489-1:2001
Suggested Processes (cont'd.)**

- Decide how to organize records
- Assess risks from failure to have authoritative records
- Preserve records and make them accessible
- Comply with requirements, standards, and policy



Slide 2-19


- Decide how to organize records so as to support requirements for use
- Assess the risks from failure to have authoritative records of activity
- Preserve records and make them accessible over time in order to meet business requirements and community expectations
- Comply with legal and regulatory requirements, applicable standards, and organizational policy


NOTES


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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**ISO 15489-1:2001
Suggested Processes (cont'd.)**

Ensure that records are safe and secure. 

 Ensure that records are kept only as needed.

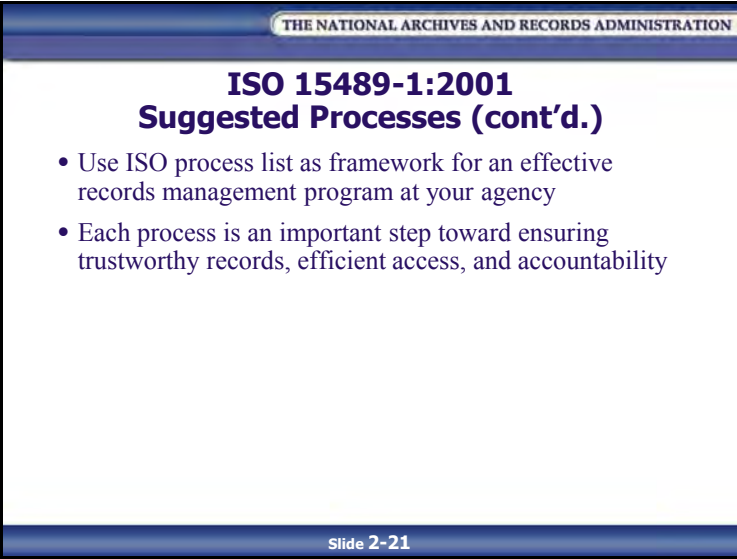
Identify opportunities for improvement. 

Slide 2-20

- Ensure that records are maintained in a safe and secure environment
- Ensure that records are retained only for as long as needed or required
- Identify and evaluate opportunities for improving the effectiveness, efficiency, or quality of the organization's processes, decisions, and actions that could result from better records creation or management

NOTES

Slide 2-21



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "ISO 15489-1:2001 Suggested Processes (cont'd.)" is displayed in bold. The main content area contains two bullet points. At the bottom, a blue footer bar displays "Slide 2-21".

**ISO 15489-1:2001
Suggested Processes (cont'd.)**

- Use ISO process list as framework for an effective records management program at your agency
- Each process is an important step toward ensuring trustworthy records, efficient access, and accountability

Slide 2-21

These processes can be used as a guide for organizations to ensure that they are developing a framework for an effective records management program. An effective management program is the foundation on which an agency can automate records management activities, implement systems to manage electronic records, and minimize risk to records.

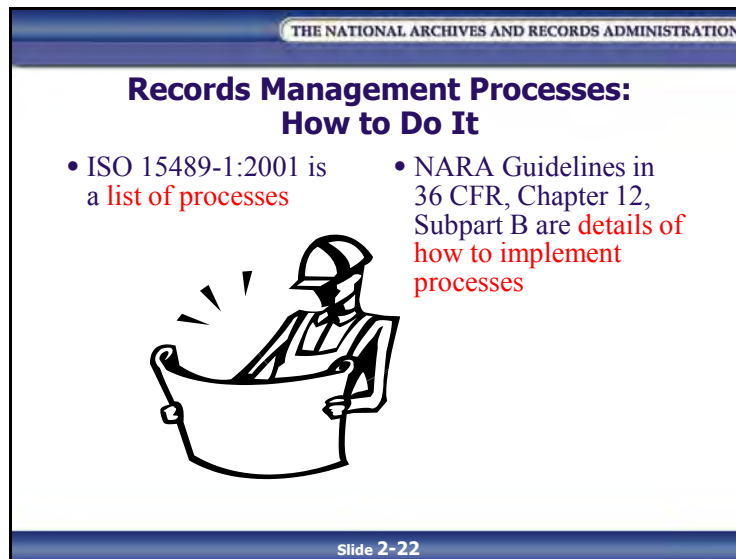
See also ISO 22310:2006 Information and documentation – Guideline for standard drafters for stating records management requirements and standards.

ISO/TR 13028:2010 – ISO Information and documentation – Implementation guidelines for digitization of records.

NOTES

Records Management Processes: How to Do It

Slide 2-22



Records management procedures are also outlined in NARA's regulations. The ISO standards and the NARA regulations (36 CFR, Chapter 12, Subpart B) are compatible. You will find that the former provides more specifics on **how to implement** effective records management processes and programs.

The guidelines shown in boldface on the following pages are taken from NARA's 36 CFR, Chapter 12, Subpart B-1220.30 through 1220.34 and 1236. Following each of these highlighted requirements is further explanation of how they can be implemented in the procedures that make up an agency's records management program.

NOTES

§1220.30 Agency Records Management Responsibilities, 36 CFR, Chapter 12, Subpart B

Slide 2-23

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.30 Agency Records Management Responsibilities

- Issue agency-wide directive assigning authorities and responsibilities for records management:
 - Designate Agency Records Officer
 - Provide adequate network of support personnel

More in KA 2

Slide 2-23

What are an agency's records management responsibilities?

§1220.30

(a) Under 44 U.S.C. 3101, the head of each Federal agency must make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. These records must be designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.

NOTES

How to Do It:

This is typically accomplished by issuing an agency-wide directive assigning authorities and responsibilities for records management activities. The directive should designate the ARO as the official responsible for the program, and provide for an adequate network of support personnel at all levels.

(Refer to **Handout 2.01** – EPA Records Management Policy 04-006 for an example of how one agency implements its records management policy.)

NOTES


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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.30 Agency Records Management Responsibilities (cont'd.)

- Conduct inventories
- Develop records schedules
- Develop file plans
- Implement schedules
- Establish effective disposition procedures

More in KA 2, KA 3, and KA 4



Slide 2-24

What are an agency's records management responsibilities? (cont'd.)

Agency programs must, among other things, provide for:

§1220.30 (c)

(2) Cooperation with the Archivist and the Administrator of GSA in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and destruction of records of temporary value.

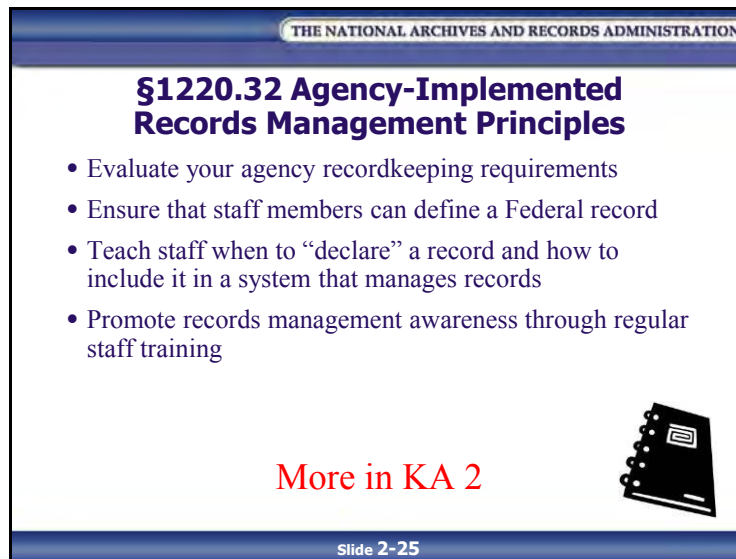
How to Do It:

This element may be implemented by conducting records inventories, developing records schedules, developing file plans, implementing schedules, and establishing effective disposition procedures – including the transfer of permanently valuable records to NARA.

NOTES

§1220.32 Agency-Implemented Records Management Principles

Slide 2-25



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.32 Agency-Implemented Records Management Principles

- Evaluate your agency recordkeeping requirements
- Ensure that staff members can define a Federal record
- Teach staff when to “declare” a record and how to include it in a system that manages records
- Promote records management awareness through regular staff training

More in KA 2

Slide 2-25

What records management principles must agencies implement?

Creation of Records

Agencies must create and maintain authentic, reliable, and usable records and ensure that they remain so for the length of their authorized retention period. A comprehensive records management program provides policies and procedures for ensuring that:

§1220.32

- (a) Records documenting agency business are created or captured.

NOTES

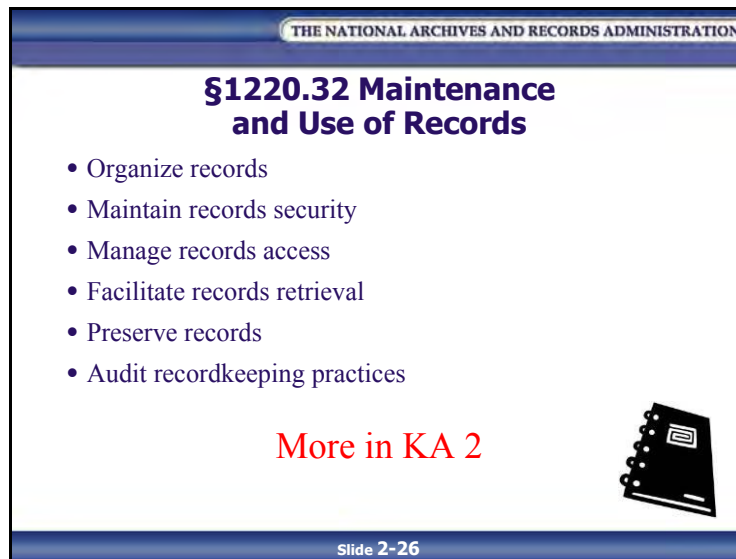
How to Do It:

This is accomplished by evaluating your agency recordkeeping requirements; ensuring that staff members are familiar with the definition of a Federal record; and they can distinguish among records, nonrecord materials, and personal papers. In addition, staff must know when to “declare” a record and how to include that record in a system that manages records. Also, your agency must promote records management awareness and skills through a program of regular staff training.

NOTES

§1220.32 Maintenance and Use of Records

Slide 2-26



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.32 Maintenance and Use of Records

- Organize records
- Maintain records security
- Manage records access
- Facilitate records retrieval
- Preserve records
- Audit recordkeeping practices

More in KA 2

Slide 2-26

How should agencies maintain their records?

§1220.32

- (b) Records are organized and maintained to facilitate their use and ensure integrity throughout their authorized retention period.
- (c) Records are available when needed, where needed, and in a usable format to conduct agency business.

NOTES

How to Do It:

Agencies may meet this requirement by:

- **Organizing records:** Group the records according to a predefined structure to meet business needs
- **Maintaining records security:** Protect the integrity of records against unauthorized alterations or destruction
- **Managing records access:** Grant or limit the ability of individual(s) to examine records or record groupings
- **Facilitating records retrieval:** Ensure the efficient collection of records relevant to a query
- **Preserving records:** Ensure the physical state of records so that they remain stable
- **Auditing:** Ensure compliance of agency recordkeeping practices with existing statutes and internal and external regulations

NOTES


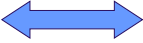

§1220.32 Disposition of Records

Slide 2-27

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION


§1220.32 Disposition of Records

Develop records schedules approved by internal and external stakeholders so records are:



Retired to FRC or transferred to NARA. Properly disposed of or deleted.

More in KA 2, KA 3, and KA 4



Slide 2-27

How should agencies handle the disposition of records?

§1220.32

- (d) Legal and regulatory requirements, relevant standards, and agency policies are followed.
- (e) Records, regardless of format, are protected in a safe and secure environment, and removal or destruction is carried out only as authorized in records schedules.

NOTES

How to Do It:

Agencies may accomplish this requirement by creating, for all agency records, records schedules that are approved by both internal and external stakeholders, and by ensuring that the schedules are correctly used, once implemented. Also, agencies may implement this element by retiring inactive records to Federal Records Centers – or private-sector storage centers that meet storage facility requirements specified under 36 CFR Part 1234 – and transferring permanently valuable records to NARA on a timely basis.

NOTES

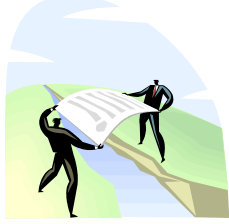
§1220.34 Carry Out Agency Records Management Responsibilities

Slide 2-28

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.34 Carry Out Agency Records Management Responsibilities

- Appoint Agency Records Officer
- Forward person's contact information to NARA, National Records Management Program
- NARA and your agency work together



Slide 2-28

What must an agency do to carry out its records management responsibilities?

§1220.34

- (a) Assign records management responsibilities to a person and office with appropriate authority within the agency to coordinate and oversee implementation of the agency comprehensive records management program principles in §1220.32.
- (b) Advise NARA and agency managers of the name(s) of the individual(s) assigned operational responsibilities for the agency records management program.
- (c) Issue a directive(s) establishing program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of agency records.

NOTES

How to Do It:

Agencies may meet this requirement by appointing an ARO and assigning that individual overall program responsibility. As stated in the regulation, this information should be forwarded to NARA's National Records Management Program and updated as necessary. NARA and your agency work together to carry out responsibilities.

NOTES


§1220.34 Agency Internal Evaluations

Slide 2-29

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.34 Agency Internal Evaluations

- Review records schedules yearly
- Monitor employee attention to records schedules
- Report any unauthorized disposal action to NARA
- Assess the need for records management training at all levels of organization



Slide 2-29

How should agencies evaluate their records management programs?

§1220.34

(j) Conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations.

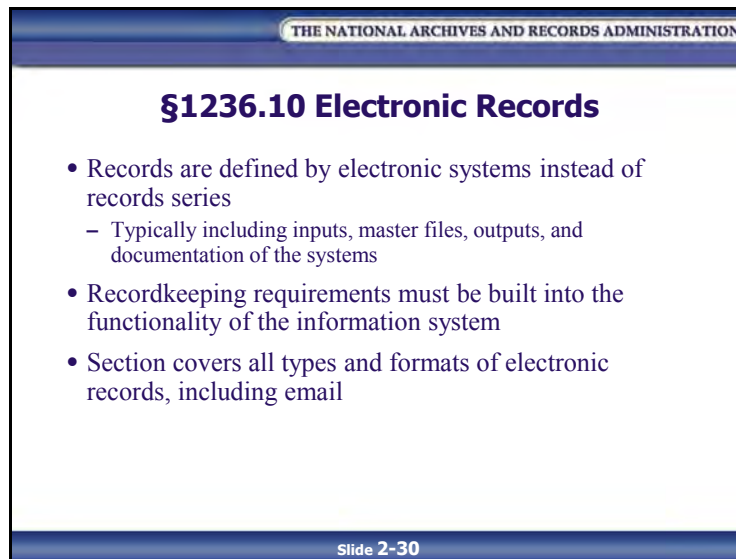
How to Do It:

In order for a records management program to be effective, it must be evaluated periodically. Agencies should review their records schedules on an annual basis and monitor employee application of correct disposition items. Reports on your holdings at Federal Records Centers (FRCs) or other records centers are excellent tools for monitoring storage and records retirement problems. Also, any unauthorized disposal action should be reported to NARA immediately as authorized in 36 CFR 1230. This internal evaluation should also assess the need for records management training at all levels of the organization.

NOTES

§1236.10 Electronic Records

Slide 2-30



§1236.10 Electronic Records

- Records are defined by electronic systems instead of records series
 - Typically including inputs, master files, outputs, and documentation of the systems
- Recordkeeping requirements must be built into the functionality of the information system
- Section covers all types and formats of electronic records, including email

What records management controls must agencies establish for records in electronic information systems?

This part establishes the basic requirements related to the creation, maintenance, use, and disposition of electronic records.

§1236.10

The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself.

NOTES

- (a) Reliability:** Controls to ensure a full and accurate representation of the transactions, activities, or facts to which they attest and can be depended upon in the course of subsequent transactions or activities
- (b) Authenticity:** Controls to protect against unauthorized addition, deletion, alteration, use, and concealment
- (c) Integrity:** Controls such as audit trails, to ensure that records are complete and unaltered
- (d) Usability:** Mechanisms to ensure that records can be located, retrieved, presented, and interpreted
- (e) Content:** Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record
- (f) Context:** Mechanism to implement cross-reference to related records that show the organizational, functional, and operational circumstances about the records, which will vary depending upon the business, legal, and regulatory requirements of the business activity, and
- (g) Structure:** Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements

NOTES

How to Do It:

Agencies may meet these requirements by using processes similar to the traditional manner in which we inventory and schedule paper records. The distinction is that the electronic records are defined by electronic systems instead of record series, and typically involve defining inputs, master files, outputs, documentation of the systems, and system maintenance of records.

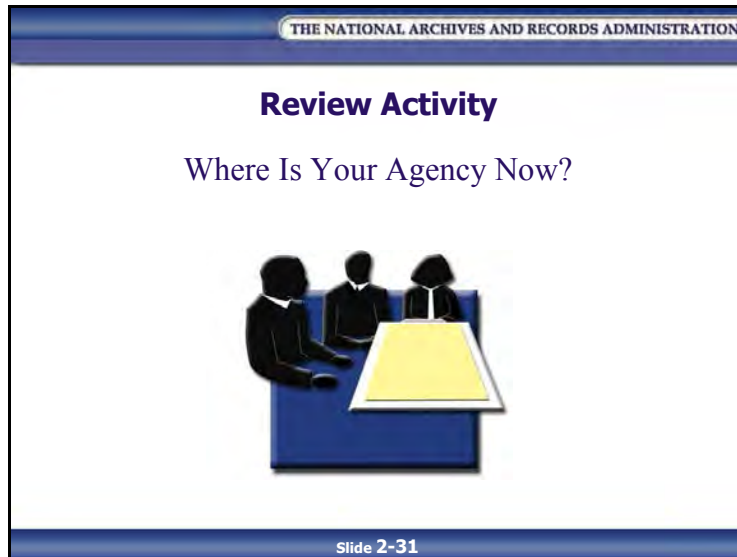
It is also important to note that with electronic records, the analysis of creation and maintenance of the records should begin when the system is designed, so that recordkeeping requirements can be built into the functionality of the system. It is more difficult to schedule and implement disposition once a system is operational. Recordkeeping requirements for the electronic records also include maintenance records on appropriate media (short- or long-term), or migrating them.

In addition, staff must know that these systems contain electronic records that are covered by the PFRA and must be addressed in the same manner as paper records.

NOTES

Review Activity: Where Is Your Agency Now?

Slide 2-31



NOTES

Table 2-3: Where Is Your Agency Now? Worksheet

RM ACTIVITIES	CURRENT STATUS	I DON'T KNOW
1. Issuing a program directive		
2. Reviewing functions and recordkeeping requirements		
3. Determining vital records		
4. Inventorying agency records holdings		
5. Drafting a records schedule		
6. Obtaining internal and external approval of a records schedule		
7. Reviewing and updating records control schedules		
8. Evaluating Records Management program		
9. Promoting program and training		
10. Inventorying and scheduling electronic systems		
11. Maintaining records security and integrity		

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Lesson Summary

In this lesson, you learned:

- Agencies should establish and administer a comprehensive records management program to ensure trustworthiness through every stage of the records lifecycle
- These processes, recommended by ISO 15489-1:2001, Information and Documentation – Records Management, Part 1: General, can be used as a benchmark for agencies to develop an effective records management program
- NARA guidelines in 36 CFR, Chapter 12, Subpart B, Sections 1220.30–1220.34 and 1236, provide methods for incorporating the 11 processes into effective records management implementation

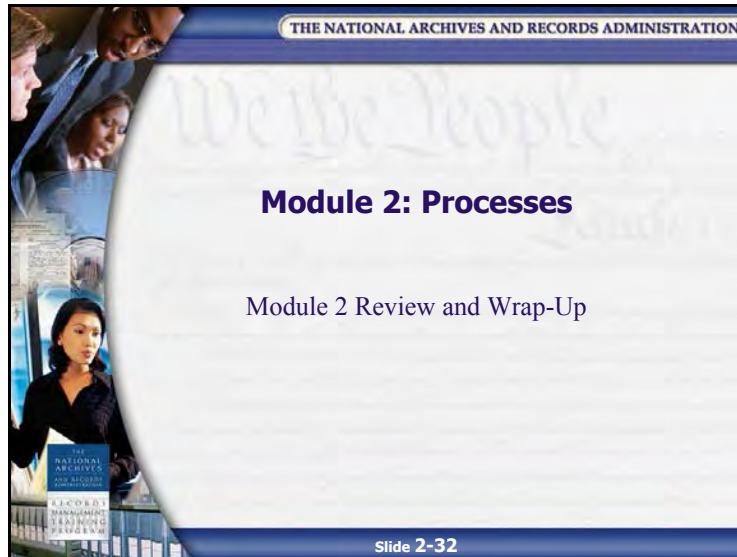
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NOTES

Module 2 Review and Wrap-Up

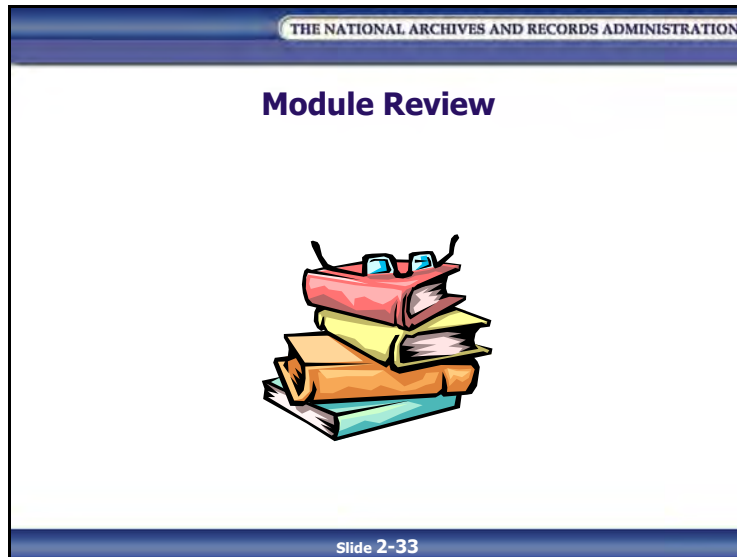
Slide 2-32



NOTES

Module Review

Slide 2-33



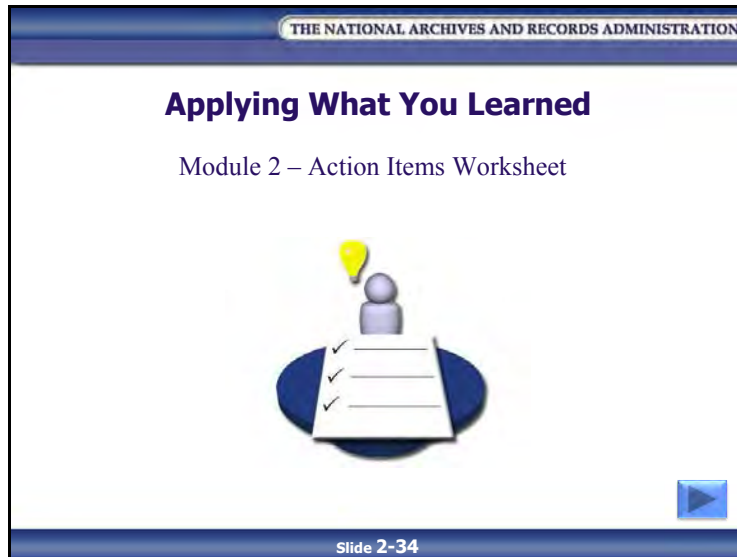
In Module 2, you learned:

- The definition of the information and records lifecycle
- The definition of a Federal record
- What constitutes “trustworthy” records
- About the processes involved in an effective records management program
- What steps an agency can take to apply the ISO standards and NARA regulations to its own records management programs

NOTES

Applying What You Learned

Slide 2-34



Reflect upon what you have learned in Module 2 and how you will apply it to your job.

NOTES

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NOTES

Module 2 – Action Items Worksheet

What did I learn about the Federal records lifecycle, records management processes, and the essential elements needed for a successful records management program that will help me at my job?

List at least one thing you learned about the Federal records lifecycle, records management processes, and the essential elements needed for a successful records management program, that is relevant to your records management roles and responsibilities.

How will I apply what I learned in this module to my job?

List at least one thing you learned about records management processes that you will apply to your job, and explain how you will apply it.

What “aha!” moments did I have during this module?

List any “aha!” moments you experienced during this module.

(For example, “The records lifecycle is the period between the time when records and information are created and the time when they are ultimately destroyed or preserved for posterity!?! Aha!”)

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**Participant Guide
January 2017**

Knowledge Area 1: Records Management Overview

Module 3: Technology, Tools, and Resources

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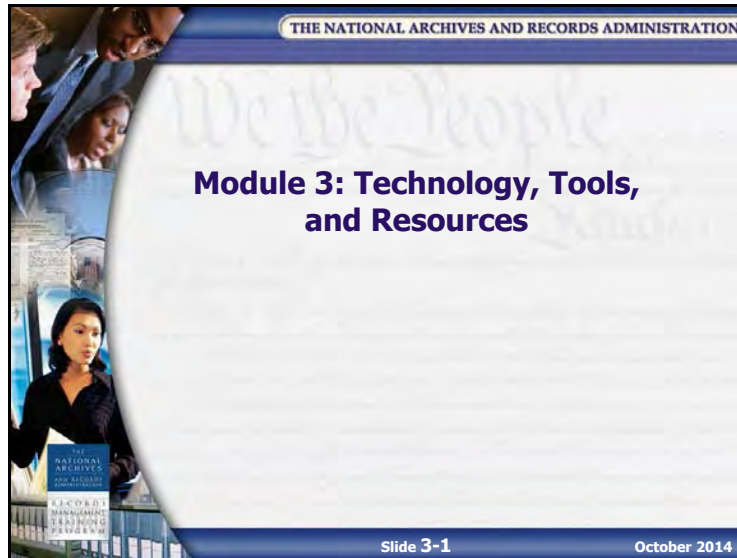
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Introduction and Objectives

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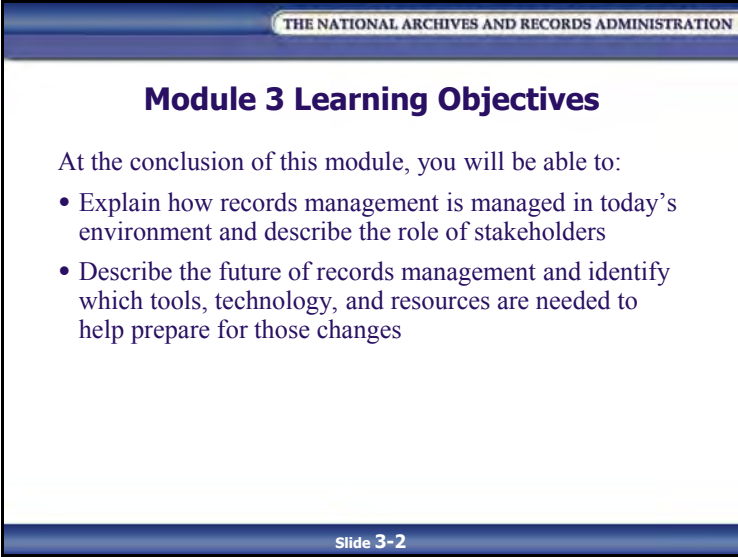


The goal of this module is to illustrate the changing concepts and practices of records management and to highlight effective records management strategies for the future.

NOTES

Objectives

Slide 3-2



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 3 Learning Objectives

At the conclusion of this module, you will be able to:

- Explain how records management is managed in today's environment and describe the role of stakeholders
- Describe the future of records management and identify which tools, technology, and resources are needed to help prepare for those changes

Slide 3-2

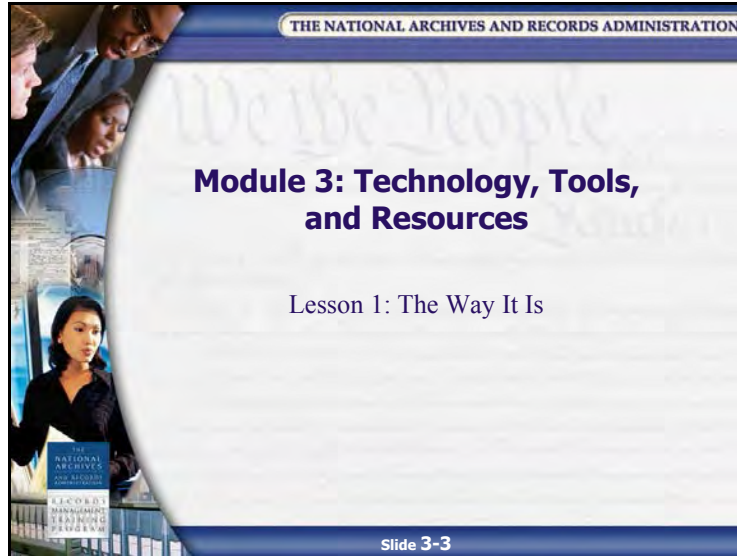
At the conclusion of this module, you will be able to:

- Explain how records management is managed in today's environment and describe the role of stakeholders
- Describe the future of records management and identify which tools, technology, and resources are needed to help prepare for those changes

NOTES

Lesson 1: The Way It Is

Slide 3-3



NOTES


Realities of Today's Business Environment

Slide 3-4

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Realities of Today's Business Environment

Changes in how government works have undermined its ability to manage records and information.



Headline Examples:

- Army's deletion of the "War Records"
- Loss of records and info after 9/11

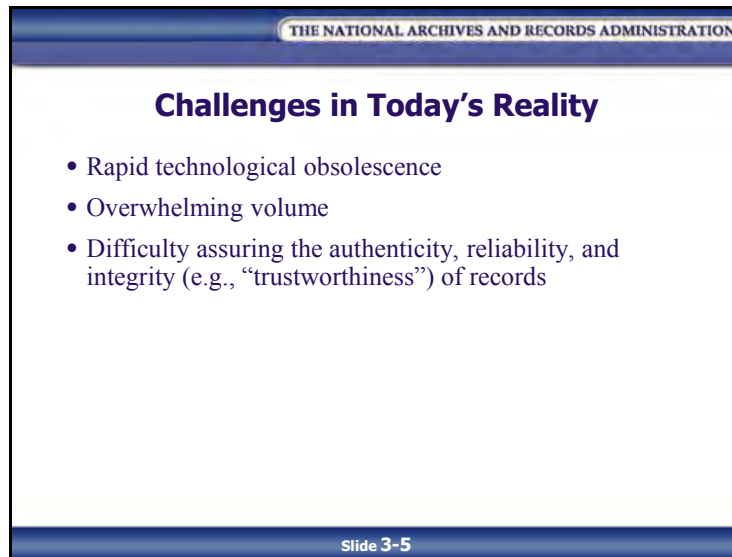
Slide 3-4

The Federal Government faces ever-increasing challenges to effectively manage government information. Agencies are meeting their daily information requirements in the best of cases. In the worst cases, an agency's inability to manage records results in an ineffective use of resources that can lead to major records management problems, issues, and litigation.

NOTES

Challenges in Today's Reality

Slide 3-5



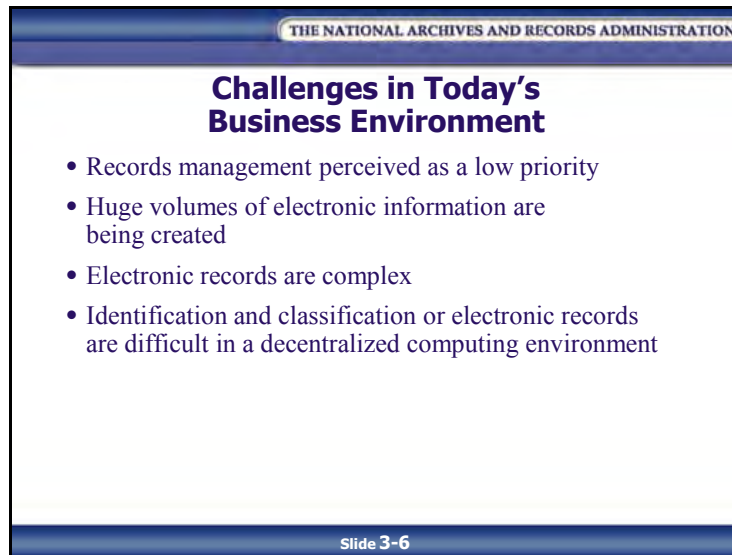
Federal agencies face the following challenges in the current business environment:

- Rapid technological obsolescence
 - Electronic records and systems change often, causing obsolescence due to rapid advances in technology
- Overwhelming volume
 - Technology resulted in an explosion of records and information, overwhelming users who are now responsible for creating, maintaining, and sharing records and information
- Difficulty assuring the authenticity, reliability, and integrity of electronic records
 - The unique features of electronic records complicate agency efforts to create and maintain authentic and reliable records that support agency business processes. Because it is easier to duplicate and disseminate electronic information, agencies typically create more of it, in multiple copies, and send it to multiple users. These users maintain it in various locations, making it difficult to identify the essential records, or identify the correct recordkeeping versions of records that document government activities.

NOTES

Challenges in Today's Business Environment

Slide 3-6



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Challenges in Today's Business Environment

- Records management perceived as a low priority
- Huge volumes of electronic information are being created
- Electronic records are complex
- Identification and classification of electronic records are difficult in a decentralized computing environment

Slide 3-6

We need to recognize and understand the challenges that exist in records management in order to develop practical solutions. We refer to the Government Accountability Office (GAO) June 2010 report *Information Management: The Challenges of Managing Electronic Records*, GAO-10-838T to identify some of the challenges faced by agencies trying to manage electronic records:

- Records management is a low priority in the Federal Government:
 - Prior GAO reports have identified persistent weaknesses in Federal records management, including a lack of policies and training
 - Technology alone will not solve all of the records management issues. Records management must have a commitment from agencies. Electronic recordkeeping systems can be challenging to implement and can require considerable resources for planning and implementation, including establishing a sound records management program as a basis.
- Huge volumes of electronic information are being created:
 - Electronic information is increasingly being created in volumes that pose a significant technical challenge to our ability to organize it and make it accessible

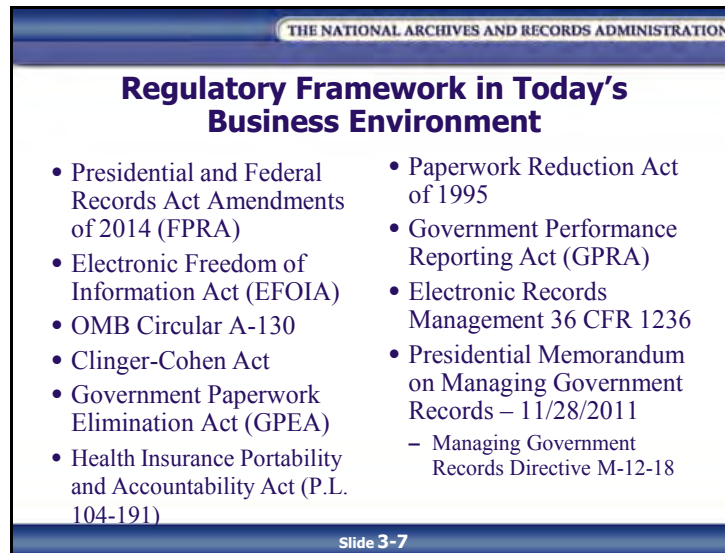
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- Electronic records are complex
 - Electronic records have evolved from simple text-based files to complex digital objects that may contain embedded images. Some portions of electronic records, such as webpages, are created from databases and exist only during the viewing session.
- Identification and classification of electronic records are difficult in a decentralized computing environment
 - The challenge of managing electronic records significantly increases with the decentralization of the computing environment. In the centralized environment of a mainframe computer, it is comparatively simple to identify, assess, and manage electronic records. However, in the decentralized environment of agencies' office electronic systems, every user can create:
 - Electronic files of generally unstructured data that may be formal records and thus should be managed
 - Documents that are on desktop computers, laptops, blackberries, smart phones, data stored on local hard drives, shared drives and the cloud
 - Email received from outside the agency that is dependent on the identified source and content to determine its records status

NOTES

Regulatory Framework in Today's Business Environment

Slide 3-7



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Regulatory Framework in Today's Business Environment

- Presidential and Federal Records Act Amendments of 2014 (FPRA)
- Electronic Freedom of Information Act (EFOIA)
- OMB Circular A-130
- Clinger-Cohen Act
- Government Paperwork Elimination Act (GPEA)
- Health Insurance Portability and Accountability Act (P.L. 104-191)
- Paperwork Reduction Act of 1995
- Government Performance Reporting Act (GPRA)
- Electronic Records Management 36 CFR 1236
- Presidential Memorandum on Managing Government Records – 11/28/2011
 - Managing Government Records Directive M-12-18

Slide 3-7

Existing in today's business environment are statutory, legal, and regulatory requirements that support improving the management of records and information.

- The **Presidential and Federal Records Act Amendments of 2014 (PFRA)** as amended, gives the Archivist of the United States, as head of the National Archives and Records Administration, the authority to provide guidance and assistance to Federal officials on the management of records <https://www.congress.gov/bill/113th-congress/house-bill/1233/text>
- The **Electronic Freedom of Information Act (EFOIA)** U.S.C. 552(a) (2)(D) requires agencies to provide requested information in electronic format if there is no legal reason not to do so http://www.justice.gov/oip/foia_updates/Vol_XVII_4/page2.htm
- **OMB Circular A-130 Management of Federal Information Resources** establishes policy for the management of Federal information resources, including appendixes with OMB's procedural and analytic guidelines for implementation http://www.whitehouse.gov/omb/circulars_a130_a130trans4/
- The **Clinger-Cohen Act (40 U.S.C. 1401)**, also known as the Information Technology Management Reform Act (ITMRA) of 1996, requires that records management and

NOTES

archives functions be part of system development and implementation. More information is available at <http://govinfo.library.unt.edu/npr/library/misc/itref.html>.

- The **Government Paperwork Elimination Act (GPEA)** requires agencies to allow individuals or entities to submit information or transact with the agency electronically, when practicable, and to maintain records electronically, when practicable
<http://www.archives.gov/records-mgmt/policy/electronic-signature-technology.html>
- The **Health Insurance Portability and Accountability Act (P.L. 104-191)** legislation addresses the protection of private medical information. This law is applicable to those who work with individual medical information, including insurance carriers participating in the Federal Employees Health Benefits (FEHB) Program, TRICARE for the military, Department of Veterans Administration (VA) medical files and Health and Human Services.
http://en.wikipedia.org/wiki/Health_Insurance_Portability_and_Accountability_Act
- The **Paperwork Reduction Act of 1995** establishes a mandate for agencies to perform their information resources management activities in an efficient, effective, and economical manner <http://www.cms.gov/Regulations-and-Guidance/Legislation/PaperworkReductionActof1995/index.html>
- The **Government Performance and Results Act (GPRA)** requires agencies to establish measures and collect data to track performance improvement
<http://www.whitehouse.gov/omb/mgmt-gpra/index-gpra>
- **Electronic Records Management** – 36 CFR 1236 – contains standards for the creation, use, preservation, and disposition of electronic records. More information is available at <http://www.archives.gov/about/regulations/regulations.html>
- **Presidential Memorandum (PRM) on Managing Government Records** – The Executive Branch-wide effort to reform records management policies and practices and to develop a 21st century framework for the management of government records
 - **Managing Government Records Directive M-12-18** – issued by OMB and NARA in response to the Presidential Memorandum on Managing Government Records was released on November 28, 2011. The Directive established a robust 21st century framework for managing Federal records. The text of the directive can be found at <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

NOTES

Effective Partnerships in Today's Business Environment

Slide 3-8



To succeed in addressing challenges and complying with the law, we must build alliances. A team approach to managing agency records and information that includes both IT and the General Counsel permits the application of each team member's subject expertise in the development of appropriate records management policies and procedures.

NOTES

Lesson Summary

In this lesson, you learned that:

- Changes in how the government works, especially as Federal agencies use more complex electronic processes, lead to an increase in barriers to the effective management of Federal records
- Electronic Records Work Group (ERWG) identified these barriers:
 - Records and information are not managed as agency business assets
 - Records management is not viewed as critical to agency mission
 - Marginal support for records management has led to a lack of training, tools, and guidance for all staff within Federal agencies
 - Records management and information technology disciplines are poorly integrated within Federal agencies
- The ERWG recommended a government-wide, coordinated information and records management strategy to assist agencies in overcoming these barriers
- Agencies need to manage their records from the moment of creation in accordance with appropriate policies and procedures
- E-Gov required agencies to identify their basic lines of business and to develop common business models

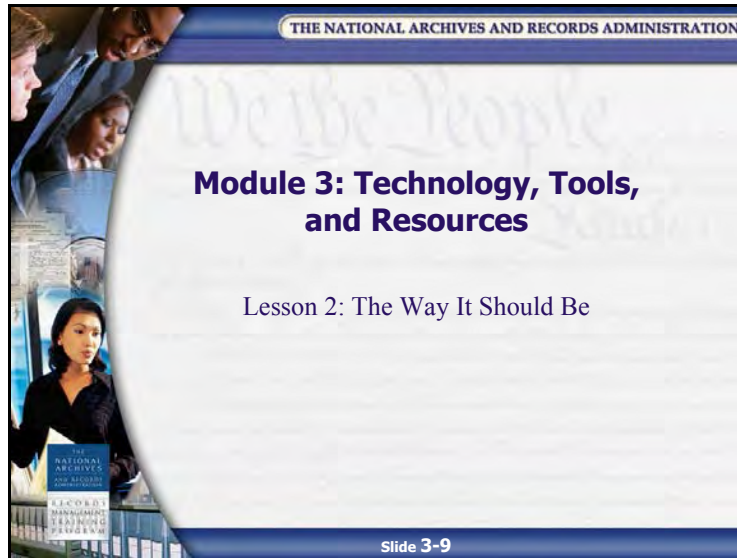
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Lesson 2: The Way It Should Be

Slide 3-9



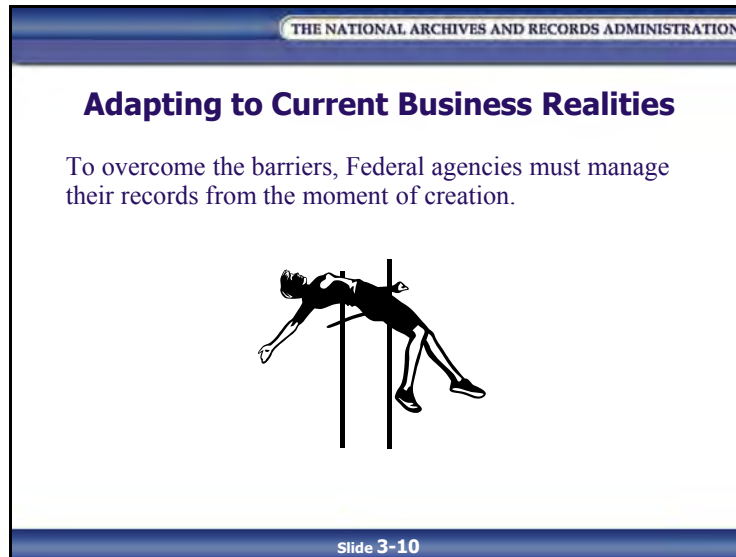
In Module 1, we identified stakeholders and looked at some of the responsibilities that are related to records management activities. In Module 2, we learned that process plus people equals success in the records management arena.

So far, in Module 3 we have identified the challenges facing records management programs. Now we will discuss the technology, tools and resources that are part of the solution for records management success in the 21st century.

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Adapting to Current Business Realities

Slide 3-10



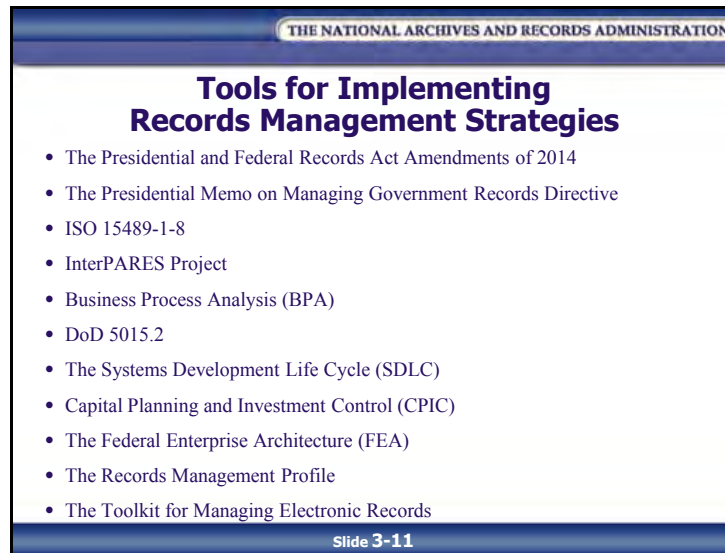
To overcome records management challenges, Federal agencies must address the realities of the current business environment. They must develop and use a coordinated information and records management strategy during the entire lifecycle.

The Federal Government is developing many new ways to serve citizens, businesses, and local communities through the Presidential Memo on Managing Government Records. Through this program, a government-wide coordinated information and records strategy is being designed and implemented.

NOTES

Tools for Implementing Records Management Strategies

Slide 3-11



Several initiatives, growing out of the Federal Government's goal to improve the way we do business, provide important resources to AROs. Please use the following as major reference tools:

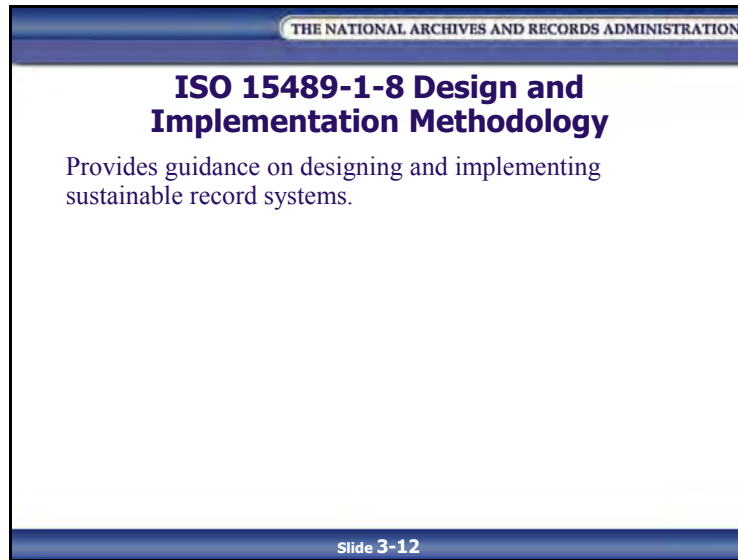
- The Presidential and Federal Records Act Amendments of 2014
- The Presidential Memo on Managing Government Records Directive
- ISO 15489-1-8 Design and Implementation Methodology
- InterPARES Project
- Business Process Analysis (BPA)
- DoD 5015.2
- The Systems Development Life Cycle (SDLC)
- Capital Planning and Investment Control (CPIC)
- The Federal Enterprise Architecture (FEA)
- The Records Management Profile
- The Toolkit for Managing Electronic Records

Note that this is not an exhaustive list. There are many other tools that you may use.

NOTES

ISO 15489-1-8 Design and Implementation Methodology

Slide 3-12

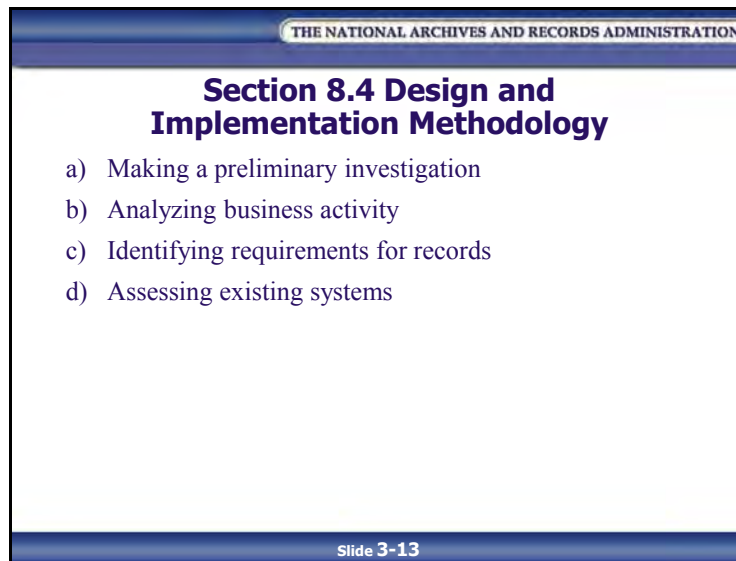


We will now focus on the part of ISO 15489-1 that serves as a tool to design and implement a record system, section 8.4.

NOTES

Section 8.4 Design and Implementation Methodology

Slide 3-13



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Section 8.4 Design and Implementation Methodology

- a) Making a preliminary investigation
- b) Analyzing business activity
- c) Identifying requirements for records
- d) Assessing existing systems

Slide 3-13

The methodology outlined in items a-h below is not designed to be linear. The tasks may be undertaken in different stages, partially or gradually, in accordance with organizational needs, formal compliance requirements, and, changes to the organizational and records management environment.

- a. **Making a preliminary investigation.** Collect information from documentary sources and interviews. Identify and document the role and purpose of the organization; its structure; its legal, regulatory, business, and political environment; and critical factors and critical weaknesses associated with records management.
- b. **Analyzing business activity.** Collect information from documentary sources and interviews; identify and document each business function, activity, and transaction, and establish a hierarchy – that is, a business classification system; and identify and document the flow of business processes and the related transactions.

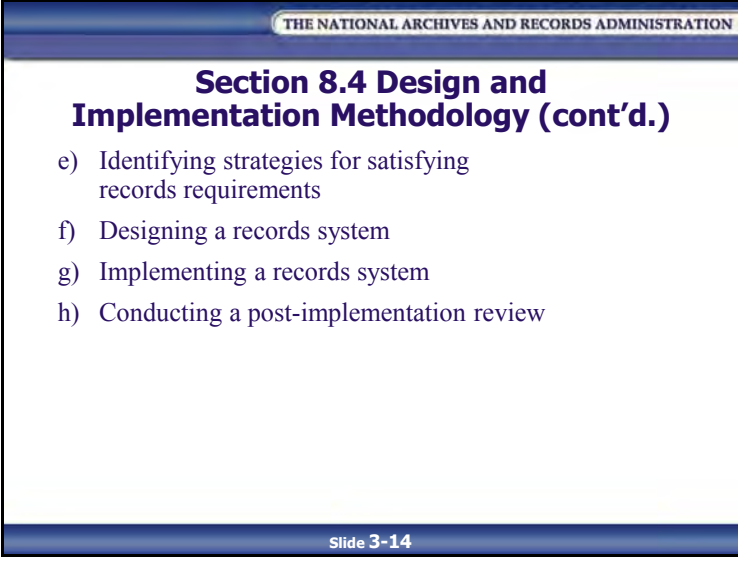
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- c. **Identifying requirements for records.** Collect information from documentary sources and interviews; identify the requirements for evidence of and information about each business function, activity, and set of transactions appropriately documented through records; and choose the appropriate records structure that best satisfies each business function, activity, or transaction.
- d. **Assessing existing systems.** Identify and analyze existing records systems and other information systems to measure their performance against the requirement for records.

NOTES

Section 8.4 Design and Implementation Methodology (cont'd.)

Slide 3-14



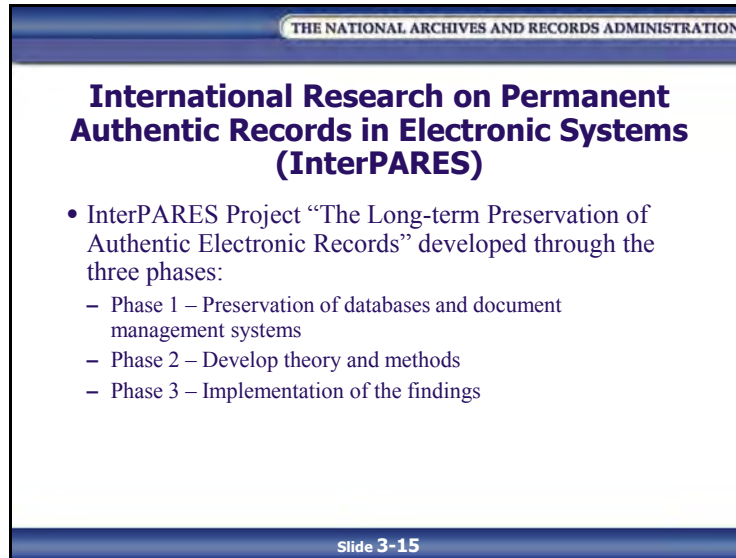
The slide is titled "Section 8.4 Design and Implementation Methodology (cont'd.)" and is part of "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION" presentation. It lists four sub-points: e) Identifying strategies for satisfying records requirements, f) Designing a records system, g) Implementing a records system, and h) Conducting a post-implementation review. The slide is labeled "Slide 3-14" at the bottom.

- e. **Identifying strategies for satisfying records requirements.** May include adopting policies, standards, procedures, and practices; designing new systems; and implementing systems in a way that satisfies a requirement of records.
- f. **Designing a records system.** Ensure that the records system supports, and does not hinder, business processes; assess and, if necessary, redesign business processes and operational business and communication systems to incorporate records management.
- g. **Implementing a records system.** Undertake implementation systematically using project planning and methodologies appropriate to the situation, and with a view to integrating the operation of records systems with business processes and related systems.
- h. **Conducting a post-implementation review.** Review and assess the performance of the systems, initiate and monitor corrective action, and establish a regime of continuous monitoring and regular evaluation:
 - Interview members of management and key employees
 - Use questionnaires
 - Observe systems in operation
 - Examine procedures manuals, training materials, and other documentation
 - Carry out random checks on the quality of records and control measures

NOTES

International Research on Permanent Authentic Records in Electronic Systems (InterPARES)

Slide 3-15



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

International Research on Permanent Authentic Records in Electronic Systems (InterPARES)

- InterPARES Project “The Long-term Preservation of Authentic Electronic Records” developed through the three phases:
 - Phase 1 – Preservation of databases and document management systems
 - Phase 2 – Develop theory and methods
 - Phase 3 – Implementation of the findings

Slide 3-15

InterPARES focused on developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and providing the basis for standards, policies, strategies, and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity.

From 1999 to 2012, the InterPARES Project “The Long-term Preservation of Authentic Electronic Records” consisted of three phases:

- Phase 1: Focused on the authentic preservation of administrative and legal records created and maintained in databases and document management systems
- Phase 2: Developed theory and methods capable of ensuring the reliability, accuracy, and authenticity of electronic records from their inception and throughout their preservation
- Phase 3: Implemented of the findings of the first two phases of the project in archival organizations or units endowed with limited resources

For more information about InterPARES Project, see http://www.interpares.org/ip_director_welcome.cfm.

A recent fourth phase of InterPARES study completed in 2014, Trust in Digital Records in an Increasingly Networked Society can be located at <http://www.interparestrust.org/>.

NOTES


How Could I Use This in My Agency?

Slide 3-16

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

How Could I Use This in My Agency?

How could I use the tasks outlined in ISO 15489-1-8.4 in my agency?



Slide 3-16

NOTES


Business Process Analysis (BPA) for Better Records Management

Slide 3-17

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

BPA for Better Records Management

- BPA is done to find out how business is conducted in an organization
 - Which records are created?
 - What is their context?
 - How does the agency use the records?



Slide 3-17

As we learned in Modules 1 and 2, a business process can involve many different people and it can cut across many organizational units. A business process analysis (BPA) examines an organization's business processes in order to find out how business is conducted in the organization. A BPA is a way of thinking about organizations different from the traditional organizational chart, where employees are often grouped according to their assigned departments.

As we just covered under ISO 15489-1-8 Design and Implementation Methodology, analyzing a business process can identify and document the flow of business processes and their related transactions. This can help records management by revealing:

- Which records are created
- What is the context for the records
- How the agency uses the records

Information collected during a BPA is solicited from documentary sources and interviews with stakeholders. It can be scaled for any size project, from reviewing a process for imaging records in one division to the development of an enterprise-wide records management system.

NOTES

BPA is Already Happening in Your Agency

Slide 3-18

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

BPA is Already Happening in Your Agency

IT already uses BPA to:

- Develop a model of the future state of the process
- Define system requirements to meet user needs
- Solve any process problems

Slide 3-18

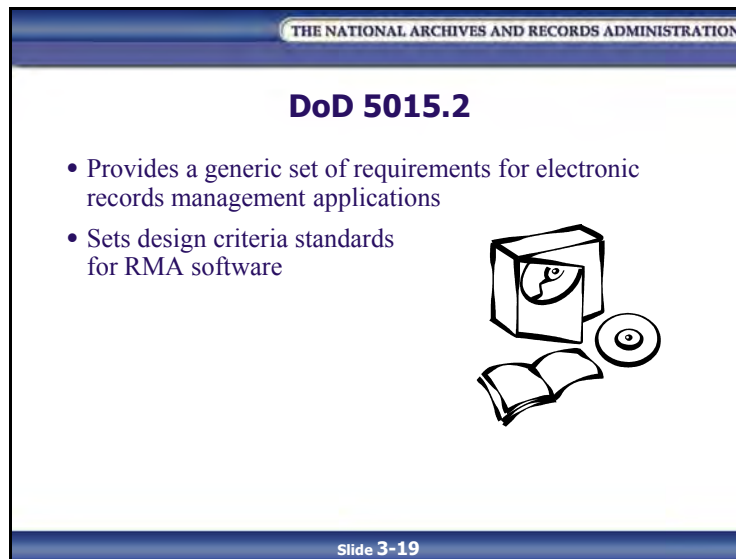
BPA is probably already happening in your agencies. In the IT world, analysts use BPA to develop future-state models of the processes and define system requirements. However, AROs can use BPA to identify the records to schedule and the records management requirements for systems IT is developing.

BPA details and the six “best practices” benchmarked in NARA’s 2005 study are available on the NARA website at <http://www.archives.gov/records-mgmt/policy/bpa-benchmarking.html>.

NOTES

DoD 5015.2

Slide 3-19



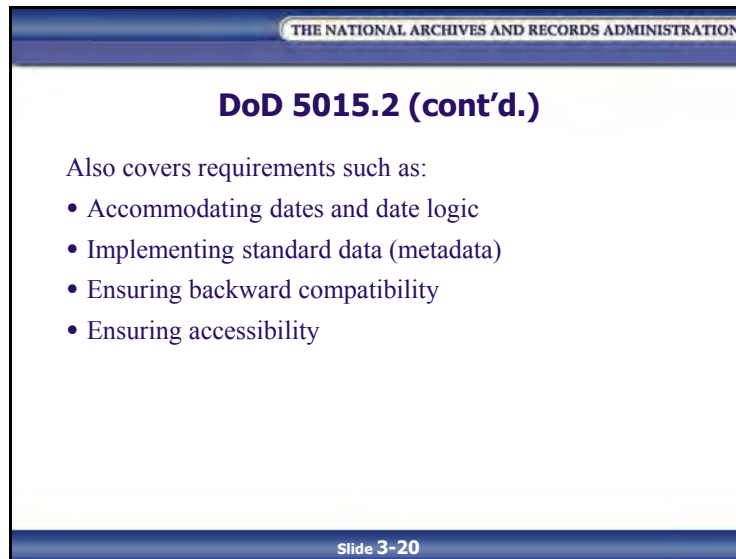
The Department of Defense (DoD) Standard DoD 5015.2 set generic design criteria standards for Records Management Application (RMA). It describes the minimum records management requirements that must be met, based on 44 U.S.C. 2902, Objectives of Records Management, and NARA regulations and guidance.

Your agency may start with the 5015.2 requirements as a baseline, and then determine whether it has additional specific requirements that are useful.

Because of the differences in agency cultures, business needs, and technology infrastructure, the DoD requirements may not be sufficient for use by other agencies or organizations.

NOTES

Slide 3-20



In addition to the generic requirements, 5015.2 also covers more detailed requirements, such as:

- Accommodating dates and date logic
- Implementing standard data (metadata)
- Ensuring backward compatibility
- Ensuring accessibility

There are also nonmandatory features included in the DoD Standard. These are functions needed for specific activities, and should be identified by the agency as requirements. They are useful features, but cannot be made mandatory, because no Federal law or NARA regulation requires them.

The nonmandatory features include such things as:

- Imaging
- Workflow and document management features

The complete DoD Standard can be found at

<http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf>.

NOTES


How Could I Use This in My Agency?

Slide 3-21

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

How Could I Use This in My Agency?

How could I use the generic requirements of the DoD 5015.2 Standard in my agency?



Slide 3-21

NOTES

Records Management and the Systems Development Life Cycle (SDLC)

Slide 3-22

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management and the SDLC

- Product Plan
- Phases
 - Concept Development
 - Requirements Definition
 - Preliminary Design
 - Detail Design
 - Development
 - Integration and System Test
 - Development and Acceptance
 - Production

Slide 3-22

The Systems Development Life Cycle (SDLC) process provides a structured and standardized process for all phases of any system development effort.

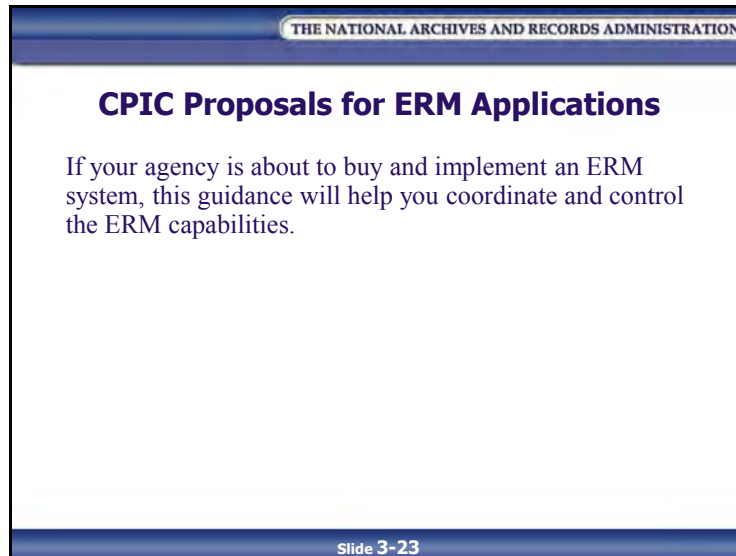
The phases on the slide reflect the development of a system from initiation through each phase. The Records Management Profile recommends that agencies embed records management requirements in the early stages of the SDLC so that they will realize cost efficiencies and other positive benefits.

The main records management objective of the SDLC is to get the ARO involved in the system design, to ensure that the system owner is aware of the need to integrate records management into the system, and to begin discussing records requirements and retentions.

NOTES

Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

Slide 3-23



If your agency has already made the decision to acquire and implement an Electronic Records Management (ERM) system, or if you are in the process of doing so, the Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications is for you.

This guidance was born of the experience of Federal agency managers whose aim was to have one enterprise-wide ERM system and who received multiple CPIC proposals (Exhibit 300s) from offices within their agencies that were either operating or contemplating acquiring separate ERM systems.

Note: Exhibit 300 is a tool for detailed justifications of a major IT investment.

It helps to coordinate and control the acquisition and implementation of ERM capabilities enterprise-wide by providing basic steps for evaluating CPIC proposals.

NOTES

The primary audience for this document consists of those Federal agencies that have already made the decision to acquire and implement an ERM system. Those agencies that did not acquire and implement an ERM system will still benefit from CPIC guidance, as it details the direction agencies will need to move in the future.

Written from the perspective of an administrator evaluating a portfolio of ERM-related projects, the criteria presented in the guidance provide a set of decision points to help determine whether office-specific ERM systems should be funded independently or integrated with an agency's enterprise-wide ERM system. It may also be useful for agencies in reviewing other CPIC proposals for systems that need ERM functionality.

For detailed information on CPIC, see <http://www.archives.gov/records-mgmt/policy/cpic-guidance.html>.

Recommended Practice: Analysis of Lessons Learned for Enterprise-Wide ERM Projects located at <http://www.archives.gov/records-mgmt/policy/lessons-learned.html>.

NOTES


How Could I Use This in My Agency?

Slide 3-24

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

How Could I Use This in My Agency?

How could I use the decision points in the CPIC guidance in my agency?



Slide 3-24

NOTES

The Federal Enterprise Architecture (FEA)

Slide 3-25

The slide is titled "The Federal Enterprise Architecture (FEA)" and is part of a presentation from "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". It lists the goals of the FEA and its basis in government lines of business.

- The FEA goals are to:
 - Define and align Federal business functions and support IT via a set of common models
 - Identify opportunities to reuse IT assets across Federal agencies
 - Improve effectiveness of IT spending
- The FEA is based the government's lines of business

Slide 3-25

The Federal Enterprise Architecture (FEA) is managed by OMB. FEA equips Federal agencies with a common language and framework to describe and analyze investments, enhance collaboration, and ultimately transform the Federal Government.

The goals of the FEA are to:

- Define and align Federal business functions and supporting IT via a set of common models
- Identify opportunities to reuse and redeploy IT assets across Federal agencies
- Improve effectiveness of IT spending to help yield substantial cost savings and improve service delivery

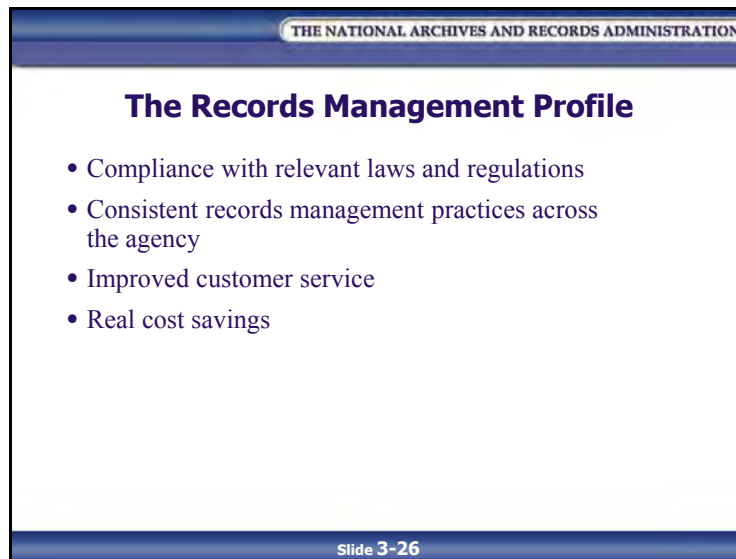
The FEA means that agencies must describe their IT investments in terms of:

- The business operations they will support
- The functional capabilities they intend to deliver
- The supporting technology used to build or deliver the capabilities
- The performance impacts

NOTES

The Records Management Profile

Slide 3-26



Within the work of the FEA, NARA established a Records Management Profile. This profile provides agency decision-makers with a framework for embedding statutory records management requirements and sound records management requirements principles into agency work processes, enterprise architectures, and information systems. This will result in benefits such as:

- Compliance with relevant laws and regulations
- Consistent records management practices across the agency
- Improved customer service
- Real cost savings

The Records Management Profile uses relevant FEA information to help agencies identify and integrate records management requirements into all aspects of agency business operations.

Additionally, the Records Management Profile includes a description of how each FEA reference model addresses records management, and how agencies can use the various records management resources in the Records Management Profile to improve their records management programs.

NOTES

There are three checklists – developed in partnership with the Department of Treasury, the Department of Interior, and NARA – designed to assist agencies in embedding records management and electronic recordkeeping requirements into their business processes and the FEA program:

- Systems Development Life Cycle (SDLC) checklist
- Capital Planning and Investment Control (CPIC) checklist
- Business Process Design (BPD) checklist

For more information on the Records Management Profile, see NARA’s website at <http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

NOTES


How Could I Use This in My Agency?

Slide 3-27

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

How Could I Use This in My Agency?

How could I use the various Records Management Profile models in my agency?



Slide 3-27

NOTES

Toolkit for Managing Electronic Records

Slide 3-28

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Toolkit for Managing Electronic Records

The Toolkit for Managing Electronic Records is a portal where proven ERM guidance tools will be organized and regularly updated. These tools will include:

- Case studies
- Best practice documents
- Process models
- Policies and directives
- Tips and techniques
- Training programs
- Lessons learned
- Presentations

Slide 3-28

NARA's Toolkit for Managing Electronic Records is an organized portal where a collection of proven ERM guidance tools are available. The toolkit offers guidance on topics such as:

- Case studies
- Best practice documents
- Process models
- Policies and directives
- Tips and techniques
- Training programs
- Lessons learned
- Presentations

These practical tools can be used by Federal agencies to promote and implement effective ERM.

The Toolkit for Managing Electronic Records is located at <http://www.archives.gov/records-mgmt/toolkit/>.

NOTES


Electronic Media Storage (EMS)

Slide 3-29

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Electronic Media Storage (EMS)

- NARA can now store electronic media in an environmentally controlled underground records center at our Midwest facility
- This services are currently available in the Washington, D.C., area and at the Fort Worth Federal Records Center



Slide 3-29

NARA stores electronic media in an environmentally controlled underground records center at our Midwest facility. This service is also available in the Washington, D.C., area and at the Fort Worth Federal Records Center.

These state-of-the-art facilities store transitory, short- and long-term electronic records. These facilities are specifically outfitted for both permanent and temporary electronic records stored on physical media such as CDs and magnetic tapes.

NOTES

Lesson Summary

In this lesson, you learned that:

- BPA is a tool to discover how business is conducted
- ISO 15489-1-8 covers design and implementation methodology for a sustainable records management system
- DoD 5015.2 provides a base for your agency to set design criteria standards for RMA software
- SDLC provides a structured and standardized process for all system development efforts
- CPIC provides guidance as an agency acquires and implements electronic records management capabilities
- The goal of FEA is to help the government become citizen-centered, results-oriented, and market-based
- The Records Management Profile is a framework that overlays the interrelated FEA reference models
- The Toolkit for Managing Electronic Records is an organized portal with a collection of proven ERM guidance
- NARA stores electronic media in environmentally controlled storage in several FRCs

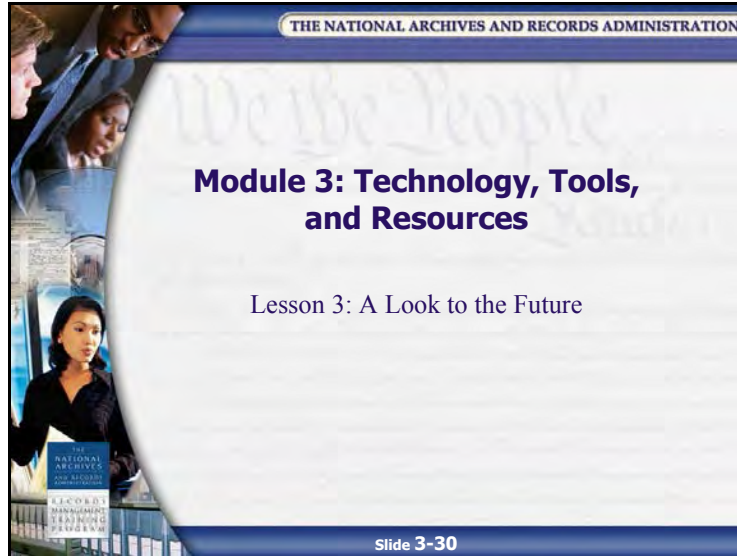
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Lesson 3: A Look to the Future

Slide 3-30



NOTES


Cloud Computing

Slide 3-31

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Cloud Computing

- Cloud computing is a technology that allows users to access and share data and computing services via the Internet or a VPN
- Five essential characteristics
 - On-demand self-service
 - Broad network access
 - Resource pooling
 - Rapid elasticity
 - Measured services



Slide 3-31

Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network (VPN). It gives users access to resources without having to build infrastructure to support storage and maintenance of resources within their own environments or networks. The National Institute of Standards and Technology (NIST) is designated to develop a definition, standards, and guidelines for Federal cloud computing.

NOTES

NIST defines cloud computing as “a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.”

For more information on NIST guidance please visit <http://www.nist.gov/itl/cloud/index.cfm>

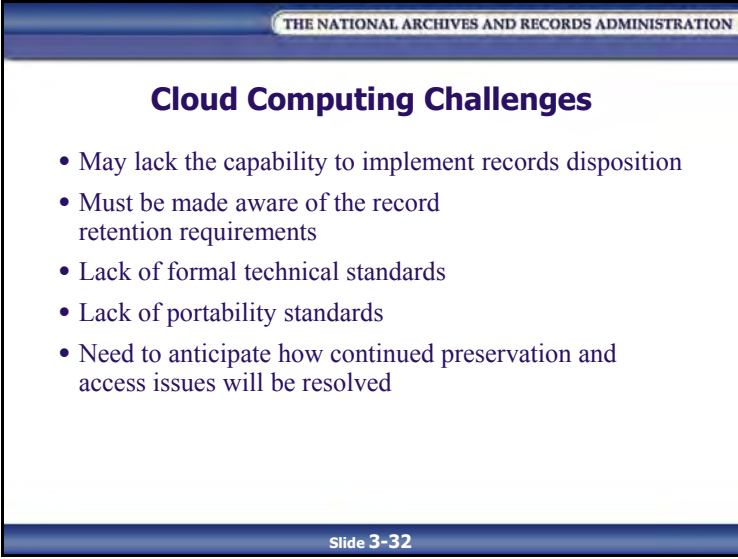
NIST identified five essential characteristics of cloud computing:

- On-demand self-service
 - A consumer can unilaterally provision computing capabilities, such as server time and network storage, as needed automatically without requiring human interaction with each service’s provider
- Broad network access
 - Capabilities are available over the network and accessed through standard mechanisms that promote use by heterogeneous thin or thick client platforms (e.g., mobile phones, laptops, and PDAs)
- Resource pooling
 - The provider’s computing resources are pooled to serve multiple consumers using a multi-tenant model, with different physical and virtual resources dynamically assigned and reassigned according to consumer demand
- Rapid elasticity
 - Capabilities can be rapidly and elastically provisioned, in some cases automatically, to quickly scale out, and rapidly released to quickly scale in
- Measured services
 - Cloud systems automatically control and optimize resource use by leveraging a metering capability at some level of abstraction appropriate to the type of service (e.g., storage, processing, bandwidth, and active user accounts). Resource usage can be monitored, controlled, and reported providing transparency for both the provider and consumer of the utilized service.

NOTES

Cloud Computing Challenges

Slide 3-32



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Cloud Computing Challenges

- May lack the capability to implement records disposition
- Must be made aware of the record retention requirements
- Lack of formal technical standards
- Lack of portability standards
- Need to anticipate how continued preservation and access issues will be resolved

Slide 3-32

NARA identified several records management challenges with cloud computing environments:

- Cloud applications may lack the capability to implement records disposition schedules, including the ability to transfer and permanently delete records or perform other records management functions
- Depending on the application, cloud service providers must be made aware of the record retention requirements governing a given body of Federal records stored in one or more cloud locations
- Various cloud architectures lack formal technical standards governing how data are stored and manipulated in cloud environments
- A lack of portability standards may result in difficulty removing records for recordkeeping requirements or complicate the transition to another environment
- Agencies and cloud service providers should anticipate how continued preservation and access issues will be resolved in a contingency where the cloud service provider's business operations materially change (e.g., bankruptcy), or cease altogether

See NARA Bulletin 2010-05, Guidance on Managing Records in Cloud Computing Environments located at <http://www.archives.gov/records-mgmt/bulletins/2010/2010-05.html>.

NOTES

Social Media Records

Slide 3-33



Social media refers to the various activities integrating Web technology, social interaction, and user-generated content. Social media includes blogs, wikis, social networks, photo libraries, virtual worlds, location-based services, and video sharing sites. Agencies use social media both internally and externally to share information, support business processes and connect people to government. Social media allows individuals to collaborate, create, organize, edit, comment on, combine, and share content, likely resulting in the creation of Federal records.

Social media platforms can be grouped into several categories:

Web Publishing: Platforms used to create, publish, and reuse content:

- Microblogging (Twitter, Plurk)
- Blogs (WordPress, Blogger)
- Wikis (Wikispaces, PBWiki)
- Mashups (Google Maps, popurls)

NOTES

Social Networking: Platforms used to provide interactions and collaboration among users:

- Social networking tools (Facebook, LinkedIn)
- Social bookmarks (Delicious, Digg)
- Virtual worlds (Second Life, OpenSim)
- Crowdsourcing and social voting (IdeaScale, Chaordix)

File Sharing/Storage: Platforms used to share files and host content storage:

- Photo libraries (Flickr, Picasa)
- Video sharing (YouTube, Vimeo)
- Storage (Google Docs, Drop.io)

When using Web 2.0 and social media platforms, the following nonexhaustive list of questions may help determine record status:

- Is the information unique and not available anywhere else?
- Does it contain evidence of an agency's policies, business, mission, etc.?
- Is this tool being used in relation to the agency's work?
- Is use of the tool authorized by the agency?
- Is there a business need for the information?

If the answers to any of the above questions are yes, then the content is likely a Federal record.

For more information, please visit

<http://www.archives.gov/records-mgmt/bulletins/2011/2011-02.html>.

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Social Media Challenges

Slide 3-34

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Social Media Challenges

- Recordkeeping in a collaborative environment
- Content located in multiple places
- Ownership and control of data that resides with a third party
- Identification of records
- Implementation of records schedules
- Capture of frequently updated and complete records
- Public expectations
- Handling personally identifiable information

Slide 3-34

Due to the dynamic and collaborative nature of social media, agencies face the following challenges:

- Recordkeeping in a collaborative environment
- Content located in multiple places
- Ownership and control of data that resides with a third party
- Identification of records
- Implementation of records schedules, including the ability to transfer and permanently delete records or perform other records management functions
- Capture of frequently updated records
- Capture of complete records in a manner that ensures their authenticity
- Public expectations that all Web content is both permanently valuable and accessible
- Handling of records containing personally identifiable information

How to address challenges

Agencies must articulate clear processes, policies, and recordkeeping roles and responsibilities to ensure social media records are identified, managed, and captured.

NOTES

The Web

Slide 3-35

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

The Web

- It is more than a place to post, browse, and share textual information
- The Web can be:
 - A static repository
 - A dynamic repository
 - Used for communication
 - Query driven
 - Used for information interaction

Slide 3-35

The Web is more than a place to post, browse, and share textual information. It is a place for experiencing and sharing more complex information, for commerce, and interactive applications.

How do AROs and archivists view the preservation of a website's information?

As organizations increase Web usage, questions arise about who controls the accuracy of information posted; whether the information is credible and up-to-date; and issues of ownership of the content.

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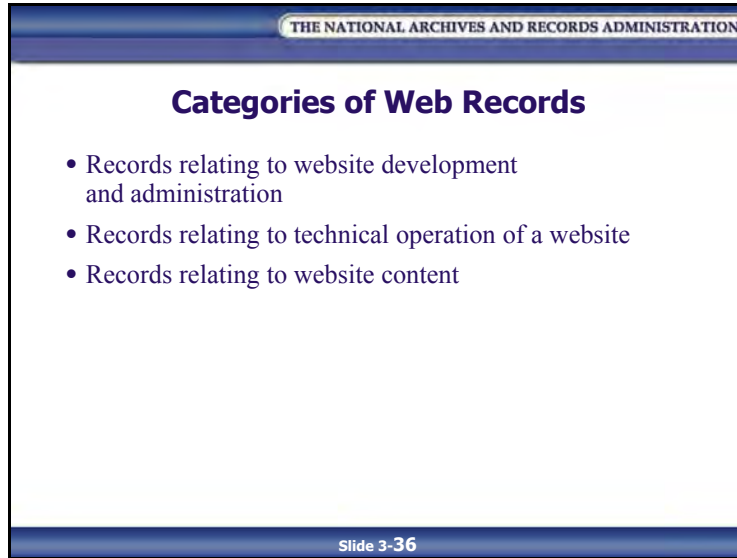
How websites are used:

- **Static repository** – This repository is used to view and download agency publications, but is infrequently updated
- **Dynamic repository** – This is the same as a static repository, but materials are changed more frequently to keep information accurate and relevant
- **Communications** – Messages sent by the public via Web mailboxes are generally captured in the agency email system. As a result, they are not part of the website.
- **Query-driven** – A website serves as a front-end interface for databases and other “back-end” services that are updated frequently
- **Information interaction** – A website is a significant mechanism for public interaction: electronic fill-in forms, electronic town meetings, soliciting comments, etc. Information supplied by end users and displayed on the site changes frequently.

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Categories of Web Records

Slide 3-36



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Categories of Web Records

- Records relating to website development and administration
- Records relating to technical operation of a website
- Records relating to website content

Slide 3-36

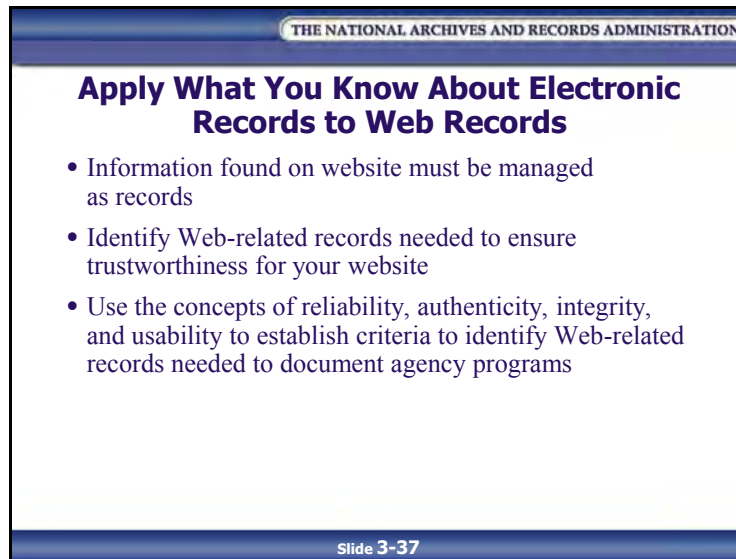
There are three categories of Web records:

- Records relating to website development and administration
- Records relating to technical operation of a website
- Records relating to website content

NOTES

Apply What You Know About Electronic Records to Web Records

Slide 3-37



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Apply What You Know About Electronic Records to Web Records

- Information found on website must be managed as records
- Identify Web-related records needed to ensure trustworthiness for your website
- Use the concepts of reliability, authenticity, integrity, and usability to establish criteria to identify Web-related records needed to document agency programs

Slide 3-37

You need to apply what you have learned about electronic records to Web records. You must identify those Web-related records needed to ensure trustworthiness for your website. Use the concepts of reliability, authenticity, integrity, and usability to establish criteria to identify Web-related records needed to document agency programs.

The following list contains some of the major types of information found on websites that must be managed as records. These types of information may exist in electronic or nonelectronic format.

Types of website records:

- HTML-encoded pages
- Images of Web content pages
- Listings of URLs referenced by a site
- Records generated interactively on the Web
- Web design records
- Copyrighted webpage content and records documenting use of such content

NOTES

Management and Disposition of Web Records

Slide 3-38

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Management and Disposition of Web Records

- Manage Web records by preserving their content, context, and structure
- Include websites and website-generated records in your retention schedules
- Assess
 - Business needs
 - Risk
- Consider
 - Whether Web content is available elsewhere
 - Government accountability
 - Legal rights

Slide 3-38

Manage Web records by preserving their content, context, and structure. Be sure to include websites and website-generated records in your records schedules.

- Assess
 - Business needs
 - Risk
- Consider
 - Whether Web content is available elsewhere
 - Government accountability
 - Legal rights

For NARA guidance, see <http://www.archives.gov/records-mgmt/policy/managing-web-records-index.html>.

NOTES

Lesson Summary

In this lesson, you learned that:

- Cloud computing consists of five essential characteristics:
 - On-demand self-service
 - Broad network access
 - Resource pooling
 - Rapid elasticity
 - Measure service
- Agencies use social media both internally and externally to share information, support business processes and connect people to government
- Manage Web records by preserving their content, context, and structure
- NARA is responding to the records management challenges of the 21st century with various tools and resources

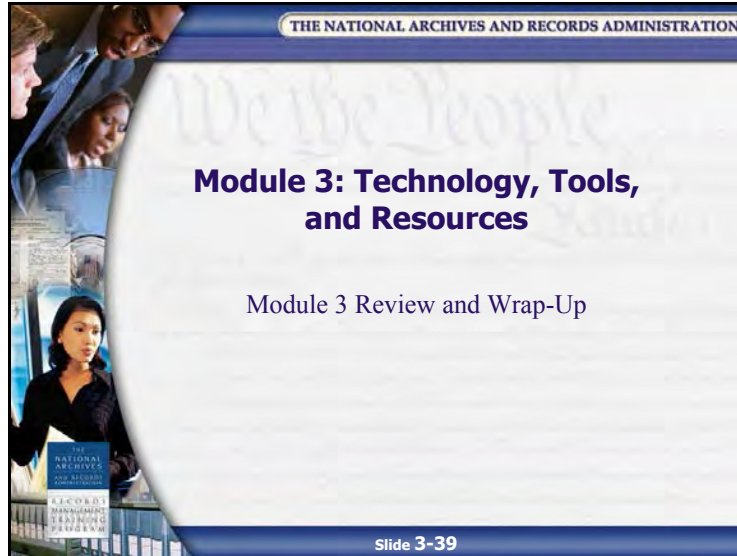
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Module 3 Review and Wrap-Up

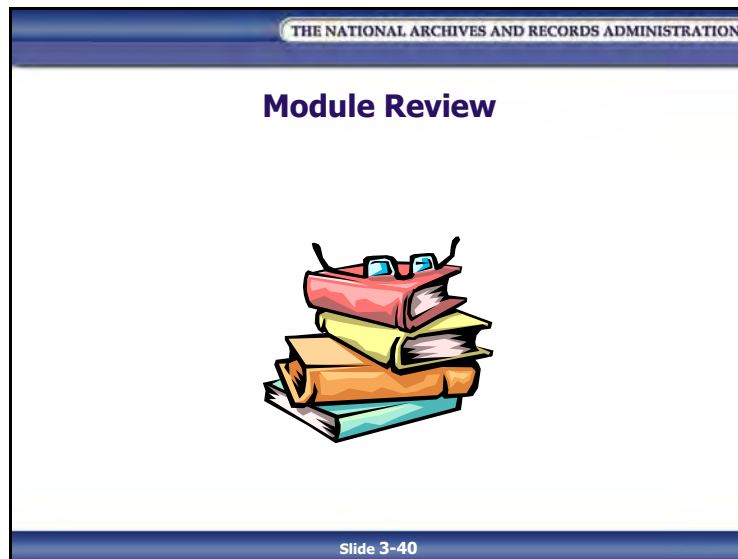
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Module Review

Slide 3-40



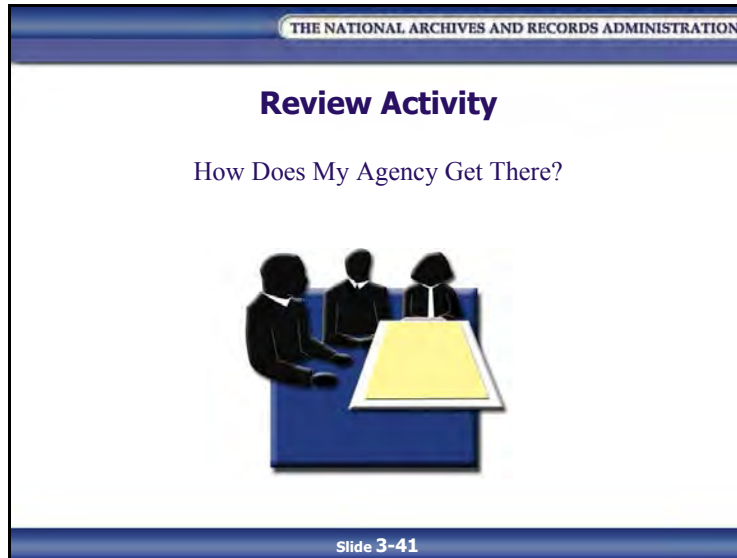
In Module 3, you learned:

- How records management is managed by most Federal agencies in today's environment
- That there are many records management challenges in today business environment
- That there are tools available for implementing effective records management strategies
- Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network (VPN)
- Agencies use social media both internally and externally to share information, support business processes, and connect people to government
- Agencies must include websites and website-generated records in their records retention schedules

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Module Review Activity

Slide 3-41



Review Activity: How Does My Agency Get There?

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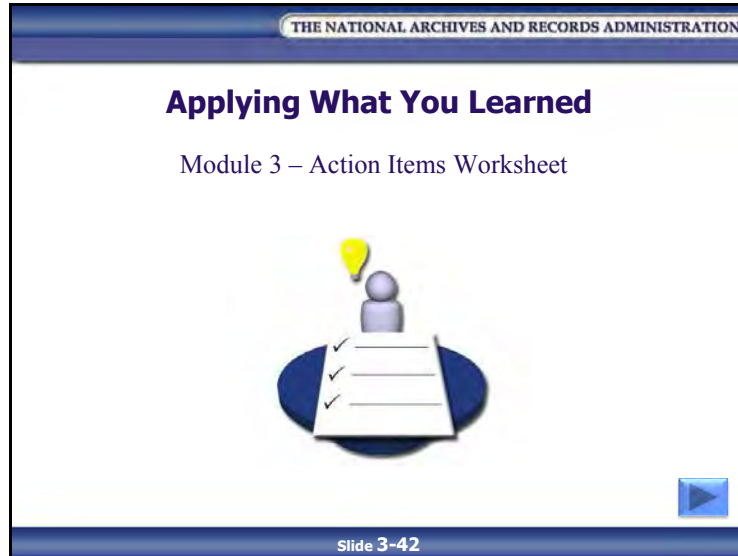
Table 3-3: How Does My Agency Get There? Worksheet

No.	Determine the TOP TWO PRIORITIES for your agency so it can move toward a 21st century Records Management Program. Justify your choices.	Whom must you involve to help you address this priority?	What tools or resources will you use to help you address this priority?
0.	Example: We must schedule records in a program's Case Management System. Although the system has been in use for two years, there is no schedule, and the data are clearly "records."	Example: Program Manager, System Administrator, Records Liaison, Agency Contractor	Example: DoD 5015.2; ISO 15489-1-8 My agency's NARA appraisal archivist
1.			
2.			

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Applying What You Learned

Slide 3-42



Reflect upon what you have learned in Module 3 and how you will apply it to your job.

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Module 3 – Action Items Worksheet

What did I learn about technology, tools, and resources for records management that will help me at my job?

List at least one thing that you learned about technology, tools, and resources for records management that is relevant to your records management roles and responsibilities.

How will I apply what I learned about technology, tools, and resources and the way records management should be handled in the future, that will apply to my job?

List at least one thing you learned about technology, tools, and resources and the way records management should be handled in the future that you will apply to your job, and explain how you will apply it.

What “aha!” moments did I have during this module?

List any “aha!” moments you experienced during this module.

(As an example, “Computers fundamentally changed the way records management is handled!?! Aha!”)

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**Participant Guide
January 2017**

Knowledge Area 1: Records Management Overview

Course Wrap-Up

THE
NATIONAL
ARCHIVES
AND RECORDS
ADMINISTRATION

RECORDS
MANAGEMENT
TRAINING
PROGRAM

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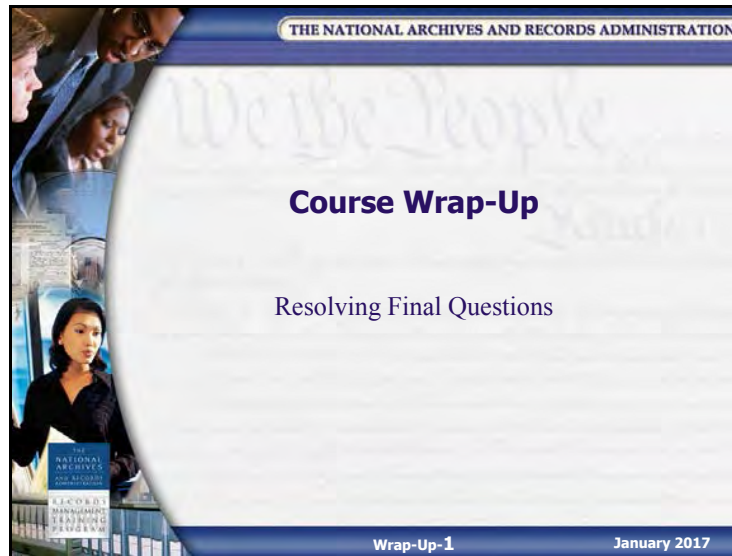
Table of Contents

Final Questions.....	PG Wrap-Up-1
Resolving Final Questions	PG Wrap-Up-1
Where to Go for Help	PG Wrap-Up-3
Help Resources	PG Wrap-Up-3
Course Evaluation.....	PG Wrap-Up-7

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Final Questions

Slide Wrap-Up-1



Resolving Final Questions

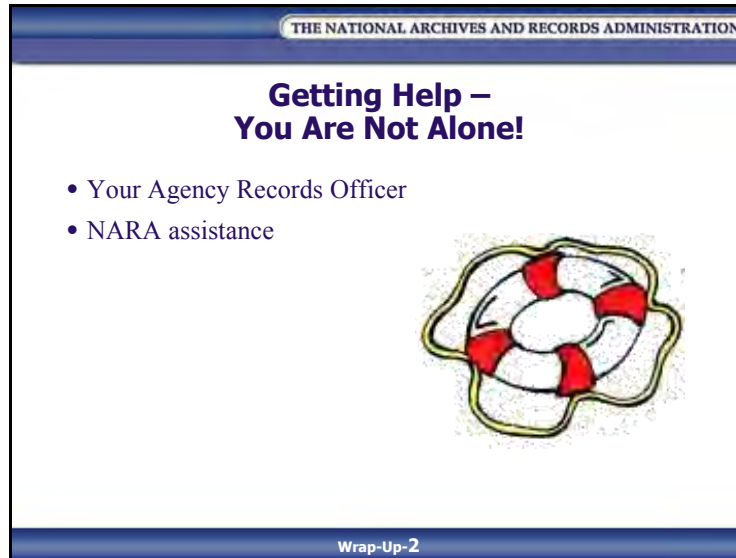
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Where to Go for Help

Slide Wrap-Up-2



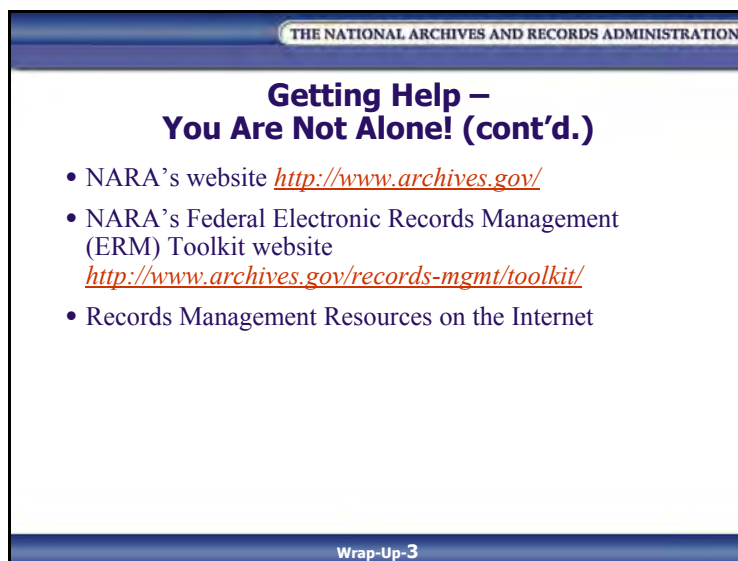
Help Resources

Help is available.

- Your Agency Records Officer (ARO) should be your first source for records management inquiries
- NARA's Contact Information for Federal Agency Appraisal and Scheduling Teams posted on the NARA website at <http://www.archives.gov/records-mgmt/appraisal>
- NARA's Records Control Schedule Repository (RCS) located at <http://www.archives.gov/records-mgmt/rcs>
- NARA's Records Management Training Program website at <http://www.archives.gov/records-mgmt/training>
- NARA's Bulletins are located at <http://www.archives.gov/records-mgmt/bulletins>
- NARA's Frequently Asked Questions (FAQs) on records management are located at <http://www.archives.gov/records-mgmt/faqs>

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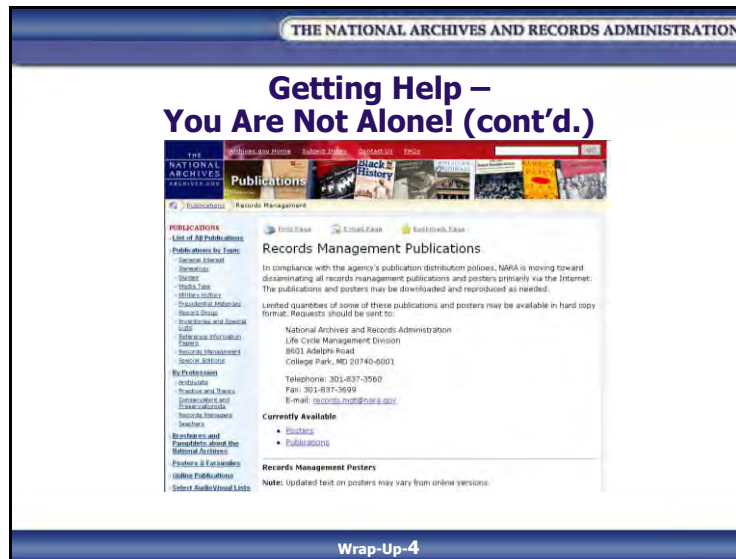
Slide Wrap-Up-3



- NARA's website <http://www.archives.gov/>
- NARA's Federal Electronic Records Management (ERM) Toolkit website
<http://www.archives.gov/records-mgmt/toolkit/>
- NARA's Email Management webpages <http://www.archives.gov/records-mgmt/email-mgmt.html>
- **Reference 02** – Records Management Resources on the Internet, located in the References section of your PG

NOTES

Slide Wrap-Up-4



- Publications and Posters
 - The publications and posters may be downloaded via NARA's webpages and they can be reproduced as needed. Refer to NARA's website for publications and posters at <http://www.archives.gov/publications/records-mgmt.html>.
 - NARA's Records Management Web Pages at: www.archives.gov/records-mgmt

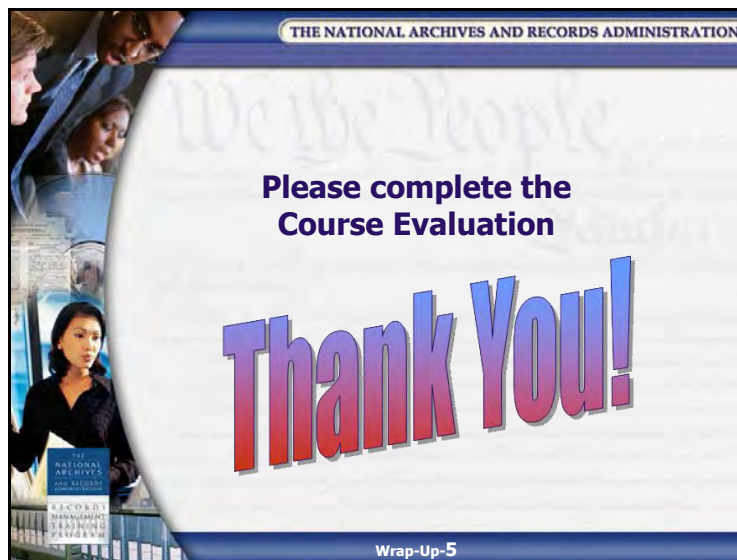
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Course Evaluation

Slide Wrap-Up-5



Thank you for supporting NARA's Records Management Program. We value your opinion of our training course. Please take a few minutes to complete the course evaluation once it is available at NARA's Learning Center: <https://nara.csod.com/>. Availability should be no later than 24 hours after the course's conclusion.

Note that participants must complete and submit their course evaluation in NARA's Learning Center before they can receive their course certificate.

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The NARA Learning Center

If I had an account in the last learning management system (LMS), how do I access the Learning Center and request a password for access?

1. Visit <https://nara.csod.com>.
2. Click the **Forgot Password?** Link.
3. Enter your email address in the **login credential** field and click submit.
4. You will receive an email with a link to reset your password.

Your login will be the email address. You can reset your password using the Forgot Password? feature at any time.



If I have trouble accessing the Learning Center, who do I contact for help?

If you encounter problems accessing the Learning Center, please request assistance using this link: <https://clientsupport.eskillz.com/Launch/LiveSupport.aspx?RoomID=355>. Be prepared to provide your first and last name, email address, phone number, and a description of the problem you're having.

How do I see what Records Management Training Courses are available if I do not have an account?

Copy and paste this URL into your browser:

<https://nara.csod.com/default.aspx?c=%255e%255e%255ePmn2Ns5zyP6NG9q6M1ZXfw%253d%253d>. You will be able to view the course catalog and other information about the training program.

I did not have an account in the old LMS. How do I create an account in the new Learning Center?

Copy and paste this URL into your browser:

<https://nara.csod.com/default.aspx?c=%255e%255e%255ePmn2Ns5zyP6NG9q6M1ZXfw%253d%253d> Click the Create an Account button.

My transcript is missing some of my coursework history. How do I report missing learning records?

Please note that the transcript history for the initial release contains a limited set of records. We will be loading historical data over the coming weeks. If you are missing transcript history for the Records Management Training Program and need that information, please email RMT1@nara.gov.

How do I register and pay for courses?

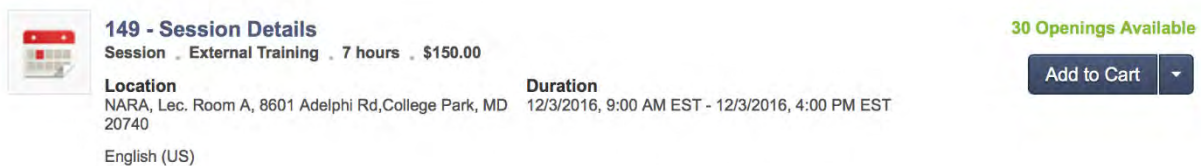
1. After you login, hover over Learning and select **Browse for Training** or **Events Calendar**.



2. Click on the course you want to attend.



3. The course description will be displayed with the course sessions that are available. The session details include the class location, dates, times, and cost. Click **Add to Cart** next to the session that you want to attend.



4. When you are done adding courses, click **Proceed to Checkout**. On the next screen, select Invoice as the billing method and click **Next**.



Procedures for NARA's Online Learning Center Handout W.01

5. Review your order and click **Place Order**. You will receive an email confirming your request for the course and an email confirming the pending payment status of your request. Both emails contain information on how to submit your payment.

We will enable credit card payments in the shopping cart in the coming months so that you can complete your payment without sending us any forms.

Title	Quantity & Price	Subtotal
Knowledge Area 6 (KAG) Record...	1 x \$150.00	\$150.00
Subtotal:		\$150.00
Total:		\$150.00

What is ARCIS?

Archives and Records Centers Information System (ARCIS) is a Web-based IT system of the Federal Records Centers Program (FRCP) of the National Archives and Records Administration. The system is the online portal through which agencies can do business with the FRC facilities.

ARCIS is a secure system that runs on standard browsers, allowing agencies to conduct transactions online, saving time and reducing paperwork. It allows for the tracking of agency transactions electronically, giving instance access to information about your records.

ARCIS can expedite your data entry. The system saves your profile, so frequently entered information, such as your record group and your mailing address, is filed in automatically every time you log in. There are easy-to-use drop-down menus that allow you to select the right option for your transaction.

An upgraded version of ARCIS is now available. In addition to Reference Requests, there are three new interdependent modules: User Administration, Access Controls, and Records Transfers.

The User Administration module gives Agency Records Officers complete control over:

- How many users have access to the system
- Who those users are
- What they are allowed to do:
 - Create records transfers and reference requests
 - Give authority to approve and submit records transfer to the National Archives
 - Create other administrators to distribute workload in a hierarchical structure

Access Controls restrict users to the records with which they can interact via:

- Records Center
- Record Group
- Charge Account (if the Record Group uses stratified billing)
- Security Classification and Security Level
- Branch (optional)
- Agency Defined Fields (optional)

The Records Transfers module enables:

- Creation of an SF 135 (Records and Transmittal and Receipt) online
- Submission of a new SF 135 directly to an FRC facility
- Forwarding of a new SF 135 to an agency internal approver prior to submission to an FRC facility
- Limitation of users so they can only create specific attributes of a new records transfer as defined by the users access rights

Once the Records Transfer module is turned on for your agency, it will replace the current SF 135 process.

Are Agencies required to use ARCIS for reference requests?

Agency are not required to use ARCIS, however, submitting a reference request using ARCIS is highly recommended as it provides the agency with 100% tracking information for the processing and shipping of the request.

How do I sign up for ARCIS?

For assistance in getting an ARCIS account please contact the ARCIS help desk at arcishelp@nara.gov or 314-801-9300.

Is there ARCIS Training?

The Federal Records Centers have developed a number of resources to help you learn about ARCIS. The FRCP offers computer-based training tutorials on a number of topics that you can review anytime and learn at your own pace. From time to time, there are free, instructor-led webinars and instructor-led training on individual ARCIS modules. You can also download the ARCIS manual at <http://www.archives.gov/frc/training/>.

What is ERA?

The Electronic Records Archives (ERA) is the National Archives and Records Administration's (NARA) system that allows Federal agencies to perform critical records transactions with NARA online. ERA is designed to preserve and manage NARA's electronic records and to manage the lifecycle of records and other holdings, including support for records retention schedules and the accessioning process for all Federal records.

ERA does more than just store data. ERA provides a true digital archive that complies with all laws and regulations that apply to Federal, Presidential, and Congressional records. ERA also provides workflow support for many of the transactions that occur between NARA and its agency customers to process and preserve electronic records.

ERA also makes certain unstructured electronic records available to the public through the Online Public Access (OPA) tool at <http://www.archives.gov/research/search/>.

Are agencies required to use ERA?

NARA Bulletin 2012-03, issued August 21, 2012, informed Federal agencies that, beginning October 1, 2012, they are instructed to use ERA for scheduling records and transferring permanent records to the National Archives. NARA will revise the Code of Federal Regulations (CFR) and other publications regarding the use of ERA, and until NARA issues the CFR revisions, agencies should follow the instructions in NARA Bulletin 2012-03.

For the complete text of the bulletin, please go to <http://archives.gov/records-mgmt/bulletins/2012/2012-03.html>.

Who uses ERA and what does it do?

Federal agencies use NARA's ERA to:

- Perform records management transactions online
- Draft new records retention schedules (SF 115s) for records *in any format*
- Officially submit records retention schedules (SF 115s) for approval
- Request the transfer of permanent records (SF 258s) in any format for accessioning or pre-accessioning
- Submit electronic records for storage in the ERA electronic records repository

NARA staff use ERA to:

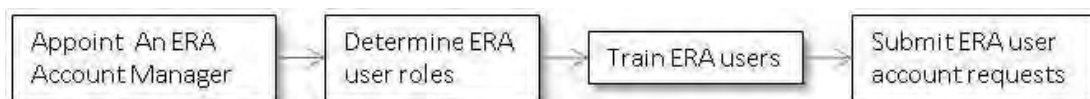
- Review and approve or reject proposed record schedules
- Review and approve or reject transfer requests that authorize an agency to transmit records to NARA
- Review and approve or reject legal transfer instruments

- Create and submit a transfer request on behalf of an agency or a legacy migration transfer on behalf of NARA
- Package legacy NARA electronic records, as well as other files received by NARA on behalf of an agency and send them to ERA
- Ingest digital records
- Document certain discrepancies; NARA accessioning staff will document transfer discrepancies via the transfer processing results – which is visible to agencies but not editable

Watch a You-Tube video of ERA in the process of accessioning records at <http://www.youtube.com/watch?v=lnXpaAXcCvk>

How do agencies get started using ERA?

Getting started in ERA is a four step process, as illustrated below:



Step One – Appoint an ERA Account Manager

The ERA Account Manager is the person within an agency who approves user access to ERA. Frequently, the Agency Records Officer serves as the ERA Account Manager. The Agency Records Officer should email the name of the ERA Account Manager to ERAaccounts@nara.gov.

Step Two – Determine ERA User Roles

ERA is a role-based system. Individuals approved to function in a particular role can access the screens needed to perform that function and take certain actions, such as submitting records schedule (SF 115) and transfer requests (SF 135 and 258) information. More than one person can be assigned multiple roles, and one person can be assigned many or all of the roles.

Permissions determine what functions ERA and NARA users can view and access. Agency users can access record schedules and transfer requests for their agency only. NARA users will have access to multiple agencies.

Roles for Scheduling Records

- Records Scheduler: This role should be assigned to users who will be preparing records schedules and submitting them to the Certifying Official for approval
- Certifying Official: This role should be assigned to users who will be certifying that the agency is officially submitting records schedule information to NARA for approval. The paper equivalent of this role is the person who signs in Box 6 of the SF 115.

Roles for Transferring Permanent Records to NARA

- Transferring Official: This role should be assigned to users who will create transfer requests and submit them to the Transfer Approving Official for approval
- Electronic Transfer Staff: For electronic records transfers only, this role should be assigned to users who will package and transmit electronic files to ERA via an electronic transfer method
- Transfer Approving Official: This role should be assigned to users who have authority to approve transfer requests and legal transfer instruments on behalf of the agency. The paper equivalent of this role is the person who signs in Box 2A of the SF 258.

Step Three – Train ERA users

Once the ERA Account Manager has identified the agency staff and their roles, the staff members must complete online training before they can obtain an ERA user ID and password.

Online training is available at <http://www.archives.gov/era/training/>.

Scheduling Records training contains two lessons:

- Lesson 1 – Creating a Records Schedule
- Lesson 2 – Creating Record Schedule Items

Transferring Records training contains six lessons:

- Lesson 1 – Creating a Transfer Request
- Lesson 2 – Submitting a Transfer Request to NARA
- Lesson 3 – Preparing Files for Transfer Using the Packaging Tool (Agency)
- Lesson 4 – Finalizing the Creation of a Package (Agency)
- Lesson 5 – Transferring Electronic Files into ERA via HTTPS
- Lesson 6 – Secure File Transfer Protocol

The ERA Agency User Manual and other support materials are located here <http://www.archives.gov/records-mgmt/era/>.

Step Four – Submit ERA User Account Requests

After training, staff members submit a request for a NARA user account by completing an online ERA User Account Request Form (NA 3070 – see link below). Staff should submit the form to the NARA Account Representative who reviews the information and sends it via email to the agency ERA Account Manager. The ERA Account Manager approves the user account request by typing “approve” in the body of the email and sending it back to the NARA Account Representative. The ERA help desk will then contact the new user and arrange for a user ID and temporary password to be established for the user.

Link to ERA Account Request Form <http://www.archives.gov/forms/era/era-account-request.html>.

How does the paper SF-258 map to ERA Transfer Request (TR) fields?

To help users transition from paper forms to ERA, cross-walk documents have been created to show how SF 258 fields correspond to ERA Transfer Request (TR) fields for:

- Textual Records
- Motion and Analog Records
- Stills and Digital Records
- Electronic Records

All cross-walk documents are included in the ERA Agency User Manual Appendix. Individual cross-walk documents can also be found here <http://www.archives.gov/records-mgmt/era/crosswalk.html>.

How is a legacy schedule added to ERA?

In order to create a transfer request in ERA, the user must select the disposition authority for the records. Not all currently approved disposition authorities have been entered into ERA. Records Management Services (ACNR) is implementing a project to systematically enter legacy disposition authorities into ERA. In the meantime, ACNR will enter legacy disposition authorities upon request. To request entry of a legacy disposition authority:

1. Send your request via email to legacy.schedule@nara.gov. Your request must be a complete disposition authority citation (NARA SF 115 job number and item number). We will not accept manual citations.
2. You will receive a confirmation email. The authority should be entered and available within two business days of receipt of the request. If you request more than five (5) authorities in one day, NARA cannot guarantee the request will be fulfilled within 48 hours. If you need to request more than five (5) authorities, please submit your request and we will give you an estimate on how long it will take to enter them in the system.
3. You will receive a message from legacy.schedule@nara.gov when the disposition authority is ready for use

ERA Connectivity

ERA is accessed via the Internet. It works best using Firefox, Chrome, or Internet Explorer through Version 10. There are technical issues that may prohibit other browsers from working effectively with ERA.

Users should contact ERAhelp@nara.gov with questions about browser compatibility.

NARA will need the range of Internet Protocol (IP) addresses each agency uses. Send questions to ERAaccounts@nara.gov, which can provide additional information.

Link to ERA log-on page

The ERA log-on screen for agency and NARA users is here <http://www.archives.gov/records-mgmt/era/>.

Help for all ERA users – Agency and NARA

For technical ERA system issues such as resetting of passwords, etc., all users should call the ERA Help Desk. Agency personnel who have questions about record schedules, transfer requests or other records management business processes should contact their agency's NARA representative at

<http://www.archives.gov/records-mgmt/appraisal/index.html>.

- The ERA Help Desk can be reached from 6 a.m. to 8 p.m. EST at 1-877-372-9594
- The ERA Help Desk can be reached by email. Send questions to ERAHelp@nara.gov.

NARA Staff (non-Agency) Training Materials

- Online Training: [NARA Staff ERA Training: Non-electronic Transfer](#)
- [ERA Internal User Manual – Textual Accessioning](#)
- [ERA Internal User Manual – Special Media Accessioning](#)
- [ERA Internal User Manual – Electronic Records](#)

All the above manuals are located here: http://www.nara-at-work.gov/project_information/era/index.html.

NOTE: These links are only accessible inside NARA's firewall.

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EPA Interim Records Management Policy

A PDF version of this document can be found on the Internet at
<http://www.epa.gov/records/policy/2155/CIO-2155.2.pdf>.

EPA INFORMATION POLICY

EPA Classification No.: CIO 2155.2	CIO Approval Date: 06/28/13
CIO Transmittal No.: 13-005	Review Date: 06/28/14

*Issued by the EPA Chief Information Officer,
Pursuant to Delegation 1-19, dated 07/07/2005*

INTERIM RECORDS MANAGEMENT POLICY

1. PURPOSE

The Interim Records Management Policy is issued to renew Agency focus on overall records management responsibilities; Individual offices may determine it is necessary to further strengthen their existing program. This policy establishes principles, responsibilities, and requirements for managing EPA's records to ensure that the Agency is in compliance with federal laws and regulations, EPA policies, and best practices for managing records. This Agency-wide policy provides the framework for specific guidance and detailed operating procedures governing records management organization and implementation.

2. SCOPE AND APPLICABILITY

This Interim Policy addresses all records made or received by EPA under federal law or in connection with the transaction of public business, and preserved or appropriate for preservation as evidence of EPA functions, organization, and activities or because of the value of the information they contain.

This Policy applies to all EPA Headquarters, Regional, Laboratory and other organizations.

3. AUDIENCE

The audience for this Interim Policy includes all EPA organizations, officials, and employees, as well as contractors or grantees, and others operating on behalf of EPA.

4. BACKGROUND

- a. The Federal Records Act of 1950, as amended, requires all federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and

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regulations.

- b. The Federal Records Act also requires agencies to establish a records management program, defined as a planned, coordinated set of policies, procedures, and activities needed to manage its recorded information. Essential elements include issuing up-to-date records management directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.
- c. Records serve a number of purposes including: administrative and program planning needs, evidence of EPA activities, protection of legal and financial rights, oversight by Congress and other authorized agencies, documentation of the Agency's history, and the continuation of key functions and activities in the event of an emergency or disaster. Records serve as the Agency's memory; they are of critical importance in ensuring that the organization continues to function effectively and efficiently.

5. AUTHORITY

- a. 44 U.S.C. Chapter 31 – Records Management by Federal Agencies (Federal Records Act) (<http://www.archives.gov/about/laws/fed-agencies.html>)
- b. 44 U.S.C. Chapter 33 – Disposal of Records (<http://www.archives.gov/about/laws/disposal-of-records.html>)
- c. 44 U.S.C. Chapter 35 – Coordination of Federal Information Policy (Paperwork Reduction Act of 1980, as amended, Paperwork Reduction Reauthorization Act of 1995, and Government Paperwork Elimination Act) (<http://www.archives.gov/about/laws/fed-information-policy.html>)
- d. 36 CFR Chapter XII, Subchapter B – Records Management ([http://www.ecfr.gov/...](http://www.ecfr.gov/))
- e. OMB Circular A-123 – Management's Responsibility for Internal Control (http://www.whitehouse.gov/omb/circulars/a123/a123_rev.html)
- f. OMB Circular A-130 – Management of Federal Information Resources (<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>)
- g. U.S. EPA, National Security Emergency Preparedness Policy (Order 2040.1A1)
- h. U.S. EPA, Uniform Continuity of Operations (COOP) Plan Policy (Order 2030.1)
- i. Federal Emergency Management Agency (FEMA) Federal Preparedness Circular 65 - Federal Executive Branch Continuity of Operations (COOP)
- j. Presidential Memorandum, Managing Government Records, November 28, 2011
- k. Memorandum for the Heads of Executive Departments and Agencies and Independent Agencies, from Office of Management and Budget and National Archives and Records Administration, Managing Government Records Directive, August 24, 2012

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6. POLICY

This Interim Policy establishes specific requirements under which EPA records are effectively and efficiently managed throughout their lifecycle to facilitate the accomplishment of EPA's programmatic and administrative missions, to preserve official EPA records in accordance with applicable statutory and regulatory requirements, and to promote access to information by EPA staff, EPA partners, and the public, as appropriate.

Official Agency business should first and foremost be done on official EPA information systems (i.e., email, instant messaging (IM), computer work stations, shared service solutions, etc.). When, due to extraordinary circumstances, this does not occur, the creator must ensure that any use of a non-governmental system does not affect the preservation of Federal records for Federal Records Act purposes, or the ability to identify and process those records, if requested, under the Freedom of Information Act (FOIA) or for other official business (e.g., litigation, Congressional oversight requests). In this very rare occasion, staff should forward email (or "cc" email) or electronic file(s) to their EPA email account in order for records to be captured in an approved EPA records management system. Once the electronic files have been captured in an approved EPA records management system, they should be removed from non-EPA information systems, unless there is a specific obligation to maintain the files on all systems on which they appear. Additionally, emails forwarding a news article or web link from a personal email account into EPA's system and emails forwarding a document to a personal email account to enable printing or viewing both create a copy of the email in EPA's email system. Users can properly preserve the copy of the email that is on EPA's system to meet their preservation requirements.

Users of instant messaging or other transient technologies are responsible for ensuring that IMs that result in the creation of a federal record are saved for Federal Records Act purposes.

Use of personal social media tools is prohibited for conducting EPA business, for example, but not limited to, Facebook and Twitter.

Each office within EPA is required to establish and maintain a records management program with the following minimum requirements:

- Create, receive, and maintain official records providing adequate and proper documentation and evidence of EPA's activities.
- Manage records, in any format (e.g., paper, email, IMs, electronic documents, spreadsheets, presentations, images, maps, video, blogs, and other social media tools that generate communications), in accordance with applicable statutes, regulations, and EPA policy and guidance.
- Maintain electronic records, (e.g., email, IMs, electronic documents, spreadsheets, presentations, images, video, blogs, and other social media tools that generate communications), in an approved electronic records management system.
- Migrate electronic records in legacy systems to an EPA approved electronic records management system, when feasible.
- Print and file records in a paper recordkeeping file system when an approved electronic records management system is not available.

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- f. Maintain records according to the Agency-wide file structure allowing for timely access and retrieval.
- g. Secure records to protect the legal and financial rights of the government and persons affected by government activities.
- h. Implement a plan to protect essential records and assess damage to and the recovery of any records affected by an emergency or disaster.
- i. Ensure instructions for disposition of records as specified in the approved records schedules are followed.

7. RELATED DOCUMENTS

- a. EPA Records Management Manual.
- b. Additional documents, including forms, guidance and other relevant information are maintained on EPA's records management Web site. (<http://www.epa.gov/records/>)
- c. International Standard ISO 15489-1:2001 – Information and documentation – Records management – Part 1: General.
- d. International Standard ISO/TR 15489-2:2001 – Information and documentation – Records management – Part 2: Guidelines.

8. ROLES AND RESPONSIBILITIES

- a. The Administrator is responsible for creating and preserving records that adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of EPA. This responsibility is delegated to the Assistant Administrator for the Office of Environmental Information (OEI).
- b. OEI is responsible for leadership, planning, overall policy, guidance, and general oversight of records management in the Agency, and its incorporation into the broader information resources management framework. OEI will:
 - 1. Incorporate records management requirements and policies into the Agency's overall information resources management (IRM) policy and planning.
 - 2. Designate an Agency Records Officer responsible for:
 - Leading and managing the Agency-wide national records management program.
 - Ensuring Agency senior officials are aware of their programmatic and individual records management responsibilities.
 - Advising EPA on records management issues and developing Agency-wide records management policies, procedures, guidance, and training materials.

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- Coordinating the approval of the Agency's records schedules and the transfer of records to the National Archives.
 - Coordinating records management issues with other federal agencies, including federal oversight agencies such as the Office of Management and Budget (OMB), National Archives and Records Administration (NARA), and the General Services Administration (GSA).
 - Providing technical advice and training to all Agency organizations on establishing and maintaining effective records management programs.
 - Evaluating recordkeeping practices to determine the effectiveness of the program.
3. Promulgate and communicate Agency-wide policies and guidance that reflect records management missions and goals and incorporate federal requirements.
 4. Designate other records management staff as required by regulations.
 5. Assign overall responsibility for the records management aspects of centrally provided information technology infrastructure, including national local area network applications.
 6. Ensure that senior Agency officials are aware of their records management responsibilities.
 7. Conduct periodic evaluations of records management programs within the Agency as part of the Agency's IRM review and oversight program.
- c. Assistant Administrators, Chief Financial Officer, General Counsel, Inspector General, Regional Administrators, and Laboratory/Center/Office Directors are responsible for:
1. Designating a Records Liaison Officer (RLO) accountable to the Information Management Official (IMO) or other official designated to oversee the program.
 2. Ensuring the RLO has adequate skills, resources, time, and appropriate authority to perform the job.
 3. Implementing a records management program within their area of responsibility to accomplish the objectives identified in federal regulations and EPA policies and procedures. Minimum program components include responsibilities for:
 - Identifying recordkeeping requirements for major programmatic and administrative records.
 - Evaluating the value of records within their span of responsibility to serve as a basis for assigning records retention and disposition instructions, determining which records within their physical or legal custody are essential, and implementing the most responsive and cost-effective means for managing records.
 - Developing file plans and indexing approaches where appropriate to simplify the use of, access to, and integration of information within the

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organization.

- Drafting and updating records schedules for records created and maintained by the organization.
 - Implementing approved records schedules to ensure that records are not destroyed without proper authorization.
 - Reviewing file plans and procedures at least every three years to ensure they are current and updating them as necessary.
 - Assisting in planning and implementing information management technology and reviewing the purchase of records management equipment and services to ensure they conform to federal statutory and regulatory requirements.
 - Implementing an essential records plan to ensure the continuation of key functions and activities in the event of an emergency or disaster.
 - Providing oversight for contractors, grantees, or other non-EPA employees managing official EPA records.
 - Providing records management briefings for all managers and training to staff within their organizations, as needed.
4. Developing records management oversight roles and communication networks with all program units including field offices and other facilities, as appropriate, to ensure that the records management program is implemented at all sites under their jurisdiction.
 5. Developing and disseminating directives and operating procedures, as needed, to supplement Agency-wide policy to meet the unique records management needs of their organizations and to support a records management program within the organization.
 6. Ensuring records and other types of required documentary materials are not unlawfully removed from EPA by current or departing officials, employees, or agents.
- d. The General Counsel provides legal advice and counseling on records management issues.
 - e. The Inspector General assists in determining the retention of Agency records that may be needed for internal investigation and audit purposes.
 - f. Headquarters, Regional, Laboratory/Center/Office RLOs are responsible for:
 1. Creating and updating procedures for their offices in accordance with established EPA and program policies.
 2. Performing evaluations of their records management and essential records program.

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3. Developing file plans and procedures so records are organized and can be found when needed.
4. Assisting with disposition activities, including retirement of inactive records, transfer of permanent records to the National Archives, and destruction in accordance with approved records schedules.
5. Reviewing office records schedules annually to ensure they are current, and initiate changes if not.
6. Ensuring confidential records are protected in accordance with federal and EPA requirements, and keeping access lists to ensure sensitive information is released only to authorized individuals.
7. Coordinating the identification and maintenance of essential records and submitting an annual list of essential records through senior management to the Agency Records Officer.
8. Initiating and keeping records retirement, transfer, and destruction documentation.
9. Conducting briefings and training sessions on the records management program.
10. Reviewing and recommending requests for records equipment, services, and supplies.
11. Organizing, maintaining, and training a network of records contacts within the organization.

g. Information resources and system managers are responsible for:

1. Working with the local RLO, the Agency Records Officer and NARA to establish and update records schedules for electronic systems.
2. Implementing proper recordkeeping procedures for existing information systems and ensuring recordkeeping requirements are included in proposed systems.
3. Ensuring that information systems intended to carry out electronic records management comply with NARA's and EPA's requirements for electronic recordkeeping systems.
4. Maintaining electronic information systems in accordance with approved records schedules and NARA requirements.
5. Working with their RLO to transfer permanent systems to the National Archives in accordance with approved records schedules and NARA requirements.
6. Ensuring that Internet and intranet postings containing official records are maintained in accordance with EPA's recordkeeping requirements.

h. Continuity of Operations (COOP) Program planners are responsible for:

1. Working with records management staff to implement the essential records plan

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to ensure the continuation of designated COOP essential functions.

2. Ensuring that essential records are accessible from designated COOP locations.
 - i. All EPA employees are responsible for:
 1. Creating and managing the records necessary to document the Agency's official activities and actions, including those records generated by EPA contractors and grantees, in accordance with EPA recordkeeping requirements.
 2. Destroying records only in accordance with approved records schedules and never removing records from EPA without authorization.
 3. Filing records for safe storage and efficient retrieval and maintaining personal papers and nonrecord materials separately from official EPA records.

9. DEFINITIONS

Definitions are found on EPA's records management Web site.

[\[Glossary\]](#)

10. WAIVERS

- a. **Waiver Process.** The Agency Records Officer may grant waivers to any provisions of this Policy for sufficient cause.
- b. **Applications.** Applications for waivers to specific provisions should contain (1) identification of the Policy provision; (2) a listing of reasons why the Policy cannot be applied or maintained; (3) an assessment of impacts resulting from non-compliance; and (4) the signature of the AA, RA or Laboratory/Center/Office Director, the Chief Financial Officer, the General Counsel, or the Inspector General responsible for the records management program in question.
- c. **Notification.** The Agency Records Officer will notify the requesting office in writing of the disposition of the decision on the waiver request within 60 days of receipt of the request.

11. RELATED PROCEDURES AND GUIDELINES

Required procedures and implementation guidelines for this Policy are found on the records management Web site. <http://www.epa.gov/records/> Supporting procedures to implement this Policy at the Program Office or other Administrative level must be approved by the Agency Records Officer in OEI.

12. MATERIAL SUPERSEDED

CIO 2155.1: Records Management Policy, Dated 06/08/09.


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EPA *IRM Policy Manual*, Chapter 10, 1996

Vital Records Order (Order 2160.1)

13. ADDITIONAL INFORMATION

For further information about this Policy, please contact the EPA Office of Environmental Information, Office of Information Collection.



Malcolm D. Jackson
*Assistant Administrator for Environmental
Information
and Chief Information Officer
U.S. Environmental Protection Agency*

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Knowledge Area 1 References

The Electronic Records Management (ERM) resources described in this brochure will provide your Federal agency with the information needed to prepare for and implement electronic recordkeeping. Here you will find descriptions and links to National Archives and Records Administration (NARA) information on the E-Government Electronic Records Management (ERM) Initiative, the Fast Track initiative, expanded electronic records transfer requirements, electronic recordkeeping and records management training, and records management reference tools to assist agencies in managing their electronic and vital records.

The ERM resources are arranged in the following broad categories to facilitate access and use:

- Automating Records Management
- Building Support for ERM
- Technology-Specific Guidance
- Transfer Requirements for Permanent Electronic Records
- Training – Records Management
- Vital Records

Automating Records Management

When records management processes or procedures are conducted electronically, or through computer activity, they are considered automated and can be applied to paper or electronic records. The tools cited below are focused specifically on *automated* processes and procedures used in the management of only those records maintained in *electronic* form, which is also referred to as electronic recordkeeping (ERK).

Records Management Profile

A tool for use in conjunction with the Federal Enterprise Architecture (FEA) framework that provides agency decision-makers with a framework for incorporating statutory records management requirements and sound records management principles seamlessly into agency work processes, enterprise architectures, and information systems

<http://www.archives.gov/records-mgmt/policy/rm-profile.html>

Examples of System Functions for Electronic Recordkeeping (ERK) and Electronic Records Management (ERM)

Gives examples of detailed system functions that an ERK or ERM system might need to perform in order to satisfy basic records management functions

<http://www.archives.gov/records-mgmt/policy/prod6b.html>

Survey of Baseline Organizational Information

Provides a survey questionnaire for gathering baseline organizational information for developing records management system requirements or evaluating ERM and ERK solutions

<http://www.archives.gov/records-mgmt/policy/prod7.html>

Preliminary Planning for Electronic Recordkeeping: Checklist for IT Staff

Lists questions for information technology (IT) staff to address before implementing an electronic recordkeeping system, and provides related guidance

<http://www.archives.gov/records-mgmt/policy/prod3rev.html>

Preliminary Planning for Electronic Recordkeeping: Checklist for Records Management Staff

Identifies high-level issues that Records Officers need to consider before initiating any discussion about moving toward electronic recordkeeping

<http://www.archives.gov/records-mgmt/policy/prod4rev.html>

Electronic Records Management Guidance on Methodology for Determining Agency-unique Requirements

Provides a step-by-step approach to identifying and defining agency-specific system requirements as building blocks for agency ERM systems

<http://www.archives.gov/records-mgmt/policy/requirements-guidance.html>

Electronic Information Management Standards – DoD 5015.2-STD

Endorses the Federal-wide adoption of the DoD 5015.2-STD

<http://www.archives.gov/records-mgmt/bulletins/2003/2003-03.html>

Analysis of Costs and Benefits for ERM and ERK Projects

Provides a guide to identify some typical cost categories and possible benefits of an existing records management system, or of the alternative ERM and ERK solutions

<http://www.archives.gov/records-mgmt/policy/prod8.html>

Recommended Practice: Evaluating Commercial Off-the-Shelf (COTS) Electronic Records Management (ERM) Applications

Summarizes the Environmental Protection Agency's (EPA's) experience identifying the COTS products that would best meet the needs of agency staff for both Electronic Document Management (EDM) and ERM

<http://www.archives.gov/records-mgmt/policy/cots-eval-guidance.html>

Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

Provides a set of decision points to help determine whether office-specific ERM systems should be funded independently or integrated with an agency's enterprise-wide ERM system

<http://www.archives.gov/records-mgmt/policy/cpic-guidance.html>

Recommended Practice: Developing and Implementing an Enterprise-wide Electronic Records Management (ERM) Proof of Concept Pilot

Presents practical steps in the development of proof of concept pilots for ERM

<http://www.archives.gov/records-mgmt/policy/pilot-guidance.html>

Guidance for Building an Effective Enterprise-wide Electronic Records Management (ERM) Governance Structure

Defines governance and its importance to the success of IT, the purpose and function of that governance, how project-specific governance (such as that instituted for enterprise-wide ERM) fits within and alongside other established governance structures, and the risks attendant on the absence of good governance

<http://www.archives.gov/records-mgmt/policy/governance-guidance.html>

Building Support for ERM

The ability of every Federal agency to fulfill its mission requires knowledgeable employees with access to the organization's information. In addition, quality decision-making in the Federal Government depends on access to the information retained in its documents and records. With proper controls for organizing, managing, and providing access to records, agencies will realize the benefits of efficient business processes, knowledge-sharing, collaborative working, and seamless access to information. The tools cited below identify critical success factors for implementing electronic records management, and provide assistance for developing support.

Context for Electronic Records Management (ERM)

Specifies the records management and information technology (IT) terminology associated with ERK

<http://www.archives.gov/records-mgmt/initiatives/context-for-erm.html>

What is Electronic Recordkeeping (ERK)?

Presents high-level discussions of what electronic recordkeeping (ERK) is in terms of architectures, objectives, and critical success factors

<http://www.archives.gov/records-mgmt/policy/prod1b.html>

Electronic Recordkeeping

Summarizes the statutory, legal, and regulatory requirements, plus internal reasons to move toward ERK

<http://www.archives.gov/records-mgmt/policy/prod1afn.html>

Typical Records Management (RM) Functions and Typical RM Program Activities

Provides an overview of basic concepts about typical records management functions and overall records management program functions to provide useful background to those involved in such an initiative

<http://www.archives.gov/records-mgmt/policy/prod6a.html>

User Guide to Slide Presentation: Electronic Recordkeeping

A user's guide for Fast Track PowerPoint Briefings

<http://www.archives.gov/records-mgmt/policy/guide.html>

Long Version of Customizable Electronic Recordkeeping PowerPoint Presentation

Provides the longer version of a presentation that can be used in raising awareness about electronic recordkeeping as part of planning for such systems

<http://www.archives.gov/records-mgmt/policy/prod5a.html>

Short Version of Customizable Electronic Recordkeeping PowerPoint Presentation

Provides the short version of a presentation that can be used in raising awareness about electronic recordkeeping as part of planning for such systems

<http://www.archives.gov/records-mgmt/policy/prod5b.html>

Technology-Specific Guidance

NARA has produced several technology-specific guidance documents to address unique areas of electronic records management.

NARA Guidance on Managing Web Records

Assists agency staff in properly managing Web records

<http://www.archives.gov/records-mgmt/policy/managing-web-records-index.html>

Records Management Guidance for PKI-Unique Administrative Records

Provides detailed guidance on retaining and managing PKI-unique administrative records

<http://www.archives.gov/records-mgmt/policy/pki-guidance.html>

Records Management Guidance for Agencies Implementing Electronic Signature Technologies

Discusses the records management principles that apply to electronic signature technology generally

<http://www.archives.gov/records-mgmt/policy/electronic-signature-technology.html>

Records Management Guidance for PKI Digital Signature Authenticated and Secured Transaction Records

Provides records management guidance to Federal agencies for PKI digital signature authenticated and secured electronic transaction records

<http://www.archives.gov/records-mgmt/policy/pki.html>

Transfer Requirements for Permanent Electronic Records

This website contains guidance on the file formats that may be used by agencies when they transfer permanent electronic records to NARA. This guidance supports the requirements in Item A1, Section A, Part II, of [OMB Memorandum M-12-18 Managing Government Records](#) to make available revised guidance for transferring permanent electronic records.

Transfer Guidance

<http://www.archives.gov/records-mgmt/policy/transfer-guidance.html>

Training – Records Management

NARA has developed updated records management courses designed to meet the changing Federal recordkeeping environment, and also offers an optional certification program for individuals who successfully complete training in Federal records management. In addition, NARA can provide PowerPoint presentations that can be used by agencies to raise awareness about records management in general, and electronic recordkeeping in particular.

National Records Management Training Program

Describes NARA records management training available nationwide
<http://www.archives.gov/records-mgmt/training/>

Electronic Recordkeeping User's Guide and Briefing Presentations

See Section on Building Support for ERM – Presentations.

NARA's Electronic Records Management (ERM) Guidance

<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

Vital Records

A vital records program provides an agency with the information it needs to conduct its business in the event of a disaster, emergency, or other interruption, and to resume normal business afterward. The tool below provides information on how to develop a program to support these activities.

Vital Records and Disaster Recovery

Addresses the identification and protection of records needed to conduct business under emergency operating conditions or to protect legal and financial rights
<http://www.archives.gov/records-mgmt/vital-records/recovery.html>

For additional information on ERM tools, please go to:

Records Management Policy and Guidance
<http://www.archives.gov/records-mgmt/policy/>

Electronic Records Management Initiative
<http://www.archives.gov/records-mgmt/email-mgmt.html>

Records Management Resources on the Internet Where to Go for More Information

The proper management of Federal records is crucial for conducting government business, ensuring government accountability, and protecting the rights of American citizens. As a Federal employee, you have responsibilities for ensuring that the records you create and receive are managed properly so they can be found when needed.

These information resource links consist of Internet addresses that provide pointers to resources that will give you information about these responsibilities, provide guidelines for managing Federal records, and will aid you in understanding the core role of records management in a well-run agency.

The first links provide records management information available through the National Archives and Records Administration (NARA) website (<http://www.archives.gov>). Subjects are arranged alphabetically and include general records management information that every Federal employee needs to know, and specific records-related information for agency legal staff. Following are other government sites and commercial and non-government sites of interest. There is some overlap in referenced subjects, but scope and coverage vary.

National Archives:

Agency Recordkeeping Requirements, A Management Guide

<http://www.archives.gov/records-mgmt/publications/agency-recordkeeping-requirements.html>

Federal Agency Records Officers

<http://www.archives.gov/records-mgmt/agency/officers-lists.html>

Appraisal and Scheduling Work Groups (NARA points of contact)

<http://www.archives.gov/records-mgmt/appraisal/index.html>

Departing Employees, Documenting Your Public Service

<http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>

Department of Defense (DoD) 5015.2-STD – Electronic Records Management Software Applications Design Criteria Standard

<http://jtitc.fhu.disa.mil/cgi/rma/downloads/p50152stdapr07.pdf>

Disposal of Records

<http://www.archives.gov/about/laws/disposal-of-records.html>

Electronic Records Archives (ERA)

<http://www.archives.gov/era/>

Records Managers Fast Track Guidance

<http://www.archives.gov/records-mgmt/policy/fast-track.html>

Electronic Signature Technologies

<http://www.archives.gov/records-mgmt/faqs/pdf/electronic-signature-technology.pdf>

<http://www.archives.gov/records-mgmt/policy/pki.html>

Records Managers Fast Track Products (electronic recordkeeping)

<http://www.archives.gov/records-mgmt/policy/prod6a.html>

Frequently Asked Questions (FAQs) About Records Management

<http://www.archives.gov/records-mgmt/faqs/>

General Records Schedules

<http://www.archives.gov/records-mgmt/grs/>

NARA Basic Laws and Authorities

<http://www.archives.gov/about/laws/>

NARA Regulations in Title 36, Code of Federal Regulations

<http://www.archives.gov/about/regulations/regulations.html>

Publications and posters dealing with records management issues

<http://www.archives.gov/publications/records-mgmt.html>

Training opportunities from NARA

<http://www.archives.gov/records-mgmt/training/index.html>

Transfer guidance for permanent electronic records to NARA

<http://www.archives.gov/records-mgmt/initiatives/transfer-to-nara.html>

Other National Archives:

National Archives of Australia

<http://www.naa.gov.au/>

Library and Archives Canada

<http://www.archives.ca/>

The National Archives, United Kingdom

<http://www.nationalarchives.gov.uk/>

Other U.S. Government Sites:

Environmental Protection Agency (NRMP, National Records Management Program)

<http://www.epa.gov/records/>

Federal Chief Information Officers (CIO) Council

<http://www.cio.gov/>

Federal Judicial Center

<http://www.fjc.gov>

GSA Forms Library

<http://www.gsa.gov/forms/nara.html>

Office of Management and Budget (OMB)

OMB Circulars

<http://www.whitehouse.gov/omb/circulars>

U.S. Code website

Title 44

<http://www.law.cornell.edu/uscode/text/44>

U.S. Department of Justice

Office of Information and Privacy (FOIA, E-FOIA, Privacy Act guides)

<http://www.justice.gov/oip/index.html>

Commercial/Non-Government Sites:

Association for Information and Image Management (AIIM)

<http://www.aiim.org/>

Association of Records Managers and Administrators (ARMA International)

<http://www.arma.org/>

Cornell University Law School, Legal Information Institute

Federal Records Act (the FRA, 44 U.S.C. 3101)

<http://www.law.cornell.edu/uscode/>

Federal Rules of Civil Procedure

<http://www.law.cornell.edu/rules/frcp/>

Disaster Recovery Institute International (for information on contingency planning)

<http://www.drii.org/>

Federal Rules of Evidence

<http://www.law.cornell.edu/rules/fre/>

Electronic Privacy Information Center (EPIC)

E-FOIA Amendments of 1996 (P.L. 104-231)

http://www.epic.org/open_gov/foia/us_foia_act.html

Federal Computer Week

<http://www.fcw.com/>

Institute of Certified Records Managers

<http://www.icrm.org/>

Legal XML Home Page

<http://www.legalxml.org/>

National Association of Government Archives and Records Administrators (NAGARA)

<http://www.nagara.org/>

Privacy Act (PA, 5 U.S.C. 552a)

http://www4.law.cornell.edu/uscode/html/uscode05/usc_sec_05_00000552---a000-.html

The Sedona Conference®

<http://www.thesedonaconference.org>

The Society of American Archivists (SAA)

<http://www.archivists.org/>

NARA Records Management Key Terms and Acronyms

The following is a list of key terms and acronyms used in NARA's core records management training. These are not formal definitions, but rather an explanation of the terms as generally used in NARA training material. The list is not exhaustive.

Table 1: Key Terms and Definitions

KEY TERM	DEFINITION
Access	The availability of, or permission to consult, records.
Accession	The act and procedures involved in a transfer of legal title and the taking of records into the physical custody of the National Archives (adapted from the Society of American Archivists Glossary).
Active records	Records that continue to be used with sufficient frequency to justify keeping them in the office of creation; current records.
Administrative Records	Documents that are preserved because they facilitate the operations and management of an agency, but do not relate directly to programs that help the agency achieve its mission. These include such documents as the agency budget, personnel, supplies, travel, and training. They are found in every agency, and often (but not always) their dispositions are covered by the General Records Schedules (GRS).
Agency Mission	The agency mission addresses the following questions: Why does the agency exist? What is the agency's purpose? What business functions does it perform?
Agency Records Officer (ARO)	Serves as the official responsible for overseeing the agency's records management program.
Agency Records Schedule	See Records Schedule .
Alienated Records	Records in the possession of an individual or organization not legally entitled to them.
Archives Records Center Information System (ARCIS)	ARCIS is the IT system for NARA's Federal Records Centers Program and its customers. ARCIS automates and streamlines Federal Records Centers (FRC) workflow processes and is the online portal through which NARA's customer agencies transact business with the FRC.
Asset	Anything of value or perceived value.
Asset Management	The process of documenting and controlling all assets, either in use or under development by an agency. Asset management involves identifying an agency's assets and the steps taken to protect and take care of them.

KEY TERM	DEFINITION
Big Bucket/Large Aggregation Schedule	A type of flexible schedule in which disposition instructions are applied against a body of records that are grouped at a level of aggregation greater than the traditional file series/electronic system and that can be organized along a specific program area, functional line, or business process. The goal of this type of flexible scheduling is to provide for the disposition of records at a level of aggregation that best supports the business needs of agencies, while ensuring the documentation necessary to protect legal rights and guarantee government accountability.
Blocking	Grouping files within a series so that they are bounded by cutoff points and are treated as a unit for disposition purposes. The cutoff instructions should specify if transfer or disposal is done in blocks. For example, during the transfer of permanent records to the National Archives, records may be transferred in 5-year blocks. This means that the block would include all files in the series that were cut off between January 1, 2000, and December 31, 2004.
Business Analysis	An evaluation of an agency's business to determine what information it needs to create or receive and maintain to support specific programs.
Business Process Analysis (BPA)	Examines an organization's business processes in order to find out how business is conducted in the organization.
Case management/electronic case filing system (CM/ECF)	Case management/electronic case filing system (CM/ECF) refers the electronic submission of documents used by the U.S. federal courts including the bankruptcy courts. The CM/ECF allows bankruptcy courts to maintain all of their documents related to bankruptcy cases in electronic form, which cuts down on the costs of paperwork and saves precious trees from destruction in order to file the paperwork.
Comprehensive Schedule	Printed agency manual or directive containing descriptions of and disposition instructions for all documentary materials, record and nonrecord, created by a Federal agency or major component of an Executive department. Unless taken from the General Records Schedules (GRS) issued by NARA, the disposition instructions for agency records must be approved by NARA on one or more Standard Form(s) 115, Request for Records Disposition Authority, prior to issuance by the agency. The disposition instructions for the nonrecord materials are established by the agency and do not require NARA approval.
Cloud Computing	NIST defines cloud computing as "a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.
CODEC-A	Encodes a data stream or signal for transmission, storage or encryption, or decodes it for playback or editing. Codecs are used in videoconferencing streaming media and video editing applications.

KEY TERM	DEFINITION
Contingent Records	Records scheduled for final disposition at some unspecified future time after the occurrence of a particular event, such as the decommissioning of a vessel, the sale of property, or the destruction of a building.
Crosswalk	A table created to show the original series-by-series disposal authorities and where each one fits into the new subject categories or buckets.
Custody	Care and control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.
Cutoff (a.k.a. File Break)	The breaking or ending of files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence, to permit the establishment of new files.
Data Migration	The process of transferring data between storage types, formats, or computer systems.
Degaussing	Minimizing the magnetic field in magnetic media so the information is obliterated and cannot be returned.
Deletion	The removal or erasure of information from electronic devices and storage media.
Destruction (destroy/delete/salvage/sell)	The disposal of documents of no further value by incineration, maceration, pulping, or shredding.
Digital	Of or relating to computers or the information age.
Direct Offer	Records accessioned by NARA directly from agency space (including non-NARA records centers), rather than from a NARA records center (Federal Records Center).
Disposal	The action taken regarding temporary records after their retention periods expire, and consisting usually of destruction/deletion. On rare occasions, with permission, records may be donated (36 CFR 1226.26).
Disposition	<p>Instructions for what is to be done with a record that is no longer needed to support agency business. There are two types of dispositions for records:</p> <p>Temporary – Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired.</p> <p>Permanent – Permanent records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in national history, and as a result will be preserved by NARA.</p>

KEY TERM	DEFINITION
Disposition Authority	The legal approval empowering an agency to transfer permanent records to the National Archives or to carry out the disposal of temporary records. Note: “Legal approval” comes at the point at which an authority (the SF-115) is signed by the Archivist of the United States, not when it is first submitted to NARA.
Disposition Authority Agency	The DAA prefix indicates a “born-in-ERA” records schedule created by an agency.
Disposition Authority Legacy	The DAL prefix indicates a previously approved SF 115, Request for Records Disposition Authority.
Disposition Instructions	Directions for cutting off records and carrying out their disposition in compliance with NARA’s regulations. Includes directions for screening out nonrecord materials and carrying out their disposal when no longer needed by the agency.
Disposition Schedule	See Records Schedule .
Document Management Application (DMA)	A system used for managing documents that allows users to store, retrieve, and share documents with security and version control. A word processor can integrate DMA support so that you can create, edit, and manage your documents through the word processor. DMAs are sometimes called Electronic Document Management Systems (EDMSs).
DoD 5015.2	Department of Defense (DoD) standard provides a generic set of requirements for electronic records management applications. The standard sets design criteria standards for Records Management Application (RMA) software.
Donation	The transfer of temporary records to an eligible person or organization after the authorized retention period has expired. A donation is a very rare occurrence.
e-Government	Short for electronic government is digital interactions between a government and citizens, government and businesses/Commerce, government and employees, and also between government and governments/agencies.
Electronic Case Files	See Case management/electronic case filing system (CM/ECF).
Electronic Document Management System (EDMS)	A computer system (or set of computer programs) used to track and store electronic documents.
Electronic Information System (EIS)	A system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2) An EIS includes the inputs and outputs that are generated, as well as the master files. The system may contain budgetary, fiscal, social, economic, scientific, technical, or program-related data and information, operated in support of agency programs and management responsibilities.

KEY TERM	DEFINITION
Electronic Mail (email)	A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word-processing and other electronic documents, which may be transmitted with the message. (Defined in the CFR as an electronic mail message.)
Electronic Records/ e-Records	Records stored in a form that only a computer can process. Records can be numeric, graphic, and text information; media can include, but are not limited to, magnetic media, such as tapes and disks, and optical disks.
Electronic Recordkeeping (ERK)	A subset of electronic records management (ERM) is simply the development of automated techniques to facilitate the management of electronic records.
Electronic Recordkeeping System (ERKS)	An electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.
Electronic Records Archives (ERA)	NARA's system that allows Federal agencies to perform critical records management transactions with NARA online for the first time. Agency records management staff use ERA to draft online ERA Records Schedules and Transfer Requests for records in any format, officially submit those schedules for approval by NARA, request the transfer of records in any format to the National Archives for accessioning or pre-accessioning, and submit electronic records for storage. (See Records Schedule, Legacy Standard Form 115, and Legacy Records Schedule and Legacy Standard Form 258).
Electronic Records Management System (ERMS)	Management of records in electronic form.
Electronically Stored Information	Information stored in a digital format.
Emulation	A strategy where the functionality of one system is recreated by a new system, so that the second system behaves like the first.
Essential Records Management	Essential Records Management is the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity activation. Access to and use of these records and systems enable the performance of essential functions and reconstitution to normal operations. To ensure performance of essential functions, organizations pre-position and regularly update these essential records. (See Vital Records).
Evaluation	The term evaluation refers to an internal audit by agency staff. You may hear the term "self-evaluation," since the agency is conducting an internal evaluation.

KEY TERM	DEFINITION
Federal Enterprise Architecture (FEA)	The enterprise architecture of a Federal Government. It provides a common approach for the integration of strategic, business, and technology management as part of organization design and performance improvement.
Federal Records Act (FRA)	See Record and H.R. 1233, The Presidential and Federal Records Act Amendment of 2014. http://www.archives.gov/press/press-releases/2015/nr15-23.html
Federal Records Center (FRC)	The NARA managed building or location where Federal Agency records are stored.
Federal Records Center Program (FRCP)	This NARA program safeguards the nation's records, providing high-quality, cost-effective storage and services for Federal agencies.
File Break (a.k.a. Cutoff)	See Cutoff .
File Plan	A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office. See also Filing System .
Filing System	A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called a Recordkeeping System .
Flexible Retention	An arrangement and disposition method that can be applied to individual or groups of record series/electronic systems to establish consistent retention periods. This allows for series/electronic systems within work process functions to have the same stated minimum and/or maximum retention periods. Flexible retention is a flexible scheduling tool that can be used as a component of a "Big Bucket"/large aggregation schedule or in a traditional series-based schedule, and gives agencies the retention flexibility they need to manage their records.
Flexible Schedule	A document providing disposition instructions that allow flexibility in the way information or categories of information are grouped or that provide a minimum and/or maximum, rather than a fixed retention period.
Frozen Records	Temporary records held for litigation, investigation, or audit purposes. Frozen records can be destroyed only after completion of litigation, audit, or investigation and notification from the appropriate authority.
Functional Arrangement	A method of arranging a records schedule by record series or systems that share the same purpose or function, regardless of where they are created and maintained. For example, many of the General Records Schedules are arranged by function.

KEY TERM	DEFINITION
General Records Schedules (GRS)	GRS are issued by the Archivist of the United States under the authority of 44 U.S.C 3303a (d) to provide disposition authority for records common to several or all Federal agencies. The GRS cover records documenting administrative functions rather than program functions. Agencies must apply the GRS to the greatest extent possible.
Inactive records	Records that are no longer used in the day-to-day course of business, but that may be preserved and occasionally used for legal, historical, or operational purposes.
Information System	An organized set of procedures and techniques designed to store, retrieve, manipulate, analyze, and display information. If automated, information system also includes hardware and software.
Inspection	Inspection refers to reviews or audits performed by external personnel or agencies. NARA conducts inspections and records management program reviews of agencies.
InterPARES	The International Research on Permanent Authentic Records in Electronic Systems aims at developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and providing the basis for standards, policies, strategies, and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity.
Inventory	A survey of agency records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems.
Legacy Schedules (LS)	Paper SF 115s that have valid disposition authorities. See Electronic Records Schedule (ERA) Legacy Standard Form 115 and Records Schedule. Request for Records Disposition Authority that was created by an agency and approved by NARA prior to the mandatory implementation of ERA. A Legacy Records Schedule containing Legacy Records Schedule Items, describes Federal records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with Federal records that are no longer needed for current government business.
Legacy Schedule Item (LSI)	The specific item described on the Records Schedule or Legacy Records Schedule that defines a record series and its disposition.
Legal Transfer Instrument (LTI)	Formally conveys the legal custody of a records transfer to the NARA. This business object is created automatically by the ERA system when a Transfer Request moves into Physical Custody Accepted status. There is one Legal Transfer Instrument created per Transfer Request.
Lifecycle	The management concept that records pass through three stages: creation, maintenance and use, and disposition.
Maceration	The process of reducing materials to fine particles

KEY TERM	DEFINITION
Maturity model	The Maturity Model aims to give an accurate, reliable and honest summary of the current level of maturity of the records management measures within your institution.
Metadata	Data describing stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records.
Migration	A set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation.
NA 13000, Agency Review for Contingent Disposal	A NARA form used to obtain agency concurrence to dispose of records whose disposal is contingent upon completion of some action or event.
NA 13001, Notice of Eligibility for Disposal	A NARA form used to obtain agency concurrence to dispose of records eligible for destruction.
National Records Management Program (NRMP)	Information to help assist Federal customers, to keep updated on NARA records management initiatives, records management resources, and teach agency staff about records management policies and procedures.
Near-line storage	Near-line storage is the on-site storage of data on removable media. There are three major categories of near-line storage: magnetic disk, magnetic tape, and compact disc (CD).
Nonrecord Materials	Nonrecord materials are documentary materials excluded from the legal definition of records. The United States Code defines "nonrecord materials" to include material such as unofficial copies of documents kept only for convenience or reference, stocks of publications and near-print documents, and library or museum material intended solely for reference or exhibition.
OF 11, Reference Request – Federal Records Center	Form used by Federal agencies to request records or information stored in a Federal Records Center. Use of this form is optional.
Online Public Access Catalog	Archives Library Information Center Online Public Access Catalog contains over 89,000 bibliographic records, with more records being added on a daily basis. The collection's strengths include archival administration, administrative history, American history and government, biography, information management, and government documents.
Online Public Access Tool	See Online Public Access Catalog .
Organizational Arrangement	A method of arranging a schedule in a structure consistent with the hierarchical arrangement of an agency, such as by bureau or other major unit, and thereunder by its subordinate units, such as divisions or offices.

KEY TERM	DEFINITION
Performance Work Statement (PWS)	The PWS describes completely the work required to be performed including the standards, specifications, and controls. It lists individual requirements that are too long to be written into the contract schedule as contract line items. It serves as a clear statement of contract requirements for defining and achieving the technical program goals or services needed.
Permanent Record	Record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.
Personal Papers	Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business.
Pre-accessioning	Occurs when NARA fully processes permanently valuable electronic records in order to assume physical custody before the records are scheduled to become part of the National Archives of the United States. The agency maintains legal custody and responsibility for access.
Program Records	Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.
Pulping	Process of reducing paper to its constituent fibers
Reconstitution	Taking the actions necessary to bring working conditions back to normal and being able to resume business operations.
Record	Includes 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. 3301)
Record Series	A group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.
Record Values	The value of a record encompasses its value for current business – i.e., its administrative, fiscal, legal/accountability value – as well as its historical value.
Recorded Information	Includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.
Recordkeeping Requirements	Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency.

KEY TERM	DEFINITION
Recordkeeping System	See Filing System .
Records Analysis	A process used to determine records retention and disposition requirements based on how the records are used to support the business needs of an organization, and to ensure Government accountability and protect the rights of citizens.
Records Control Schedule/ Records Disposition Schedule/ Records Retention Schedule/ ERA Records Schedule/SF 115	See Electronic Records Archives (ERA) , Records Schedule and Legacy Standard Form 115 .
Records Inventory	See Inventory .
Records Maintenance	Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency.
Records Management	The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
Records Management Application (RMA)	Software used by an organization to manage its records. An RMA's primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository.
Records Retention	See Retention .
Records Schedule	A records schedule or schedule is: (a) An SF-115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records (b) A General Records Schedule (GRS) issued by NARA (c) A printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF-115s or issued by NARA in the GRS. (See also Comprehensive Schedule .)
Records Schedule Item	The specific item described on the Records Schedule or Legacy Records Schedule that defines a record series and its disposition. (See also Legacy Records Schedule Item .)
Replication	A strategy of creating duplicate copies of data.

KEY TERM	DEFINITION
Retention	The length of time a record must be kept (either in the office or in off-site storage) because it is needed for ongoing business, to document an action, or for statutory reasons. Note: This is also referred to as a “retention period.”
Retirement	The transfer of records to agency storage facilities, a Federal Records Center, or a commercial records center.
Risk	The potential harm that may arise from some present process or some future event.
Risk Acceptability/Tolerance Matrix	Represents your agency’s tolerance level for acceptable and unacceptable risks.
Risk Analysis	The systematic use of available information to determine how often specified events may occur and the magnitude of the consequences if they do occur. In terms of records management, risk analysis is used to evaluate the probability of the risks identified in the risk assessment and the impact those risks would have on your records and information.
Risk Assessment	An examination of the potential harm that may result from exposure to certain hazards. In terms of records management, risk assessment is used to identify the risks to your records and information. It includes two main components: Risk Identification, and Risk Analysis and Prioritization.
Risk Factor	An overall rating of the seriousness of a single risk. To determine the <i>risk factor</i> of the risk event, you multiply the probability rating by the impact rating.
Risk Management	The process of identifying (risk assessment) and evaluating (risk analysis) risk and then developing strategies to manage the risk
Senior Agency Official (SAO)	Responsible for ensuring that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy.
Scheduled Records	Records whose final disposition has been approved by NARA.
Scheduling	The process of determining and recording in a records schedule the appropriate retention period and ultimate disposition of a series. The records thus provided for are called scheduled records.
Series	See Record Series .
Shared Drives	Shared drives, also known as network drives, are typically used to store and share content. Agencies have also used shared drives to group and store content by function, project, committee, or other logical category. The use of shared drives poses recordkeeping challenges because agencies may store content that includes Federal records and nonrecord materials.

KEY TERM	DEFINITION
Social Media	Social media tools use Internet and web-based technologies (often called Web 2.0 technologies) to integrate technology, social interaction, and content creation. Social media use the “wisdom of crowds” to connect information in a collaborative manner online. Through social media, individuals or collaborations of individuals create web content, organize content, edit or comment on content, combine content, and share content.
Special Records/Special Media	Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they are of nonstandard size. These include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.
Stakeholder	Can be broadly defined as people and or organizations who may affect, be affected by, or perceive themselves to be affected by a decision or activity.
Standard Form (SF) 115, Request for Records Disposition Authority	Standard form used by Federal agencies for capturing record information for scheduling and requesting disposition authority from NARA.
Standard Form (SF) 135, Records Transmittal and Receipt	The form to be submitted by agencies to a Federal Records Center before transferring records there.
Standard Form (SF) 258, Agreement to Transfer Records to NARA	Standard form used by Federal agencies to transfer legal custody of permanent records to NARA.
Statement Of Work (SOW)	See Performance Work Statement .
Sustainable Format	The ability to access an electronic record throughout its lifecycle, regardless of the technology used when it was originally created.
Systems Development Life Cycle (SDLC)	The SDLC process provides a structured and standardized process for all phases of any system development effort.
Temporary Record	Record approved by NARA for disposal after a specified retention period.
Transfer	The process of moving records from one location to another, especially from office space to off-site storage facilities, from one agency to another, or from an agency office to a Federal Records Center or to NARA.
Unauthorized Disposal	The improper removal of records without NARA approval or the willful or accidental destruction of records without regard to a NARA approved records schedule. Unauthorized disposition of Federal records is against the law and punishable by up to \$250,000 in fines and imprisonment. (44 U.S.C. 3106 and 18 U.S.C. 2071)
Unscheduled Records	Records whose final disposition has not been approved by NARA. Unscheduled records may not be destroyed or deleted.

KEY TERM	DEFINITION
Vital Records	Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (“emergency operating records”), or to protect the legal and financial rights of the government and those affected by government activities (“legal and financial rights records”). Vital records are also known as essential information.
Witness Disposal	Disposal of certain classes of records, such as the case of classified records or records covered by the Privacy Act, that requires an authorized representative to verify the destruction.
Working Files	Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Also called working papers.

ACRONYNMS

Table 2: Acronyms and Terms

ACRONYM	TERM
ARCIS	Archives Records Center Information System*
ARO	Agency Records Officer
BIA	Business Impact Analysis
BPA	Business Process Analysis
CIO	Chief Information Officer
CBA	Cost Benefit Analysis
CPIC	Capital Planning and Investment Control
DAA	Disposition Authority Agency
DAL	Disposition Authority Legacy
DMA	Document Management Application
eFRC	Electronic Federal Records Center*
EDMS	Electronic Document Management System
EIS	Electronic Information System*
EMS	Electronic Media Storage
ERA	Electronic Records Archives
ERKS	Electronic Recordkeeping System
ERM	Electronic Records Management
ERMS	Electronic Records Management System
ERPWG	Electronic Records Policy Working Group
FEA	Federal Enterprise Architecture
FRC	Federal Records Center
FRCP	Federal Records Center Program
GRS	General Records Schedule
InterPARES	The International Research on Permanent Authentic Records in Electronic Systems
IRM	Information Resource Management
ISO	International Organization for Standardization
IT	Information Technology
LSI	Legacy Schedule Item
LS	Legacy Schedule
LTI	Legal Transfer Instrument
NIST	National Institute of Standards and Technology
NRMP	National Records Management Program
OMB	Office of Management and Budget
PDA	Personal Digital Assistant
PM	Program Manager
RC	Records Custodian
RM	Records Management
RMA	Records Management Application

ACRONYM	TERM
SAO	Senior Agency Official
SDLC	Systems Development Life Cycle
SF	Standard Form

