

## 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](mailto: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**.



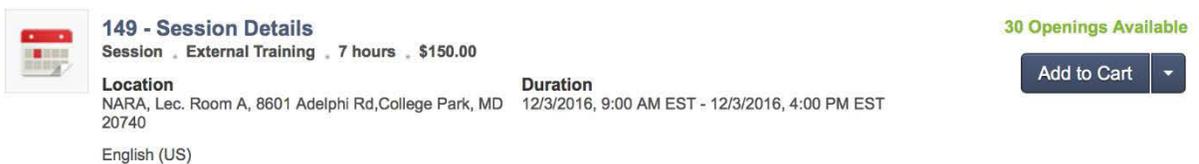
2. Click on the course you want to attend.

### Browse for Training

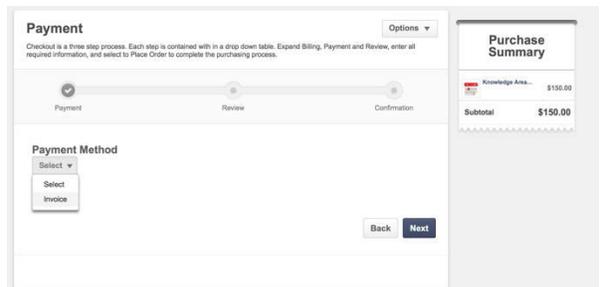
#### My Subjects



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.

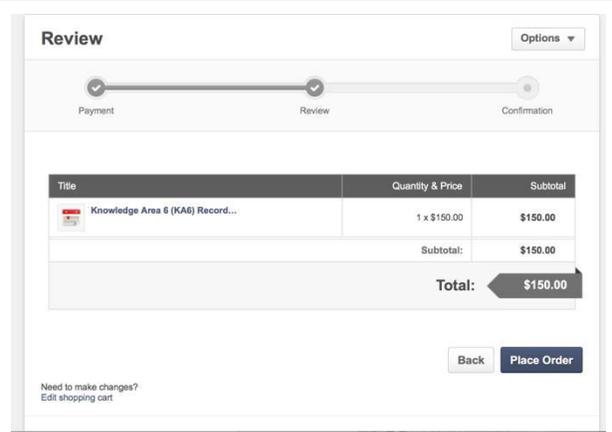


4. When you are done adding courses, click **Proceed to Checkout**. On the next screen, select Invoice as the billing method and click **Next**.



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.*



## 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](mailto: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:

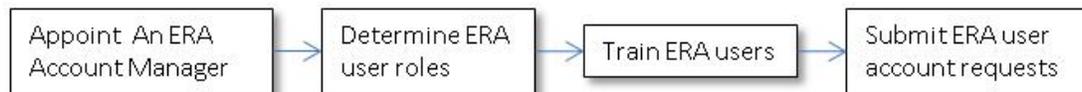
- Review and approve or reject proposed record schedules
- Review and approve or reject transfer requests that authorize an agency to transmit records to NARA
- Review and approve or reject legal transfer instruments

- 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](mailto: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](mailto: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](mailto: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](mailto: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](mailto: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](mailto: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](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 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.

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## 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](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:

- a. Create, receive, and maintain official records providing adequate and proper documentation and evidence of EPA's activities.
- b. 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.
- c. 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.
- d. Migrate electronic records in legacy systems to an EPA approved electronic records management system, when feasible.
- e. 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.

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#### 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.

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#### 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.

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## 9. DEFINITIONS

Definitions are found on EPA's records management Web site.  
[\[Glossary\]](#)

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## 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.

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## 11. RELATED PROCEDURES AND GUIDELINES

Required procedures and implementation guidelines for this Policy are found on the records management Web site. [\[http://www.epa.gov/records/\]](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.

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## 12. MATERIAL SUPERSEDED

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

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

EPA *IRM Policy Manual*, Chapter 10, 1996

Vital Records Order (Order 2160.1)

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**13. ADDITIONAL INFORMATION**

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



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

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